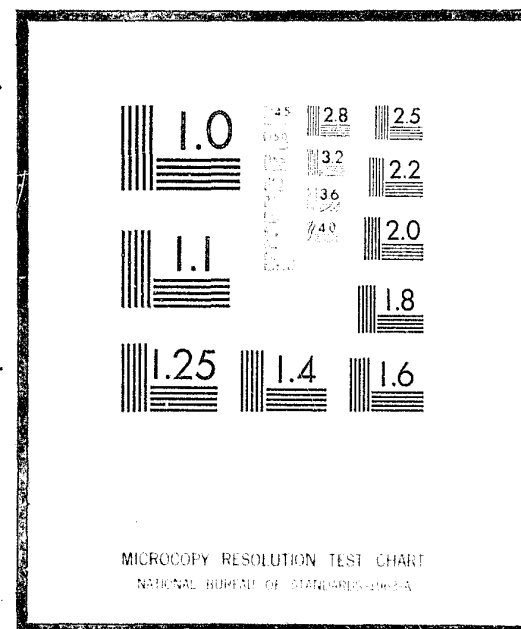


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UNIVERSITY RESEARCH CORPORATION

EXECUTIVE TRAINING PROGRAM
IN ADVANCED CRIMINAL JUSTICE PRACTICES

MANAGING CRIMINAL INVESTIGATIONS

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Law Enforcement Assistance Administration
United States Department of Justice

MANAGING CRIMINAL INVESTIGATIONS

MANUAL

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EXECUTIVE TRAINING PROGRAM
IN ADVANCED CRIMINAL JUSTICE PRACTICES

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INTRODUCTION

In 1966 the President's Commission on Law Enforcement and Administration of Justice emphasized the need to upgrade the performance of the process of criminal investigation. The Commission noted that only about 25 percent of reported major crimes were cleared and that "if the suspect is neither known to the victim or arrested at the scene of the crime, the chances of ever arresting him are very slim." The seriousness of the problem of investigative failure was heightened by the fact that the probability of conviction after arrest was only about 35 percent.

A decade later, these percentages unfortunately remain the same in spite of a substantial increase in the number of reported serious crimes.

While some progress has been made in many police agencies, it has not been substantial. In most cases, police executives still ask themselves the question: "How do criminal investigators spend their time?"

The need for greater managerial attention to the process of criminal investigation was described in the opening paragraphs of the Prescriptive Package, Managing Criminal Investigations, in this way:

For the public, the term "criminal investigations" often brings to mind the image of The Detective--a painstaking individual who single-handedly digs out evidence, collects tips from informants, identifies the criminal, tracks him down and brings him to justice. Many police departments even act as if solving crimes depended entirely upon the number of detectives in the department. Typically, exceptionally bright or experienced officers are designated as detectives and, as long as they make enough arrests, few questions are asked.

The theme of this report is that the entire police department contributes to the success of criminal investigations. While skilled detectives are often essential, there are many things police managers--from first-line supervisors to the chief--can do to improve investigative success. In fact, supervisors and higher level officials often are in a better position to improve the investigative process than detectives.

Traditionally, the police administrator has elected to move slowly and cautiously in evaluating the effectiveness of the criminal investigative system. This long-standing reluctance has been described by one police administrator in this way:

In few endeavors does there appear to be a greater area of mysticism than in the field of police investigation. Not commonly present during the preliminary investigative phases performed by patrolmen, the investigative mystique of the detective's job is uniquely traditional in police history. The almost conspiratorial vagueness that surrounds investigative effectiveness can be a serious impairment in an administrator's ability to measure and control this criminal function of the agency.¹

That the "mystique" exists is reinforced by the following commentary:

The nature of detective work sometimes makes it hard for a manager to find out what specific tasks have been done. Nevertheless, most departments contacted felt strongly that permitting the detective to give ambiguous answers about his work was an abdication of management responsibility.

At a series of conferences held by the Police Foundation, the prevailing view among managers of detectives was that adequate supervision requires overcoming the "detective mystique."²

It is more probable, however, that the actual reason police administrators are reluctant to address this issue is the lack of knowledge and information concerning the real workings of the criminal investigative process. The detective has traditionally jealously guarded the secrets of the trade--and has been successful at it. On the other side of the coin, however, the police manager and researcher have allowed this to happen by failing to conduct

¹Tielsch, George, Chief of Police, Santa Monica, California. Unpublished thesis: "A Research Design for the Study of the Investigation Process in the Medium-sized Police Department," California State College at Long Beach, September, 1970.

²Prescriptive Package, Managing Criminal Investigations.

serious studies in this area of police operation. The following observation, while directed at the researcher, applies equally to many experienced police managers:

Only the patrol function has seemed to appeal to the police researcher, apparently because it meets the criteria of easy identification. There seems to be a degree of timidity in those who concern themselves with police manpower utilization. The patrol process is, actually, a very convenient man-hour element in police work with which to deal since the patrolman's time is easily categorized and segmented. It lends itself to computerization and can be neatly measured and packaged. Other functions being performed by the police, however, are less conducive to easy analysis due to the complexity of their work continuity or the intermittent nature of that workload. Such activities as investigation, supervision, criminalistics, identification, and administration, do not lend themselves to the continuity of segmentation that characterizes that of patrol and, therefore, seem to continue to escape the eye of the police evaluative researcher. This phenomenon is understandable when it is considered that: (a) a certain "specialist mystique" exists whereby criminalists and other highly specialized employees are the sole authorities of both their jobs and the measurement of the efficiency of the procedures they follow; (b) the vagueness of defined criteria in determining the effectiveness of such hard to measure procedures as vice and narcotic investigations, and intelligence; (c) the difficulty with which supervisors or managers can critically analyze their own tasks or even fully identify their roles; and, (d) an apparent reluctance on the part of police researchers to innovate due to the conservative nature of the police mentality. Therefore, a pattern of manpower research seems to be developing whereby the patrolman tends to be overanalyzed while other critical functions and procedures go begging, due in a great degree to the tendency of the police researcher to polish and refine that which is known rather than pioneer unknown terrain.

However, the almost doubling of crime rates, the slower rise in the number of arrests, the flat (or declining) levels in clearance rates, and growing community dissatisfaction with police effectiveness in criminal investigations, in recent years, have placed the urgency to review and evaluate this vital area of police performance in the spotlight.

In response to these realities, an increasing number of police agencies are critically examining the organizational structure and the effectiveness of the resources allocated to the criminal investigative process. As a result of this critical evaluation, changes are being made in the placement of investigative responsibilities and in the establishment of investigative priorities as well as other substantive actions affecting investigative operational tactics and strategies.

The chapters of this manual will attempt to get past the popular misconceptions concerning the criminal investigative process and identify the potential benefits to be gained by adopting modern management methods and systems that can lead to:

- An increased participation by uniformed personnel in a comprehensive initial investigation at the time a crime is reported.
- The establishment of a case-screening system that will remove nonsolvable cases from the investigative process at an early point.
- The development of a police/prosecutor relationship that will result in better case investigation and preparation and greater likelihood of successful prosecution.
- The establishment of a management information system which provides agency administrators with appropriate information for managing the criminal investigative process and alerts them to emerging problems.
- A searching re-examination of agency structure to maximize the use of all personnel.
- The development of investigative management techniques for the improved use of detective personnel.

A well structured monitoring system that provides needed information on the effectiveness of each component part of the MCI system will facilitate a "management by outcomes" approach to issues of organization and allocation of personnel. This searching examination of current performance and productivity levels will assure cost-effective utilization of resources.

One of the major outcomes to be derived from changing the old way of conducting criminal investigations is an increase in the number of arrests for serious crimes that can be accepted for prosecution and may ultimately result in an increased number of convictions.

The likelihood of increasing the number of convictions is substantially improved when the agency addresses the total system of criminal investigation rather than one or more of its components on an isolated basis. While some improvements may be achieved by a piece-meal approach, greater benefits can be realized when the total system is changed.

This manual will present information--and options--concerning the key components of the process of managing criminal investigations for your consideration and review. You must make the decision concerning the appropriateness of changes in the system and in each of the components, as they apply to your agency.

It must be said, however, that many agencies that have changed the old way of doing things have improved the outcomes of the investigative process.

This manual includes several appendices that are provided as supportive information about actual experiences in implementing new approaches to the management of criminal investigation. They appear following the chapters in which the new approaches are described.

CHAPTER 1

THE INVESTIGATIVE ROLES OF PATROLIntroduction

Managing the process of criminal investigation is a complex and multidimensional undertaking. Though there is no commonly accepted definition of the criminal investigative process, it may be operationally described as the total police effort to:

1. Collect facts leading to the identification, apprehension, and arrest of an offender, and
2. Organize these facts to present the evidence of guilt in such a way that successful prosecution may occur.

The deductive nature of this process--a probing from the known to the unknown backward in time--makes it essentially dependent for its successful outcome on people other than the police: victims, witnesses, suspects, and arrestees.

The process is guided and supported by many local policies and procedures that are derived primarily from custom and experience. These vary greatly from agency to agency.

Only in the last few years have police administrators seriously begun to examine the components of the total investigative process. Because a substantial amount of police time and personnel resources are allocated to the investigation of reported crimes, increased attention has been directed to the many activities of the process in order to assess which parts work best and why.

By reviewing carefully the existing procedures governing the patrol function of collecting information on crime, those who are responsible for managing investigations may improve the timely collection of those elements

of investigative information that have been shown to be most useful in the solution of crimes.¹

Findings from a variety of empirical research studies indicate that police administrators should re-evaluate their traditional thinking concerning the role of the patrol officer in the investigative process. How well patrol officers develop and report on cases in the initial stages of investigation greatly affects all subsequent events as the cases are processed through the criminal justice system. Thus, improvements in managing and conducting criminal investigation might occur if police decision makers took steps to enhance the role of the patrol officer.

The patrol officer, regardless of his or her effectiveness, is already involved to some degree in almost all investigations. Unless all specialized crime investigators are placed on street patrol and are available to respond to every reported crime, the first contact with the victim of a crime will continue to be made by a patrol officer. Consequently, local policies and procedures governing the patrol officer's role have a direct impact on the effectiveness of the investigation as well as on the ultimate outcome of the process.

The Changing Role of Patrol

The amount of effort that patrol officers now devote to investigating reported crimes varies significantly from agency to agency. A recent survey indicates that the policies and procedures of most departments very narrowly restrict the role of the patrol officer in the investigative process.² In most cases, the patrol officer simply records basic information about the crime and then turns the case over to a specialist investigator. The patrol

officer may be responsible for securing the crime scene if an extensive search is anticipated.

In some departments, however, the role of the patrol officer has been expanded to include many of the responsibilities which have been traditionally assigned to specialized investigators.³ To improve the results of investigations, responsibilities of the patrol officer have been reassigned in the following ways by some police agencies:

- The patrol officer provides immediate assistance to victims, locates witnesses, interviews both victims and witnesses, records information about the crime scene, and completes a detailed crime report which formally initiates the case or concludes that a case is not founded and formally closes it at that stage of the investigative process. The final outcome of the patrol officer's activity in these agencies is a completed form which is transmitted to the investigative division. Several studies have indicated that the amount of time spent by the patrol officer in this process is approximately 40 minutes.⁴
- The patrol officer may also check for signs of physical evidence or conduct an examination of physical evidence, collecting fingerprints and conducting examinations for toolmarks or footprints. In some cases, the officer calls for a more specialized search by evidence technicians. The products of the officer's efforts are a completed crime report, for use by the investigator who conducts the follow-up investigation. The patrol officer may also make recommendations or notations that may effectively lessen the amount of time

³ *ibid.*

⁴ Bloch and Weidman, (1975) pps. 23-26.

¹ Greenberg, (1972) vol I, p 10

² Greenwood, (1975) vol III, p 10

detectives will need to spend in completing the follow-up investigation.

- The patrol officer has authority to initiate and complete the investigation of certain classifications of crime--such as all misdemeanors, burglary cases which involve property value up to \$1,500, and auto larceny cases. Investigations of other types of crime--homicide, rape, fraud, etc.--continue to be referred to specialized detective units. The net effect of this "sorting out" of responsibilities for different types of investigations is that the patrol officers investigate those high volume crimes which can be investigated as effectively by patrol as by detectives; investigations requiring more time, skill, and effort are handled by the specialist.
- In rare instances, the police officer may be given responsibility for the entire investigative process. In these situations, the patrol investigator carries out all investigative functions--from preliminary investigation to case closure--for all crimes but homicide. The specialist detectives, if there are any, perform as consultant to the patrol investigators.

In examining these evolving roles and in considering the different approaches which feature either a restricted or an expanded role for patrol officers in criminal investigations, two basic policy considerations seem to emerge:

1. On the one hand, the usual restricted role seems to be based on the belief that the role of the patrol officer must be limited in order to facilitate both a prompt response to the many calls for service from the public

and the carrying out of "preventive patrol" responsibilities. This pattern of use of the patrol officer appears to be based on the belief that there is insufficient patrol time available, overall, to permit patrol officers to investigate crimes. Further, expanding the role of the patrol officer to include investigative activities may create managerial and morale problems. Any attempt to modify the traditional separation of responsibilities of the patrol and the detective services is likely to lead to resistance and feelings of apprehension.

2. On the other hand, many police agencies, faced with the same policy considerations and concerns about the need to obtain better results from investigations, have changed the role of the patrol officer in the investigative process. The twin factors of pressing external concerns about increased crime rates and limited police budgets have influenced police managers to re-evaluate the present roles, responsibilities, and allocation to the investigative process of police personnel.

The Effects of Change

Surprisingly, changes in the patrol officer's role have produced unexpected benefits in many police agencies:

- Patrol officer/detective relationships and communications have actually improved.
- The frequency of morale problems among patrol officers has decreased, and the decrease is traceable to the officer's belief that their skills are being better used in the investigative process.
- An increase in detectives' productivity has resulted from a lightened case load which provides them more time to conduct better investigations.

- Finally, better management of the entire investigative effort by the police administrator has resulted.

The changing nature of the patrol role has derived in part from results of several agency studies which indicate that between 40 and 60 percent of the available time spent by patrol units that have no investigative responsibilities may actually be unstructured or unassigned time. That is, agencies that have successfully measured the actual expenditure of time by patrol units have found that large blocks of time are spent by patrol officers in an unstructured way. Though it has been argued that routine patrol provides a visible presence which produces a deterrent effect on crime, it would appear that the impact of the improved presence could be maximized if the unstructured time were better spent, based on needs identified by management.

One way of making this time more productive is to involve patrol officers in the investigations of crimes which occur in their patrol sector or beat. Revising local patrol policies to use at least a percentage of this unstructured time in a way which improved the process of crime investigation would seem to be a new policy direction not in conflict with the traditional role of the patrol officer. Rather, implementing such a policy is coming to be viewed as a sound managerial decision which can increase the return on the resources available to the entire department. Active participation by patrol in a total departmental effort to more efficiently handle the increase in crime is a productive use of the most available personnel resource in a police department.

Some changes by managers that have affected the role of the patrol officer in the investigative process have been as simple as redesigning the basic crime report used by the patrol officer to record information collected about a crime. Others have been as sophisticated as analytic and evaluative

techniques used by the administrator to identify and permit the patrol officer to apply "solvability factors" in deciding whether an initial investigation should be referred to specialized detectives for follow-up, closed, or continued by the patrol officer.

Our review of some of these changes and the rationale for their use may aid the police manager in deciding which model is most appropriate to the local situation and what needs to be done to apply one or more of these new models. We will also review some of the management issues that have resulted from these changes and need to be considered in structuring a new role for the patrol officer in the criminal investigative process.

Since the timely collection of sufficient accurate information at the initial contact with victims and witnesses largely determines the ultimate outcome of the investigation, the first matter to be addressed is the adequacy of the crime report prepared by the patrol officer.

Then, several models, which outline the way in which patrol officers can participate in the investigative process, will be examined and discussed. The Revised Crime Report Form

A common complaint of detectives is that the quantity and quality of investigative information collected and reported by the patrol officer is so inadequate that they are often required to repeat the same steps of interviewing victim and witness that were carried out by the patrol officers. Dual initial investigations are not only redundant and time-consuming; they are also counter-productive.

Recent findings indicate that unless relevant information is obtained at the crime scene as quickly and efficiently as possible, the chances of a case being solved by the detective are minimal. The single most important determinant of whether a case will be solved is the information supplied to

the police officer by the victim or witness immediately after the commission of the crime.

One recent study⁵ showed that if limited information from the witness or victim in burglary cases is gathered within at least one hour of the time of occurrence, the chances for a successful outcome of the case is increased by 50 percent. Further, if suspect information in burglary cases is reported to the police within no more than eight hours after the burglary, the probability of successful case solution can be as high as 95 percent.

Improvements in the outcome of criminal investigation would seem to be possible if, in fact, the patrol officer were trained and directed to collect relevant, important information during the initial investigation. Improvements in the information collection role of the initial responding patrol officer can be a simple, cost-effective approach which can produce several benefits.

Several agencies have tried using a revised crime report form in order to shorten the amount of time spent by the patrol in investigation, decrease redundancy of efforts and complaints about wasted efforts, and increase the probability of successful solution to crimes.

The rationale of policy makers who have developed and adopted revised forms is that the patrol officer needs and deserves better policy direction if the information collection phase of an investigation is to be as productive as possible.

An example of a revised form is shown in Figure 1.

Figure 1.

Rochester, N.Y., Police Department

Crime Investigation Report

⁵ Bernard Greenberg, Felony Investigation Decision Model: An Analysis of Investigative Elements of Information (1975), Stanford Research Institute, pps. 42-43.

The design of the form is based on what police experience and statistical studies have confirmed: that most serious crimes are solved as a direct consequence of information provided by either the victim or witnesses. Therefore, structured questions on the form direct the patrol officer to search for answers that are important and relevant to the continued investigation.

The form contains 12 essential questions which need direct answers (unless an immediate, on-scene arrest is made). These questions were developed by the agency after an analysis of cases previously cleared or solved by the agency which showed that 12 factors were dominant in the successful clearance of crime cases. The use of background shading and different type faces for the 12 structured questions on the form highlights the importance of the solvability factors, so that they cannot be overlooked.

These 12 factors are:

1. Immediate availability of witnesses.
2. Naming of a suspect.
3. Information about suspect's location.
4. Information about suspect's description.
5. Information about suspect's identification.
6. Information about suspect's vehicular movement.
7. Information about traceable property.
8. Information about significant M.O.
9. Information about significant physical evidence.
10. Presence of evidence technician who indicates an a priori judgement that good physical evidence is present.
11. A judgement by the patrol officer that there is enough information available that, with a reasonable investment of investigative effort, the probability of case solution is high.

12. A judgement by the patrol officer that there is sufficient information available to conclude that anyone other than the suspect could not have committed the crime.

These dominant factors--termed "solvability factors"--are also logically based on the existing operational policies and practices in place in the agency. Other agencies with different capabilities and procedures might develop a slightly different list of solvability factors.

No numerical weights are attached to any of the 12 solvability-factor questions; each is judged to be as important as the other. If all factors are present--that is, all of the questions are answered positively--the inference is that the case is probably solvable by the follow-up investigative efforts of the detective unit. The agency's policy is that if at least one of the factors is present--that is, if one of the questions is answered positively--the case is transmitted to the supervisor for review and decision concerning assignment to the detective division.

Requiring the patrol officer to check those questions which have not been answered provides an outline of what yet has to be done when the investigator plans his next steps, so that nothing is overlooked in conducting the follow-up. Thus, the detective is provided clear guidance for beginning work and an outline or an "investigative map" for proceeding with the investigation.

No definitive evaluation has yet been done on the amount of time it takes to complete this form in comparison with other types of crime report forms. But indications are that the time differential is minimum and, in fact, with continued practiced use, the amount of time spent by patrol on the initial investigation may actually be less than it was before the form was designed.

Clearly, one of the more important tasks which an agency would have to complete before redesigning its own form would be to determine what "solvability factors" contribute most to successful case clearance in its own jurisdiction. In later chapters in this manual, we will outline various techniques that can be used to make this determination. We will also describe more of the concept of solvability as it applies to case screening and case management.

For our purposes here, it is important to note that the agency will need to identify and isolate the most important investigative elements, or solvability factors, which work best in its jurisdiction so that structured questions can be composed and listed on the revised crime report for use by the patrol officer.

Developing and designing such a form is not a difficult task; in agencies that have adopted such a form, the usual procedure has been to assign a task force composed of experienced investigators and patrol officers to review the current form and determine ways in which improvements can be made. Typical questions addressed by these task forces have been:

- What are the most important factors that have contributed to our successful investigations?
- How can we identify and rank these factors in order of their relative importance so that we can select the most important ones?
- What structured questions should be composed and placed on the new form so that there is a directed "hunt for solvability factors" by the patrol officer?
- What are existing policies regarding the role of the patrol officer in conducting criminal investigation?

- What changes need to be made in these policies as a result of changes in the form?
- What level of training has been given to patrol officers regarding interviewing techniques and investigative procedures?
- What retraining is required as a consequence of the identification and use of solvability factors in the initial investigation?
- What needs to be done to assure the most effective use of the new form?
- What procedures should be installed to test and compare the use and effectiveness of the new form?

Including both patrol officers and investigators on this task force will have the effect of lessening the possibility that personnel in the department will see any proposed changes as a unilateral decision from the top, or as a decision made without taking into account the realities of the patrol officer's or the investigator's work.

Reviewing the Matrix: Alternative Roles of Patrol

The matrix on the following pages shows the role of the patrol officer in an initial investigation from the perspective of:

- The patrol responsibility
- The process by which patrol assists in referring cases for continued investigation.
- Some consequences of patrol activities on policies regarding investigation.
- Suggested organizational policy initiatives that can be taken by management.

Applying these perspectives to the many roles which a patrol officer could perform in an investigation, the matrix describes and displays several alternative models. No one model is seen as the model; local

constraints may legitimately inhibit the exact adoption of any of the models. However, the value of the matrix is that it does highlight a sequential enhancement--with each new model--of the uniformed officer's role in the investigative process, beginning with the typical role of the patrol officer in conducting the initial investigation.

**MATRIX OF MODEL ROLES OF PATROL OFFICERS IN
CONDUCTING CRIMINAL INVESTIGATIONS**
(Each Model Builds Upon and Includes Activities Outlined in Preceding Model)

MODELS	PATROL RESPONSIBILITY	CASE REFERRAL PROCEDURE	CONSEQUENCES	MANAGEMENT POLICIES
A. TYPICAL	<ul style="list-style-type: none"> • Prepare and complete basic report form. 	<ul style="list-style-type: none"> • Refer all cases, including preliminary investigations, to detectives. 	<ul style="list-style-type: none"> • Redundancy • Insufficient data collected • Low level of productivity • Low morale in patrol 	X
B. BETTER INFORMATION COLLECTION	<ul style="list-style-type: none"> • Conduct a complete initial investigation and fill out revised initial investigation report for selected categories of crime. 	<ul style="list-style-type: none"> • Refer the reports of the initial investigations for selected categories of crime to detectives for follow-up investigation. (In these types of cases, detectives do not conduct preliminary investigations.) 	<ul style="list-style-type: none"> • Elimination of redundancy. • More complete data collected. • Productivity increased. • Improved case load for detectives. • Better morale. 	<ul style="list-style-type: none"> • Define crime categories to be investigated by patrol. • Define exceptions. • Design new initial investigation form. • Train patrol and detectives in use of new forms. • Train supervisors.
C. PATROL RECOMMENDATION	<ul style="list-style-type: none"> • Conduct initial investigation and complete detailed investigation report. • Decide whether to call for forensic or evidence specialists. • Recommend closing or continuing case based on presence or absence of solvability factors. 	<ul style="list-style-type: none"> • Supervisor reviews patrol recommendation. • Case screening criteria are used to close cases when initial investigation reveals lack of solvability factors. OR • Case screening criteria are used to refer cases for follow-up investigation by detectives. 	<ul style="list-style-type: none"> • Recommendation and screening, after initial investigation by patrol, focuses resources only on probably solvable cases. • Increases productivity. • Promotes interdependency between detectives and patrol. 	<ul style="list-style-type: none"> • Establish policy and procedures for case screening. • Establish policy and procedures detailing the role of patrol and follow-up role of detectives. • Provide additional training for patrol and supervisors.

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**MATRIX OF MODEL ROLES OF PATROL OFFICERS IN
CONDUCTING CRIMINAL INVESTIGATIONS (Cont'd.)**
(Each Model Builds Upon and Includes Activities Outlined in Preceding Model)

MODELS	PATROL RESPONSIBILITY	CASE REFERRAL PROCEDURE	CONSEQUENCES	MANAGEMENT POLICIES
D. LIMITED INVESTIGATIVE ROLE OF PATROL	<ul style="list-style-type: none"> • Investigate crimes in selected categories beyond initial investigation phase. • Patrol continues and completes investigation of certain categories of crime which do not require the service of detective specialists. 	<ul style="list-style-type: none"> • Crime cases in selected categories are not referred. • Other cases are referred to detectives for follow-up investigation. 	<ul style="list-style-type: none"> • Reduces detective workload. • Permits detective to increase specialty or to adopt new roles. 	<ul style="list-style-type: none"> • Establish policy and procedures delineating investigative roles of patrol in selected categories of criminal investigation and of detectives in other categories of crime. • Provide additional training for patrol.
E. ENHANCED INVESTIGATIVE ROLE OF PATROL	<ul style="list-style-type: none"> • Investigate crimes in increased number of categories. • Closure can occur on scene after initial investigation. 	<ul style="list-style-type: none"> • Refer only those cases which require high level of skill or which are of an exceptional nature. 	<ul style="list-style-type: none"> • Maximal use of detectives by assigning them to follow up only those cases with high probability of solution and/or those which require specialized skills. • Maximal use of patrol resources in all investigations. • Improved relationships between public and police. • New roles and opportunities available for detectives. 	<ul style="list-style-type: none"> • Establish policies detailing the differing authority and relationships between patrol and detectives. • Adopt case screening system which incorporates early, on-scene, case-closure criteria.

MM-23

Model A
The Typical Model

In this model, the goal (outcome) of the patrol responsibility is to collect information for the detective and to transcribe this information onto a relatively simple crime report. The patrol officer functions basically as a "report taker." The process begins by the officer's asking very basic questions of the victim and witnesses and transcribing the answers, usually in narrative form on the form and filling out blocks on the form appropriately. The form is generally handed over for supervisory review and subsequent transmittal to the investigative unit.

Clearly, the investigative consequences and activities of the process are determined by the outcome--the information the officer writes on the report form. If the report form is in any way inadequate or incomplete, the consequences will be:

- Having to discontinue the case, or
- Requiring the detective to report the information-collecting process--a redundant effort.

The investigative steps that will have to be taken flow from the process and activities which the patrol officer carries out. Whatever process and activities the patrol officer carries out, in this typical model, the results will be documented in the report form. Thus, the form itself conditions and affects the way continued investigation will be conducted. If the report form is inadequate or incomplete, the consequences are predictable: detectives will have to repeat the process of interviewing and collecting facts, productivity will decline, and morale problems may surface.

Model B
Better Information

By designing, and using a revised crime report form similar to the one shown earlier in this chapter, the outcome of the initial investigation process and activities will be different. In the process of completing the new form, the patrol officer is automatically placed in a role other than that of a passive "report taker," whose report may or may not be used.

Obtaining the desired outcomes from following the procedures outlined in the legendary mnemonic, PRELIMINARY, are substantially facilitated by an expanded information-gathering instrument:

- P Proceed to the scene promptly and safely.
- R Render assistance to the injured.
- E Effect the arrest of the criminal.
- L Locate and identify witnesses.
- I Interview the complainant and the witnesses.
- M Maintain the crime scene and protect the evidence.
- I Interrogate the suspect.
- N Note conditions, events, and remarks.
- A Arrange for collection of evidence or collect it.
- R Report the incident fully and accurately.
- Y Yield the responsibility to the follow-up investigator.

Questions on the new form prescribe a directed search for predetermined solvability factors, and the patrol officer assumes an active role in the investigative process by collecting information which can lend directly to the apprehension of a suspect. The work of the patrol officer is directly related to the continuation of the case by detectives. Thus, use of the form acknowledges that the role of detective and patrol officer are interdependent and inseparable.

The patrol officer's activities have a basic over-riding investigative objective: to collect in a structured, organized manner that information which experience and study have demonstrated is most likely to solve a crime. Rather than being thought of as a taker of miscellaneous information, the patrol officer performs activities that have a clear and meaningful purpose.

When the patrol officer "yields the case to the investigator," for follow-up, the outcome will be a report with clear and detailed information. The information will have been collected in a way which eliminates the need for investigators to repeat any steps of the preliminary investigation and which provides investigators an outline for developing follow-up plans.

The patrol officer in Model B provides the "preliminary investigation"-- the initial fact-finding phase of the investigation of a reported crime during which prescribed and structured questions are used to make sure that all available, appropriate information regarding the presence or absence of solvability factors is documented for subsequent use.

This definition resolves one of the management dilemmas frequently posed in a discussion of the role of the patrol in the preliminary investigation: How can management properly limit the role?

Previous definitions and theories about preliminary investigation have suggested that the preliminary investigation "terminates after ⁷the patrol officer⁷ has completed all that he can possibly accomplish." Such a theory is inadequate because it does not define what should be accomplished by the patrol officer. Structured questions, derived from prior identification of solvability factors, can, in fact be used to define what the patrol officer should do. By requiring that the patrol officer direct his or her activities only to those areas of inquiry which are the most promising for successful case solution, the role of the patrol officer described in Model B is effectively limited and the manager's dilemma regarding role limits resolved.

⁷ ibid. p. 24

The other models which are described in the matrix are further developments of Model B; Models C, D, and E successively build upon this basic definition of the role of the patrol officer in a preliminary investigation as set forth in Model B.

Model C Patrol Officers Make Recommendations Regarding Continued Investigation

The description of Model B showed some of the procedures and benefits which can derive from using a new report form to collect information about "solvability factors." With practiced use of the form, inservice training, and improved communications between patrol and investigators, additional responsibilities and authority may be given to the patrol. Model C gives the patrol officer one additional level of responsibility: recommending, after the initial investigation is completed, that the case either be closed as early as possible or continued.

This patrol officer's recommendation is based on the results of the "hunt for solvability" conducted in the initial investigation. As a consequence of training and experience, the officer develops skill, knowledge, and the ability to predict that some cases have little, if any, probability of successful solution while other cases have a high probability of solution. There is little reason why such an officer, upon completion of the initial investigation, should not make a formal recommendation to his supervisor to close or continue the case.

All experienced police officers know that some cases will never be solved. An informal process operates that effectively closes these by placing them on the bottom of the detectives' caseload or by filing them in an active but suspended file. Why shouldn't this informal process which is already in place, be formalized? Why couldn't the formalized process begin with a recommendation from a trained, capable officer who has followed departmental policies and procedures in conducting the initial investigation?

By introducing the patrol officer's recommendation into the investigative process, a simple yet critical procedure begins to emerge as a benefit in management of the process: case screening. The recommendation by the patrol officer will contain a judgment that some cases should be pursued or closed; in effect, the officer screens the case.

The difference between Model C and Model B is that the role of the patrol is increased in Model C by giving the patrol officer and his supervisor the authority and responsibility for making recommendations about continuing or closing the investigation. Both the patrol officer and the supervisor use solvability factors--the patrol officer in collecting information and making judgments about the value of this information for the continued investigation and the supervisor in accepting the officer's recommendation.

In Model C, the patrol officer will have received training in technical investigative procedures so that his or her decision to call for specialists (evidence technicians, etc.) will be based on the judgment that their services will increase the chances that the case will be solved. Since most agencies have a limited number of technicians, they must be used as efficiently as possible. Using them in cases which an officer knows have a higher probability of success will lessen the possibility that technicians will be called unnecessarily.

The basis for assigning cases for continued investigation or follow-up will be the report form and recommendation by the patrol officer, an evidence technician's report (in some cases), and the supervisor's application of criteria--all of which are related to the solvability factors predetermined by management.

A major consequence of these activities will be the elimination of wasted or inefficient investigative effort by the agency.

This model explicitly acknowledges that there is a formal administrative control procedure which focuses limited agency resources only on those cases which have the best chance for solution.

To inaugurate the use of Model C, training for patrol officers and patrol supervisors will be required. The nature of this training will be determined by the understanding and use by each of the concept of solvability that has been adopted by the entire agency. Increased productivity and interdependency between patrol and detectives will derive from training and agencywide understanding of the solvability factors and the way they are used.

Policies clarifying the recommending and decision-making role of the patrol officers and detectives will be required. The establishment of a policy regarding case-screening criteria which incorporates solvability factors will lessen misunderstandings and reduce the need for complicated and repeated actions by detectives.

Model D Limited Investigation Model

Model D logically extends the roles described in Model C. The refinement added is that the patrol officer is trained and authorized to make a decision to continue the investigation of selected crimes beyond the initial investigative stage. In all previous models, the investigative role of the patrol ends when the outcomes of the initial investigation--the completed reports plus a patrol recommendation--are turned over to the supervisor. In Model D the patrol officer has authority to continue and complete the investigation of certain crimes on the basis of clearly established policy.

When this model is used, it is recognized that some categories of crimes do not require the usual assistance or the skills of the specialist investigator. Not all cases need be referred for follow-up by the patrol investigator.

Some consequences of this model will be that the detective workload can be reduced in order to permit the best use of specialist skills and abilities only on those cases which require such specialists. Further, by enabling the patrol to conduct investigations under certain conditions, there will be built up within the patrol ranks a pool of investigative talent, skills, and abilities. Thus, the police manager has resources to consider when career advancement opportunities open up.

Management policy making will, in this model, focus on specifying those cases which are to be handled by detectives and those which are to be handled at the patrol level.

Model E Enhanced Investigative Model

Model E outlines the maximum and effective use of the patrol officer in the initial investigation. In this model, the patrol officer not only completes a detailed report but also has the authority to complete the investigation and to close the case on scene in most cases and to refer other cases for follow-up investigation. In this model, cases which require a high degree of specialization--homicide, rape, fraud, etc.--are referred to detectives. The difference between Model E and D is that the manager determines which crime categories the patrol officer is authorized to investigate.

In this model, the patrol officer is required to conduct a prompt and effective investigation of crimes in those categories that local policy determines can and should be handled by patrol. The officer conducts a comprehensive investigation and makes appropriate use of technical and scientific examinations. Finally, the patrol officer has the new authority and responsibility to decide to close a case on scene or as early as possible.

In this model, a case-screening system is in place and functioning as an overall part of the investigative system in the local agency. Further, the authority to close cases early is tied to the policy of using solvability factors to screen or eject cases from the investigative process as early as possible.

Implicit in the early case-closure system as used by the patrol must be a suitable response from the policy to the complainant. Recent studies have indicated that when a suitable reply is given to the complainant, either directly by the patrol officer or within a few days by a telephone referral from detectives or patrol, complainants react in a positive and supportive manner.⁸

Conclusion

It has become increasingly clear that most case clearances in police agencies result from the information provided by the initial responding patrol officer or from an immediate on-scene arrest. The quick and efficient collection of relevant information by the patrol officer is seen to be so important for the successful outcome of an investigation that, without such information, the probability of a case being solved, even by extensive follow-up investigations, is minimal.⁹

Both experience of police managers and recent studies have identified those most important or dominant information elements--solvability factors--which can effectively be used in developing an expanded role for the patrol officer in conducting a more comprehensive initial investigation. Solvability factors have been shown to have such a direct relationship to case

⁸ *ibid.* p. 31

⁹ Greenberg (1975) p. 6

clearances that several police agencies applied these factors in the development of management strategies for the improvement of the criminal investigation process.

Incorporating these findings into an enhanced role for patrol may enable police managers to develop a management framework within which local policies and procedures can be developed with a view to improving the entire investigative process. Considered from this angle, one can define the preliminary investigation process as that initial fact-finding phase of the investigation of a reported crime by which the responding patrol officer identifies factors that result in one or more of the following:

- (a) The reported case is founded or unfounded and investigation continues or the case is closed;
- (b) An arrest is made because solvability factors are demonstrably present and known to the patrol officer;
- (c) The reported case is continued and/or referred to others because dominant solvability factors are present;
- (d) The reported case is continued and/or referred to others for investigation because there are exceptional reasons for continuation even though solvability factors are not present;
or
- (e) The reported case is not continued or referred for investigation because solvability factors are not present and because there are no exceptional reasons for continuing the investigation and/or referring the reported case.

This definition overcomes some of the limitations in other descriptions and theories about the investigative role of patrol. It states clearly that the preliminary investigation has a definite investigative goal: to get the facts that enable the patrol officer to make a determination about continuation. It also states the manner in which that goal is to be achieved--by the "hunt" for solvability factors that local policy has determined are the most important and predictable elements regarding the probability of solving the crime.

The task for police managers is to organize the resources of local departments in such a manner that the patrol officer receives guidance, support, and direction in conducting the "search for solvability".

It is important to remember what the definition does and does not state about the role of the patrol in the investigative process:

1. It does not state that patrol officers will be responsible for conducting and completing all of the investigation of all reported felony or misdemeanor crimes. It does state that patrol officers will follow agency policy and procedures regarding the search for solvability and apply them in making an initial determination about referring or closing cases.
2. It does not state that patrol officers will do anything that is beyond the scope of their authority. It does state that the patrol officer will do all that he/she should do to collect facts which indicate the presence of solvability factors and to use these facts to make an initial determination about referring the case or closing it.

3. It does not state that patrol officers will act unilaterally in making decisions or determinations. It does state that they can make certain determinations based on local police policies and procedures. Procedures regarding the supervisory review of field decisions or determinations are also included.
4. It does not state that the agency organizational structure or the patrol units and the detective units must be reorganized or that police personnel must be deployed in a different way. The definition is silent on this issue.
5. It does not state that the patrol officer can not perform services within the investigatory process not included in the definition. It does, however, set forth the essential investigative elements of preliminary investigation.

Finally, it seems obvious that the roles of patrol and detectives cannot be viewed as completely separate and distinct functions.

Patrol fulfills not only as a crime suppressant role but also performs an investigative function. How effectively the patrol officer documents the events of a crime to which he or she responds has a definite impact on the case outcome when investigators attempt to pursue the case.

Whatever new roles are assigned to the patrol officer (and we have delineated only the best known to date) will have an effect not only on the case outcome but also on the effective management of the entire process of criminal investigation.

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A P P E N D I X

INSTRUCTIONS ON HOW TO USE THE NEW CRIME
INVESTIGATION FORM, AS DEVELOPED
BY THE ROCHESTER POLICE DEPARTMENT

ROCHESTER POLICE DEPARTMENT
Rochester, New York

INDEX AS:

GENERAL ORDER	DATE OF ISSUE	EFFECTIVE DATE	NO.
SUBJECT: Crime Investigation Report	DISTRIBUTION		AMENDS
REFERENCE			RESCINDS

PURPOSE

To establish a single policy for the reporting of preliminary crime investigation.

I. Offense and Victim Identification

The preliminary investigator must determine if an offense has actually been committed and if so, he must identify that offense. Law manuals will enable him to accurately classify offenses by degree (and to obtain a better understanding of the elements of offenses) so that the investigatory report will accurately describe the offense committed.

When the preliminary investigator has identified the offense, he records the information in Block Number 1 on the Crime Investigation Report.

Block 1 Both the offense and the degree are to be placed in Box #1. The word "charge" is included so that when an arrest is made the reporting officer will identify the charge in Box #1.

1. OFFENSE OR CHARGE (INCLUDE DEGREE)

Block 2 This block is for use by supervisors only. Supervisors will assure that the classification of the crime is correct and change that classification if it is incorrect.

2. CLASSIFICATION OF OFFENSE (SUPERVISORY REVIEW)

If correct, the supervisor shall sign his name in this block; if not correct, the supervisor shall strike out the original classification, initial Box #1, and enter the correct classification in Box #2.

Block 3 List the original CR number in the space provided.

3. C.R. NO. (ORIGINAL ONLY)

Since it may be necessary to contact the victim again after the preliminary investigation, it is important that the officer obtain complete victim information such as telephone numbers and places where he can be reached at any time. The location and time of the offense must be determined since this information will be used later if and when an arrest is made.

As the preliminary investigator obtains the above-mentioned information, he records it in Blocks 4 through 12 on the Crime Investigation Report.

Block 4 List, to the best of your availability, the time the crime occurred. If the specific time of occurrence is known, place that information on the bottom line by military designation, i.e., using numbers rather than letters.

If the specific time of occurrence is not known, determine the limits of the time and date of the occurrence. Place the first limit above the dotted line and the second limit below the dotted line. FOR EXAMPLE: If a burglary is determined to have occurred between 2000 hours, June 3rd, and 0700 hours, June 4th, enter the information as follows:

4. TIME OF OCCURRENCE	M	D	Y	T
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Use two digit numbers for month and day.

Block 5 Indicate the time the offense was reported, using numbers rather than letters... Location where reported in lower half of box.

5. WHEN AND WHERE REPORTED	M	D	Y	T
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Block 6 State the exact location of the offense. Be specific enough that another officer can find the exact location. FOR EXAMPLE: Apartment numbers. In the small box place the section number where the offense occurred. Intersection locations (e.g., Broad Street East at Plymouth Avenue South) must be translated to a number and street location (e.g., 100 Plymouth Avenue South, or East Broad Street).

6. LOCATION OF OFFENSE (HOUSE NO. STREET NAME)

Block 7 State the victim's name, giving the last name first. If the victim is a firm, state the legal name of the firm.

Block 8 State the exact address of the victim, including zip code.

Block 9 Indicate the victim's residence phone and circle the proper word or words indicating when the person can be reached at that telephone number.

Block 10 List the name of the victim's place of employment and the address, if necessary, in order to permit him to be found while at work. If the victim is in school, state the name of the school.

Block 11 Indicate the victim's business telephone number and circle the proper word indicating whether he can be reached at this phone during the daytime or nighttime.

Block 12 State the victim's sex, race, and age, if known. Use the following codes:

Sex: M = Male
F = Female

Race: W = White
B = Black
M = Mexican American
P = Puerto Rican
O = Oriental
= Other

Thus, if the victim is a black male, 39 years of age, complete the box as follows:

7. VICTIMS NAME (LAST, FIRST, MIDDLE) OR FIRM NAME IF BUSINESS	8. VICTIMS ADDRESS (HOUSE NUMBER, STREET NAME)	9. RESIDENCE PHONE	DAY NIGHT
10. VICTIMS PLACE OF EMPLOY. OR SCHOOL NAME	11. BUSINESS PHONE	12. SEX / RACE / AGE	

Block 13

The person reporting the crime is to sign his name and the date to indicate that the crime actually occurred. However, the officer should use his discretion in the use of this box. If the reporting person is obviously unwilling to sign, the word refused should be entered. In all cases the box should be filled in with either the signature or the word "REFUSED." An explanation for a refusal to sign the report may add insight for follow-up investigation.

13. PERSON REPORTING - SIGNATURE - DATE

II. Identification of Witnesses and SuspectsBlock 14

If an arrest is made, name the arrestees in the narrative portion (Block 44), and place the number of persons arrested in Box 14 on the side of the form. If no arrests have been made, place an X in Box 14.

14. IF ARREST IS MADE, NAME ARRESTEES IN NARRATIVE. PLACE THE NUMBER OF ARRESTEES IN BOX A. IF NONE PLACE AN X IN BOX A

If and when an arrest is made, the complete data on each arrested person(s) will be entered in boxes 17 through 19, with additional information in Box 44 (narrative). Same basic data should include the actual location of apprehension.

The greater portion of a preliminary investigation is usually devoted to identifying and interviewing persons who might possibly have knowledge of the offense which will assist in identifying a suspect. IT IS IMPORTANT FOR THE OFFICER TO SEARCH THE AREA FOR WITNESSES AND TO ACCURATELY DESCRIBE WHERE THE WITNESSES MAY BE REACHED AND THE TYPE OF INFORMATION THAT EACH OF THE WITNESSES PROVIDED. Any information may be pertinent to the investigation when combined with other details uncovered in the investigation. If the officer obtains suspect and/or suspect vehicle information, he must give out that information via radio communication. If the officer identifies a witness and/or if he obtains suspect descriptions, he has uncovered solvability factors which may lead to the closing of the case. The Citizen Information Form must be left with persons the officer contacts so that they can easily call the Department if they have additional information regarding the offense.

Block 15

As the officer identifies witnesses and has obtained the necessary details regarding the offense, he records the information in Block 15. Investigating officer should list all addresses that have been checked for witnesses and list the apartment number even when unsuccessful. In the middle portion of Box 15, the names of ALL persons interviewed should be listed with a designation as to whether they are witnesses (W), reporting persons (R), or person with knowledge (PK). If citizen information Form RPD 1148 is left with any of these persons, indicate by circling their designation. The far-right portion of Block 15 provides a small amount of space for listing the information provided. The narrative portion is to be used for additional space. If the narrative is used, indicate the designation of the person, such as R1, W1. List the telephone number(s) of persons providing information and their home address if different from address checked.

15. INDICATE WITH PROPER CODE IN BOXES PROVIDED PERSONS RELATIONSHIP TO INVESTIGATION W-1 WITNESS #1, W-2 WITNESS #2, R- REPORTING PERSON, P/K PERSON WITH KNOWLEDGE INCLUDING REPORTING PERSONS NAME IF DIFFERENT FROM VICTIMS IF CITIZEN INFORMATION FORM R.P.D. 1148 IS LEFT WITH ANY OF THESE PERSONS INDICATE BY CIRCLING PERSONS DESIGNATED.

ADDRESS CHECKED	APT. #	PERSON INTERVIEWED	INFORMATION PROVIDED - USE NARRATIVE IF NEEDED
ADDRESS CHECKED		PERSON INTERVIEWED	
ADDRESS CHECKED		PERSON INTERVIEWED	

Block 16

This block is to designate a solvability factor and if there were no witnesses to the crime an X is marked in Box 16 on the right-hand side of the page. If there are witnesses to the crime, Box 16 is left blank.

16. WAS THERE A WITNESS TO THE CRIME?

IF NO PLACE AN X IN BOX B

This solvability factor cannot be eliminated from consideration until sufficient time has been expended to locate witnesses.

Block 17

This block provides space for the identity of 3 suspects. If a suspect is named, the identity of the person naming the suspect (such as W1 or R1) should be placed in the far right-hand corner of the box. If additional space is needed, the narrative portion of the report form will be used. If a suspect can be named, the Box 17 on the far right of the form will be left blank, if no suspect can be named, an X will be placed in Box 17 on the far right of the report form.

17. CAN A SUSPECT BE NAMED?

IF NO PLACE AN X IN BOX C

SUSPECT #1 (NAME INCLUDE ANY A-K-A INFO)	SUSPECT #2 (NAME INCLUDE ANY A-K-A INFO)	SUSPECT #3 (NAME INCLUDE ANY A-K-A INFO)

Block 18 Provides space for the identity of the location of 1 through 3 suspects. If a suspect can be located, write in the address for each suspect and indicate who provided the information in the same manner as described above. If you have already named the suspect, be sure that the location information falls under the respective information for the previous block of information (i.e., the information for suspect #1 should fall under previous information on suspect #1). If no suspect can be located, place an X in Box 18 on the far right of the report form. If a suspect can be located, leave the box blank indicating a solvability factor.

18. CAN A SUSPECT BE LOCATED?			IF NO PLACE AN X IN BOX D
SUSPECT #1 MAY BE LOCATED AT	SUSPECT #2 MAY BE LOCATED AT	SUSPECT #3 MAY BE LOCATED AT	

Block 19 This provides space to describe 1 through 3 suspects. If a suspect can be described, provide his/her description in the Box provided being sure to place it under the appropriate box if a name or location of a suspect has already been provided. On the first line provide the age, sex, race, height, and weight of the suspects. On the second line, provide other identifying information such as scars and clothing description. As above, indicate who from Block 15 provided the description. If no suspects can be described, place an X in Box 19 on the far side of the report form. If a suspect is described leave Box 19 on the far side of the report form blank, indicating a solvability factor. A complete description will be included in every instance, including on-scene arrests.

19. CAN A SUSPECT BE DESCRIBED?		IF NO PLACE AN X IN BOX E
SUSPECT #1 DESCRIPTION	SUSPECT #2 DESCRIPTION	SUSPECT #3 DESCRIPTION
DESCRIBE EACH SUSPECT - USING AGE, SEX, RACE, HEIGHT, WEIGHT, ANY IDENTIFYING SCARS, MARKS AND CLOTHING DESCRIPTION		

Block 20 If no one can identify the suspect, place an "X" in the box in the right hand margin. If someone can identify a suspect, indicate who can using the appropriate code (W1 = Witness #1, etc.) in the boxes provided on the right-hand side of the report form in Block 21 line. If a suspect can be identified, leave Box 20 on the right-hand side of the report form blank indicating a solvability factor.

20. CAN A SUSPECT BE IDENTIFIED?	IF NO PLACE AN X IN BOX F
USING APPROPRIATE CODE IN THE BOXES PROVIDED - INDICATE WHO CAN IDENTIFY SUSPECT	

Block 21 If you gave suspect information out over the police radio, place an "X" in the box in the left-hand margin.

<input type="checkbox"/> 21. IF SUSPECT INFORMATION HAS BEEN GIVEN OUT VIA RADIO COMM. PLACE AN X IN BOX 21.

Block 22 In the block to the left, reproduce the license plate. Be sure to include the state of registration as it appears on the plate. Complete the known information on the description of the vehicle. In the space for identifying characteristics, be sure to include any information which would make the vehicle stand out from others.

22. FILL IN LICENSE PLATE INFORMATION IF IT IS AVAILABLE.	MODEL/MAKE	YEAR	TYPE	COLOR TOP/BOTTOM	IDENTIFYING CHARACTERISTICS
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Block 23 If the suspect's vehicle can be identified, leave Box 23 on the right-hand side of the report form blank indicating the solvability factor. If a vehicle cannot be identified, place an "X" in Box 23.

23. CAN THE SUSPECT VEHICLE BE IDENTIFIED?	IF NO PLACE AN X IN BOX G
--------------------------------------------	---------------------------

Block 24 If the information on the vehicle was given out on the police radio, place an "X" in the box in the left-hand margin.

<input type="checkbox"/> 24. IF SUSPECT VEHICLE INFORMATION WAS GIVEN VIA RADIO COMMUNICATION PLACE AN X IN BOX 24.

III. Documenting other Evidentiary Information

A. Identifying Property Information

When obtaining information about stolen property, the officer must obtain a complete description of the property including serial numbers, the make, the model, and any identifying characteristics such as dents, chips, and scratches. The information on the make, model, and serial numbers can be fed into the N.C.I.C. computer file for later use and cross-identification. If the officer determines that the stolen property is traceable, he has identified a solvability factor and the information may be used in clearing the case. Information obtained regarding stolen property should be recorded in Blocks 25 through 29.

Block 25 If the stolen property that will be listed further in the report is traceable, do not place an X in Box 25 on the far right side of the report form. In the event there is no traceable property, then indicate in Box 25 with an "X".

25. IF THE STOLEN PROPERTY IS TRACEABLE INDICATE IN THE SPACE PROVIDED BELOW IF NO PLACE AN X IN BOX

Block 26 Describe property which was taken or damaged. If the space in the first column is not sufficient to describe a piece of property, provide a more detailed description in the Narrative (Block 44). Only list one piece of property or type of property on a line. Clearly indicate the number of each type of item.

26. DESCRIBE PROPERTY TAKEN/DAMAGED

Block 27 Indicate in these boxes where the property was taken from placing it in the appropriate line that corresponds with Box 26.

27. WHERE PROPERTY WAS REMOVED FROM

Block 28 In this line provide any identifying information on the property including any identifying mark and/or serial number. Place this information in the appropriate box that corresponds to Box 26 and 27.

28. PROPERTY IDENTIFICATION INFORMATION

Block 29 In this Box indicate a fair market value of the property. Place this value of the property on the line that corresponds with Box 26, 27, and 28. At the bottom of Box 29 place the total value of the property or approximated value.

New York State Penal Law Section 155.20 states:

1. Except as otherwise specified in this section, value means the market value of the property, at the time and place of the crime, or if such

29. PROP. VAL.
TOTAL VALUE

cannot be satisfactorily ascertained, the cost of replacement of the property within a reasonable time after the crime.

3. When the value of property cannot be satisfactorily ascertained pursuant to the standards set forth in subdivisions one and two of this section, its value shall be deemed to be an amount less than \$250.00.

B. Obtaining Medical Information

The nature of a person's injury may determine the degree of the offense committed so it is important to obtain all of the pertinent information regarding the injury as well as the names of the attending medical personnel in case they must be contacted later for further processing of the case.

Medical information is to be recorded in Blocks 30 through 34 and 37.

Block 30 If hospitalized, name the hospital.

Block 31 List the name of the attending physician, if available.

Block 32 If the person was pronounced dead, give the time death was pronounced.

Block 33 If the person was pronounced dead, give the name of the physician who pronounced the victim dead.

Block 34 If the medical examiner was notified, give the name of person notified.

30. WHERE HOSPITALIZED	31. ATTENDING PHYSICIAN	32. DATE/TIME PRONOUNCED	33. PRONOUNCING PHYSICIAN - WHERE	34. MEDICAL EXAMINER NOTIFIED NAME
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C. Modus Operandi

Block 35 If a significant MO is present, or if there is significant physical evidence present, leave these blocks empty and describe in the narrative (Block 44). If sufficient space is not available in the narrative (Block 44), use a supplementary report.

35. IS THERE A SIGNIFICANT M.O. PRESENT	IF YES DESCRIBE IN NARRATIVE	IF NO PLACE AN X IN BOX
-----------------------------------------	------------------------------	-------------------------

- Block 36 Provides space to list the property inventory number of the property described in the above-named boxes.
- Block 37 Describe the nature of the injury.
- Block 38 Indicate in this box where the premises was entered or where the point of crime was located, e.g., N.W. 2nd floor window, rear.
- Block 39 If a weapon or instrument or force was used, indicate in this box the type.

36. PROPERTY INV. NO.	37. NATURE OF INJURY	38. POINT OF CRIME	39. TYPE OF WEAPON, INSTRUMENT OR FORCE USED
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D. Identifying Physical Evidence

The officer must search the scene for the presence of any significant physical evidence. He should try to locate the point of entry and try to determine if a weapon or force was used and, if so, the type. By searching the area (Note: not just the immediate scene), the officer may find foot prints, stolen property that was dropped, or personal effects of the suspect. If an evidence technician arrives, the officer should tell him what he needs to have done. If the officer can determine the presence of a significant MO, and/or significant physical evidence or if the evidence technician's report is positive, additional solvability factors have been identified, and the information obtained should be recorded in Blocks 35, 38, 39, and 44.

- Block 40 If there is significant physical evidence present, you will list this in the narrative Box 44 and leave Box 40 on the right-hand portion of the report form blank indicating a solvability factor. If there is no physical evidence present or detected by a technician, place an "X" in Box 40.

40. IS THERE SIGNIFICANT PHYSICAL EVIDENCE PRESENT? IF YES DESCRIBE IN NARRATIVE	IF NO PLACE AN X IN BOX J
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- Block 41 If a technician is called to a crime scene, his name and assigned car number is entered in left-hand portion of this block. If no technician is called, or when called his report is negative at the scene, an X is placed in Box 41.

If a technician has been requested, but does not arrive by the completion of your preliminary investigation, indicate "REQUESTED" in this block (in the space provided for the technician's name), and DO NOT mark the solvability factor box.

41. TECH WORK DONE BY	HAS AN EVIDENCE TECHNICIAN BEEN CALLED? IS EVIDENCE TECHNICIAN REPORT POSITIVE?	IF NO PLACE AN X IN BOX K PLACE AN X IN BOX K
-----------------------	------------------------------------------------------------------------------------	--------------------------------------------------

Technicians should communicate the results of their work to the preliminary investigator (when possible).

- Block 42 The reporting officer will review his own report at this time, and will determine (as a matter of decision/opinion) whether or not this particular offense requires further investigative effort. If the decision/opinion is negative (no), place an X in Box 42.

42. IS THERE A SIGNIFICANT REASON TO BELIEVE THAT THE CRIME MAY BE SOLVED WITH A REASONABLE AMOUNT OF INVESTIGATIVE EFFORT?	IF NO PLACE AN X IN BOX L
-----------------------------------------------------------------------------------------------------------------------------	---------------------------

- Block 43 The reporting officer must determine at the scene if other persons may have had opportunity to commit the crime. Numerous crime scenes offer a ready-made suspect, yet officer must approach the available facts with an open mind and identify any other possible suspects.

43. WAS THERE A DEFINITE LIMITED OPPORTUNITY FOR ANYONE EXCEPT THE SUSPECT TO COMMIT THE CRIME? IF NO PLACE AN X IN BOX M

D. Narrative

- Block 44 THIS PARTICULAR BLOCK SHOULD ONLY BE USED TO FURTHER EXPLAIN AND/OR ADD TO ANY PERTINENT INFORMATION ALREADY REQUIRED BY EARLIER BLOCKS.

In describing further events or adding to the required block information, the following suggestions are submitted:

- Narrative should begin by describing a "premise" and/or location, the reporting officer should be explicit and identify exactly what the location is. Example - garage, warehouse, apartment, public street, house porch, parking lot, liquor store, etc.
- Describe the point of entry such as:
 - front window
 - back door
 - side milkbox
 - above
 - below
 - within business
- As was explained under premise identification, the same rule applies to property information.

All too often a report will simply label an item, yet not identify it. Example - "credit cards removed," such identification must include at least the title of each such card, and even the assigned card number when available.

4. Precipitating Circumstances: Reporting officer should keep in mind that proper identification of the circumstances that led up to the crime/incident readily identify M.O. in many cases. Example - victim hitchhiking, voluntarily accompanying suspect, allowing suspect to enter home, domestic quarrel, etc.
5. Crime context - was the reported crime in context with any other crime or attempt thereof. Once again, suspect and M.O. identification hinges on such pertinent information. Example - a reported burglary with an attempted rape.

Any vehicles assisting with investigation of original incident should be so noted in the right-hand portion of same block.

44. NARRATIVE: SUMMARIZE DETAILS OF CRIME INCLUDING A DESCRIPTION OF EVENTS; ANY ADDITIONAL INFORMATION WHICH IS AN EXTENSION OF ANY OF THE ABOVE BOXES; NAMES OF ARRESTED; NAMES OF OTHER OFFICERS OR UNITS ASSISTING.

The narrative in the Crime Investigation Report will seldom allow sufficient space for the complete reporting of a preliminary investigation.

To facilitate the reporting of the overflow data on a supplement report, an officer shall only be required to complete the following:

1. Block 1 - check "form used as continuation sheet for original report"
2. Block 2 - CR #
3. Block 3 - check "victim" and enter name
4. Block 12- location of incident
5. Block 13- date of original report

The reviewing supervisor must complete the information requested in the upper left box.

SUPPLEMENT REPORT

RM 2.5 R.P.O. REV. 7/70 CR-1611

THIS BOX FOR OFFICE USE ONLY

TOTAL XEROX COPIES TO BE MADE →

NEWS — TICKLER

C.I.S. — EVIDENCE ROOM

BE SURE TO INCLUDE A XEROX COPY TO THE EVIDENCE ROOM ON ALL BURGLARY REPORTS

LEARNED BY ☐ ARREST ☐ NO PROSECUTION
☐ NO ARREST ☐ WARRANT ADVISED

FOLLOW UP BY ☐ PATROL ☐ FILE
☐ TRAFFIC ☐ C.I.S.

REVIEWER RANK

2. LOCATION OF ORIGINAL INCIDENT

13. DATE OF ORIGINAL REPORT

TIME

14. IF PROPERTY CRIME; NAME OF ESTABLISHMENT

1. <input type="checkbox"/> FORM USED AS CONTINUATION SHEET FOR CURRENT (ORIG.) REPORT <input type="checkbox"/> FORM USED TO REPORT FOLLOW UP INVESTIGATION.		2. CR. NO. (ORIGINAL ONLY)	
3. CHECK ONE <input type="checkbox"/> ARRESTEE <input type="checkbox"/> COMPLAINANT <input type="checkbox"/> DRIVER <input type="checkbox"/> VICTIM <input type="checkbox"/> WITNESS AND ENTER NAME			
4. OFFENSE OR CHARGE (REVIEW OFF. CLASSIFICATION FROM ORIGINAL REPORT) <input type="checkbox"/> UNFOUNDED			
5. CLASSIFICATION OF OFFENSE (AFTER INVESTIGATION)			
6. STATUS <input type="checkbox"/> CLEARED <input type="checkbox"/> UNFOUNDED FOR BOX 5 <input type="checkbox"/> NOT CLEARED <input type="checkbox"/> ADM. CLOSING		7. ARE ALL PERSONS INVOLVED UNDER 18 YRS. OLD <input type="checkbox"/> YES <input type="checkbox"/> NO	
8. MULTIPLE CLEAR-UP <input type="checkbox"/> YES <input type="checkbox"/> NO LIST OTHER C.R. NO'S IN NARRATIVE, MAKE OUT A NEW SUPPLEMENT FORM FOR EACH CLEAR-UP.		9. PROP. RECOVERED <input type="checkbox"/> YES <input type="checkbox"/> NO	
10. PROP. INVENTORY <input type="checkbox"/> YES <input type="checkbox"/> NO		11. EVIDENCE TECHNICIAN REPORT <input type="checkbox"/> YES <input type="checkbox"/> NO	
#		12. PHOTO <input type="checkbox"/> F. PRINT <input type="checkbox"/> I.D. KIT <input type="checkbox"/> OTHER	

IV. Investigative Decision and Command Review

Block 45 The reporting officer at this time in the report has identified and/or determined the availability/possibility of any solvability factors. If any such factors exist and will assist with any follow-up investigative effort, the "yes" block is to be checked. With no such factors present, opposite "no" (office) block is to be so checked.

Block 46 The reporting officer(s) name is to be entered and the particular patrol beat to which he is assigned at time of report.

45. IS ONE OR MORE OF THE SOLVABILITY FACTORS PRESENT IN THIS REPORT? <input type="checkbox"/> YES (FIELD FOLLOWUP) <input type="checkbox"/> NO (OFFICE REVIEW)	46. REPORTING OFFICERS	ASSIGNED BEAT #
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Blocks 47 thru 50 Subject blocks for field supervisory only. Supervisor reviews report for completeness and status.

FIELD SUPERVISORS REVIEW 47 <input type="checkbox"/> COMPLETE <input type="checkbox"/> CONCUR <input type="checkbox"/> RECOMMEND C.I.D. / SECTION COMMAND REVIEW 48 <input type="checkbox"/> CONCUR / RECOMMEND <input type="checkbox"/> REVIEWER	49. <input type="checkbox"/> OPEN <input type="checkbox"/> ARREST <input type="checkbox"/> NO ARREST	50. STATUS FOR REVIEW CENTER <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> NO PROSECUTION <input type="checkbox"/> WARRANT ADVISED
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Block 51 Indicates the report copy number for distribution purposes and can be used by field supervisors to direct routing of report copies by the Distribution Center.

51.

CHAPTER 2.

CASE SCREENING

One of the latest tools to be introduced into the management of criminal investigations is case screening. Based upon experience and research efforts, an increasing number of police executives are looking at case screening as a means by which they can maximize the effectiveness of their investigative and uniformed personnel, a critical need in the light of the fiscal constraints most municipalities face.

What is case screening? Simply stated, it is a mechanism that will facilitate making a decision concerning the continuation of an investigation based upon the existence of sufficient solvability factors obtained at the initial investigation.

Solvability factors are those elements of information regarding a crime which have in the past proven to be important in determining the likelihood of solving a crime. Case screening is designed to provide sufficient information about a case at the earliest possible time in the investigative process to permit a decision with respect to the desirability of continuing to invest investigative resources in the case. The outcome will be either early closure of unpromising cases or a follow-up investigation of the reported crime. The proper use of the screening procedure enables the police executive to exercise control over the expenditure and kind of investigative effort to be made.

In short, the police executive will be able to determine whether the facts available warrant investing investigative resources to the particular case.

Is case screening a new concept? The answer is an absolute NO! Police agencies have always screened cases in one manner or another. However, the screening process in the past has usually occurred as a result of individual detective's action on an informal basis. Each detective has traditionally taken the cases assigned to him or her and sorted them into two categories: (1) those which are worth pursuing because information and leads are alive and likely to lead to solution and (2) those which will never be solved on the basis of information available (and on the basis of experience gained in attempting to track down similar cases in the past).

The establishment of a formal case screening system can bring about a major and critical improvement over an informal system. It takes the decision-making authority for investigation of reported crimes out of the hands of individual detectives and places it in the hands of management--where it properly belongs. The police executive cannot manage and control the investigative process workload unless he monitors the commitment of investigative resources and then makes critical determinations concerning allocation of resources.

Some Benefits of Case Screening

Several recent studies illustrate the potential that a case screening system holds for the most efficient utilization of police patrol and investigative resources.

In 1971, a report of a study was made available which compared two departments in California on burglary investigations.¹ The average time spent in investigating this crime varied greatly, according to the study.

¹Graves, C. A., (1971), A Summary of the Police Investigative Process, p. 58, California State College, Long Beach, California, unpublished master's thesis (mimeo).

Figure 1. Average Time Per Case in Minutes
Residential Burglary²

Activity	Orange County	Pasadena
	Time	Time
Process Call	2.0	2.7
Patrol Division	51.5	32.8
Investigative Division	47.5	14.3
Compilation of Report	66.0	23.2
Total	167.0	73.0

The primary reason, according to Graves, why Pasadena spent less than half the time spent in Orange County on the average burglary case was that the police agency had adopted a case screening system, while Orange County had not. This screening procedure facilitated the early ejection or closure of unpromising cases. These time differences demonstrate that early closure can reduce the amount of time invested in cases.

With respect to the volume of cases flowing through the investigative process, the same study further illustrated the disposition of cases at various levels (Figure 2):³

Figure 2. Percent of Cases Ejected (Early Closure),
Residential Burglary³

	Patrol Level			Detective Level		
	Cleared	Closed	Inactivated	Cleared	Closed	Inactivated
Pasadena	-	-	58%	11%	21%	10%
Orange County	2%	-	-	9%	-	89%

²Ibid., p. 50.

³Ibid., p. 41.

The facts derived from the study by Graves suggest that a management decision to establish case screening and implement early case-closure will result in a reduced number of cases referred to detectives. In the absence of such a system of screening and early closure, a considerable amount of investigative time and energy is wasted by detectives in unproductive follow-up activities. An inherent danger is that by allowing individual detectives to control their own workloads, there is a natural tendency to exaggerate the volume of effort required. When more manageable detective caseloads are achieved, investigators will be able to concentrate their efforts on solvable cases, which should lead to more prosecutions through more thorough case preparation.

Another obvious advantage of case screening to the police administrator is the opportunity to review investigative performance on the basis of realistic (and actual) investigative workloads.

There are a number of other benefits to be realized by introducing a formal case-screening system. For example, according to a report published by the Police Foundation on the experience in Rochester, New York, prior to the introduction of a case-screening system, patrol officers had little motivation to conduct a "good preliminary investigation."

This was attributed to a number of factors. Primarily, it was due to the officers realization that their work would be passed on to detectives, who would probably criticize and unquestionably duplicate the work. With the constant repetition of this process the patrol officers tended to produce preliminary investigative report in a perfunctory manner, since the entire matter was perceived as a nuisance and a burden. At the same time, the patrol officers had never been given clear or definitive guidance on conducting a preliminary investigation.

As a result of working more closely with investigative personnel, and the development of new procedures, officers became more inclined to conduct thorough preliminary investigations. In essence, the purpose of the preliminary investigation became the hunt for solvability factors. At the conclusion of the initial investigation, each case was screened on the basis of the existence of solvability factors and certain other exceptional criteria, and a decision was made on whether the crime would be investigated further.

The experience in the Rochester Police Department suggests that case screening can result in improved morale as well as in a better quality. By concentrating follow-up investigations on the more promising cases, the police will have a greater capability to uncover new information which will lead to greater success in making arrests.

Development of a Case Screening Model

There are two major approaches to case screening criteria.

The first approach involves the development of a listing of unweighted criteria for the screening of cases, and the second establishes a listing of weighted criteria. Both of these methods work best when a task force, representative of personnel who will eventually utilize the case screening criteria and who have a real input into the design of the program, is created to establish the criteria. The task force should include managers as well as investigative line personnel. The acceptance of another agency's system without internal review by the staff who will be expected to carry it out is likely to lead to strong resistance within the organization and may lead to the development of a system which is not responsive to the needs of the particular agency.

Unweighted Case Screening Approach

Inherent in the "unweighted screening" approach are two basic methods for establishing the criteria. They can be established by a unilateral determination by a police executive or by the task force of experienced investigative personnel without the benefit of an in-depth statistical analysis of how cases have been solved in the past.

The Rochester Unweighted Case Screening Approach--In Rochester, a departmental task force designed and field-tested a case screening system using experimental solvability factors. After considerable testing, the department became convinced that the most productive initial investigation by the uniformed officer involved a search for solvability factors which could lead to an early decision to close a case. A new form was developed which permitted the patrol officers to search for solvability factors and decide whether early closure was appropriate.

Consequently, patrol officers were reoriented from viewing the initial investigation as an exercise in miscellaneous data collection to viewing it as an integral part of the investigative process. A review of the patrol officer's decision is conducted by a supervisor before the decision on closure is finalized.

In order to respond to special and community demands for a follow-through investigation, the supervisor who reviews the early closure recommendation is accorded some flexibility to continue an investigation, even if the solvability factors suggest a close, it should be closed.

The new form developed by Rochester asked the field officer to answer the following solvability questions:

1. Was there a witness to the crime?
2. Can a suspect be named?
3. Can a suspect be located?
4. Can a suspect be described?
5. Can a suspect be identified?
6. Can the suspect vehicle be identified?
7. Is the stolen property traceable?
8. Is there a significant M. O. present?
9. Is there significant physical evidence present?
10. Has an evidence technician been called? Is the evidence technician's report positive?
11. Is there a significant reason to believe that the crime may be solved with a reasonable amount of investigative effort?
12. Was there a definite limited opportunity for anyone except the suspect to commit the crime?

The Case Analysis Approach--Other departments throughout the country have developed similar programs to use solvability factors in determining the outcome of initial investigations. They have derived case screening rules, in part, from an analysis of cases which have been successfully solved. In effect, the agencies have learned from their successes and failures.

These agencies have also established representative task forces consisting of patrol and detective personnel to evaluate the results of successful case investigations to design a case screening plan which incorporates those informative items which have led to successful case outcomes.

To select cases with the highest probability of solution, the factors which most often lead to a successful investigation are isolated so that they may be incorporated into the screening procedure. A named suspect has proven to be the strongest solvability factor.

To determine whether a case should be continued as an active investigation, the answers to the following questions are often critical:

1. Can complainant or witness identify the offender?
2. Is the offender known to the complainant or witness?
3. Does the complainant or witness know where the offender is located?
4. Is there physical evidence at the scene which would aid in the solution of the case (fingerprints, other physical evidence)?

5. Is the complainant or witness willing to view photographs to aid in identifying the offender?
6. Can the complainant or witness provide a meaningful description of the offender (home address, auto driven, scars or other distinctive features)?
7. If the offender is apprehended, is the complainant willing to press the complaint in court?

In order to evaluate whether the case should be further investigated, the initial investigation should provide information concerning the following so that supervisory review is more meaningful and on target.

1. Estimate of the reaction of the community to the crime, based on the opinion of the reporting officer.
2. Does the crime involve a sensitive or unusual place or person (church, temple, school; child, cripple or mental defective, etc.)?
3. Is there a pattern of such crimes in the area which point to a single individual or gang operating in the area?
4. Does the number of similar type crimes in area raise questions concerning the department's image concerning performance and efficiency?

The process should require that cases identified as not solvable because insufficient success criteria exist, be closed as soon as possible.

Weighted Case-Screening Approach--The weighted case-screening methodologies vary from the nonstatistically derived system of Multnomah County, Oregon, to the statistically derived system of Oakland, California.

Multnomah County, Oregon

The department's team-policing task force attempted to list types of cases in their order of priority. This step was believed to be a critical part of the department's "despecialization program." The system that resulted is viewed as flexible enough for field officers to be able to establish case priorities after conducting preliminary investigations. In this approach to establishing investigative priorities, officers consider the seriousness of the crime, the amount of readily available information about suspects, the

availability of agency resources, and community attitudes. The officers consider four major aspects of the crime and rate its priority numerically, as follows:

Figure 3. Priority Rating Factors in Multnomah County.⁴

A. Gravity of Offense

- a. Felony = 4 points
- b. Misdemeanor = 3 points
- c. Victimless crime = 2 points
- d. Violations/status offense = 1 point

B. Probability of Solution

Whether there are:

- a. Suspects
- b. Witnesses
- c. Physical evidence
- d. Undeveloped leads

(Score one point for each factor present.)

C. Urgency for Action

- a. Danger to others = 4 points
- b. Immediate action required = 3 points
- c. Impact on victim = 2 points
- d. Pattern/frequency of crime = 1 point

D. Supervisory Judgment

- a. Department policy
- b. Totality of circumstances
- c. Investigator's caseload

(Total possible: 4 points.)

Scoring and Application of Priority System:

Priority	Points	Report Investigative Process Within:
A	16-22	1-5 days
B	10-16	15 days
C	4-10	30 days
D	Less than 4	Suspended (form letter to victim)

⁴Police Chief, September, 1976, pp. 65-67, "Team Policing: Management of Criminal Investigation."

Oakland, California

In 1975, the Stanford Research Institute (SRI) developed a case follow-up decision model for the Oakland Police Department (OPD). This "Felony Investigation Decision Model" study by B. Greenberg, et al., grew out of a 1973 SRI study in Alameda County, California, "Enhancement of the Investigative Function." In the first study, the authors developed a checklist of activities to guide patrol officers and detectives in the investigation of burglary cases. A case follow-up decision model was statistically derived through an examination of past cases. A set of weighted variables emerged that predicted case outcome with a high degree of certainty. Figure 4 shows the burglary case disposition decision rule which was developed.

The 1975 study, also conducted in Oakland, California, resulted in the development of a robbery decision model that could be used to identify cases that had sufficient probability of clearance to warrant follow-up investigation. The SRI research team sought to minimize the police investigator's intuitive judgment on case handling by statistically analyzing factors that have significantly contributed in the past to case clearance. The study results suggested that "unless offender identification was made by the responding officer, case solution at the detective level was minimal." Figure 5 shows the dominant case-solution factors related to the victim's knowledge of the offender.

Figure 4. Burglary Case Disposition Decision Rule.⁵

<u>Information Element</u>	<u>Weighting Factor</u>
Estimated time lapse between crime and the initial investigation:	
Less than 1 hour	5
1 to 12 hours	1
12 to 24 hours	0.3
More than 24 hours	0
Witness's report of offense	7
On-view report of offense	1
Usable fingerprints	7
Suspect information developed-- description or name	9
Vehicle description	0.1
Other	0

TOTAL SCORE:

INSTRUCTIONS

- (1) Circle the weighting factor for each information element that is present in the incident report.
- (2) Add the circled factors.
- (3) If the sum is less than or equal to 10, suspend the case; otherwise, follow up the case.

⁵B. Greenberg et al. (1972-3), Enhancement of the Investigative Function, Vol. IV, Stanford Research Institute, Menlo Park, California, Pg. 11.

Figure 5. Robbery Investigation Decision Model ⁶

Information Element	Weighting Factor
Suspect named	10*
Suspect known	10*
Suspect previously seen	10*
Evidence technician used	10
Places suspect frequented named	10*
Physical evidence	
Each item matched	6.1
Vehicle registration	
Query information available	1.5
Vehicle stolen	3.0
Useful information returned	4.5
Vehicle registered to suspect	6.0
Offender movement description	
On foot	0
Vehicle (not car)	0.6
Car	1.2
Car color given	1.8
Car description given	2.4
Car license given	3.0
Weapon used	1.6

INSTRUCTIONS

- (1) Circle the weighting factor for each information element that is present in the incident report.
- (2) Add the circled factors.
- (3) If the sum is less than 10, suspend the case; otherwise, follow up the case.
- (4) Weighting factors do not accumulate; i.e., if both the auto license and color are given, the total is 3.0, not 4.8.

*These values as calculated actually exceed the threshold of 10. The values provided here are conceptually simpler and make no difference in the classification of groups.

⁶B. Greenberg et al. (1975), "Felony Investigation Decision Model-- An Analysis of Investigative Elements of Information," Final Report, Stanford Research Institute, Menlo Park, California, Pg. XXV.

An analysis of the two decision models shows that there is a similarity between variables and their relative weights in contributing to case clearance. In both models, a witness or victim provides the most useful information leading to case clearance. One difference which should be noted between the two models is the dominance of vehicle information in the robbery decision model as the next-most-important information element.

It appears clear, regardless of the method used, that there are certain critical pieces of information needed if a case is to be solved through investigative activities. The practical experience of police agencies and efforts by researchers suggest that the following items of information appear to be vital to successful conclusion of an investigation:

- 1. Witness to the crime
- 2. Suspect named
- 3. Suspect known
- 4. Suspect described
- 5. Suspect identified
- 6. Suspect previously seen
- 7. Vehicle identified
- 8. Traceable property
- 9. Significant M O
- 10. Limited opportunity for anyone other than the suspect to have committed the crime
- 11. Significant evidence
- 12. Lapse of time between crime and initial investigation less than one hour

The Application of a Case-Screening System

In summary, the components of a case-screening system are:

- a. Accurate and complete collection of crime information by the patrol officer.
- b. An on-scene determination of the sufficiency of crime information collected.
- c. Permitting the patrol officer to make decisions concerning follow-up investigation.
- d. Review of that decision by a supervisor.

Putting these components into effect will require an agency to:

- a. Redefine the mission of the major divisions.
- b. Redefine roles for patrol officers, supervisors, investigators, and managers in the case screening process.
- c. Develop and use crime collection forms that incorporate early closure information; and
- e. Provide training in the use of the new system to all affected personnel.

The incorporation of case-screening creates the need to develop a monitoring or management information system which will provide to police administrators sufficient feedback on the system's effectiveness. This need will be discussed in a subsequent chapter.

Problems/Solutions

Many problems may be associated with the adoption of case-screening, but the following are among the more important.

Problem: The most difficult obstacle to adopting a case-screening system will be the community and political reaction to the police taking the position that they will not investigate all crimes. In most cases, the police agency has traditionally announced its ability and commitment to investigate all crimes received from the public.

The reality, of course, is that no police agency can afford the luxury of investigating all reported crimes. No department has ever been able to live up to that expectation.

Basically, the question is whether the department's image actually suffers more from that false representation than it would from an honest declaration that there are cases which can never be solved, and, therefore, should not be investigated beyond the initial investigation. In an increasing number of jurisdictions, the public is being advised of the reality of the situation rather than the traditional myth. Research and experience point toward the value of being honest about the situation.

Solution: If the decision is to acknowledge the reality, there is a need to develop a procedure which will instruct the patrol officer so that he can inform the victim in an intelligent and compassionate manner that the case will be closed. The patrol officer, as the initial and possibly the only respondent at the scene of a crime, should be properly trained to carry out his new role in criminal investigation and to explain it to the public.

Problem: The police manager, always alert to the problems created by overburdening the organization with unnecessary paperwork, may fear that case screening involves too much paperwork.

Solution: Therefore, the new system should minimize paperwork that may overlap present reporting systems. Information gathered should be responsive to the manager's needs concerning decisions on early closure.

Problem: Any system of early case closure should also facilitate the ready access to cases which have been inactivated or closed. This is essential so that a case can easily be reopened if new leads are developed.

Solution: A simple mechanical process, which features accurate case collection and retrieval capability, should minimize this concern.

Problem: The perceived threat by detectives to their traditional roles and methods of operation is another major concern. The reduction of the overall caseload may be seen as a justification for reducing the number of detectives on the force.

Solution: If the detectives are helped to see the reduction of workload as a means by which they can devote additional time to work on the solvable crimes, they will be more inclined to participate in a positive way.

CONCLUSION

Substantial benefits can be gained from instituting a system which will eliminate a considerable amount of wasted effort and energy. While these gains are readily apparent, there are also real internal and external problems associated with the implementation of such a change, many of which are difficult to deal with.

The materials included in the Appendix to this chapter have been extracted from the studies conducted by the Stanford Research Institute and by the Rand Corporation and are intended to provide a better understanding of the base upon which case-screening processes can be developed as well as the methodology used in establishing a sophisticated case-screening system. These readings will provide a better opportunity to evaluate the findings as they relate to agency operations.

APPENDIX A

(to Chapter 2)

EXCERPTS FROM THE FINAL REPORT

"Felony Investigation Decision Model--An Analysis
of
Investigative Elements of Information"

by
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October, 1975

"FELONY INVESTIGATION DECISION MODEL--
AN ANALYSIS OF INVESTIGATIVE ELEMENTS OF INFORMATION"

Chapter I--INTRODUCTION

It is recommended that this summary document be reviewed in conjunction with the four Quarterly Progress Reports issued. This NILECJ research project finds its origins in a landmark study undertaken by SRI entitled "Enhancement of the Investigative Function." This study developed an insight into the role of detectives and patrol in conducting burglary investigations. One aspect which appeared to capture the attention of police management nationally was the development of a case followup decision model for burglary. Because there remained the question whether the burglary decision model could be useful for application to car theft and in particular to crimes against persons, where a direct confrontation occurs between victim and offender, the current project was undertaken to determine the feasibility of structuring case follow-up decision models for these types of crimes. The Oakland Police Department consented to be the host agency for the research effort.

We are not unaware that in recent years the role of the detective has come under increasing scrutiny. Consequently, we have recognized the need to maximize the efficiency of investigative resources by alternative means. One such technique, which is the primary objective of this research project, is to ease the burden of investigators reviewing a high volume of felony crime reports having a low probability of successful clearance.

It is evident that unless sufficient information for certain categories of felonies is obtained at the crime scene by the responding officers, who do not immediately apprehend the offender, the chances of the case being solved at the detective level are minimal. This observation led to the second objective of the research--the determination of the elements of information, and the evaluation of computer-assisted investigation systems that lead to offender identification and case solution by investigative personnel.

Chapter II--SURVEY OF O.P.D. AND DATA COLLECTION METHODOLOGY

An initial tour was undertaken of the Oakland Police Department with particular emphasis on those operations impinging on investigations. The Departmental organizational structure is described and several unique features highlighted. Observations of operational procedures were made in the communications and dispatch center and selective riding with patrol was undertaken. Of singular value is the use of the DIGICOM unit by patrol whereby direct inquiry can be made on vehicle registrations. A complete inventory of documentation pertaining to felony case handling was assembled preparatory to developing an extensive data collection and coding instrument.

The Criminal Investigation Division (CID) to which we addressed most of our attention has been most aggressive in its utilization of computer-based information systems linked by a central terminal to various Alameda County, California Department of Justice, and FBI data banks. A unique function performed in CID is the "case enrichment" service performed by the Crime Analysis Section. As reports are filed from patrol, the CAS staff reviews them and indicates the priority of handling and the type of information data bank to be queried to provide easily obtained background information on drivers licenses, vehicle registration numbers, firearms serial number, stolen property and vehicles, felon I.D. numbers, and criminal histories of named suspects. The CAS staff also operates the Crime File System, a computer-based known offender system providing four main categories of information:

- Physical characteristics of subjects (derived from selected categories of arrest records).
- Types of crimes the known offender has committed.
- Mugshots and fingerprint display of the known offenders.
- Listing and descriptions of vehicles obtained from citations and selected Field Contact reports.

The O.P.D. has a sequentially numbered listing of reports which are identified by penal code, but we found scanning the voluminous listings was too cumbersome to enable the collecting of a stratified sample of reports. As an accommodation, the Department furnished us with copies of the computer tapes of reports prepared in 1974. We transcribed and reprogrammed the tapes to print out felony report numbers of interest by blocks of applicable codes. The reprogramming process permits the analysis of specific crimes by location, times of occurrence, offender characteristics, vehicles and weapons involved, loss value, status of clearance, and reporting officers' serial numbers. It is our understanding that the computer available to O.P.D. at the Oakland Data Processing Center is not sufficiently powerful to duplicate the SRI-generated program for such analyses as we are able to undertake,

Using the SRI-generated index of felony reports, we proceeded to draw a three-month sample of all cleared cases in the following categories:

- Robbery--Strongarm, armed, theft from person, and purse snatch.
- Rape--attempted and forcible.
- Assault with deadly weapon.
- Car theft.

We also drew a proportionate sample of uncleared cases in accordance with the clearance rate. To adjust for the large volume of uncleared cases, such as car theft, we applied weighting factors to the sample drawn so as to reflect the population of cases actually processed by the Department. In this manner we would assure that our sample was randomly drawn and statistically representative.

Chapter III--DATA PROCESSING AND ANALYSIS

A. Data Processing

The data processing and analysis methodology was designed to successfully process and reduce the large volume of information to enable the gaining of insight into the factors leading to case solution. We processed a possible maximum of nearly 1,000 variables for each case coded. During the three-month period considered, there were 818 robberies, 65 rapes, 413 ADWs and 1187 car thefts in Oakland that formed the basis for our analysis.

By utilizing the SPSS (Statistical Package for the Social Sciences) we were able to conduct complex cross-tabulation analyses of data elements affecting case clearance. Also the computer program prints out in readily usable, report-quality matrix tables showing the results of the bivariate correlation analyses and statistical significance calculations. We also created a special computer program called PROFYL which was used to analyze the criminal histories of offenders associated with cases processed. Extensive statistical analyses were performed on these offenders to develop insight into their "careers in crime." By means of the staged data reduction techniques pursued we narrowed the variable set affecting case clearances for each felony category described in summary below.

B. Data Analysis

1. Robbery--The analytic methodology undertaken for robbery leading to the construction of a follow-up decision model was similarly followed for each of the other felony categories. Consequently, we will only describe in abbreviated detail the analytic process for robbery. Conclusions for all categories will be summarized, however.

We noted previously that we employed routines which effectively narrowed the vast number of variables to a significant level of occurrence in reported cases. To the professional detective this narrowing process may be construed as eliminating from consideration pieces of information that might be valuable in leading to a case solution. While we concede that this is a distinct possibility for random cases, we seriously raise the question as to how much information is really necessary to identify a suspect, or to determine whether a suspect can be identified from the type of information contained in a preliminary report of investigation.

Since we recognized that the same types of information would appear in both cleared and uncleared cases, the statistical technique employed was to cluster the various data elements contained in cleared and uncleared cases and weight them in accordance with their degree of association with the cleared cases. The first step required to group these variables was to develop a mathematical representation of the relative positive importance (correlation coefficient) of the data variables. From the nearly 1,000 variables processed, we thus narrowed the range to 12 variables clearly associated with cases cleared.

We had elected to combine all categories of robbery to construct the robbery investigation decision model using linear discriminant analysis. This procedure enabled the strengthening of the discrimination power of the data category elements to permit the construction of the model with a high predictive probability that a case taken at random can be classified correctly (i.e., cleared or uncleared). In other words, the presence of certain information in a report has a calculated numerical value that shows its relative contribution to a case clearance in accordance with how important each piece is relative to all other pieces of information. The reader must always keep in mind that the decision rule shown in Table 1 is based upon the Oakland Police Department's operational practices that affect case handling and consequently the manner by which cases are cleared. Other departments may not have similar policies, procedures, and capabilities. Consequently, the decision model usage must be carefully considered in light of each agency's operational procedures. It can be seen that our decision model contains a number of items of information that result from preliminary enrichment procedures routinely performed by O.P.D. personnel. This implies that the screening process should take place at some time after certain basic investigative tools, i.e., license number checks have been used.

It is readily seen in Table 1 that if a suspect is named or known by the victim or witness, the case is readily solvable. The statistical analyses reveal that these variables are dominant in case clearance. We, therefore, have set these two variables apart from the others.

The most important items in the decision model are the victim-or witness-supplied information elements. The fact that something is reported about places frequented by the suspect, or the fact that he has been previously seen indicates on the threshold scale of 10 that this lead should be pursued.

The other variables listed in the model are of lesser importance. But, it is apparent that the calling of an evidence technician to the scene is indicative of the presence of physical evidence linking a possible suspect. Our data were inconclusive with regard to which category of physical evidence was dominant in clearing robbery cases. But, in the aggregate, a wide variety of physical evidence can be useful in linking a suspect to the crime. The decision model indicates that the greater the quantity of physical evidence, the higher the contribution to case clearance.

Table 1

ROBBERY INVESTIGATION DECISION MODEL*

Information Element	Weighting Factor
Suspect Named	10 [†]
Suspect Known	10 [†]
Suspect Previously Seen	10 [†]
Evidence Technician	10
Places Suspect Frequented Named	10 [†]
Offender Movement Description	
On foot	0
Vehicle (not auto)	0.8
Auto	1.5
Auto color given	1.5
Auto description given	2.3
Auto license given	3.8
Physical Evidence	
Each item	1.3
Weapon Used	1.8
Vehicle Registration	
Query Information Available	1.1
Vehicle Stolen	2.3
Useful Information Returned	3.4
Vehicle Registered to Suspect	4.6

*The decision model is used as follows: Circle the above weighting factors that appear in the incident report. If the sum of the factors is 10 or above, follow up the case; otherwise suspend it.

Another variable of importance is the Offender/Victim Race. If this variable were included, the weights listed below would be assigned. Since this variable is dependent upon the population make up for Oakland, it is included as a footnote primarily for Oakland and for general interest. Its value in increasing the probability of correct classification is nil.

Offender-Victim Race

Black offender white victim	0
White offender black victim	0.3
All other combinations or unknown	0.7
White offender white victim	1.1
Black offender black victim	1.5

[†]These values calculated actually exceed the threshold of 10. The value provided here is conceptually simpler and makes no difference in the classification of groups.

Offender movement (especially involving an auto) and vehicle registration checks are the next most important types of information. The basic information lead is normally supplied by the victim or witness.

One of the investigative aids routinely interrogated during the O.P.D. enrichment process is the Crime File System. Because of its use in so many cases (most of which are uncleared) results in this variable have a rather high negative value in discriminating the two groups (i.e., cleared and uncleared). This fact led to the exclusion of this variable from the decision model on a purely statistical basis. However, in those few cases where the Crime File System did provide a useful investigative lead, it contributed heavily to case clearance. (We have speculated on some possible problem areas for this system in the Chapter V summary.)

Ninety percent of the cases in our sample were correctly classified as cleared or uncleared by the classification function derived from the discriminant analysis and is reflected by the relative scaling in the decision model. The 10 percent error is explained as follows: Eight cases which were eventually cleared were classified as uncleared, and 14 cases which remained uncleared, were placed into the cleared category. The eight cleared cases categorized as uncleared might initially seem to be a cause for concern. However, we pursued a further analysis to determine how these cases were eventually solved and if an initial screening would have resulted in their not being cleared. Six of the eight cases were solved without investigation on the part of Oakland detectives:

- Two were bank robberies investigated by the FBI (all bank robberies are referred to the FBI regardless of information available);
- In three cases the offender was later linked to the robbery case in our sample when he was found in possession of the property reported as stolen;
- In one case, the suspect turned himself in.

In two cases, investigation by Oakland detectives did lead to the eventual identification of a suspect despite the fact that little information was initially available.

In consideration of the time distribution of cases cleared and the type of information useful in case clearance, we found that patrol accounts for 57 percent of all cases of robbery cleared in less than eight hours. The overall robbery clearance was calculated to be slightly over 15 percent. We examined closely the types of information that seemed to be associated with off-scene arrests by patrol. The most dominant elements of information again linking a suspect to the crime was the amount of physical evidence collected and matched with the suspect known previously seen or named. As will be seen in all of the felonies we analyzed, personal appearance and wearing apparel descriptors have, in a statistical context, little and even negative correlation with case clearance. The explanation appears simply to be this: The overall clearance rate is so low (except for ADW), that although these categories of descriptors appear in both cleared and uncleared cases, their overall value is dominated by

the other variables in the cleared cases. In other words, physical descriptors by themselves do not generally have an influence as to whether a suspect can be identified.

2. Assault with Deadly Weapon--ADW cases differ from the other felony categories analyzed in that most of the cases were cleared. The overall clearance rate is at the 85 percent level. The dominant characteristic of ADW cases is that the victims and offenders are generally known to one another (68 percent of the cases). In 85 percent of the cases wherein the victim knew the offender, both were of the same race. Within this group, 79 percent were black. Not only do ADWs tend to be reported promptly to the police, but also whenever an arrest is made, it occurs generally within one hour of the time of the report (82 percent of the cases).

Only two arrests were made after eight hours from the time of the report wherein a suspect was not named. (After eight hours it is reasonable to assume that patrol's input is ended and an investigator has received control of the case.) Consequently, it was determined that a follow-up decision rule could not realistically be constructed for the ADW felony category.

3. Car Theft--Motor vehicle theft is the highest volume crime which was analyzed. The crime, in addition, has the lowest clearance rate--12 percent. However, O.P.D. has a remarkable vehicle recovery rate of approximately 94 percent. The high recovery of vehicles is readily attributable to the computerized stolen vehicle information system operated by the State and accessed directly by digital communication consoles (DIGICOM) in some patrol cars and in the O.P.D. Communications Room. Patrol is furnished "hot sheets" and routinely checks "suspicious" vehicles. Vehicle descriptions and registration numbers are also processed by the CID central computer terminal accessing the Alameda County PIN (Police Information Network) system, the State stolen vehicle system, the FBI/NCIC (National Crime Information Center) and the O.P.D. Crime File Vehicle subsystem.

The reasons for the low clearance rate are clear. In car theft cases the victim generally has no idea who stole the vehicle or in many cases, when it was stolen. This leaves the police investigator with very little information with which to pursue an investigation. As a consequence, O.P.D. handles these cases differently than other felony crimes. The report is taken over the telephone by a police technician rather than by a patrol officer at the scene--unless the crime is in progress. Departmental forces then are concentrated on recovering the vehicle. If a vehicle is recovered with an occupant, he is charged with motor vehicle theft. In view of these general operational findings, the constructing of a case follow-up decision rule for car theft is not considered technically feasible.

For those cases in which suspects were apprehended, we ran a series of bivariate correlation analyses and calculated discriminant function coefficients to ascertain those elements of information most closely

associated with case clearances. The several variables showing the highest values include the following:

- Suspect seen
- Vehicle registration check
- On view report of offense
- Suspect named
- Suspect known
- Other physical evidence present
- Victim invited offender in.

4. Rape--Because of the frequent problems encountered in rape cases by the police investigators and prosecutors in attempting to have the victim file an official complaint, O.P.D. would designate those cases under a classification code, "complainant refuses to prosecute" and "clear" such cases. For the purposes of this study, however, we drew a distinction in such cases when a suspect I.D. had definitely been established. Consequently, we classified as "cleared other" only those cases where there was a named suspect and classified the remaining cases as uncleared. Our rationale for so doing is to determine what elements of information may be contributing to a case solution, irrespective of whether the victim was fully cooperative or not. From a total of 65 reported cases, 16 cases (25 percent) have a specific, unequivocal cleared disposition; whereas 21 cases have been classified by the O.P.D. in a cleared status, but designated as an official "complainant refuses to prosecute" disposition. We also have treated as "cleared other" the O.P.D. cleared disposition, "D.A. Refused" by the same criterion.

In our analysis we have classified 16 cases of rape as cleared (nearly 25 percent of reported cases sampled) and 12 cases as cleared other (nearly 19 percent of reported cases sampled). This totals to about a 43 percent overall clearance level. On the other hand, by using the O.P.D. classification procedure, a 60 percent overall clearance level would be shown (16 cases cleared plus 23 cases where the complainant or D.A. refuses to prosecute).

Although nearly half of the rape cases were reported within one hour of the occurrence, only 28 percent of these were cleared and 6 percent were classified as cleared other. The next highest clearance level occurred when the incident was reported within two hours. Of the 12 cases reported within this elapsed time period, six cases (9 percent) were cleared and cleared other (three cases in each category). Although the vast majority of cases are reported in less than eight hours, clearances by arrest rarely occurred beyond this time.

Of the total of 28 clearances (cleared and cleared other), 50 percent of the suspects were either known to the victim, witness, or citizen informant.

Of the total of 65 offenses sampled, 75 percent were committed by black offenders and 9 percent by white offenders (49 versus six cases, respectively). Black offenders suspected of rape, forcible and attempted, assaulted white victims in 38 percent of the cases sampled (25 out of 65 cases), and 35 percent black offenders assaulted black victims (23 out of 65 cases). Other offender/victim race involvement was statistically minor by comparison.

For those 28 cases analyzed as cleared and cleared other (16 and 12, respectively), the majority of clearances, 57 percent (16 out of 28 cases) that were made, occurred when both the offender and the victim were black. This statistic compares to a 25 percent clearance level of black offender/white victim (seven cases out of 28). When both the offender and victim were black, a higher percentage of cases were cleared compared to black offenders and white victims; 69 percent compared to 28 percent (16 out of 23 cases, and seven out of 25 cases, respectively).

In view of the fact that only two arrests and two cleared other dispositions were made after eight hours, we cannot logically construct a follow-up decision rule. It is evident by the distribution of cases cleared in less than eight hours, that patrol is effecting these clearances.

Despite our decision not to construct a follow-up decision rule, we nevertheless conducted two separate analyses hoping to shed some light on the characteristics of rape cases. We first performed a factor analysis on the data elements to explain the characteristics of the cleared cases. Following the selection of variables exhibiting a certain threshold of significance, we ran a discriminant analysis to determine the relative importance of these variables. The seven variables which exhibited the highest discriminant function coefficients are:

- Crime location, building--cases occurring inside are more likely to be cleared.
- Condition of victim--results indicate that the case is more likely to be cleared if the victim has been injured in the attack.
- Juvenile offender--cases with juvenile offenders are likely to be solved.
- Black victim--cases with a black victim are more likely to be solved.
- Clothing as evidence and clothing match--clothing is an important factor in case solution.

- Offender and victim of same race--these cases are solved at a higher rate.
- Suspect named--obviously an important factor in clearing a case.

APPENDIX B

(to Chapter 2)

DATA COLLECTION AND PROCESSING METHODOLOGY

by

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APPENDIX B. DATA COLLECTION AND PROCESSING METHODOLOGY

1. Data Collection Procedures

a. Felony crimes coded. We have already stated that the felony crimes selected for development of case selection rules were: robbery, rape, ADW, and car theft. The reasons for selecting these crime categories were:

- They are all Part I crimes as classified by the FBI Uniform Crime Reports.
- The only Part I crimes not represented are burglary and homicide. Burglary had been examined in a previous felony investigation research project.* Homicide was not selected because, regardless of the information available, police departments investigate all homicides owing to the seriousness of the offense.
- ADW was selected from the category of felonious assault because it is the highest-volume assault category in Oakland.

We coded data covering a three-month period: July, August, and September 1974. The cases were classified into the following three categories:

- Cleared. These cases were those for which the OPD took one of the following formal clearances (see Appendix B Figure B-9 (a)).
 - Arrest and prosecution (includes cases where warrants had been issued).
 - Prosecuted for another offense.
 - D.A. citation issued.
 - Prosecuted by outside department.
 - Turned over to Juvenile Authority (juvenile disposition).
 - Reprimanded and released (juvenile disposition).
 - Notice to appear (juvenile disposition).
- Cleared-other. These cases included some of those for which the OPD took either a "Complainant Refuses to Prosecute" or "Complaint Refused by District Attorney" clearance. We placed only the cases where a suspect was named into the cleared-other category. The OPD also uses the "Complainant Refuses To Prosecute" clearance in some cases where the complainant does not cooperate--for example, by not returning the investigator's

*B. Greenberg et al., op. cit.

phone calls or refusing to come to the OPD to view mugs of possible suspects. Such cases were placed into the uncleared category.

- Uncleared. Included in the uncleared category were cases fulfilling one of the following criteria:

- Cases classified as "Complainant Refuses To Prosecute," where a suspect was not named.
- Cases where the investigator filed the case without a clearance. Typically, the investigator stated he was "filing the case pending further investigative leads."
- Cases where there was no evidence of investigative attention.

b. Sampling procedure. To identify the report numbers of the cases to be coded, we transcribed the City of Oakland OPD tapes for the time period into a suitable format that grouped report numbers by felony category thus facilitating the drawing of specific reports. Because of the large number of crimes reported during the time period, it was not necessary to code all the ADWs, robberies, and car thefts to achieve an adequate sample size. We disregarded cases classified as "unfounded" by the OPD as not being germane to the project objectives. Our general sampling criteria were to code all cleared cases and a random sample of uncleared cases, as follows:

- Strong-arm and armed robbery. All cleared and cleared-other cases and approximately one-fourth of all uncleared cases were coded.
- Purse snatch and theft from person. All cleared and cleared-other and approximately one-third or all uncleared cases were coded.
- Rape. All rape cases were coded.
- ADW. Of the cases in the cleared category, two-thirds of the "Arrest and Prosecution" and all the other cases were coded. One-third of the cleared-other cases were coded. All the uncleared cases were coded. (This sampling procedure differs from those for the other felony categories because the greater number of cases fall into cleared and cleared-other rather than into uncleared categories, as is the case for the other crimes under consideration.)
- Car theft. All the cleared and cleared-other cases were coded, together with one-sixth of the uncleared cases.

All the tables presented in this report reflect weighting factors that were applied to the sample drawn so that they would reflect the total number of felony cases reported during the three-month period.

c. Data coding form. An 11-page data coding form was developed to record the information from the various OPD reports (See Appendix C for the form used). The data collection form provided for coding of information in the following areas:

- General information. Felony offense, time of occurrence, case disposition, beat, and census.
- Personnel involved. Reporting investigating, and arresting officers, evidence technician, and dates of involvement.
- Crime scene. Location of crime and types of facility involved.
- General incident descriptors. Who reported offense; age, sex and race of principal reporting individuals; condition of victim; and weather conditions.
- Property taken.
- Weapon used.
- Vehicle used. Whether description, color, and/or license number were provided.
- Physical evidence present.
- Investigative resources utilized. Whether various computer or manual information systems were utilized and whether they provided information useful in the investigation.
- Offender descriptors. Information elements on multiple offenders to a maximum of five, such as: age, sex, and race; duration of time offender was in contact with or in view by reporting party; physical description and clothing description provided on offender; information regarding offender's associates and movements (e.g., whether offender was known to victim, offender's name was given, or offender's direction of flight was provided).
- Means by which the offender was identified and how arrest was effected.

CONTINUED

1 OF 4

- Suspect criminal history. Date of birth, date and time of arrest, residence at time of arrest, age at time of first arrest, and so forth.
- Prior offenses. Type, date, location, and disposition of the suspect's prior offenses.

The data collection form was designed, pretested, and modified to reflect the type of information available in the OPD files.

d. Data coding procedures. After the felony case report numbers had been identified, the cases were pulled from OPD files for coding. Whenever possible, we used the CID files because they were generally the most complete. When the case files could not be located in the CID, we consulted the Records Division files. In all cases, the entire file was read: the initial offense report, the arrest report, the follow-up investigation report, supplemental statements, evidence technician reports, the crime analysis, EDP printouts, and the like.

Frequently, information on prior criminal involvement of identified suspects was not contained in the case files. In these instances, we used several other OPD resources to obtain the information: criminal history diazo microfiche files located in the CAS, juvenile records located in the Youth Services Division, and the Alameda County CORPUS information. All subject identities were suppressed in the data processing procedures.

2. Data Processing Procedures

Essentially the same data processing procedures were followed for each of the four felony categories. These procedures were designed with several goals in mind:

- Successive reduction in the number of variables under consideration. As discussed in the preceding section, the data coding form provided for close to 1000 variables. A primary goal of the data processing was to provide a means for reducing the number of variables considered for input to a decision model construct.
- Understanding the differences between cases that were cleared and those that remained uncleared. All our variables were considered in light of their association with clearance. Our goal, therefore, was not merely to be able to describe the general characteristics of the four felony types but rather to be able to state what distinguished the cleared from the uncleared cases.
- Forming ways of predicting whether a case will be cleared or remain uncleared. We were interested in developing models which when applied to cases of different felony types would be able to predict with a high degree of accuracy whether a case would be cleared.

Our data processing procedures were statistically based, rather than anecdotal in nature. In other words, we were looking at generalized investigations according to felony types rather than at individual cases. Our objective was to develop generalized models that would predict whether a case taken at random would be cleared rather than in investigating in depth the factors that led to the solution of a particular case. Clearly, at times, certain factors that are not significant in a statistical sense lead to case closure. We, however, are more concerned with factors that can predict case clearance with a high degree of accuracy in a large sample of cases. This view is consistent with police management practices which must be applied to the high volume of reported crimes.

The following tasks were undertaken in the data processing procedures for each of the four felony types:

- Key punching and cleaning up data. The obvious first step in the data processing was to key punch the data and eliminate coding and key punch errors. Also, at this stage we were able to make the first reduction in the size of the data base by determining which variables never or rarely appeared.
- Setting up SPSS files. The Statistical Package for the Social Sciences (SPSS) was chosen as the primary medium for the analysis of the felony data. A major reason for this choice is the flexibility of the data management facilities available in this package. The data in an SPSS file can easily be recoded and combined, as well as written out in a variety of forms for use in other analyses.
- Running cross tabulations. Extensive cross tabulations were run using an SPSS subprogram and an SRI-developed program. These cross tabulations were carefully analyzed to determine the variables that appeared to be associated with the cleared or uncleared cases. For example, the variables suspect named and suspect known were obviously associated with clearance. In other cases, a more subtle association appeared.
- Deriving Pearson correlation coefficients. Another measure of the relation between two variables is the correlation coefficient. Correlation coefficients were calculated for over 100 variables for each of the felony types in order to determine the statistical importance of the relationships observed in the cross tabulations. The SPSS subprogram used gives the following data for each correlation coefficient calculated:
 - The actual correlation coefficient. This is a number that varies between -1 and 1. We set up the data so that a number close to 1 would indicate a high positive correlation with clearance. A number close to -1 indicates a high negative

correlation with clearance. A number close to 0 indicates that the variable had little correlation with clearance.

- The number of cases used in the calculation, depending on the number of missing values for the variable pair.
- The level of statistical significance of the coefficient. The closer this number is to 0, the higher the degree of statistical significance.

Table D-1 illustrates the variables chosen initially for robbery analysis and the correlation these variables show with arrest for armed and strong-arm robbery (Table D-2).

Table D-1

INITIAL LISTING OF ROBBERY VARIABLES

VAR004 - Evidence technician at crime scene
 VAR005 - Crime location-street
 VAR006 - Crime location-building
 VAR007 - Crime reported by witness
 VAR008 - One reporting individual
 VAR009 - Two reporting individuals
 VAR010 - Three or more reporting individuals
 VAR011 - Adult victim
 VAR012 - Juvenile victim
 VAR013 - Female victim
 VAR014 - Male victim
 VAR015 - White victim
 VAR016 - Black victim
 VAR017 - Victim of other race
 VAR018 - Victim lucid
 VAR019 - Victim cooperative
 VAR020 - Handgun used
 VAR021 - Knife used
 VAR022 - Other weapon used
 VAR023 - Sexual aberrations indicated
 VAR024 - Vehicle used
 VAR025 - Description of vehicle given
 VAR026 - Color of vehicle given
 VAR027 - License number of vehicle given
 VAR028 - Cash, negotiables, taken
 VAR029 - Credit cards taken
 VAR030 - Less than \$100 taken
 VAR031 - \$100-200 taken
 VAR032 - \$200-500 taken
 VAR033 - \$500-1000 taken
 VAR034 - \$1000-2000 taken
 VAR035 - More than \$2000 taken
 VAR036 - Victim invited offender in
 VAR037 - Attack against property
 VAR038 - Attack against person
 VAR039 - Fingerprints taken
 VAR040 - Fingerprints match
 VAR041 - Weapons as evidence
 VAR042 - Weapons match
 VAR043 - Clothing as evidence
 VAR044 - Clothing match
 VAR045 - Other physical evidence
 VAR046 - Other physical evidence match
 VAR047 - Vehicle registration check made
 VAR048 - Vehicle registration check--useful lead
 VAR049 - Vehicle registered to suspect
 VAR050 - Vehicle stolen

Table D-1 (Continued)

VAR051 - Crime file run-person
 VAR052 - Crime file run-person--useful lead
 VAR053 - Crime file run-vehicle
 VAR054 - Field contact report
 VAR055 - Adult offender
 VAR056 - Juvenile offender
 VAR057 - Female offender
 VAR058 - Male offender
 VAR059 - White offender
 VAR060 - Black offender
 VAR061 - Mexican-American offender
 VAR062 - One offender
 VAR063 - Two offenders
 VAR064 - Three or more offenders
 VAR065 - Less than 1 minute contact between victim and offender
 VAR066 - 1-10 minutes contact between victim and offender
 VAR067 - 11-30 minutes contact between victim and offender
 VAR068 - Greater than 30 minutes contact between victim and offender
 VAR069 - Height of offender given
 VAR070 - Weight of offender given
 VAR071 - Eyes of offender described
 VAR072 - Hair of offender described
 VAR073 - Offender described as wearing glasses
 VAR074 - Teeth of offender described
 VAR075 - Sum of physical descriptors given (not a binary variable)
 VAR076 - One or two physical descriptors given
 VAR077 - Three physical descriptors given
 VAR078 - Four or more physical descriptors given
 VAR079 - Offender described as wearing jacket
 VAR080 - Offender described as wearing shirt/blouse
 VAR081 - Offender described as wearing pants
 VAR082 - Sum of clothing descriptors given (not a binary variable)
 VAR083 - One or two clothing descriptors given
 VAR084 - Three clothing descriptors given
 VAR085 - Four or more clothing descriptors given
 VAR086 - Words spoken by offender
 VAR087 - Offender silent/note passed
 VAR088 - Offender described as violent
 VAR089 - Offender pretended to be: asking directions, ailing,
 customer, repair/delivery, seeking someone, panhandling,
 salesman, asked for something, other
 VAR090 - Suspect's associates named/indicated
 VAR091 - Places suspect frequented named
 VAR092 - Direction of flight provided
 VAR093 - Offender movement by automobile
 VAR094 - Offender movement by foot
 VAR095 - Suspect known to: victim(s), witnesses, citizen informant,
 police informant, police surmise, other

Table D-1 (Concluded)

VAR096 - Suspect previously seen by: victim(s), witnesses,
 citizen informant, police informant, police surmise,
 other
 VAR097 - Suspect named: real name, also known as, partial, nickname
 VAR098 - Less than 1 hour between occurrence and report of crime
 VAR099 - One to 2 hours between occurrence and report of crime
 VAR100 - More than 2 hours between occurrence and report of crime
 VAR101 - Crime occurred between 0001 and 0400 hours
 VAR102 - Crime occurred between 0401 and 0800 hours
 VAR103 - Crime occurred between 0801 and 1200 hours
 VAR104 - Crime occurred between 1201 and 1600 hours
 VAR105 - Crime occurred between 1601 and 2000 hours
 VAR106 - Crime occurred between 2001 and 2400 hours
 VAR107 - White offender and white victim
 VAR108 - White offender and black victim
 VAR109 - Black offender and black victim
 VAR110 - Black offender and white victim
 VAR111 - Offender and victim same race

Table D-2

PEARSON CORRELATION COEFFICIENTS: STRONG-ARM/ARMED ROBBERY VERSUS ARREST

Variable Pair		Variable Pair		Variable Pair		Variable Pair		Variable Pair		Variable Pair	
Arrest with VAR004	0.1749 N(605) Sig 0.000	Arrest with VAR005	0.0070 N(588) Sig 0.865	Arrest with VAR006	-0.0149 N(588) Sig 0.719	Arrest with VAR007	0.1405 N(605) Sig 0.001	Arrest with VAR008	-0.1605 N(595) Sig 0.000	Arrest with VAR009	0.0200 N(595) Sig 0.627
Arrest with VAR010	0.2604 N(595) Sig 0.000	Arrest with VAR011	-0.2602 N(603) Sig 0.139	Arrest with VAR012	0.0602 N(603) Sig 0.139	Arrest with VAR013	-0.0160 N(603) Sig 0.695	Arrest with VAR014	0.0160 N(603) Sig 0.695	Arrest with VAR015	-0.1003 N(596) Sig 0.014
Arrest with VAR016	0.0766 N(596) Sig 0.062	Arrest with VAR017	0.0495 N(596) Sig 0.228	Arrest with VAR018	0.0918 N(379) Sig 0.074	Arrest with VAR019	0.1983 N(346) Sig 0.000	Arrest with VAR020	-0.1131 N(605) Sig 0.005	Arrest with VAR021	0.0372 N(605) Sig 0.361
Arrest with VAR022	0.1069 N(605) Sig 0.009	Arrest with VAR023	0.1625 N(605) Sig 0.000	Arrest with VAR024	0.1387 N(605) Sig 0.001	Arrest with VAR025	0.1603 N(605) Sig 0.000	Arrest with VAR026	0.1414 N(605) Sig 0.000	Arrest with VAR027	0.3190 N(605) Sig 0.000
Arrest with VAR028	-0.0971 N(605) Sig 0.017	Arrest with VAR029	-0.0650 N(605) Sig 0.110	Arrest with VAR030	-0.0242 N(605) Sig 0.553	Arrest with VAR031	-0.0123 N(605) Sig 0.762	Arrest with VAR032	0.0355 N(605) Sig 0.384	Arrest with VAR033	0.0106 N(605) Sig 0.794
Arrest with VAR034	0.0135 N(605) Sig 0.740	Arrest with VAR035	-0.0445 N(605) Sig 0.274	Arrest with VAR036	0.1178 N(605) Sig 0.004	Arrest with VAR037	-0.2260 N(605) Sig 0.000	Arrest with VAR038	-0.0053 N(605) Sig 0.897	Arrest with VAR039	0.1031 N(605) Sig 0.011
Arrest with VAR040	0.1090 N(605) Sig 0.007	Arrest with VAR041	0.1132 N(605) Sig 0.005	Arrest with VAR042	0.2898 N(605) Sig 0.000	Arrest with VAR043	0.1425 N(605) Sig 0.000	Arrest with VAR044	0.2681 N(605) Sig 0.000	Arrest with VAR045	0.2104 N(605) Sig 0.000
Arrest with VAR046	0.3077 N(605) Sig 0.000	Arrest with VAR047	0.1663 N(605) Sig 0.000	Arrest with VAR048	0.2445 N(605) Sig 0.000	Arrest with VAR049	0.1283 N(605) Sig 0.002	Arrest with VAR050	0.0238 N(605) Sig 0.559	Arrest with VAR051	-0.1842 N(605) Sig 0.000
Arrest with VAR052	0.1543 N(605) Sig 0.000	Arrest with VAR053	-0.0617 N(605) Sig 0.129	Arrest with VAR054	0.2260 N(605) Sig 0.000	Arrest with VAR055	-0.1254 N(574) Sig 0.003	Arrest with VAR056	0.1254 N(574) Sig 0.003	Arrest with VAR057	0.0799 N(604) Sig 0.050

Table D-2 (Concluded)

Variable Pair		Variable Pair		Variable Pair		Variable Pair		Variable Pair		Variable Pair	
Arrest with VAR058	-0.0799 N(604) Sig 0.050	Arrest with VAR059	0.1309 N(604) Sig 0.001	Arrest with VAR060	-0.0957 N(604) Sig 0.019	Arrest with VAR061	-0.0108 N(604) Sig 0.791	Arrest with VAR062	-0.0210 N(605) Sig 0.607	Arrest with VAR063	0.0258 N(605) Sig 0.527
Arrest with VAR064	-0.0059 N(605) Sig 0.884	Arrest with VAR065	-0.0720 N(560) Sig 0.089	Arrest with VAR066	-0.0839 N(560) Sig 0.047	Arrest with VAR067	0.1234 N(560) Sig 0.003	Arrest with VAR068	0.1845 N(560) Sig 0.000	Arrest with VAR069	-0.1472 N(605) Sig 0.000
Arrest with VAR070	-0.0060 N(605) Sig 0.884	Arrest with VAR071	0.0857 N(605) Sig 0.035	Arrest with VAR072	-0.0431 N(605) Sig 0.290	Arrest with VAR073	0.0507 N(605) Sig 0.213	Arrest with VAR074	-0.0121 N(605) Sig 0.766	Arrest with VAR075	-0.0881 N(605) Sig 0.030
Arrest with VAR076	0.0179 N(517) Sig 0.684	Arrest with VAR077	-0.0256 N(517) Sig 0.561	Arrest with VAR078	0.0057 N(517) Sig 0.897	Arrest with VAR079	-0.0401 N(605) Sig 0.325	Arrest with VAR080	0.0258 N(605) Sig 0.527	Arrest with VAR081	-0.1107 N(605) Sig 0.006
Arrest with VAR082	-0.1010 N(605) Sig 0.013	Arrest with VAR083	-0.0427 N(468) Sig 0.356	Arrest with VAR084	-0.0002 N(468) Sig 0.996	Arrest with VAR085	-0.0701 N(468) Sig 0.130	Arrest with VAR086	0.0523 N(605) Sig 0.199	Arrest with VAR087	0.0014 N(605) Sig 0.973
Arrest with VAR088	0.1260 N(605) Sig 0.002	Arrest with VAR089	0.0107 N(605) Sig 0.793	Arrest with VAR090	0.0634 N(605) Sig 0.120	Arrest with VAR091	0.1602 N(605) Sig 0.000	Arrest with VAR092	0.0571 N(605) Sig 0.160	Arrest with VAR093	0.1126 N(413) Sig 0.022
Arrest with VAR094	-0.1666 N(413) Sig 0.001	Arrest with VAR095	0.2487 N(605) Sig 0.000	Arrest with VAR096	0.3087 N(605) Sig 0.000	Arrest with VAR097	0.1972 N(605) Sig 0.000	Arrest with VAR098	-0.0302 N(588) Sig 0.465	Arrest with VAR099	-0.0678 N(588) Sig 0.100
Arrest with VAR100	0.0762 N(588) Sig 0.065	Arrest with VAR101	-0.0192 N(605) Sig 0.638	Arrest with VAR102	-0.0647 N(605) Sig 0.112	Arrest with VAR103	0.1881 N(605) Sig 0.000	Arrest with VAR104	-0.0111 N(605) Sig 0.785	Arrest with VAR105	-0.0248 N(605) Sig 0.543
Arrest with VAR106	-0.0179 N(605) Sig 0.433	Arrest with VAR107	0.1572 N(605) Sig 0.000	Arrest with VAR108	0.1543 N(605) Sig 0.000	Arrest with VAR109	0.0333 N(605) Sig 0.413	Arrest with VAR110	-0.1206 N(605) Sig 0.003	Arrest with VAR111	0.0730 N(605) Sig 0.073

A value of 99.0000 is printed if a coefficient cannot be computed.

MANAGEMENT OF THE CONTINUING INVESTIGATION

- Conducting discriminant analyses. Variables showing a degree of correlation with clearance and a reasonable level of statistical significance were than selected for discriminant analysis. Because discriminant analysis assumes that the variables are independent from one another, extensive recoding was done to establish this independence. For example, instead of four variables--vehicle used or taken, description given, color given, and license number given--one vehicle variable was created with values on a sliding scale. (If a vehicle was used or taken, a score of 1 was assigned; if the vehicle was described, a score of 2 was assigned; if the color was given, a score of 3 was assigned; and if a license number was given, a score of 4 was assigned.)

Discriminant analysis was the technique chosen for the final development of the model, because it is particularly well suited for separation of groups based on the relative importance of the variables. The discriminant calculation forms a linear combination of the discriminating variables called the discriminant function. The weighting coefficients used in this function are a measure of the relative value of the variable in separating the groups. With this knowledge a classification coefficient (weight factor) could be derived for use in the case follow-up decision model. We chose to use a combination of the BMD and SPSS packages for the analysis. BMD provides output that is formatted in such a way that the calculated values of the discriminant coefficients are more easily traced to the actual values of the variables. SPSS, owing to its superior data management capabilities, facilitated extensive experimentation in variable design and recoding. The values calculated by the two packages are not significantly different. (See Appendix E for a technical discussion of discriminant analysis.)

- Analyzing offender data. The criminal history data processing involved the use of several SPSS and SRI-developed computer programs. A variety of other statistical summary and analysis techniques were used to extract inferences and conclusions from the data.

Once the preliminary (initial) investigation of the reported crime has been completed by the uniform officer, the case is most often referred to the specialized Criminal Investigation Division for continuation of the investigation. The number and category of crimes referred will be determined by departmental policies governing the case screening process.

Although the cases referred for continuing investigation are supposed to be received and processed under a well-structured management procedure, this ordinarily does not happen. More typically, the assignment, the investigation, and the decisions about case continuation are made by the individual investigator without management input.

In many agencies the person who gets the referred case for investigation will be the one who was on duty at the time of referral or the one who was assigned to "catch" those cases referred during a particular period of the day. The assignment thus is dictated by chance rather than according to sound management principles.

Upon "catching" the complaint, the investigator decides the course of investigative action. He/she will informally screen all the cases assigned to him/her or accumulated during his/her "watch" and decide which ones are worth serious pursuit. Generally, the actions taken and reports prepared will be kept in the investigator's personal file, which remains inaccessible to all others. Supervisors and other managers are kept vaguely informed concerning the progress of a case. As a consequence of this process, the investigator generally determines his/her own workload and makes decisions concerning priority of effort.

While this kind of investigative routine is lamentable when viewed from the management perspective, it nevertheless conforms with the facts.

A review of the available literature largely confirms the absence in police departments of a management system for assigning, coordinating, directing, monitoring, and evaluating the overall investigative effort.

The absence of management control over continuing investigation efforts is affirmed by the following comments and observations:

- When Sir Robert Mark took over as Commissioner of the Metropolitan Police in April of 1972, he said of his detectives: "I don't know what they do to the enemy, but by God, they frighten me."¹
- The nature of detective work sometimes makes it hard for a manager to find out what specific tasks have been done: nevertheless, most departments contacted felt strongly that permitting the detective to give ambiguous answers about his work was an abdication of management responsibility.²
- From our observations, the most serious impediment to high-quality investigative work appears to us to be the traditional method of case assignment and supervision. In nearly every department, cases are normally assigned to an individual investigator and become his sole responsibility.... Supervisors do not normally review the decisions he makes or how to pursue the case investigation--decisions that are largely unrecorded in the case file. Consequently, the relative priority an investigator gives to the tasks on one case assigned to him results largely from the number and nature of his other case assignments and from his personal predilections and biases. It may frequently turn out that caseload conflicts and personal predilections lead an investigator to unduly postpone or improperly perform important elements of a particular case assignment.³

The lack of managerial control over the continuing investigation process undoubtedly leads to many shortcomings, such as inequitable caseloads, improper assignment of cases, incorrect priority decisions,

¹The Listener, London, England, February 18, 1975.

²Managing Criminal Investigations, NILECJ Prescriptive Package, June, 1975, p.27.

³The Criminal Investigation Process: A Summary Report, Rand Corp., June, 1976, p.39.

lateness of investigator response, and lack of investigative continuity. Unquestionably, the absence of managerial direction in this vital activity has contributed in some degree to the dismal performance of investigative efforts on reported crime in most departments.

In 1975, only 63 per cent of the crimes against the person, 19 per cent of the crimes against property, and 21 per cent of the 11,256,000 reported Part I offenses were cleared by arrest according to the U.C.R. In 1974, the percentages for clearance by arrest were roughly the same. Since a large number of arrests are made by uniformed personnel, the performance record of the investigative process may be even poorer than these statistics suggest.

In light of these facts, police administrators have increasingly recognized the necessity for establishing a management system for the continuing investigation process. In 1973, the National Advisory Commission on Criminal Justice Standards and Goals recommended that:

"Every police agency should establish quality control procedures to insure that every reported crime receives the investigation it warrants.

These procedures should include:

- a. A follow-up report of each open investigation every 10 days and command approval of every continuance of an investigation past 30 days;
- b. Constant inspection and review of individual team and unit criminal investigation reports and investigator activity summaries; and
- c. Individual team and unit performance measures based at least on arrests and dispositions, crimes cleared, property recovered and caseload."⁴

⁴National Advisory Commission on Criminal Justice Standards and Goals: Police, January, 1973, p.233.

Another perspective on the effectiveness of the criminal investigation effort and whether efforts to upgrade it are worthwhile was stated as follows:

The effectiveness of conventional police action is directly attributable to the employment of the defensive strategy, which by its very nature is restricted to the use of a single major tactic--investigation. The investigation tactic has several basic weaknesses. The most serious of these being that its success is predicated on the assumption that the criminal has made a mistake. ...the investigator's efforts are primarily concerned with obtaining sufficient data....above all, throughout the entire investigative process he is hoping that all of this effort will culminate in sufficient data to allow him to make an arrest. From this point of view, the investigation may be described rather accurately as being a process of "wishful thinking"...⁵

While it may not be clear how much improvement can be achieved by establishing a management system in the continuing investigation process, it seems reasonable to assume that some improvement is likely in comparison with the non-managed process. And even if there is little or no improvement, the manager will at least be able to make intelligent decisions about resource allocations and alternative courses of action.

In establishing the management system for continuing investigations, the overall goal should be to increase the number of case investigations of serious crimes that are cleared by prosecutable arrests of criminals responsible.

Objectives of a managed investigation process could include:

- Assigning case investigations more effectively
- Improving on the quality of case investigation and preparation

⁵Crime Control Team--An Experiment in Municipal Police Department Management and Operations. Elliott and Sardeno, 1971.

- Monitoring the progress of case investigation and making decisions about continuation.
- Evaluating results on the basis of investigative outcomes.

The supervisor of the investigative unit, as is the case for all managers, should be held accountable for achieving stated goals and objectives through the effort of his/her team. The supervisor must:

- Organize the unit
- Establish work schedules and deploy resources
- Determine effective and economical assignment policies
- Organize workloads
- Assign cases on an equitable and skills basis
- Make decisions about "exceptional" investments of time to certain cases
- Coordinate and direct the unit's investigative efforts
- Develop required records to facilitate direction, monitoring, and evaluation of efforts
- Supervise personnel on a continuous basis
- Evaluate performance
- Train and develop investigators
- Promote a rapport with internal and external units that affect the ability of the unit to meet its goal.

Other management activities may also be called for. However, the above listing should be a good starting point.

In organizing the unit, the supervisor must make decisions about hours of operation, deployment of investigative personnel based on workload needs, and whether investigators will work alone, in pairs, or as part of a team.

Many agencies place stress on the economic advantages of having investigators work along and reject the "luxury" of a team approach. However, the

mix of resource use is limited only by the imagination of the supervisor or the requirements of a fixed policy that mandates a particular assignment pattern.

One of the most important decisions to be made is the assignment of a referred case. Not only must the manager consider current caseloads, but he/she must also assess who has the skills required to bring the case to a successful conclusion. If the case is of low-level priority or the investigative abilities and skills of each member are reasonably equal, this assessment need not involve more than a quick judgment. On the other hand, if the case is very serious or will require special skills or expertise, a reasoned judgment must be made as to who is best qualified to conduct the investigation. If putting the right investigator on the case requires a re-shuffling of workloads, the manager must take this decision.

Such a judgment obviously assumes that the supervisor knows the investigative backgrounds, strengths, and weaknesses of all of his/her personnel. In units with many investigators, it may be necessary to develop a skills profile of each investigator for the supervisor's reference.

Case assignment records should be maintained by both the supervisor and the investigator to provide adequate and timely information concerning case assignments and ensure proper review of investigative progress. Such records would indicate the date the case was assigned, the category of crime, a list of review decision dates, and closure or continuation information. (A sample of such a record is included as Appendix A.)

The supervisor should also maintain a record of the distribution throughout the unit of case assignments. Assignment of unequal caseloads, unless done deliberately for good reasons, can be self-defeating for efficient and

effective performance. (A sample case distribution chart is shown in Appendix B.)

Clearly, the supervisor should also be knowledgeable about the activities undertaken by criminal investigators. A suggested listing of such activities is outlined in Appendix C of this chapter. The list is by no means exhaustive and can be expanded or shortened depending on local agency requirements. This listing of activities might later be developed into a report that provides needed information concerning the amount of time spent by the investigator in development of the investigative plan, interviews, office activities, records searches, and field investigative efforts.

One recent research study⁶ found that investigators' time in several different agencies was generally spent as follows:

1. 45 per cent on non-case work
 - Administrative assignments
 - Speeches
 - Travel
 - Surveillance of specific locations
 - Etc.
2. 55 per cent on case work, broken down as follows:
 - 40 per cent (22 per cent of the total) investigating crimes that are never solved
 - 12 per cent (7 per cent of the total) investigating crimes that are solved
 - 48 per cent (26 per cent of the total) on cleared cases after arrest.

While these percentages may not reflect the breakdowns in every agency, they at least furnish some idea of how investigators' efforts are currently allocated.

⁶ The Criminal Investigation Process--A Summary Report. Rand Corp., June, 1976, p.16.

If every investigator were required to prepare a Daily Activity Plan/Results Report, supervisors would have a way of monitoring their activities and of eliminating duplication of effort by investigative teams. It would be possible to use one investigator to do the work of two or three who are all in the same locale to do the same thing. (A sample report format has been included as Appendix D.)

Another very important responsibility of the supervisor in monitoring case investigations is to review progress on a regular basis with each of the investigators so that decisions can be made as to whether various investigations should be continued. The investigator should be required to make a recommendation. If his/her recommendation is to continue, the investigator should be required to show why he/she believes the case can be solved.

The supervisor must be accountable for the decision reached. If the case is an exceptional one, the supervisor alone bears the responsibility for the decision to continue the investigation. (At some point, the commissioner must be told that his daughter's stolen bicycle case will not be solved!) In all other cases, the supervisor must make a "hard-nosed" assessment based on the principle of diminishing returns. He must recognize the inadvisability of investing considerable additional effort to go from say 85 to 90 on the "likelihood" scale when the chances of success are still uncertain. He must decide that the investigation is to be discontinued when further effort would be neither economical nor productive. The time for making this decision will depend on the seriousness of the crime, the information available, and the political factors, if any.

This type of decision-making review of the status of an investigation can only be done when the investigator is required to analyze the information in the case, prepare an investigative plan, and maintain a case folder that is current and complete. While such a procedure is not generally followed at present in most departments a policy decision can change the situation virtually overnight.

Upon receipt of the preliminary investigation report, the investigator should carefully analyze the amount and quality of information supplied. An experienced investigator will look for the key, solvability, as well as for the emotional factors in the case. (Many of the questions for which the investigator should seek answers have been included in Appendix E.) It should be clear that a well-constructed preliminary investigation form (as discussed in Chapter I) will provide the bulk of the information needed and will substantially reduce the amount of time needed to conduct a case analysis.

Once the analysis has been made and a decision reached that the case should be investigated further, the investigator should develop an investigative plan. After the approaches, strategies, and work format have been outlined, the plan should be discussed with the supervisor. There should be agreement as to the decision to continue, the appropriateness of the plan, and the first review date to further decide on continuation.

The steps to be completed are recorded on the Investigator's Checklist in Appendix F. Each agency should expand on this basic list, based on needs, priorities, and organizational structure.

A folder for each case should be established, containing complete and current records of the status of the case:

- An index sheet to record inclusions
- A copy of the initial investigation report completed by the uniformed officer
- A copy of the case analysis
- An investigative plan
- An investigator's checklist. (See Appendix F)
- A list of review dates on case progress
- Supplementary investigative reports
- Photos
- Lab reports.

Each case folder becomes the property of the investigator and the supervisor. The supervisor, not the investigator, should control access to the information. Other investigators seeking information on the case, or access to the folder, should seek approval from the supervisor. This rule not only maintains the integrity of the information but facilitates the supervisor's task of coordinating the unit's entire investigative effort.

Another critical responsibility of the supervisor is to measure the efficiency and effectiveness of the unit's, as well as the individual's, performance. While not perfect, the current measuring stick is generally the number of cases cleared by arrest.

To evaluate the results of activities and determine performance levels, it will be necessary to develop several summary information report forms.

Most departments already have such forms. The following forms should be adequate, provided they are kept relatively simple in format:

- Investigator's Monthly Workload Report
(Troy, N.Y., Police Department)

Provides basic information on cases assigned, dispositions of cases, and arrest information. Also requires a separate accounting for exceptional clearances (Appendix G).

- Unit Monthly Workload Report

Provides the same basic information, for the entire unit, as the previous report (Appendix H).

- Monthly Arrest/Clearance Performance--Individual Investigators

Provides information on individual performance for each member of the unit (Appendix I).

- Unit Arrest Performance --Prosecutor Acceptances

Provides information on prosecutor acceptances of arrests. Similar information for each investigator could be revealing of individual performances (Appendix J).

These report forms provide basic information on the performance of the individual investigator, the overall performance of the unit, and the relative performance of each investigator as well as an indication of the quality of the investigative effort as viewed by the prosecutor.

Many other reports could be developed to measure performance. Many factors impact upon the performance of the individual investigator as well as the unit, and the manager must carefully consider all those factors before arriving at a decision concerning the effectiveness of an individual investigator.

As far as can be determined, few police agencies have instituted a formal system to manage the continued investigation process. The Troy, N.Y., Police Department established a system to deal with this function several years ago. While the department is a relatively small one (12 Investigators), some of its methods could profitably be used by substantially

larger departments (Appendix K).

Continuing to do business as usual, with the investigator making his/her own management decisions, will only perpetuate the very dismal record of cases cleared by arrest. Indeed, the police administrator may well acknowledge that the present investigative process is really an exercise in wishful thinking.

While it is not a certainty that substantive improvements in investigative performance will occur once management assumes control of the investigative process, it is reasonable to assume that improvements are likely. Managers would be able to make more responsible decisions about allocation of resources and alternative courses of action to deal with the continually escalating crime problem.

APPENDIX A
(To Chapter 3)

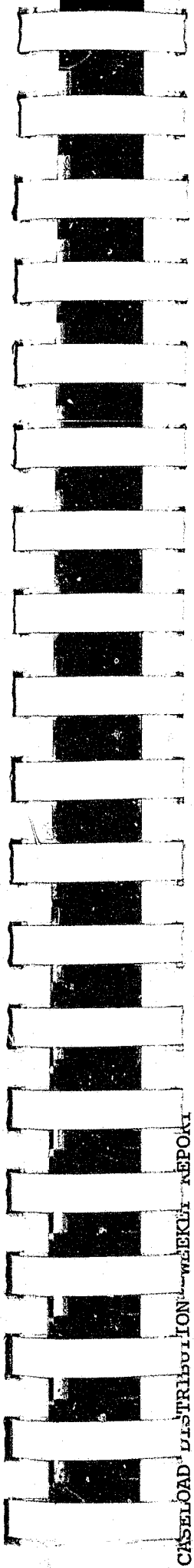
CASE ASSIGNMENT RECORD--INDIVIDUAL INVESTIGATOR

NAME OF INVESTIGATOR

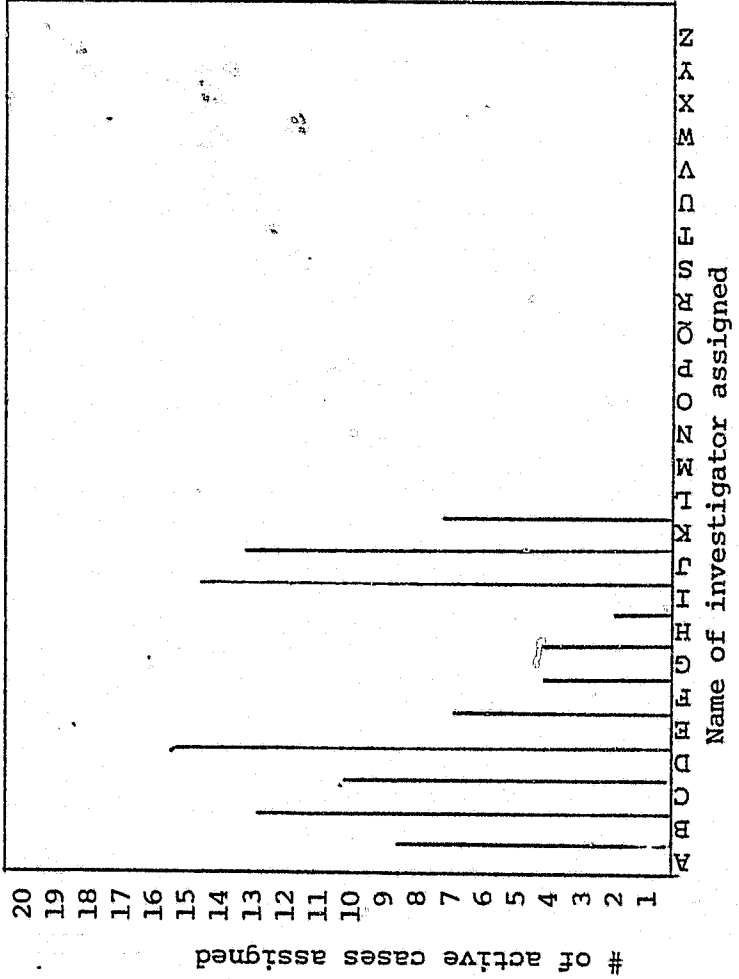
MM-111

APPENDIX B
(To Chapter 3)

CASELOAD DISTRIBUTION--WEEKLY REPORT



CASELOAD DISTRIBUTION - WEEKLY REPORT



Total cases assigned for investigation _____.

APPENDIX C
(To Chapter 3)

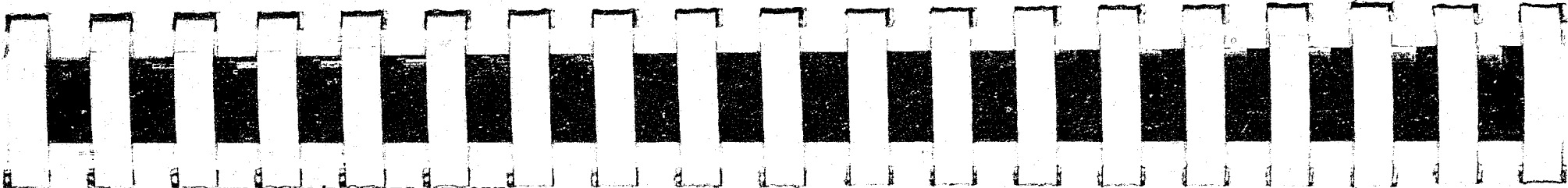
TYPICAL ACTIVITIES ASSOCIATED WITH CASE INVESTIGATIONS

Typical activities associated with case investigations:

- Develop an investigative plan
 - Analyze the case and available information
 - Determine which investigative steps are of highest priority
 - Define the steps to be taken to best approach the crime
 - Assess the potential information sources.
- Confer with superiors concerning the plan.
- Discuss the case with other specialists and appropriate uniformed officers.
- Telephone the victim (and make an appointment, where appropriate).
- Interview the victim, witnesses, and potential witnesses (e.g., neighbors).
- Make other telephone contacts.
- Conduct a records search.
- Transmit official APB/s, etc.
- Conduct required surveillance.
- Prepare required reports and records on case progress.
- Contact other governmental agencies.
- Travel in connection with investigative effort.
- Interrogate suspects or prisoners in custody.
- Arrest and process the prisoner.
- Confer with the prosecutor.
- Appear in court after the arrest.
- Other.

APPENDIX D
(To Chapter 3)


DAILY ACTIVITY PLAN/RESULTS REPORT



DAILY ACTIVITY PLAN/RESULTS REPORT

DAY OF WEEK _____
DATE _____

NAME _____
AUTO _____
COMM FREQ. _____

Time of day: From _____ to _____	Nature of Activity	Location	Case #	Category of Crime	Compl. Activity Yes-No	Time Spent (in Mins.)	Results of Activity
							

APPENDIX E
(To Chapter 3)

QUESTIONS THE INVESTIGATOR
WILL SEEK ANSWERS TO

QUESTIONS THE INVESTIGATOR WILL SEEK ANSWERS TO:

- Was the victim injured? If so, to what extent?
- Is the criminal known to the victim?
- Was a suspect harmed? Identified?
- Was the criminal armed? Type of weapon?
- Can (or will) the victim identify the criminal?
- Was a usable description of the criminal obtained?
- Is there anything unusual in the description?
- Were there witnesses?
- Was a motor vehicle used? Tag number?
- Were serial numbers on stolen property provided? Available?
- What was the value of the property stolen?
- Were fingerprints obtained at scene?
- Is there other physical evidence?
- Was there a familiar M.O. pattern?
- Have other similar type crimes been committed in neighborhood?
- What amount of publicity is likely?
- Was it a particularly heinous crime?
- Were special interests involved?
- Other (etc.)?

APPENDIX F
(To Chapter 3)

INVESTIGATOR'S CHECKLIST

INVESTIGATOR'S CHECKLIST

ACTIVITY	YES	NO	COMMENTS
• Victim interviewed in person			
• " " by phone			
• " " at home (if not, explain)			
• Witnesses interviewed in person			
• " " by phone			
• Residential/commerical neighbors interviewed in person			
• " " " " by phone			
• Officer on scene interviewed in person			
• Crime scene visited			
• Crime scene searched			
• Area of crime canvassed			
• Fingerprint search conducted			
• Photos taken at scene			
• Other forensic support provided			
• Physical evidence search produced leads			
• M.O. files searched			
• Photos of known criminals viewed by victim			
• Major offenders filed accessed			
• Local hospital records search (if appropriate)			
• Prison records on recent releases checked			
• Parole file checked			
• Local Police Departments checked			
• Checked recent aliases			
• Informant's file checked			
• Unit members checked for information sources			
• ETC.			
• ETC.			
• ETC.			

APPENDIX G
(To Chapter 3)

INVESTIGATOR'S MONTHLY WORKLOAD REPORT

Offenses Cleared by Arrest

An offense is "cleared by arrest" when at least one person is (1) arrested, (2) charged with the commission of the offense, and (3) turned over to the chain for prosecution (whether following arrest, court summons or police notice).

Keep clearly in mind that offenses and not arrests are being counted. It makes no difference how many are arrested. There can be no more offenses cleared than offenses that occurred.

If several persons commit 1 crime and only 1 is arrested and charged, list the crime as cleared by arrest. When the other offenders are arrested (any, in the next month) do not list a clearance by arrest a second time for the one offense.

Several crimes may be cleared by the arrest of one person.

Examples

1. A man commits murder. He is arrested, charged, and turned over to the court.
2. Five thieves break into a warehouse. You arrest and charge one of them. Score 1 offense of burglary - breaking or entering, and 1 such offense cleared by arrest. Later the other four thieves are arrested and charged. The one offense has already been listed as cleared by arrest.
3. You identify a suspect with five burglaries. You arrest him and charge him with the five offenses. These 5 offenses are cleared by the arrest of 1 person.

Exceptional Clearances

In certain very practical situations, the police are not able to follow the three steps outlined above for a "clearance by arrest." Yet they have done everything possible in order to clear the case. If all the following questions can be answered "yes", then the offense may be listed as cleared.

1. Has the investigation definitely established the identity of the offender?
2. Is there enough information to support an arrest, charge, and turning over to the court for prosecution?
3. Do you know the exact location of the offender so that you could take him into custody now?
4. Is there some reason outside the police control that stops you from arresting, charging, and prosecuting the offender?

An offense can be exceptionally cleared when it falls into one of the following categories:

1. Suicide of the offender (the person responsible is dead).
2. Double murder (two persons kill each other).
3. Deathbed confession (the person responsible dies after making the confession).
4. Offender killed by police.
5. Confession by offender already in your custody or serving sentence (this is actually a variation of a true clearance by arrest - you would not "apprehend" the offender but in most situations like this the offender would be prosecuted on a new charge).
6. An offender prosecuted in another city for a different offense (you attempt to return him for prosecution, but the other jurisdiction will not release to you).
7. Extradition is denied.
8. The victim refuses to cooperate in the prosecution (this does not "unfound" the offense and the answer must still be "yes" to the first three questions above).
9. For some reason outside your control, an offender is prosecuted for a less serious charge than that for which you arrested him (such as a charge of reckless driving for a negligent manslaughter offense - the offense remains the same).
10. The handling of a juvenile offender either orally or by written notice in parents in instances involving minor offenses such as petty larceny. No referral is made to juvenile court on a matter of publicly accepted police policy.

Note: The recovery of property does not clear a case. The clearance of a case as discussed here does not have anything to do with when you may "close" a case or discontinue active investigation.

Assigned

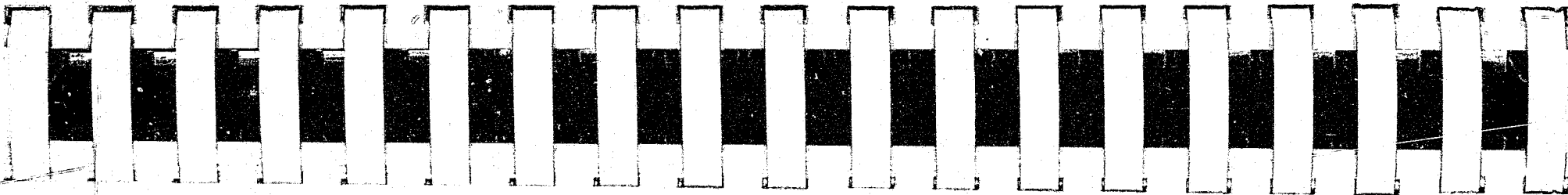
CID CASE NO.

Terminated

COMMENTS:

UNIT MONTHLY WORKLOAD REPORT

APPENDIX H
(To Chapter 3)



UNIT MONTHLY WORKLOAD REPORT

UNIT IDENTITY	NAME OF COMMANDER	SIGNATURE	DATE
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Instructions

APPENDIX I
(To Chapter 3)

ARREST/CLEARANCE PERFORMANCE--MONTHLY

ARREST/CLEARANCE PERFORMANCE--MONTHLY

Name of Investigator	CASE LOAD			DISPOSITIONS								ARRESTS		# of "Pick-Up Arrests"	
	Active at Start of Month	New Cases Rec'd	Total	Unfounded		Cleared by Arrest		Exceptional Clearance		Closed: No Results		Active Cases End of Month	Adult		Juvenile
				#	%	#	%	#	%	#	%				

APPENDIX J
(To Chapter 3)

UNIT ARREST PERFORMANCE--PROSECUTOR ACCEPTANCES--MONTHLY

UNIT ARREST PERFORMANCE--PROSECUTOR ACCEPTANCES--MONTHLY

Category	# Rec'd for Investi- gation	# Investi- gated	# Cleared by Arrest	%	# of Arrests Acceptable for Prosecution	%	# of Arrests Rejected	%	# of Arrests Accepted/Not Prosecuted	%	# of Arrests	# Accepted and Prosecuted
Murder/ Manslaughter												
Forcible Rape												
Aggravated Assault												
Robbery												
Burglary												
Larceny/ Theft												
Motor Vehicle Theft												

APPENDIX K
(To Chapter 3)

MANUAL
FOR THE
INVESTIGATIVE ASSIGNMENT
REPORT

MANUAL

FOR THE

INVESTIGATIVE ASSIGNMENT REPORT

city of troy
department of public safety
55 state street
troy, new york 12180
518/270-4411



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INTRODUCTION

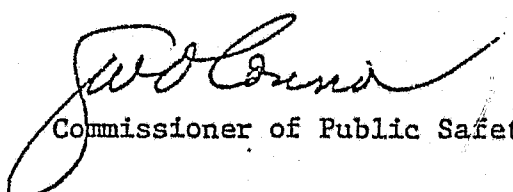
Police agencies at all levels of government have experienced continuing problems regarding the management of investigative activities. Among others, these problems involve:

- ...unequal distribution of caseloads among available investigative personnel.
- ...uneven performance by individuals from time to time indicating the need for praise, assistance or additional training.
- ...carrying cases on an open or active basis far beyond the time when they are likely to be cleared.
- ...delays in case completion due to the illness or absence of the principal investigator when cases are carried on an individual basis.

These problems lend themselves to some reduction through the application of a system for carefully assigning accountability and for measuring the effectiveness of individual effort. This manual describes a new system which is being implemented by the Troy Police in an effort to increase public service through more effective investigative efforts. It is expected that in the initial stages of this new program adjustments may be needed. As their need becomes evident, changes can and will be made. How evident they become depends upon each member's willingness to recommend improvements and adjustments.

The basic purposes of the new system are to:

- ...assure that each member receives his fair share of available assignments.
- ...timely progress and follow-up efforts are achieved.
- ...department-wide information is readily available on the status of cases.
- ...cases are terminated when further effort appears unwarranted.


Commissioner of Public Safety

I. ASSIGNMENT PROCEDURES AND MEMBERS' INVESTIGATIVE DTUIES

The Commanding Officer of the Criminal Investigation Division shall be responsible for assuring that all cases and work assignments coming to the Division are properly assigned to a principal investigator. The member to whom a case or assignment is given shall be responsible for assuring that all appropriate investigative procedures are followed; progress reports are submitted as required and cases resulting in apprehension are properly prepared for presentation to proper judicial authorities. In addition, they shall be held accountable for assuring that all property and evidence recovered through their efforts are properly disposed of through return to rightful owner, delivery to proper courts for presentation as evidence or by means established by law and departmental procedure.

II. PAPERWORK PROCEDURES

A. Each case or activity to which an investigator is assigned shall be given a Divisional control number through the use of the Investigative Assignment Report (TPD-005). The Division desk officer or clerk on duty shall be responsible for completing the IA Report.

B. Each IA Report is composed of three parts:

1. Original (tan) - this sheet is the master copy which is filed numerically by Control No. and prepared and maintained by the CID desk officer or clerk.
2. 1st Copy (pink) - This copy is the file copy maintained by the Commanding Officer of CID and filed by progress report due date.
3. 2nd Copy (yellow) - This copy is the investigator's working copy maintained and retained by the investigator assigned to the case.

INSTRUCTIONS FOR PREPARATION OF INVESTIGATIVE ASSIGNMENT REPORT

INVESTIGATIVE ASSIGNMENT REPORT Troy Police TPD-005 (3/73)		A	CONTROL NUMBER 1 0013
NATURE OF ASSIGNMENT 2			DATE CASE RECEIVED 3
COMPLAINANT'S NAME 4	INVESTIGATOR ASSIGNED 5	DATE CASE ASSIGNED 6	
DISPOSITION <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> FILED-INACTIVE 10			PROGRESS REPORT DUE 7
EXCEPTIONAL CLEARANCE (Check Type) <input type="checkbox"/> Complainant Refused to Prosecute <input type="checkbox"/> Death of Offender <input type="checkbox"/> Prosecuted Outside Agency <input type="checkbox"/> Other			PROGRESS REPORT RECEIVED 8
CLEARED BY ARREST <input type="checkbox"/> ADULT-Felony <input type="checkbox"/> ADULT-Misdemeanor <input type="checkbox"/> ADULT-Violation <input type="checkbox"/> JUVENILE			DATE CASE CLOSED/FILED 9

NOTE: The initial step in report preparation is to place the departmental report Control Number found on the original incident report in the space marked (A) on the sample above. This will assure that all related documents and reports are easily identified.

Desk officer or clerk, upon receipt of case report or other need for assignment of investigator, shall prepare the above report form by completing areas numbered 1, 2, 3, 4 and 6. All copies of the form, along with related reports, shall be given to the Commanding Officer of CID.

The Commanding Officer of CID shall review each case report or work assignment and shall insert the assigned investigator's name in area #5. He shall also indicate the date for the submission of the initial progress report in area #7. He shall retain the pink copy of the form and return all other papers to the desk officer for proper distribution and filing of the original assignment card.

INFORMATION TO BE ENTERED IN EACH OF THESE AREAS IS LISTED BELOW:

1. CONTROL NO. - A four-digit number has been pre-printed in red on each of the IA Report cards. The CID file clerk files the tan master card in numerical sequence according to this number. This Control Number is the CID reference number. The clerk will enter the Information Services Control Number (found on original incident report) immediately to the left of the Red number.
2. NATURE OF ASSIGNMENT - Listings in this box describe the type of crime or incident that is under investigation. (Examples: burglary, robbery, assault, pistol permit, etc.)
3. DATE CASE RECEIVED - Information to be entered in this box describes the date that the Criminal Investigation Division receives the case report.
4. COMPLAINANT'S NAME - In this box the last name, first name and middle initial of the individual or the business or private organization listed as the complainant or victim in the investigation.
5. INVESTIGATOR ASSIGNED - This box lists the name of the investigator assigned to the investigation by the CID Commanding Officer.
6. DATE CASE ASSIGNED - Information to be entered in this box describes the date that an investigator is assigned to the case by the CID Commanding Officer.
7. PROGRESS REPORT DUE DATE - This box lists the date that the first progress report on the investigation is due for review by the CID Commanding Officer. (Example: 6 Nov 73, etc.) See Case Activity and Termination Schedule.
8. PROGRESS REPORT RECEIVED - This box lists the date that the CID Commanding Officer receives the case progress report from the investigator assigned to the investigation. This date should coincide with the date listed in Box #7.
9. DATE CASE CLOSED/FILED - This box lists the date the case is closed by arrest, exceptional clearance, determined to be unfounded or filed - inactive.

10. DISPOSITION - This box lists the method in which the investigation has been terminated. Cases are terminated in one of four ways:

A. Unfounded - This disposition is used when the assigned investigator and the CID Commanding Officer determine that the complaint and/or crime in fact never occurred or is not substantiated.

B. Filed-Inactive - This disposition is used when the CID Commanding Officer and the assigned investigator have determined that all investigative leads have been exhausted after a thorough follow-up investigation. The case remains open but inactive.

C. Exceptional Clearance (Check Type)

Complainant Refused to Prosecute - This box is to be checked when a follow-up investigation reveals that the complainant in the case refuses to prosecute and the case cannot continue on its own merits.

Death of Offender - Self-explanatory.

Prosecuted Outside Agency - This box is to be checked when an investigation is conducted by this Department and prosecution of charges is handled by another agency.

Other - This box is to be checked when non-criminal assignments (permit investigations, etc.) are completed. It may be used also for criminal case clearances listed on the reverse of Monthly Workload Report.

D. Cleared by Arrest

Adult - Felony - This box is to be checked when the case is cleared by the arrest of an adult on a felony charge.

Adult - Misdemeanor - This box is to be checked when the case is cleared by the arrest of an adult on a misdemeanor charge.

Adult - Violation - This box is to be checked when the case is cleared by the arrest of an adult charged with a violation.

Juvenile - This box is to be checked when the case is cleared by the arrest of a juvenile.

PAPERWORK PROCEDURES TO BE COMPLETED BY CID DESK OFFICER OR CLERK

1. The completed form is properly distributed; tan copy to master file; pink copy to CID Commanding Officer; yellow copy to assigned investigator.
2. The CID Desk Officer or Clerk posts individual investigator monthly tally sheets and up-dates them on a continuous basis.
3. The CID Desk Officer or Clerk up-dates the IAR master card as needed.
4. Near the end of each month the CID Desk Officer or Clerk prepares the monthly tally sheets in triplicate and submits tally sheet to individual investigator for review and signature.
5. After the three-copy monthly tally sheet has been reviewed by the individual investigator and the CID Commanding Officer, the original copy is returned to CID Desk Officer or Clerk; a copy is given to CID Commanding Officer and a copy is retained by the individual investigator for his personal records.

PAPERWORK PROCEDURES TO BE COMPLETED BY CID COMMANDING OFFICER

1. CID Commanding Officer determines and completes the portions of the form relative to the progress report due date and the investigations assigned.
2. CID Commanding Officer retains the pink copy of form and files it by the "Progress Report Due Date" and/or investigator assigned.
3. CID Commanding Officer reviews progress reports on their appropriate due dates and assigns additional report due dates as necessary.
4. As cases near completion, CID Commanding Officer and assigned investigator review appropriate case and determine proper disposition to be entered on master Investigative Assignment Report form.

PAPERWORK PROCEDURES TO BE COMPLETED BY CID INVESTIGATOR ASSIGNED TO CASE

1. Investigator receives completed yellow IARS card from CID File Clerk along with related reports (incident report, application forms, etc.)
2. Assigned investigator continues assigned case investigation and files progress reports on appropriate due dates (TPD _____ Supplementary Report, etc.)
3. When assigned case is nearing completion, investigator submits final report to CID Commanding Officer for review and enters proper disposition on Investigative Assignment Report form; retains yellow IARS card.
4. After consultation with CID Commanding Officer, assigned investigator advises CID File Clerk of proper disposition entry on Investigative Assignment Report master card.
5. Investigator receives individual monthly tally sheet in triplicate from CID Desk Officer or Clerk, reviews and makes needed changes, and submits final tally sheet to CID Commanding Officer for review.
6. After review of individual monthly tally sheet, CID Commanding Officer and Investigator each retain a copy and return original to CID Desk Officer or Clerk for master file.

CASE TERMINATION

One of the most discouraging aspects of investigative work is having to submit periodic reports on cases that have turned completely cold. Requirements of re-visiting victims and witnesses, re-examining physical evidence and generally replotting ground already well covered not only produces frustration but also takes away from the limited time available to devote to more current (and probably more solvable) cases. For these reasons, we are adopting a regular schedule of follow-up activity to assure that cases are adequately attended to but not to the point where the added effort is wasted. No schedule of this type can be adhered to without variations. Certain apparently minor cases will sometimes be worthy of "major case" status because of the development of a clear modus operandi pattern, a belief that the single case represents an escalation of threat or, in some cases, due to the prominence of the victim. (Members are reminded that the Commissioner's daughter's bike has not yet been recovered).

In developing the case activity and termination schedule which appears below, incidents and assignments were first classified into four categories. They are:

- I Major Cases
- II Felonies
- III Misdemeanors
- IV Non-criminal Cases

While the general rule of thumb regarding seriousness of threat to life and value of property involved tend to be used, the Commanding Officer of CID is under explicit instructions to categorize each case bearing in mind that absolute dollar value (such as everything over or under \$100) cannot be applied as the determining factor but rather the relative value of loss. This means that he must seek to measure the impact of the crime on the victim. Obviously, an old \$50 television set has far greater relative value to the family of an unemployed laborer than to the wealthy businessman. It is important to recall that the poor are hurt far more seriously by loss than are the affluent. This is not to say that the Department will deny service to any person but rather it is to say that the priority and the intensity of effort will be based upon the needs of the victim. Such need should take into account the extent to which loss is recoverable through insurance.

The second major factor in the decision as to level of effort must be the likelihood of success of investigative work. Cases without witnesses and without apparent physical evidence are not likely to develop except through linking similar cases through modus operandi analysis. An obviously cold and clueless event should be followed up to assure that all available MO data is retrieved and developed. Beyond that, the effort is largely for public relations. That reason alone justifies some effort beyond the preliminary investigation but not to the extent of removing an investigator from service for an extended period of time.

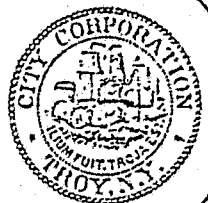
Individual investigators should feel free to discuss the classification of an assignment with the Commanding Officer of CID. They may feel that what originally been seen as a case with high potential for solution has turned out to be one of many blind alleys with no data developing.

Letter to be mailed on day case is assigned

CID clerk or Desk Officer prepares this form letter for mailing in a window envelope by:

- Addressing and dating.
 - Xeroxing IA card in space provided in lower left hand corner.
 - Submitting to Captain for signature.
- NOTE: Commercial safe burglaries, all other felonies not listed in category I - Major Cases, and all misdemeanors require that a copy of this letter be sent to the victim.

city of troy
department of public safety
55 state street
troy, new york 12180
518/270-4411



Date

Dear

The recent case in which you were a victim has been assigned to _____ for follow-up investigation as indicated on the copy of the Investigative Assignment Report below:

The investigator assigned to this case will be in touch with you to assure that a full and complete inquiry is conducted. Should you have any questions or additional information regarding the matter, please feel free to contact him directly at 270-4434. If you wish to see him personally other than when he may visit you, we advise that you call that number for an appointment at a time when he is on duty. Any member of the Department will gladly accept any information you might have, in the absence of the assigned investigator.

It goes without saying that we regret the fact that you were victimized and that we shall do our utmost to identify and apprehend the responsible party. Your cooperation is essential and very much appreciated.

Sincerely,

Edwin Bloomer, Captain
Criminal Investigation Division

mag

INVESTIGATIVE ASSIGNMENT REPORT Troy Police TPD-005 (8/73)		CONTROL NUMBER 0013
NATURE OF ASSIGNMENT		DATE CASE RECEIVED
COMPLAINANT'S NAME	INVESTIGATOR ASSIGNED	DATE CASE ASSIGNED
DISPOSITION <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> FILED—INACTIVE		PROGRESS REPORT DUE
OPTIONAL CLEARANCE (Check Type) CLEARED BY ARREST		PROGRESS REPORT RECEIVED
<input type="checkbox"/> Complainant Refused to Prosecute <input type="checkbox"/> Death of Offender <input type="checkbox"/> Prosecuted Outside Agency <input type="checkbox"/> Other	<input type="checkbox"/> ADULT—Felony <input type="checkbox"/> ADULT—Misdemeanor <input type="checkbox"/> ADULT—Violation <input type="checkbox"/> JUVENILE	DATE CASE CLOSED/FILED

MM-163

CASE ACTIVITY AND TERMINATION SCHEDULE

CATEGORY OF CASES	First Report Due Within	Additional Reports		Periodic Reports		Final Action	
		Frequency	Duration	Frequency	Duration	Closed	Inac
I MAJOR CASES							
Homicides	24 hours	daily	10 days	weekly	1 year	x	or x
Rape	24 hours	daily	5 days	2 weeks	3 months	x	or x
Aggravated Assault	24 hours	2 days	6 days	2 weeks	3 months	x	or x
Armed Robbery	24 hours	weekly	1 month	2 weeks	3 months	x	or x
Arson	24 hours	weekly	1 month	2 weeks	3 months	x	or x
Commercial Safe Burglaries	48 hours	weekly	3 months	monthly	6 months	x	or x
II FELONIES	72 hours	weekly	2 months	monthly	6 months	x	or x
All other felonies not mentioned above							
III MISDEMEANORS	10 days	weekly	1 month	-	-	x	
IV NON-CRIMINAL CASES	Variable—generally 30 days	not normally required				x	

PART III

INVESTIGATOR'S MONTHLY WORKLOAD REPORT

1. The CID Desk Officer or Clerk places the last name, first name, rank, Dept. I.D.#, in this box.
2. TYPES OF CASES: This column lists the type of investigation or case assignment for which the assigned investigator is responsible.
3. CASES - ACTIVE AT START OF MONTH: The number of active cases (next to the appropriate heading) that the individual investigator is responsible for at the start of the month is entered under the column.
4. NEW CASES RECEIVED THIS MONTH: The number of new cases received during the month is entered in this column under the appropriate case headings.
5. TOTAL CASES WORKED ON THIS MONTH: The total number (adding the number of cases in #3 and #4) of cases worked in each category during the month, is entered under this column.
6. DISPOSITION - UNFOUNDED: In this column under the appropriate headings enter the number of assigned cases disposed of as UNFOUNDED as determined by the assigned investigator and CID Commanding Officer.
7. DISPOSITION - CLEARED BY ARREST: In this column under the appropriate headings enter the number of assigned cases cleared by the arrest of the perpetrator(s).
8. DISPOSITION - EXCEPTIONAL CLEARANCE: In this column under the appropriate headings enter the number of assigned cases disposed of as exceptional clearance as determined by the assigned investigator and CID Commanding Officer.
9. DISPOSITION - INACTIVE: In this column under the appropriate headings enter the number of assigned cases filed as inactive. Cases will only be filed as inactive when the CID Commanding Officer and the assigned investigator have determined that all investigative leads have been exhausted after a thorough follow-up investigation. The case remains open but inactive.
10. ACTIVE CASES - END OF MONTH: In this column under the appropriate headings enter the number of cases that are still being actively investigated at end of month. This number is arrived at by adding the number of cases within each category in columns #3 and #4, taking that total and subtracting the total of columns #6, 7, 8 and 9. (Formula - #3+#4 - (#6, 7, 8 & 9) = active cases end of month.
11. ARRESTS - ADULT: In this column under the appropriate headings (types of cases) enter the number of adult arrests made during the month.

12. ARRESTS - JUVENILE: In this column under the appropriate headings (types of cases) enter the number of juvenile arrests made during the month.
13. TOTAL CASELOAD: Enter the appropriate totals in these boxes.

(NOTE: On reverse side are instructions for clearance cases by arrests and exceptional clearances. In addition, in the appropriate boxes list all cases that are cleared during the month, by CID case number and a notation on how the case was cleared).

Upon completion, the Desk Officer or Clerk submits form to Investigator for review, signature and dating. The Investigator then submits the report to the Captain for review.

CHAPTER 4

POLICE-PROSECUTOR RELATIONS

The need for closer cooperation between police and prosecutors was identified in 1967 by the President's Commission on Law Enforcement and the Administration of Justice. Since then, the need to improve the linkage between the police and prosecutor has been emphasized in other nationwide studies. The American Bar Association, in its report on the Urban Police Function,¹ noted that:

Few police departments today maintain effective liaison with other agencies in the criminal justice system or with municipal agencies that deal with problems directly affecting the police.² The adverse results from this lack of communication may be numerous. For example, prosecutors may regularly dismiss specific types of cases on the basis that certain investigative techniques commonly being utilized are invalid without informing a police administrator of this systematic action. In the same vein, trial courts may consistently sustain motions to suppress evidence because of common police practices they consider to be improper, but judges will rarely report this information directly back to a police administrator or attempt to ascertain the police policy on the matter. In addition, staff members in a mayor's office who are responsible for preparing legislative programs may develop comprehensive proposals on crime control or on new programs which directly affect the police (e.g., new approaches for dealing with alcoholism) without ever soliciting the views of the police department on proposed legislation. In other words, failures in communications between a police administrator and other criminal justice agencies or among municipal departments can result in a police department's never being informed on significant issues relating to police practices, on the quality of police investigations (e.g., by assessing the ratio of convictions to arrests), on differences in policy between the prosecutor's office and the department, or on misconceptions by the court about departmental positions on a

¹ Standards Relating to the Urban Police Function, ABA, New York, (1973)

² Task Force Report: The Police 65.

range of issues. Some agencies fail to adequately inform themselves about police policies (e.g., the failure of a prosecutor to obtain insights on the rationale for a police practice in preparation for an appellate argument may result in a badly-reasoned judicial opinion) or ignore police needs (e.g., inaccessibility of magistrates for review of warrants).

Change has occurred slowly since the ABA issued its report. In general, police agencies still maintain at best an informal and uncoordinated relationship with the prosecutor.

Over the years, the most common form of relationship has been the personal relationship between the police chief and the prosecutor. The importance of a close relationship should not be dismissed. Trust is an important part of any formal police/prosecutor relationship. A more systematic and formalized relationship is necessary if criminal investigations are to be managed most effectively.

The ultimate goal of the relationship should be to improve the quality of case investigation and preparation in order to lead to a greater number of prosecutable cases.

While some police agencies have maintained informal liaison with prosecutors for years, these relationships have not generally helped to increase the effectiveness of the investigative process or of the prosecutor's work. It is somewhat surprising that a sound, formal working relationship has not been universally adopted since:

- The prosecutor's caseload depends on police arrest policies and practices, and
- The police department's arrest performance and effectiveness substantially depends on the prosecutor's screening policy and prosecutorial priorities.

Benefits of an Improved Relationship

A comprehensive improvement in their relationship holds many potential benefits for both the police and prosecutor. For example, a formal system for obtaining feedback can help a police manager spot trouble within the organization on the matter of investigative performance and evaluate the relative effectiveness of units. It also can help the police manager identify training needs, evaluate managerial effectiveness, and identify areas where corruption may exist. Importantly, a good relationship will help officers and investigators improve their case preparation. Similarly, police feedback to the prosecutor can provide important suggestions concerning operating policies, procedures, and practices.

Most of the elements of new approaches to managing criminal investigations are concerned with internal police agency operations. In any effort to improve the management of criminal investigations, however, consideration must be given to the element of the police/prosecutor relationship since this relationship provides the necessary external linkage between the police and the next stage of the criminal justice process--- prosecution. The inputs generated by a meaningful police/prosecutor relationship will facilitate the assessment of internal police policies and procedures which affect the impact of the initial investigation, case screening, follow-up, case management, monitoring, and reorganization.

The following sections of this chapter contain suggestions for improving the relationship by taking steps to develop:

1. Feedback and case disposition analysis systems,
2. Improved quality of investigations,
3. Methods for assigning responsibility for maintaining the police/prosecutor liaison,

4. Methods for dealing with problems that arise in the relationship, and
5. Steps in developing effective liaison.

1. Feedback and Case Disposition Analysis Systems

One of the most important questions to ask in the development of a case disposition feedback system is: "What does a chief or manager need to know in order to improve the investigative effort?" The police administration needs to know:

- The disposition of cases,
- Why a case was rejected for prosecution, or
- Why a case submitted by the prosecutor resulted in a dismissal.

The American Bar Association, like the National Advisory Commission on Criminal Justice Standards and Goals, has underscored the importance of a case disposition feedback system. The development of such a system is a needed and appropriate project which will encourage the police and prosecutor to work together toward improving the outcome of the judicial process.

The need to establish such a system was addressed in 1973 by the National Advisory Commission on Criminal Justice Standards and Goals. The Commission recommended these actions:

Every police agency immediately should develop policies and procedures to follow up on the disposition of criminal cases initiated by the agency. This should be done in cooperation with local courts and prosecuting agencies.

1. Every police agency, in cooperation with local courts and prosecuting agencies, should provide for the administrative followup of selected criminal cases. Policies and procedure should be developed:

- a. To identify criminal cases which, because of extenuating circumstances or the defendants' criminal histories, require special attention by the prosecuting agency; and

b. To require a police representative to attend personally all open judicial proceedings related to these cases, and to maintain close personal liaison with assigned prosecutors.

2. Every police agency should review administratively all major criminal cases in which prosecuting agencies decline to prosecute or later cause to be dismissed. That review:

a. Should result in a referral of each such case to the concerned officer's commanding officer for administrative action to correct any police deficiencies which may have weakened the case; or

b. Should result in a referral of each case to the prosecuting agency for that agency action to correct any deficiencies for which it any have been responsible.

3. Every police agency should encourage courts and prosecuting agencies routinely to evaluate investigations, case preparation, and the courtroom demeanor and testimony of police officers and to inform the police agency of those evaluations.³

It is significant that the commission suggested thorough review and evaluation of pertinent information in order to effectively manage the outcome.

Other questions to be asked concerning feedback systems are:

- What does the police manager have to know to effectively manage?
- Who has to know?
- What do they do with the information they receive?
- When is the process subjected to evaluation and, then, rethinking?

For example, The Chief of Police may want only major case summaries and broad comparative data. On the other hand, the Chief of Detectives and Chief of Patrol will want to have much more detail. In short, as the

3. NAC Report on Police, Pg. 86.

information descends through the departmental layers its form will change. Another factor to consider is how often various managers need information. (A discussion concerning the development and implementation of a management information system is contained in the chapter of this manual on Monitoring.)

The data needed may be the number of cases in various crime categories that are:

- a. Presented for prosecutorial screening.
- b. Rejected by prosecutor (with reasons).
- c. Accepted for prosecution.
- d. Returned for investigation.

Throughout the agency, this information will be needed in different forms. The Chief of Detectives may want this information in a form that will allow him to identify it by investigative unit or section. Within the detective division, commanders of units will have slightly different needs for information. A unit commander may require data keyed to individual investigators to identify performance. In addition, this management information system may need to be designed to provide feedback to the manager on individual detective caseload, status of case, and age of cases. (The management of case assignments is discussed in Chapter 3.)

The results of an information needs analysis will facilitate the development of feedback forms and procedures. Serious efforts must be made to resist developing unneeded forms and data. It is all too common for managers to figuratively drown in data generated for data's sake particularly when a computer is available.

The tendency to create and use unnecessary forms and data is a very real and counterproductive threat which must be guarded against. On the other hand, a method should be developed to provide a current status check monitoring on each case under investigation.

The informational needs of police managers may be met by collecting data from two primary forms, a case feedback form and a case load report. The data may be compiled by detective bureau clerical personnel or any other unit within the agency. In Dallas, this is done by the Legal Liaison Division. It must be summarized for managers. Data from the caseload reports should be transferred to a master form and routed to the chief of detectives who will summarize the data for the chief. A listing of all data summaries from case feedback forms should follow a similar route.

A simple summary with a line graph to show trends over time should be sufficient to inform most police chief executives, and the plotting of a line graph under the supervision of the chief of detectives should enable the chief to be thoroughly familiar with what it represents.

2. Improving the Quality of Investigations

Identifying the Prosecutor's Needs for Information

The police must investigate professionally, carefully gather all the available evidence, evaluate the facts at their disposal, make arrests where warranted, and present the evidence upon which charging is justified.

The prosecutor must then evaluate the evidence, and accept or reject the case on the basis of the facts presented to him. If he chooses to accept the case for prosecution, he must then prepare the case for trial and formally charge the defendant in the manner prescribed by the court that has primary jurisdiction over the offense and the geographical area in which the crime was committed. When the case is called for trial, the prosecutor must then present the case and prove beyond a reasonable doubt that a crime did in fact take place and that the defendant committed it.

Through the experience gained in court, the prosecutor is in the best position to delineate the elements of information that he must be able to present to substantiate charges in court, and, consequently, which should be presented to him as evidence at the screening conference. Frequently, almost all of the information can be collected during the initial investigation and the booking process.

The Rand Institute, in its study of the effectiveness of criminal investigations, developed a data form on the basis of discussions with prosecutors, detectives, and police supervisors. The form contained informational elements judged to be needed to effectively prosecute robbery cases. Rand also has indicated that the form can be modified to apply to other crimes. It also has potential utility for investigator training, as a checklist in conducting an investigation, as a performance measure for investigator supervisors, and as an aid to the prosecutor's office in making decisions on complaint filing.⁴

An analysis of the Rand data indicated that virtually all the information that the prosecutor needs can be effectively gathered during the initial investigation. Jointly developed forms which also serve as investigational guidelines may thus be seen as time- and cost-effective, and can play a large part in increasing the ratio between cases accepted for prosecution and cases presented for screening.

It also should be recognized that the 39 informational elements cited in Appendix G to this chapter should only be used as illustrative material. Each agency must determine the informational needs of its own prosecutor if any appreciable improvement is to occur.

4. Assessing the Effectiveness of Criminal Investigation, Volume III, The Rand Institute, 1978, p. 105.

Any new forms developed should be evaluated on the mini-max principal. In order not to create resentment because of increased workload no more than a minimum amount of additional effort should be needed to generate a maximum amount of useful information. Instruction in the use of the new forms can be effectively provided by the prosecutor and his staff.

Identifying Mutual Priorities of Police and Prosecutors

Major developmental effort should be devoted to setting forth joint investigatory and prosecutorial priorities. Since all offenses committed cannot be investigated by police, there is a need for each law enforcement agency to establish priorities of enforcement based on the chief's judgement of the best interests of the community. The failure of managers to set enforcement priorities results in the determination being made by each officer at the street level. Therefore, the police executive should establish priorities to guide his agency in day-to-day general operations.

Enforcement priorities usually are set to address major community concerns or areas of potential difficulty anticipated by the chief. Emphasis may also be placed on those crimes which generate other crimes, such as those related to narcotics and organized drug distribution systems or high-stakes gambling operations. The need to get large amounts of money quickly leads to a whole series of serious crimes: robbery, burglary, street muggings, fraud, murder for hire, loan sharking, and many others.

A clear understanding of the priorities set by the police will help the prosecutor's office gear-up for more effective prosecution of these crimes, particularly if the prosecutor also sees them as priority items. Mutual priorities are preferred in order to increase the combined impact of the police/prosecutor relationship. But, at least an understanding of the priorities of both prosecutors and police should be seen as a

necessity. A prosecutor's commitment to the priority of prosecution of recidivists has well understood implications, and the knowledge of that priority by police officers will affect the style of their investigation and the speed at which an arrested recidivist will be presented for charging.

Mutual priorities should be seen as preferable because of the progress that can be made by both police and prosecutors toward achieving their goals. Interactive goal orientation will tend to bind the two elements into a more professional, cohesive, and unified organization in the interests of justice in the community. Agreeing on and clearly stating mutual priorities also will aid in the development of more effective approaches to dealing with crime. Examples of such approaches run the gamut from special diversionary programs (such as detoxification centers, drug rehabilitation programs, and juvenile management projects) to high-impact crime units (such as multi-agency narcotics units, and the Bronx Major Offender Project). The Bronx Major Offense Bureau Project is a good example of an interactive model that can lend to effective handling of high-priority offenses. (See Appendices to this Chapter.)

Another interactive model is the operation of prosecutors and police investigators who work together as a unit to apply great pressure on specific crime operations in order to increase the total impact of the criminal justice system on relieving the problem. Pioneer efforts in that vein have chiefly been in the area of organized crime task forces in which local, state, and federal forces are jointed interactively over relatively long periods of time to achieve their objectives.

3. Assignment of Liaison Responsibility

Increased activity to strengthen the liaison between police and prosecutors has stemmed from the concept of the police legal advisor. While the police legal advisor chiefly provided legal advice and guidance to police, legal liaison units have been established primarily to provide a working link between the police and the prosecutor's office. The advisor acts as a facilitator of problems arising between the agencies by serving as a legal advisor for police, a point of contact for the prosecutor, and an advocate for both agencies. Other benefits derived from the use of police legal advisors have included more adequate preparation of case statistics and identification of training needs through the information gathered by the advisor. In an appendix to this Chapter is a summary of the Dallas Police Legal Liaison project, an outstanding example of the use of the police legal advisor.

The National Commission on Criminal Justice Standards and Goals listed the following tasks as relevant to the legal advisor's role. Most of these tasks are in support of the overall improvement of criminal investigations:

- Provision of legal counsel to the police chief executive in all phases of administration and operations.
- Liaison with the city or county attorney, the county prosecutor, the State attorney general, the United States attorney, the courts, and the local bar association.
- Review of general orders, training bulletins, and other directives to insure legal sufficiency.
- Case consultation with arresting officers and review of affidavits in support of arrest and search warrants in cooperation with the prosecutor's office.

- Advisory participation in operations where difficult legal problems can be anticipated.
- Attendance at major disturbances--and an on-call status for minor ones--to permit rapid consultation regarding legal aspects of the incident.
- Participation in training to insure continuing legal training at all levels within the agency.
- Drafting of procedural guides for the implementation of recent court decisions and newly enacted legislation.
- Provision for legal counsel and ad hoc projects, grant proposal development, and special enforcement problems.⁵

The Commission also recommended that every police agency with 200 or more personnel hire a full-time police legal advisor, with larger agencies having a legal unit. In justifying the need for larger legal units, the Commission spelled out its enthusiasm for an effective operation as follows:

Among the range of tasks that may be performed by police legal advisors, priority should be given to assisting police administrators in:

- (i) formulating the types of administrative policies that are recommended in these standards;
- (ii) developing law-related programs pertinent to increased understanding of the nature of the policy function, of departmental policies, of judicial trends and their rationale, and of the significant role of the police in preserving democratic processes;
- (iii) formulating legislative programs and participating in the legislative process;
- (iv) maintaining liaison with other criminal justice and municipal agencies on matters primarily relating to policy formulation and policy review, and assessing the effectiveness of various agencies in responding to common legal problems; and

⁵ National Advisory Commission on Criminal Justice Standards and Goals: Courts (1973)

- (v) developing liaison with members of the local bar and encouraging their participation in responding to legal problems and needs of the police agency.

The commentary on the value of the legal advisor was further described in this way:

A police legal advisor should assume a major role in developing strategies and materials for recruit and inservice training. This role, however, should not be limited simply to preparing lectures and materials on the current state of criminal laws and procedure. There is a much broader training need that should be provided by police legal advisors. A legal advisor should ensure that police training programs include adequate attention to the nature of the police role. A police legal advisor should also develop ways to instill in police recruits a high degree of respect and understanding for constitutional protections. Further, he should concentrate attention on getting police recruits to recognize established procedures as desirable guidelines rather than as roadblocks to be avoided.

In addition to developing a better awareness of the police role in a free society, the legal advisor is also in a unique position to utilize training to bridge the gap that exists between the statement of the law as provided by legislatures and the courts and the situations to which the law must be applied.⁷

In performing these various training tasks, the legal advisor can help line officers achieve a better understanding of their complex role in society. For example, in attempting to understand judicial decisions, most officers have little to draw upon except a thorough awareness of the day-to-day problems of battling crime. When explanations of complex legal procedures are cast only against this narrow backdrop, it becomes difficult for the individual officer to develop more than a superficial understanding of the case law. A legal advisor has the background to construct broader gauged training programs, programs that will heighten sensitivity to the competing goals underlying judicial decisions and provide a better foundation for assessing them.⁷

⁶ The Urban Police Function, American Bar Association, p. 244, (1970).

⁷ ibid; cf. National Advisory Commission: Police (1973) p. 280 ss.

Toward An Integrated Program--The record-keeping function of a legal liaison unit should not be minimized. The unit is a perfect place for the compilation and clarification of data from case feedback forms that is so important to the interactive relationship between the police and prosecutor. Here, data can be quantified, problems identified, and solutions developed.

The following procedure may be used to operationalize the unit's activities. An investigator or officer wishing to file charges may contact the liaison unit before going to the prosecutor's office. The liaison unit will advise him or her on the completeness of the case work-up and make suggestions to improve it. If requested, a liaison unit member may accompany the arresting officer to the prosecutor's office for case screening to assist in the filing. After screening, one copy of all case feedback forms will be directed to the unit for analysis and data input. Monthly reports will be generated by the unit for the chief of detectives and the prosecutor detailing the activity during that month, the quarterly totals, and yearly figures.

Methods for Dealing With Problems in the Police/Prosecutor Relationship--

There are always problems associated with change. This section discusses the problems in the police/prosecutorial relationship and some ways they can be dealt with.

The police prepare a case, and the prosecutor presents it. That traditional statement of the two roles was enough in the good old days when there were enough workers to do the jobs. Now we have a crime boom, and the hurry and confusion of trying to keep up with it have mixed up the two jobs. The policeman's momentum carries him into the prosecutor's job, and the prosecutor's concerns bring him early into the investigative job. Like relay runners, they need to keep pace in rhythm during that

critical moment when the baton is passed between them. Each needs an awareness of the other's pace.

The reserve which is often felt between police and prosecutors has discouraged a frank exchange of criticisms. If the management of criminal investigations is to be improved, it is now time to be candid, to take a fearless and searching inventory of the shortcomings in both professions, and then develop ways to improve.

We learn most from our critics. It pays to ask police what is wrong with prosecutors and to ask prosecutors what is wrong with police. There is a remarkable similarity in the gripes that come from each profession. Each has the same three general comments about the other:

- "They have a lot of the wrong kind of people,"
- "They have some wrong attitudes,"
- "They use the wrong methods."

What follows is an inventory of the critical comments received in a systematic survey of opinion on both professions. There were compliments, to be sure, but those are outside the scope of this effort to determine where improvement and change are needed.

POLICE CRITICISMS OF PROSECUTORS

SUGGESTED REMEDIES

Wrong kind of people:

- | | |
|---------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|
| "Rookies" | "Encourage career development to keep the good ones." |
| "Transient" | "Screen applicants for cool heads." |
| "Bookworms in a field of action" | "Supplement law degree with specialized prosecutor training, including 'cadet' duty with police." |
| "Innocents in a bloody arena" | |
| "Insecure, so often officious" | |
| "Timid, so uncommunicative when legal advice is needed" | |
| "Overenthusiastic, meddlers to the point of interference with police functions" | |

POLICE CRITICISMS OF PROSECUTORS

SUGGESTED REMEDIES

Wrong attitudes:

"Patronizing toward cops"
"Suspicious of police methods"
"Prima donnas; grandstander
for political or lawyer
publicity"

"Service on the street"
"Orientation in police academy curriculum"
"Canons of ethics for prosecutors"

Wrong Methods:

"Inexperienced complaint deputies
at the screening desk"
"Superficial screening"
"Peremptory refusals"
"Slow filing"
"Poor liaison, or none, re:
Further investigation,
Settings,
Continuances,
Dispositions,
Plea Negotiations, and
Critiques"

"Assign the old pros and pay them extra"
"Staff up"
"Written reasons, with system for review"
"Systematize"
"Assign people to it from both ends"
"Phone crew with stand-by system"
"Agree on priorities with criteria
for mutual guidance"

PROSECUTORS' CRITICISMS OF POLICE

SUGGESTED REMEDIES

Wrong kind of people:

"Not smart enough"
"Not trained enough"
"Not retrained for advancement"
"Too cynical; even paranoid"
"Too tired; waiting for
retirement"

"Improved recruiting, screening, training,
and retraining"
"Awareness of need for programs to
restore positive outlook & job
satisfaction"

Wrong attitudes:

"Officious"
"Hard-nosed; hostile"
"Uncompromising in negotiations"
"Indiscreet in their associations"
"Dishonesty; the end justifies
means"

"Leadership toward:
Friendliness,
Cooperation,
Accommodation,
Discretion, and
Integrity"

Wrong methods:

"Low standard recruiting"
"Shallow training"
"Poor training for advancement"
"Bureaucratic buck-passing,
'It's the DA's case now.'
"Poor crime-scene preservation"
"Casual evidence-gathering:
Quit at Probable Cause
Omit an element
Omit negative proof
Superficial interviews"
"Incomplete reports and Statements"
"Insufficient warrant affidavits"
"Concealing exculpatory facts"
"Manipulating testimony to fit need"

"Attract more and better"
"Improve the academy"
"Add management courses"
"Emphasize the common objective"
"Train and monitor with a system to
catch and correct mistakes"
"Perfect a format and monitor its
use"
"Teach practical ethics and
fundamentals of the investigator's
mission"

The fact-finding process we have always called "investigation" is for a larger purpose than simply satisfying the investigator that he has solved the crime. "Evidence acquisition" is a much more accurate way to stress the policeman's duty to gather and report all the meticulous details which will be needed to produce a conviction.

The prosecutor is the policeman's lawyer; his service is valuable in three aspects of a case from the very outset:

1. Identifying what is needed to establish proof.
2. Reminding officer of exclusionary rules to avoid.
3. Pointing out civil liabilities.

As a case is developed, lawyer and policeman work together in perfecting the evidence and conferring in plea negotiations. At trial, the investigator's role as the advisory witness at counsel-table is satisfying to him and precious to the lawyer. Whatever the outcome, they share the consequences.

Beyond the reforms which have been suggested for the separate attention of prosecutors and police, there are some mutual measures they can share. Each can make available teachers for the other's training programs, designate liaison people for full-time communication, praise the other publicly wherever deserved, publish joint bulletins, lobby the same legislation, share social and recreational activities, and like each other. We work best with the people we like.

5. Steps in a Model System For Developing an Effective Police/Prosecutor Liaison

1. Commitment--The first and most important element in developing an effective liaison between police and prosecutor is the commitment to do so by the chief executives of the agencies. If the commitment does

CONTINUED

2 OF 4

not already exist, in many cases it will emerge as the executives become aware of the obvious benefits that can be gained by both as a result of the liaison.

2. The Initial Approach--To begin to develop an effective police/prosecutor liaison, someone has to take the first step. An initial contact needs to be made on an executive-to-executive level to set up a planning meeting. The person who initiates the contact should provide a general outline about where the project should be headed, how the destination can be reached, and the benefits that can be derived from the effort. Both executives, it is hoped, will develop an acute and contagious case of enthusiasm and provide an energetic start to the liaison's development. A follow-up meeting should be set for two to five days later, when ideas and methods of developing a solid foundation should begin to emerge.

3. Monthly Executive-to-Executive Meetings--A firm schedule for executive meetings should be established. Although the executives should be encouraged to bring a limited number (one or two) of staff personnel with them to the meetings, sending delegates to serve in place of the executive should be strongly discouraged. The meetings should be businesslike in manner, and a frank and open discussion of issues should be encouraged. The development of mutual, verbalized goals and objectives should be an initial task in the meetings, and the results should be communicated throughout both agencies. These executive meetings, if used properly, should become an effective vehicle for constructive change for both organizations.

4. Commitment to a Systems Approach--Only if both the police and the prosecutor view themselves as interlocking parts of the same system can any

improvement in their relationship be expected. Lasting positive interaction can only be achieved if a systems approach to change is used, and all the impacting and balancing considerations are built into the system to make it flexible over time. "One-shot" changes die from neglect. As its name implies, a systems approach takes into consideration all aspects of a system. For example, a feedback system on case dispositions will serve no useful purpose if the information is routed back to a records clerk who simply files it away. Feedback should be routed to the investigator, the investigation supervisor, and top management and training. These persons should keep records of the feedback and periodically summarize it for the chief, making observations and recommendations as appropriate. As with all paperwork, the utility of feedback forms and the system should be reviewed yearly by a management team to update, modify, or make deletions as necessary.

5. Information Needs--To achieve the goal of prosecuting a higher percentage of the cases presented for screening, it is essential to provide all the information the prosecutor's office needs to properly evaluate the prospects of winning each case in court. When a determination of all the prosecutor's information needs has been accomplished, the police executive should concern himself with determining his own management information needs. Proper management cannot take place without knowledge of the goings on of the unit to be managed but, on the other hand, information overkill is always a possibility, particularly when a computer is used. Management information should be concise, to the point, and consist of no more facts than can be used to make decisions. Information clutter has taken its toll on executives who have found their systems managing them rather than vice versa. A clear delineation of information needs should be developed and formalized in written form.

6. Joint Utilization Forms--From the previous step the informational needs can be transcribed as entries on to experimental forms to see if the forms satisfy the informational needs of everyone concerned. The prosecutor's needs can be incorporated into an investigation form. (See Model Investigation Form A in Appendix G to this Chapter) and booking form. The data for police managers can be provided on a case screening form that is completed at the time of screening in the presence of the investigator. Such a form could also conceivably be used to notify officers, victims, and witnesses of the case disposition. There may even be a need for a plea negotiation sign-off form (See Case Feedback Form B in Appendix G).

7. Setting Prosecutorial Priorities--The two chief executives will both profit by unifying their priorities for prosecution. If street crime is the police executive's worst headache, he and the prosecutor may agree to set street crime as the crime with the highest priority. In this case, the prosecutor would agree to prosecute all street crimes which were properly prepared, and request high bail to keep the criminal off the street. Some agencies have listed robberies as their highest priority, others burglary. Still others have made recidivists their prime targets.

8. Special Needs/Remedies--A good rapport between the police and the prosecutor has been instrumental in setting up several potentially effective types of units. The Bronx Major Crime Unit has been quite effective over the years in providing swift and efficient justice. Joint investigator/prosecutor investigation teams have been established, and have proven to be useful in many areas, particularly with respect to broad-spectrum crimes such as narcotics operations, organized crime, sex crimes, and vice.

Another method of improving relations which is now seeing considerable service is the practice of assigning deputy prosecutors to be on call for specific geographic areas, to specific investigator units, or simply as an overall after-hours resource to agencies.

Many police agencies throughout the nation have improved upon their investigative outcomes, measured in terms of an increased ratio of prosecutions to number of the arrests made for serious crimes, by developing a working relationship with the prosecutor which, as a beginning point, promotes the following interrelationships:

- A formal feedback system on case dispositions to keep police management informed re: investigative activities.
- A formal police/prosecutor liaison unit or person who develops a fuller exchange process between the two elements of the criminal justice process.
- A greater degree of involvement on the part of the prosecutor in the development of adequate standards of case investigation and preparation.

The benefits to be derived from a well developed formal relationship with the prosecutor's office are substantial and worth the development effort required by the police agency.

APPENDIX A
(To Chapter 4)

DALLAS, TEXAS, LEGAL ADVISOR

The Dallas Police Legal Liaison Division Project was named an Exemplary Project and was publicized by LEAA/OTT in March, 1976. The experience of the Dallas Police Department in establishing a program that has achieved remarkable results in its short history is a prime example of the benefits to be gained by careful and conscientious planning to reaching specific goals. The Dallas project is truly exemplary.

The Dallas Police Department recognized that the individual patrolman routinely makes decisions on matters that require a delicate balancing of important social issues and legal considerations. If his judgement is short of the mark, the mistake may doom a case, particularly if the error involves the exclusionary rule. The National Advisory Commission on Criminal Justice Standards and Goals concurred emphatically on this point in its report on police.

Prior to 1973, it was noted in Dallas that a high percentage of felony arrests resulted neither in convictions nor in acquittals. Many cases were screened out of the criminal justice system at various decision-making points: prosecutor case intake, preliminary hearing, the grand jury, and the trial judge. Such was the case in Dallas and in a vast majority of American jurisdictions. Few agencies, however, had even attempted until then to develop systematic procedures to find out what happens to apparently good cases made on the street.

Those critical issues prompted the Dallas Police Department in 1973 to create the Police Legal Liaison Division. Several assistant city attorneys were hired for the Division and were placed on call 24 hours a day to advise police officers on case preparation and to gather information about those cases that do not go forward to a guilty plea or conviction.

The Dallas project has had significant impact on the quality of case preparation and the ultimate outcome of the cases filed.

The Dallas project created a strong, cohesive team by successfully linking two parts of the criminal justice system that often operate in isolation--the police and the prosecutor. As a result, fewer cases have been rejected by a grand jury or dismissed by a judge. The project participants also reported more informed decision making by police, and a greater respect for citizens' constitutional rights.

Since the careers of today's senior administrators began, police work has become more difficult, more complicated, and more professional. A large part of that change, according to the Dallas Exemplary Project Manual, is the result of rapidly expanding legal developments, including new statutes, court decisions, and reform in court procedures. The most publicized aspect of these developments is the creation of strict safeguards of the constitutional rights of the accused--the "Miranda warning;" strict scrutiny of probable cause for arrest, search, or seizure of evidence; tough testing of the sufficiency of warrants; and restrictions on the use of tape recordings and wiretaps.

Recruit Training: All Dallas police recruits undergo 72 hours of training in legal matters taught by the attorneys of the Legal Liaison Division. The legal advisors also develop and update materials for the courses they teach.

Providing In-Service Training: The lawyers periodically conduct refresher sessions for all officers in the department. They also give a special course for jail supervisors which covers the laws of arrest, search and seizure, evidence, and revisions of criminal laws that concern jail officials.

Providing General Law Counsel: Acting as "house counsel" is one of the most vital and time-consuming services the legal advisors perform. The Legal Liaison office gives fast, over-the-phone advice, to practically any member of the Department who requests it. Usually the caller is an investigator asking for legal analysis of a specific incident that resulted in an arrest.

Organization

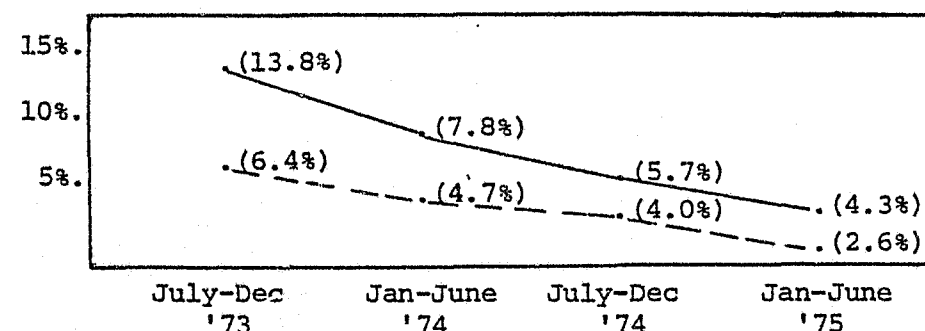
The police legal team in Dallas consists of five full-time attorneys, including the project director. Each lawyer is assigned to specific units within the department and to geographic stations of the patrol bureau. This method fosters a strong lawyer-client relationship between the individual attorney and his assigned division. The lawyer develops personal expertise in the work of the division, while the line members of the division develop personal loyalty to their lawyer.

The Legal Liaison Division is on call every moment of every day. A rotating duty schedule puts one lawyer on call every fifth week from Monday morning through the next Monday morning. The lawyers drive city cars with police multichannel radios, and carry pocket paging devices so that anyone on the police telephone network can signal them.

Legal Independence

With the exception of the Project Director, the division's lawyers are not sworn officers. All but the director are Assistant City Attorneys on assignment to the Dallas Police Department. Though independence from the police department is a departure from the norm, it is strongly endorsed in Dallas for two reasons. Because lawyers are not employed by the police command component, line officers reportedly find it easy to relate to them as their own counsel. In addition, using Assistant City Attorneys as police advisors brings the City Attorney's Office and the Police Department into closer coordination.

The Impact of The Dallas Legal Liaison Division



———— Percent of "no bills" due to police error
 ----- Percent of dismissals due to police error

In the midst of these legal developments, and facing a general rising incidence of reported crime, stands the police officer. If he fails to keep pace with the legal changes, or if his judgement in a difficult street incident is in error, both the rate of crime and the police image may suffer as a result. The Dallas Police Legal Liaison Division was created to prevent and correct police legal error. It provides training and legal counsel to staff-level police officers, investigators, and line police officers. The Division, in addition to the provision of on-call legal advice, screens all cases for legal sufficiency and conducts comprehensive case follow-ups.

The program began as a traditional police legal advisors unit in 1970 staffed by two sworn officers who also were lawyers. The two worked primarily with the department's upper echelon on legal and policy matters. They also prepared legal materials for training use, represented the department in legal proceedings, and served as a legal liaison with the city, district and United States attorneys, and other law enforcement personnel.

In 1973, more lawyers were added to the Dallas department which began testing what was considered to be a novel concept: new civilian lawyers would have as their clients the rank-and-file of the department. The lawyers' assignment was to provide documents review, legal training, and advice to line officers and investigators. Their purpose was to remedy the department's legal shortcomings, such as improper searches, poorly drafted documents, and bad warrants. Their overall task was to help the police build better cases by preventing legal error (through training and consultation) and intercepting police legal error at an early correctable stage (through case and document review). The new approach has proven so successful that the Legal Liaison Division is now an integral part of the Dallas Police Department and is totally funded by the city.

Duties of the Legal Advisors

Reviewing Case Documents--A key element of the project involves the review of all prosecution reports prepared by police officers except traffic and petty misdemeanors. Those free of legal error are submitted to the district attorney's office for filing with the appropriate court. Deficient reports are returned to the police officer for revision. The total number of reports checked often exceeds 2,000 per month.

Reviewing Warrants and Affidavits--Most warrant activity comes from the Criminal Investigation Division whose investigators are not required to confer with the Legal Liaison Division before seeking a warrant, but are encouraged to use the lawyers in any unusual or troublesome case. When consulted, the lawyer generally reviews the entire case with the investigators and drafts the documents himself. The Legal Liaison Division helps prepare about a tenth of the total number of affidavits for warrants drawn up by the Department.

Monitor Police Error: The lawyers follow all major cases through the grand jury and court systems. They do so both to check on the effectiveness of the documents review system and to pinpoint areas in which improvements are needed for police or the legal division. Monitoring is accomplished through cooperation among division attorneys, police officers assigned to the Legal Liaison Division, and Assistant District Attorneys. Through this joint effort, the Division learns which cases are not billed or dismissed because of police error and how to prevent similar errors in the future.

Before both Grand Juries and Courts there has been a substantial decrease in the proportion of case failures due to police error. About 1,170 more cases per year are meeting the requirements of grand juries and judges as a result of decreased police error.

Reportedly, the Police Department and the District Attorney's Office have never worked together more productively. The District Attorney's Office lauds the police for prosecution reports that are easily the highest quality in Dallas County. More universally correct police procedures appear to be emerging as a result of the continued interaction, thus impacting on the overall quality of police service and citizen satisfaction.

Practical Tips from The Dallas Experience

1. The Dallas Lawyers are insulated from police department pressures and politics. They are hired by the City Attorney, not the police. Their objectivity enhances their ability to genuinely help the police.
2. The Dallas lawyers have excellent client relationships. They get along well with the police, and vice versa. The project was carefully designed to promote close working ties, and because they are assigned to specific bureaus and to specific geographic territories, they interact regularly with the same policeman. The convenience of being able to "ask our lawyers" has turned skeptics on the force into ardent believers.
3. The police do not have to wait for appointments. It is easy for a policeman to contact his legal advisor. Dallas makes sure the lawyer's office is handy to the division he works with most. In an investigation, police personnel are encouraged to consult the lawyer early. The Dallas Police staff attorneys drive radio-equipped cars and carry "beepers." At least one attorney is on 24-hour call every day of the week.
4. The lawyers have forged a stronger alliance between police and the District Attorney's Office. Because he lacks manpower for many in-house legal tasks, the District Attorney values the case screening that police legal advisors perform. He says their help in preparing prosecutions has steadily diminished his backlog of critical cases over the past two years.
5. The lawyers constantly review all police investigative work. They give informal advice on investigations, prepare search and arrest warrants, review all prosecution reports and, monitor all grand jury "no bills" and court dismissals.

APPENDIX B (to Chapter 4)

AN OUTLINE OF THE TRAINING GUIDE
FOR POLICE OFFICERS PREPARED BY THE
OKLAHOMA DISTRICT ATTORNEYS' ASSOCIATION

Training Guide for Police Officers
Oklahoma District Attorneys Association
4020 Lincoln Blvd. Suite 201B
Oklahoma City, OK 73105
(405) 427-5419

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1. Direct Evidence
2. Circumstantial Evidence
3. Cumulative Evidence
4. Corroborative Evidence

C. Procedure on Admission of Evidence

D. Relevance of Evidence

1. The Rule
2. Character Evidence - A Problem of Relevancy

- a. Definition
- b. Use
- c. Exceptions

(1) Evidence of Other Crimes

- (a) Identity
- (b) Common Scheme
- (c) Motive
- (d) Intent

- (2) Evidence of Reputation and Opinion of Character
- (3) Character Evidence to Reflection Credibility
- (4) Evidence of Victim's Character to Prove Probable Conduct

E. The Hearsay Rule and Exceptions

1. Definition and Rationale

- a. Oral Statements
- b. Writings
- c. Assertive Conduct

2. Exceptions to The Hearsay Rule

- a. Reported Testimony
- b. Admissions
- c. Confession
- d. Declarations Against Interest
- e. Dying Declarations
- f. Business Entries
- g. Public Records
- h. Declarations of Physical Condition
- i. Declarations of Mental Condition
- j. Res Gestae

F. Opinion Evidence

1. By Lay Witness

- a. Personal Observation
- b. Normally Made Opinion

2. Expert Opinions

- a. Witness Qualification
- b. Subject Matter Specialized
- c. Basis of Opinion

G. Impeachment and Rehabilitation

1. Grounds for Impeachment

a. Character Impeachment

- (1) Impeachment by Showing Conviction of A Crime
- (2) Impeachment by Showing Misconduct Not Related to A Conviction
- (3) Impeachment by Showing Poor Reputation for Truthfulness

- b. Impeachment by Showing Hostility, Bias, Adverse Interest
- c. Impeachment by Showing Prior Inconsistent Acts or Statements

2. Rehabilitation of Witnesses

H. Privilege

1. Husband and Wife Privilege

- a. For or Against
- b. Confidential Communications

- 2. Attorney & Client Privilege
- 3. Physician and Patient Privilege
- 4. Clergyman - Penitent Privilege
- 5. Identity of Police Informants
- 6. Self-Incrimination

I. Burden of Proof

J. Other Items

- 1. Chain of Custody of Evidence
- 2. The Best Evidence Rule
- 3. Corroboration of An Accomplice
- 4. Witness's Appeal to The Trial Court
- 5. Questions of Law v. Questions of Facts and the Interrelationship of Case Law and Statutory Law
- 6. Corpus Delicti
- 7. Self-Incrimination

II. Weapons Law

A. Police Weapons Use

- 1. When a Law Enforcement Officer May Carry His Firearm
- 2. Manner of Use of Firearm (Muskogee Police Policy Manual)

a. May Be Used When:

- (1) Defense of Life After Other Means Have Failed
- (2) To Kill A Wounded or Dangerous Animal Upon Orders From A Supervisor
- (3) At An Approved Target Range

b. May Not Be Used When:

- (1) Firing A Warning Shot
- (2) Firing At Moving or Fleeing Vehicles for Traffic Offenses
- (3) A Misdemeanor Incident
- (4) When in Doubt

c. Discharge of Firearms Report

d. Display (Unholstering) of Firearms

B. General Weapons Law

- 1. Carrying a Concealed Weapon/Exceptions
- 2. Carrying a Firearm After Former Conviction of A Felony

- a. Oral Statements
- b. Writings
- c. Assertive Conduct

2. Exceptions to The Hearsay Rule

- a. Reported Testimony
- b. Admissions
- c. Confession
- d. Declarations Against Interest
- e. Dying Declarations
- f. Business Entries
- g. Public Records
- h. Declarations of Physical Condition
- i. Declarations of Mental Condition
- j. Res Gestae

F. Opinion Evidence

1. By Lay Witness

- a. Personal Disavowal
- b. Normally Made Opinion

2. Expert Opinions

- a. Witness Qualification
- b. Subject Matter Specialized
- c. Basis of Opinion

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d. Display (Unholstering) of Firearms

B. General Weapons Law

- 1. Carrying a Concealed Weapon/Exceptions
- 2. Carrying a Firearm After Former Conviction of A Felony

C. General Weapons Provisions

1. May Be Carried When:

- a. Hunting
- b. Competition Shooting
- c. Gunsmith, if unloaded
- d. Store, if unloaded
- e. Military Function
- f. Gun Show, if unloaded
- g. Private Trade, if unloaded
- h. Entertainment purposes
- i. Any Other Legitimate Purpose

2. Firearm in A Motor Vehicle
3. Carrying or Using Firearms While Under Influence of Intoxicating liquor or drugs
4. Furnishing firearms to mentally incompetent or insane persons
5. Pointing firearms

III. Lineups and Showings

- A. The Forced Participation Issue
- B. The Right to Counsel During A Lineup
- C. Lineup Method and Procedure
- D. Accused Has No Right to A Lineup
- E. Obtaining "fill-ins" for lineups
- F. Criteria for Lineups

IV. Basic Search and Seizure Principles

A. Exclusion Rule: Mapp v. Ohio

B. Categories of Legitimate Searches

1. Personal Observation by Officer
2. Heresay Information of Reliable Informant

C. Exceptions to Warrant Requirement

1. Incident to Lawful Arrest - Arms reach, or Immediate Physical Control Test
2. The Automobile Exception - Independent Probable Cause Test and Police Inventory
3. Exigent Circumstances - Hot Pursuit Test
4. The Plain View Doctrine - Officer Legally There
5. Stop and Frisk - Terry v. Ohio, Pat-down Type Search
6. Consent Search - Knowing and Intelligent Waiver

D. Pursuant to A Valid Search Warrant

1. Search Warrant Defined
2. Probable Cause Must be Shown
3. Execution of Search Warrant
4. May Be Served When -
5. Void After 10 Days
6. Return of Search Warrant

E. Affidavits Must Contain One of:

1. Personal Observation by Police Officer
2. Heresay Information of A Reliable Informant

- a. Personal Observation
- b. Admission by Principal

3. Magistrate Determination of Reliable Informant

- a. Length of Time Known
- b. Reputation for Truth Good
- c. Number of Occasions Informant Has Furnished Accurate Information
- d. General Instances of Past Correct Information
- e. Informant Observed Contraband or Received Admission of Principals in Possession

4. In Case of "Citizen Informant"

- a. Good Community Reputation
- b. No Prior Criminal Record
- c. Gainfully Employed

F. Misrepresentation of Facts Invalidates Warrant

G. Procuring Search Warrant Without Cause: A Misdemeanor

H. Types of Property Which May Be Searched for:

1. Contraband
2. Instrumentalities of The Crime
3. Fruits of The Crime
4. Weapons
5. Mere Evidence

I. Exceptions to The Warrant Requirement

1. Incidental to A Lawful Arrest - "Immediate Physical Surroundings"

- a. Weapons
- b. Evidence

2. The Automobile Exception: preconditions:

- a. Independent Probable Cause
- b. Exigent Circumstances

3. Automobile Search Grounds

- a. Incidental To An Arrest - (Chemical)
- b. Independent Probable Cause (Carroll)
- c. Plain View (Baxter)
- d. Consent (Miranda - type)
- e. Inventory Policy of Impounded Vehicles

4. Exigent Circumstances
5. Plain View
6. Stop and Frisk (Terry v. Ohio)
7. Consent

V. Search and Seizure Case Citations

VI. Suspect's Rights

A. Confessions

1. General Rule: Miranda v. Arizona
2. "In-Custody"
3. Waiver
4. Voluntariness

B. General Questioning of Citizens v. Custodial Interrogation

1. Voluntary
2. Involuntary w/ Justification

VII. Police Civil Liability

- A. Oklahoma Law on Civil Liability
- B. Federal Law on Civil Liability
- C. Legal Representation

VIII. Memos on:

- A. Defending One's Property with Dogs, Spring Guns and Hand Weapons
- B. Admissibility of Tape Recorded Evidence
- C. Statutes and Cases on Conspiracy and Conspiring to Knowingly Receive Stolen Property
- D. Attempted Knowingly Receiving Stolen Property
- E. Feigned Accomplice Exception to The Rule of Corroborating The Testimony of An Accomplice

IX. Report Writing

- A. Requirements of Reports
- B. Obtaining Investigative Information
- C. Guideline for Obtaining Information from Witness/Victim
- D. Witness Line-up Identification Form
- E. Waiver of Counsel for Line-up Procedure

X. Crime Scene Search

- A. Crime Scene Protection
- B. Recognizing Evidence
- C. Collection and Presentation of Evidence
- D. Chain of Evidence
- E. Examples of Certain Items of Evidence Which Should Be Investigated In Specific Crimes

APPENDIX C

(To Chapter 4)

THE LOS ANGELES APPROACH

From a speech made by Los Angeles
Chief of Police, Edward Davis, at
the First Annual Meeting of the
Association of State Chiefs of Police
Associations, Fargo, North Dakota
July, 1975

Many police executives have an informal relationship with their chief prosecutor, but formalized meetings to force business-related interactions, the relationship is pretty much hit-or-miss. Whether business is discussed or mutually beneficial decisions are reached is pretty much left to chance.

In Los Angeles, a specific day is set aside each month for the chief executive officer of each of the components of the criminal justice system in the area to meet for lunch to discuss the way their systems are interacting with each other. In this way, gripes and differences of opinions are laid open on the table and solutions may be worked out that are feasible and don't impact unfavorably on the other components involved. As much candor as possible is encouraged; so is input from any executives who have concerns.

Several rules have kept the system operating, and may be given credit for its success. The first important rule is that only the top individual in each component can attend. Therefore, the decisions made are not diluted by not having a commitment from the real decision maker. The second important rule is that the meeting schedule be adhered to as a matter of the utmost importance to each individual. If the meetings had become a "sometime-thing", the relationships would have been substantially loosened, along with a concomitant loosening of the ability to impact on the functioning of the system as a system instead of independent parts. The personal relationships of the individuals involved have become stronger; the commitment toward working together, stronger; the functioning of the system, more unidirectional; and the interests of justice, better served. The strengthening of personal relationships also has made it easier to pick up the phone and call other members whenever day-to-day crises arise and make better, more interactive decisions.

The Los Angeles experience points up an important aspect of setting up a working relationship between prosecutors and police executives. Direct face-to-face meetings where the order of business is to direct, but there is a willingness to compromise can establish a liaison which works and transcends the ability of each agency to achieve its goals independently. As in all affairs dealing with people, the Los Angeles approach is not perfect, but it can readily be seen that it is far better than nothing at all.

APPENDIX D

(To Chapter 4)

INDIANA: TRAINING SEMINARS

From a presentation made to the
Second Police-Prosecutor Relations
Institute held by the National Dis-
trict Attorney's Association in
Las Vegas, April, 1975

David Bahlman, former Executive Director of the Indiana Prosecuting Attorney's Council has used a rather unique method of getting all the criminal justice system components together and starting dialogue to address the underlying, real, substantive problems that have grown to form barriers between them. Dialogue, the first step toward establishing an interactive relationship, has two prerequisites: First, there must be a meeting of the individuals involved held in a setting removed from the constant clamor of everyday work. Second, there must be serious discussion of the roots of problems and how barriers to solution can be overcome.

The problem of developing improved communication was approached in a training seminar. Attendees were invited from all the major elements of the criminal justice system -- law enforcement personnel, prosecuting attorneys, correctional personnel, and judges. Each of the criminal justice personnel was asked to bring ten cases (examples) of other components causing a breakdown of the system. When the seminar began, the attendees were divided into their respective homogenous groups and asked to identify their perceptions of the roles of the other criminal justice agencies as well as their own perceived roles. Following the delineation of perceptions, the groups were broken up and reformed in mixed groups to examine the role conflicts, reasons for them, and ways to reduce the conflicts.

One way of progressing from the excellent groundwork laid by the state of Indiana might be to have the groups brainstorm for ways of developing working relationships that create new benefits for both police and prosecutors in addition to the intrinsic benefit of smoother interactions on routine cases.

APPENDIX E

(To Chapter 4)

BRONX, NEW YORK

MAJOR OFFENSE BUREAU

The Major Offense Bureau conducts an ongoing operation aimed at reducing the court backlog and improving the quality of case preparation and case disposition. Predicting that a speedy trial with limited plea negotiation would work in the interest of justice, the Bronx County Major Offense Bureau has achieved an enviable record of an average disposition within 90 days of the offense, and a 96 percent conviction rate. Ninety-three percent of those prosecuted by the Bureau received prison terms. The average maximal sentence has been over 10 years, while the minimal sentence has averaged in excess of three years. By comparison, in a control group, the average maximum was less than three years while the minimum was less than six months.

The purpose of establishing a Major Offense Bureau was to provide a capable and objective method of isolating those cases in which special prosecutorial attention was warranted either to deal with a particularly vicious crime or a particularly vicious and recidivist defendant. It also was to minimize the inconsistencies in the treatment of similar cases and reduce the time required between arrest and final disposition.

In order to identify a "major offense", four criteria were used to screen cases: (1) the nature of the crime charged; (2) the heinousness of the offense, based grievously on the extent of personal injury and property loss or damage; (3) the propensity of the defendant to commit violent crime, based primarily on the nature of his or her prior criminal record and background; and (4) the strength of the case, based primarily on the facts and evidence available.

APPENDIX F

(To Chapter 4)

OKLAHOMA DISTRICT ATTORNEY ASSOCIATION

A COMPREHENSIVE TRAINING GUIDE

The Oklahoma District Attorney's Association, which functions to improve the quality of police/prosecutor relations in that state, developed a comprehensive training guide for police officers. Because of its recognition that many problems between police and prosecutors occur as a result of being presented for prosecution with either incomplete or with illegally obtained evidence, the Association puts its efforts into legal training.

The 67-page training guide covers most of the areas of concern to patrol officers and investigators. The guide has had a major impact on improving the legal expertise evidenced by police officers who have received the training and has significantly improved the quality of cases presented for prosecution. The contents of the training guide have been reproduced to illustrate the breadth of the material included.

APPENDIX G

(To Chapter 4)

MONTGOMERY COUNTY, MARYLAND

In Montgomery County, Maryland, a liaison has been set up between the State's Attorney's Office and the County Police Department. A police sergeant has been assigned directly to the State's Attorney Office to smooth the interaction and serve as a communication facilitator and buffer between the two organizations. Additionally, the liaison sergeant assists in scheduling officers' appearances in court and in deciding minor issues on the cases.

The State's Attorney's Office additionally assigns members of his staff to be available to specific detective units to answer questions and assist in developing cases as requested. For example, one assistant state's attorney is assigned to the Homicide, Robbery, and Sex Crime Unit; another to Forgery; another to Burglary and Crimes Against Property, etc.

The State's Attorney's Office additionally assigns prosecutors to each court building to assist patrol officers in the geographic area.

APPENDIX H
(To Chapter 4)
MODEL
CASE FEEDBACK
FORM AND
CASELOAD REPORT

List all other interviews conducted and persons contacted other than the witnesses listed on page 1. Tape record all interviews and identify all tapes by case number/ chrono number and badge no.

INDICATE WITH PROPER CODE IN BOXES PROVIDED PERSONS RELATIONSHIP TO INVESTIGATION W-1 WITNESS #1, W-2 WITNESS #2, R-REPORTING PERSON, P/K PERSON WITH KNOWLEDGE INCLUDING REPORTING PERSONS NAME IF DIFFERENT FROM VICTIMS/ IF CITIZEN INFORMATION FORM R.P.D. 1148 IS LEFT WITH ANY OF THESE PERSONS INDICATE BY CIRCLING PERSONS DESIGNATED.			
ADDRESS	APT. #	PERSON INTERVIEWED RESIDENCE PHONE DAY NIGHT	INFORMATION PROVIDED - USE NARRATIVE IF NEEDED
ADDRESS		PERSON INTERVIEWED	
ADDRESS		PERSON INTERVIEWED	
ADDRESS		PERSON INTERVIEWED	
ADDRESS		PERSON INTERVIEWED	
ADDRESS		PERSON INTERVIEWED	

Describe force used

What was the method of the suspect's escape?

If a gun was used, was it loaded? Description:

How was it acquired?

What is the location of the weapon now?

Rest of physical evidence?

SUSPECT: Was the suspect under the influence of alcohol or drugs?

Does the suspect have an alcohol or drug abuse history?

Is there past evidence of past psychiatric treatment of the suspect?

Is there evidence of prior offenses by the suspect?

Was the suspect advised of his rights?

What is the suspect's parole or probation status?

Is there evidence of the suspect's motives?

What is the suspect's economic status?

Where is the victim employed?

If multiple suspects, what is their relationship?

What are the details of the suspect's defense?

VICTIM/WITNESS:

What is the credibility of the Witness(es)?

Which Witnesses can make a contribution to the case prosecution?

Were Mug Shots shown to the Victim(s) or Witness(es)

If shown, describe the procedure and results if not noted in the narrative:

Was a line-up conducted? If so, describe procedure and results:

Was an effort made to lift fingerprints at the scene? If done, were usable prints obtained?

Were photos taken at the crime scene? Is the exact location from which the photos and prints were taken given? Where are the prints and photos to be kept?

Did the victim verify his statements in the crime report? Did the victim have improper motives in reporting the offense? Explain if necessary:

ARRESTS: What was the legal basis for search and seizure?

How was the location of the evidence learned?

How was the location of the suspect learned?

How was the arrest of the suspect made?

THE MONITORING SYSTEM

A Monitoring system is essentially a Management Information System which provides police administrators and managers with timely and pertinent data concerning the effectiveness of the several key components of the total investigative system. It is aimed at evaluating a broad range of indicators which are critical to effective management within a police organization.

The purpose of this chapter of the Manual on Managing the Criminal Investigation Process is to explain how a system of monitoring criminal investigation activities can be designed and implemented. The first section explains why a monitoring system is an important part of any effort to improve the effectiveness of investigations. The second section provides a description of the components of a monitoring system. The following sections describe how a monitoring system should be developed and implemented.

Included throughout this chapter are a series of self-analysis forms which should be completed by the police administrator. These forms will help the administrator apply the concepts of monitoring systems to his own police agency. Since there is no absolute format for all monitoring systems, these forms can guide the police administrator in establishing his own criteria upon which he can base judgments about the effectiveness of criminal investigations.

The System Rationale

The improvement of investigative effectiveness must focus on three important types of issues: organizational, productivity, and procedural. Finding the best way to organize the police resources for effective criminal investigations hinges on the answer to questions related to centralization vs. decentralization of the investigative function and generalist vs. specialist

investigative assignments. How these questions are resolved has a direct impact on the police agency's allocation of resources.

The second issue is productivity. All types of city government agencies have found it increasingly difficult to obtain enough personnel. In many instances, fiscal pressures on municipal government have resulted in personnel attrition, causing fewer employees to be available to deal with increasing demands for police service. This has caused police administrators to focus their attention on workload analysis and performance evaluation in an effort to maximize the output of all their personnel.

The third issue is investigative procedure. The detective "mystique" which exists in so many police agencies has made it difficult to identify exactly what procedures an investigator follows to solve a case. Recent studies have shown that much investigative effort undertaken by detectives duplicates the efforts of patrol. There is a need to focus on developing procedures of criminal investigation that are most likely to maximize investigative outcomes: the identification of the offender, apprehension, and the presentation of prosecutable cases which may lead to a conviction.

There is little agreement on how best to go about improving organization, productivity, and procedures. Only recently has attention been focused on them. Therefore, approaches that have been tried and that have met with success are not widely known. The most successful approaches to improving investigative effectiveness are those described in former parts of this manual:

- Enhancement of the uniformed officer's participation in the investigation of criminal cases,
- Early closure of some investigations,

- Case management of continuing investigations, and
- Improving the relationship between the police and the prosecutor.

To this list, we can now add:

- Improving the allocation of investigative resources within the police agency.

Each of these reforms affects the performance and effectiveness of detectives. Each has specific objectives and goals. For the police administrator to know whether these objectives and goals are being achieved, some system of monitoring investigative performance is required. While many administrators believe they already have a broad picture of the effectiveness of the investigative process in their agencies, it has been found that the factual basis upon which such assessments can be made is only attainable through a system for monitoring criminal investigations.

Self-Analysis Form 1 provides the administrator with the opportunity to determine how much information he has available about his investigative performance. Questions on this form reflect the concerns many administrators have about the outcomes of the investigative effort. But, a new set of concerns will emerge if the administrator implements the concepts described in previous sections of this manual. The improvement of uniformed officers' investigations (both initial and follow-through types), implementation of early case closure, improved relationships between the police agency and the prosecutor, and changes in investigative resource allocation all need to be monitored and the results(outcomes) assessed. Assessment of performance requires the administrator to develop performance criteria standards which will be applied to the information provided by the monitoring system. The performance criteria are the administrator's guide to making judgments about

the quality of the criminal investigation system in his department. Self-Analysis Form II provides a means for the administrator to indicate the basic criteria he believes to be most important.

SELF-ANALYSIS FORM I

Investigative Operations Data

This form is to provide an opportunity to assess the level of substantive knowledge about the operations of investigations in a police agency.*

For each statement below, check whether the statement is true, false, or the information not available.

	TRUE	FALSE	NOT KNOWN
1. Investigative workloads in the police department are equal.			
2. Clearances vary according to time spent on follow-up investigations.			
3. Reclassification of crimes occurs equally throughout the city.			
4. Investigators clear more cases than uniformed police officers.			
5. Each patrol district is equally effective in clearing cases.			
Fill in the spaces at the end of each question below.			
6. Percent of cases cleared after preliminary investigation:			
7. Percent of cases cleared by an on-scene arrest:			
8. Percent of cases cleared after a follow-up investigation:			
9. Average duration of follow-up investigations:			
10. Percentage of cases still active after 30 days:			
11. Number of assigned cases per investigator each day:			

*Participants in the Executive Training Program Workshop will have opportunity to discuss their self-analysis with workshop leaders and other participants.

SELF-ANALYSIS FORM IIInvestigative Performance Criteria

This self-analysis form is intended to provide an opportunity to develop a sense of what "good performance" means when referring to parts of the investigative process.

For each part of the investigative process listed below, 1) Identify the objectives of the process and 2) Describe how success can be measured, (such as what types of statistics or data would show "good performance.")

INITIAL INVESTIGATIONS

Objectives:

Measures of success:

EARLY CASE CLOSURE

Objectives:

Measures of success:

FOLLOW-UP INVESTIGATIONS

Objectives:

Measures of success:

CASE PREPARATION/PROSECUTION

Objectives:

Measures of success:

A Monitoring System: The Components

A monitoring system is a management information system which provides police administrators with the statistical data on investigative performance that they can use to make judgments about performance. It is an essential tool for police administrators to use in evaluating both system effectiveness and detective and patrol performance. To fully understand how monitoring systems operate, the police administrator should be familiar with the following terms:

1. Investigative Outcomes: The investigative product or result produced at the end of an investigation. Outcomes must be stated in quantifiable terms, such as number of arrests, case closures, case clearances, prosecutions, and convictions.
2. Investigative Activities: The specific activities undertaken by criminal investigators and patrol officers. Examples include interrogations, crime scene searches, interviews, and surveillances. These activities must be stated in quantifiable terms.
3. Productivity: The number of investigative outcomes or activities per person hour or person day (such as number of clearances per case assigned for each investigator per day). The greater the ratio of outcome per period of time worked, the higher the productivity of the unit or the individual investigator.

The monitoring system provides the police administrator with a means to interrelate these concepts into a management information system. Much of the data collected can also be used as a resource for case collation, which is the comparison of information from one case with that from another to identify similarities and patterns. But the primary objective of the

monitoring system is to provide the police administrator with continuous feedback on the investigative process.

Monitoring systems have five major components: data collection, data analysis, reporting mechanisms, data validation, and evaluation. Each component must be carefully designed, tested, revised, and perfected if the monitoring system is to be useful to the administrator.

Data Collection--Obviously, a system which analyzes data requires the accumulation of high quality data on every relevant aspect of the investigative process. The availability of data will vary from one police agency to another. Some police departments have well structured report forms upon which investigating officers record large amounts of information about crimes and the investigative actions taken. In many departments, officers are well trained and supervised, thereby leading to thorough completion of these reports. But even comprehensive reporting will not provide all the data required for successful operation of a monitoring system, for the system also requires the input of information about case activities throughout the entire investigative process.

Before data can be collected, the types of data needed must be identified. This is best accomplished by determining who system users will be, what outcomes they expect, and what evaluative criteria--or standards--will be applied. The items of information upon which these judgments can be based then must be determined.

The data collection component is also concerned with the point at which data is inserted into the monitoring system. Even if information is available, the police agency must identify when and by whom data is to be entered

into the system. For example, should the data from the initial investigation be entered into the system by records clerks in the data processing unit or should this function performed by personnel in the centralized investigative unit? Developing the data collection component of the monitoring system includes identifying where the data is to be collected as well as what data is required.

Data Analysis--Once data is collected, it must be analyzed to provide the required comparisons needed to make judgments about performance.

The method of analyzing data depends strictly on the tools available. Smaller agencies may have to process information by hand and by individual analysis; larger departments will require mechanical or computer processing. In either case, developing of data analysis methods is a difficult, specialized function which requires professional assistance. The type of analysis to be done will depend upon the system outputs desired. It is important that the analysis undertaken directly relate to output needs. There is often a tendency for police administrators to yield to data processing professionals when there is an apparent conflict between data analysis capabilities and administrative requirements of the system. It is important that administrators recognize that the data analysis function--whether manual or mechanical--is a tool for their use. Police administrators must clearly identify the expected outputs from the systems; then, they can then rely on technical specialists to analyze the data and put it in the format they require.

The types of data available through analysis is broad. A few examples are:

- Number of offenses investigated by patrol units.
- Number of cases closed by on-scene arrest by the patrol unit.
- Number of cases (and percent) assigned for follow-up investigation and number cleared by unit, individual, time spent, etc.
- Duration of follow-up investigations.
- Number of cases reclassified by specialized investigative elements and by patrol personnel (generally supervisors).

Numerous other analyses can be made. They should be identified as previously described, according to the performance evaluation criteria the department decides to apply to each aspect of the criminal investigation function.

Reporting--The department should develop reporting formats which will make it as easy as possible for people receiving the reports to read, understand, and use them. So, if there is to be a monthly report on investigations/clearances, for example, it should be formatted the same way each month. The reports should be as simple and straightforward as possible. They should tell the story, rather than requiring system users to draw inferences. That is, they should not consist of columns of numbers which require each reader to make his or her own interpretations; instead, they should be organized so that the interpretation of the data will be obvious and clear.

At the same time, the reports should include supporting data--the statistics on which conclusions are based. Managers should not have to rely solely on the judgment of the analysts. In addition, the reports should present data, insofar as possible, in a variety of ways, most importantly in both numerical and percentage form.

Chart 1 presents a report on investigative effectiveness produced by the monitoring system used by the Rochester, New York, Police Department. After reviewing this chart, you should answer the questions listed on Self-Analysis Form III. While the Rochester report provides a great amount of data that the police administrator can use to get a good picture of investigative activities, there is a need for additional explanatory information if its usefulness is to be maximized. The police administrator must be sure that the reports the system produces reflect an accurate picture of the investigative performance measures sought.

Data Validation--This is a quality control requirement to insure accuracy in data being presented in the reports produced by the system. Since input into the system occurs from various units, and the analysis mechanism may be fairly complex, there is a substantial chance that data inaccuracies may occur. A procedure to check this accuracy is necessary.

The best check is the random comparison of automated records with those maintained in the police agency's patrol units. This will require the selection, on a monthly basis, of one patrol unit as the object of study. Patrol records of offenses should be compared with the automated records. It will be common to find some inconsistencies, but large differences should not exist. When inconsistencies occur, the department must determine the cause and move to implement corrective action that will eliminate the problem.

Responsibility for data validation should be placed with either the department's inspection or planning units. By placing responsibility apart from units involved in data collection or analysis, objectivity of the validation will be enhanced.

2

INVESTIGATIVE OUTCOME ASSESSMENT FROM 01/76 TO 07/76 FOR LARCENY												
SECTION	TOTAL OFFENSES # % OF CITY		ON SCENE ARREST #	ON SCENE ARREST %	FOLLOW UP ARREST #	FOLLOW UP ARREST %	MULTI CLEARANCE #	MULTI CLEARANCE %	OTHER CLEARANCE #	OTHER CLEARANCE %	TOTAL CLEARANCE #	TOTAL CLEARANCE %
LAKE	1418	17	38	3	34	2	214	15	134	9	420	30
MAPLE	1001	12	83	8	17	2	23	2	121	12	244	24
GENESEE	831	10	31	4	15	2	31	4	150	18	227	27
HIGHLAND	1505	18	164	11	18	1	28	2	176	12	386	26
ATLANTIC	1685	20	252	15	18	1	3	0	212	13	485	29
GOODMAN	1043	12	36	3	34	3	74	7	169	16	313	30
CLINTON	1050	12	35	3	11	1	45	4	160	16	259	25
UNKNOWN	15	0	0	0	0	0	0	0	0	0	0	0
CITY	0540	109	639	7	147	2	410	5	1130	13	2334	27

1

2

3

8

LARCENY 15 31 % OF THE CITY TOTAL

MM-242



INVESTIGATIVE OUTCOME ASSESSMENT
FROM 01/76 TO 07/76
FOR LARCENY

SECTION	OTHER CLEARANCES				WARRANT ADV	UNFOUNDED		RECLASSIFIED		FIELD		OPEN		OFFICE		OPEN	
	EX #	CLEARANCE %	NO PROSECUTE #	%		#	%	#	%	#	%	#	%	#	%	#	%
LAKE	7	0	65	5	62	4	10	1	5	0	65	5	910	65			
MAPLE	10	1	34	3	77	0	16	2	7	1	84	0	650	65			
GENESEE	3	0	31	4	116	14	4	0	1	0	45	5	554	67			
HIGHLAND	8	1	78	5	90	6	17	1	0	1	106	7	900	66			
ATLANTIC	25	1	89	5	98	6	10	1	5	0	145	9	1040	62			
GOODMAN	14	1	44	5	111	11	20	2	6	1	82	0	622	60			
CLINTON	6	1	52	5	110	10	14	1	4	0	63	6	710	68			
UNKNOWN	0	0	0	0	0	0	0	0	0	0	0	0	15	100			
CITY	73	1	373	5	664	0	91	1	36	0	590	7	5497	64			

4

5

6

7

MM-243

MM-243

SELF-ANALYSIS FORMDEVELOPING EVALUATIVE CRITERIA

On Chart II, a report of investigative outcome assessment from a medium sized city police department, there are seven pieces of data circled and numbered. In the space below on this form, each of these pieces of data is identified by number and then that piece of data described.

After each description, indicate what evaluative criteria would be used to measure performance and upon what criteria, judgments could be made.

Date Piece Number

- 1 & 2 In Maple Section, 3 percent of larcenies are cleared by on-scene arrests; in Atlantic Section, 15 percent of larcenies are cleared by on-scene arrest. What factors might account for the difference in performance?
- 3 In Lake Section, 15 percent of all larceny clearances are multiple clearances. This is far more than in any other Section. What factors might account for the difference in performance?
- 4 & 5 In Lake Section, 4 percent of larceny cases are closed by advising the complainant to get a warrant against the suspected offender; in Genesee Section, 14 percent of all larcenies are closed this way.
- 6 & 7 For the department as a whole, 7 percent of all larcenies were not cleared and remained assigned to follow-up investigators; 64 percent of all larcenies were not cleared and administratively closed (Office). What factors might account for differences in performance?

- 8 Two percent of all larcenies were cleared by follow-up investigative effort. What factors might account for differences in performance?

Evaluation Criteria--All the data collected will be valueless unless it can be used within the context of what is expected, what is considered good performance, and what constitutes satisfactory investigative outcomes. Those standards are based on what is important to the administration of the department, such as high rates of clearance per total case load. The department administrator should decide what is important based on local needs and local concerns, and should base judgments on those matters determined to be important.

In a department in a city which has been the target of a large number of street robberies, for example, satisfactory performance might consist of quick arrival by detectives and uniformed officers, long interviews, a great deal of reassurance of victims and the generation of large amount of information. In another department, where the administrator is prosecution-conscious, good performance might consist of careful preparation of evidence for trial, and the criterion might be prosecutable cases per arrest. The criteria should be customized, changing to respond to local conditions and concerns; but they should be widely understood in the department so that investigative performance can be measured against them.

Chart 2 presents another report of investigative effectiveness from the Rochester Police Department. A number of comparison items are lined in black and identified by a number. On Self-Analysis Form IV, indicate what each comparison item indicates in terms of the performance stated.

Who Uses the System

As suggested earlier, there is only one criterion for designing a data system--the needs of its users. If the data produced are what these users need to make decisions and if the data are presented to them in usable form, the system is a good one. If, on the other hand, it produces information

they cannot use or understand or which is in a format which is difficult to use, the system will not work. This is why it is so important that the precise needs of the users be fully understood before the system is designed. Obviously, it must fulfill the administrator's needs since he is the principal system user.

Based upon the data generated by a monitoring system, a police administrator can make decisions about personnel allocations (choosing between patrol and investigators, for example), personnel evaluations (on which departmental rewards and assignments might be based), case status (to emphasize investigation of certain crimes rather than others), effectiveness of various kinds of procedures, and analysis of investigative outcomes.

A second potential user is the chief of detectives, who must make decisions about the day-to-day administration of centralized investigative units. For example, he must decide whether those cases referred to the detective specialist are worth pursuing. To do so, he should have information about case status, caseload, and related factors important to his decision-making. He also should have information about the performance of individuals and units under his command and should be in a position to advise them, direct them, and discipline them, if appropriate.

A third potential user is the patrol commander, whose subordinates are responsible for initial and follow-up investigations, for identification of witnesses on the scene, for interrogations at the time of the crime, and for a variety of other investigative functions which in many agencies actually determine the referral of cases to the specialized centralized detectives. Like the chief of detectives, the patrol commander needs information about the effectiveness of his subordinates, including the volume of cases closed by arrest, early case closure status, case clearance data, and the number of cases which are prosecutable.

Finally, the system can serve the needs of individual investigators by giving them frequent reports on the status of their cases, comparisons of their output and performance with that of other officers, and a means of interpreting that information so that they can improve their own performance voluntarily rather than as a result of coercion.

Each police agency may have a different set of system users. To assist the police administrator in identifying potential system users, Self-Analysis Form V provides a means to identify them and consider the benefits they could derive from the implementation of a monitoring system.

SELF-ANALYSIS FORM VIdentifying System User Benefits

This self-analysis form is designed to provide the opportunity to determine the benefits specific members of a police agency could receive from a system to monitor criminal investigations.

List below the major benefits each of the following people would receive from a monitoring system. Be sure to identify the position incumbent by name.

CHIEF OF POLICE:

Name:

CHIEF OF PATROL DIVISION

Name:

CHIEF OF DETECTIVES

Name:

PRECINCT COMMANDERS

Name:

INDIVIDUAL INVESTIGATORSOTHERS

List names and positions:

Designing the System

When the administrator has decided to implement a monitoring system, he should follow a logical design strategy which can maximize the utility of the system. The steps required are not easy; they require a substantial commitment in planning and design, as well as in testing and modifying the new system.

Define System Users--The chief administrator of the department should decide whose information needs are to be served by the system, and should take steps to see that those people are involved, or at least consulted, in the design of the system. He should consider creating a task force composed of the users to ensure that the system is developed to serve them. The individuals listed on self-analysis Form V can serve as the initial list of system users. These people should be provided with an orientation seminar--two or three hours long--which reviews the total concept of monitoring systems and how they can benefit the police department. This task force should meet regularly throughout the design and implementation process to oversee all activities.

Define System Requirements--The task force of users or, if no task force is created, the users independently should submit to the chief administrator of the department a detailed statement of their data needs. On the basis of those statements and his own judgment, the chief administrator should develop a precise statement of the overall objective of the monitoring system. What does the chief want the system to achieve? How is it to be developed--as a manual system or one which uses computer processing? Should outside consultants be retained to assist in its development or is there sufficient talent and expertise in the department.

After these broad decisions have been made, the chief executive should oversee the design of a statement of objectives such as: development of a system of investigative unit performance, a capacity to monitor cases, a

system for measuring the performance of individual officers and their units, and so on.

For example, a statement of objectives might be as follows: The monitoring system will seek to evaluate individual investigator performance in investigative assignments, as well as the status of on-going cases.

Develop Evaluation Criteria--These are the judgments to be applied about performance, the standards against which performance is to be judged. The system criteria must state clearly what constitutes good performance, insofar as possible, in quantitative terms. What clearance rates are acceptable per crime? After how many hours of unproductive work do cases get dropped from the system? What rate of prosecutable cases per arrest indicates satisfactory investigation? These are the kinds of questions which must be answered.

The performance criteria listed on Self-Analysis Form II can provide the basis for the final development of evaluative criteria. As operation of the system begins, the police administrator will probably alter some of these criteria as he comes to better understand actual investigative performance.

Define Expected Outputs--Based on the evaluative criteria, the administrator should determine what is expected from the system and what types of outputs are expected. These measures will serve as the basis for programming the system. To define outputs, the following questions should be asked.

What types of data reporting will permit the application of each evaluative criteria?

Will that data actually support evaluative judgments?

For example, if the objective is to evaluate case status, how should the status of cases be indicated on the report? What statistics and data comparisons are required to show case status? One set of statistics might be how many cases are over 30, 60, and 90 days old (the number of days that have passed since the investigation started). In the above case, as an example of

whether the data will support evaluative judgments, one could ask whether the statistics provided are sufficient to actually indicate case status.

Determine Inputs Required--In order to produce the products desired, what sorts of data must be collected? Sources of data must be identified, the flow of data from those in the field to those who analyze it must be shown, and specific requirements must be assigned to everyone in the department who has responsibilities for data generation and handling. If the data required is not available, a means for collecting it must be developed.

Prepare Mock Reports--Preparation of sample reports gives an opportunity to everyone, from data producers to data users, to test the system. Reports can be produced and evaluated for readability and usefulness. After they are distributed to all who are going to use the system, the users can then be interviewed at length to learn whether they are able to use the reports as an aid in decision-making. In the initial stages, these reports can be prepared by hand.

System Test--The system should operate for a period of at least three months. Data should be collected, reports should be processed, data analyzed, and reports produced. The reports should be given to decision-makers in the department so that they can begin making judgments about performance on the basis of them. At the same time, the system is scrutinized, data is verified, analyses are checked, and evaluations written on the entire system.

The system test can be carried out under the supervision of the department's task force which oversees the development and implementation of the monitoring system. The task force, throughout this testing process, should meet with all the system users to see how useful they find the data and what alterations they feel would be beneficial. The chief of the agency should be a contributor to this process.

Revised System--On the basis of the test, revisions are made in the system, and it is made operational. At regular intervals, inquiries should be made about how the monitoring system reports are being used.

To help the reader in planning the design and implementation of the monitoring system, Self-Analysis Form VI provides the opportunity to identify who in the police agency would have responsibility for each part of the effort.

Support Requirements

Throughout this section, references have been made to the "data processing system," to the "chief executive" of the police department, and to a "task force." It is important to highlight those specifically so that readers understand that when a decision is made to develop a monitoring capacity, the police department is making a considerable commitment. We have, of course, simplified the process, but it is not a simple process.

The first commitment required is that of the department administration. The chief executive must understand that in undertaking the development of a monitoring system, he is making a commitment that he will work on the development of a statement of his needs for data, that he will assist his subordinates in responding to their responsibilities, and that he will commit the department to the development of the system. Most important of all, in undertaking the development of the system, he is committing himself to use it to make critical decisions about the placement and effectiveness of the investigative resources within the department.

If the task force approach is a feasible way of developing the monitoring system, a second commitment is made. The last ten years of effort to change and improve police departments have proven again and again, just as in other fields, that systems work best if those who will be affected by them are involved in their development. A monitoring system is created to serve the needs of certain people in the police department. No one is better suited than these people to articulate their needs. If the system is to

SELF-ANALYSIS FORM VI

Implementation Responsibilities

This self-analysis form is designed to identify who in a police agency should have responsibility for the steps involved in implementing a monitoring system. This form also can help in developing a preliminary time schedule for design and implementation activities.

Under each of the design and implementation activities listed below, identify the member of your police agency who should have responsibility for that activity. Then, on the right side of the page, estimate the number of weeks it will require to complete the activity.

<u>Defining System Users:</u>	<u>Member</u>	<u>Weeks of Work</u>	<u>Date Due</u>
<u>Defining System Requirements</u>			
<u>Developing Evaluative Criteria</u>			
<u>Defining Expected Outputs</u>			
<u>Defining Required Inputs</u>			
<u>Preparing Mock Reports</u>			
<u>Testing System</u>			

In the space below, identify members of your command staff who you feel should be members of the Task Force overseeing the development of the monitoring system.

Name	Assignment
Name	Assignment
Name	Assignment
Name	Assignment
Name	Assignment

meet their needs, be understood by them, and be relevant to their needs for data, they must be involved in its design.

A third commitment of support is that of establishing a data processing system (in departments where this level of sophistication makes economic and operational sense). There was a time when police departments bought computers and didn't know how to use them. They lay fallow, and their technicians had time on their hands. But during the last five years, police departments have become increasingly sophisticated in the uses of computers, and data processing units of police departments are often overloaded. A monitoring system like the one described here, especially in larger police departments, requires a high commitment of data processing resources--programmers, forms designers, analysts. Departments undertaking design of a monitoring system should understand the commitment that they are making.

Finally, the department makes a real commitment of training time. Adoption of a new technical system in a police department requires training people to use it. It makes little sense to have an elaborate new system which is not understood. Without training, users cannot operate or benefit from it, and those affected by the system, because they are not fully informed, may become resentful that something is being done to them without their consent, knowledge, and understanding. Thus, developing a monitoring system must include a commitment by the department to train command personnel in its meaning and uses, supervisors in its implications, and investigators and patrol officers in the ways they can use it to evaluate and improve their own individual performance.

Implementation Strategies and Problems

However carefully the police department undertakes the development of a complex system such as monitoring, it cannot anticipate all of the problems which will arise. A police department, after all, is a very complex organization with very complex responsibilities, many of which compete with each other, are poorly understood and appreciated, or are performed because

of tradition and necessity rather than logic and rationality.

Some of these problems will be related to the administration of the system. Field personnel will argue that the forms designed by the data processing experts place unnecessary burdens on them. "We are spending all our time filling out forms," they may say, "and we never get anything in return." Supervisors in the field do not use the reports to make decisions about matters of importance to them. "Use these reports?" they may say, "I throw them in the trash."

These are real problems and must be confronted in ways that show an appreciation of the real difficulties of people who are asked to use a new monitoring system. Investigators and officers must believe that the system offers them something--usable knowledge about their performance and ideas for improving their performance. They must believe that the system will not be used as a disciplinary tool. They must have a stake in filling out detailed forms, and the forms must be designed as simply as possible and be defensible in every detail.

Managers must see the connection between the information they receive and the decisions they must make. The system must be relevant to some of their pressing concerns--demands of the local civic committee that crimes be "solved" or demands of the department's administration that allocations to specialized detective units be justifiable.

If the system is not filling needs for information which, on a day-to-day basis, are real and important, it will become a frill and will be shoved aside. To help prevent this, the police administrator must see that commanders are held accountable for issues related to productivity once they begin receiving reports on performance from the monitoring system.

Two other common problems may arise when a monitoring system is implemented. The first is improper use of data. Unless evaluative criteria are clear and thoroughly understood by system users, misinterpretation of

data may occur and faulty judgments may be made. Discrepancies in data can usually be traced to underlying reasons. For example, if the number of on-scene arrests in a business district is especially high, it may relate to the pick-up of shoplifting offenders by merchants' security personnel. Such a finding must be carefully interpreted.

Data input irregularities are a second problem. Much of the inconsistency in data input is due to reports that are poorly prepared with little or no supervisory review. For the monitoring system to operate effectively, there must be concerted supervisory effort to insure the input of quality data.

In summary, the monitoring system must generate outputs that clearly reflect the police administrator's expectations. Unless the data provided are meaningful and useful to the system's users, there is no point in developing such a system.

CHAPTER 6

ORGANIZATION AND ALLOCATION OF RESOURCES

A common theme that runs through the literature on management is the manager's concern for accomplishing organizational goals and objectives. All managers are engaged in getting things done with and through people to accomplish organizational goals. Regardless of the type of organization or level of management, the functions of planning, organizing, motivating, and controlling are central to the manager's role. One factor which can help management become effective and help people work together to achieve common goals is the organizational structure. An organizational structure can be thought of as a framework which facilitates and integrates performance.

A continuing responsibility for the police administrator, as well as other managers in the agency, is reviewing the extent and type of specialization needed, the definition and allocation of responsibility, the delegation of needed authority, and the effectiveness of personnel and material resources.

This on-going assessment of existing organizational and allocation policies is intended to assure the highest level of performance at the least possible cost to the community. To achieve this goal, the administrator must challenge the operational and administrative decisions of his predecessor as well as his own.

The management of the criminal investigation process is one part of the total police function that has been subjected to limited review. In the last few years, however, managers have increasingly begun to take a searching look at this process and its outcomes.

For most of those agencies that have already altered the criminal investigation process, it is too early to determine the effect and impact of the changes. However, the administrators of those agencies believe the new organization and assignment policies are more responsive to their particular needs.

One clear fact emerges from a review of the literature and conversations with law enforcement experts: There is no single organizational or allocation model which is best for all police agencies. The uniqueness of each community and the capability of its police personnel must be known by the police administrator before substantive changes can be made in the organization.

Agencies throughout the nation have different organizational structure for criminal investigation, with substantially different characteristics. Basically, however, these are three common types:

- Detective Specialist/Centralized Model
- Detective Specialist/Centralized and Decentralized Model
- Detective Specialist/Centralized and Detective Generalist/Decentralized and Patrol Division (Team Policing) Model.

In addition, a few departments in the nation have a "generalist" model in which the primary responsibility for the investigation of crimes rests with the patrol officer. In these agencies, detectives, if there are any, function essentially as consultants and advisors to the uniformed officer.

The police agency in Fremont, California, employs such a model.

The responsibility for investigation of crime is assigned as follows:

The investigation of crime is considered to be an essential police function for which each officer in the department is responsible...To a great extent, the investigation section serves the field officers. Much of the investigative load is handled by patrol

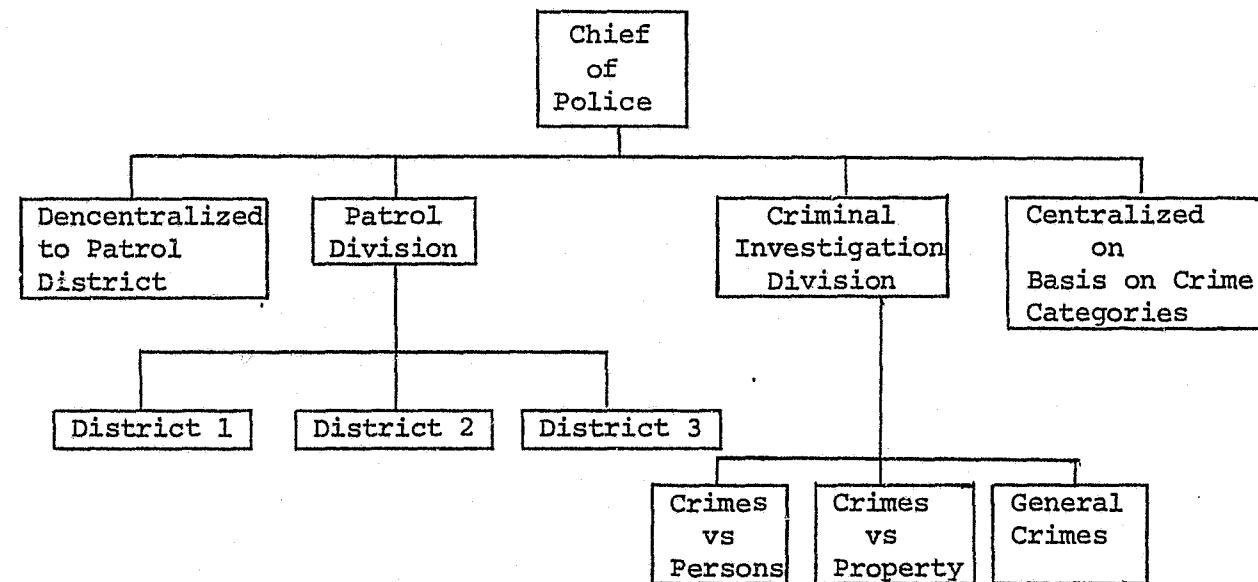
officers. An investigator is called to assist a patrol officer on a case only if a Patrol Section supervisor or Operations Officer determines the need for one according to the following criteria:

- Special knowledge or expertise of the investigator that would materially enhance the investigation.
- If a suspect is known but not in custody, and there is need for an immediate follow-up and apprehension.
- The nature of the investigation precludes sector officers from completing it, due to unusual constraints, e.g., investigation out of the city, need to respond to other calls for service, etc.
- A suspect is known and in custody and is providing information that would be valuable in clearing other serious offenses.
- Other unusual situations as approved by Operations Officers, the Investigative Commander, Division Commander, or Chief of Police.¹

This model is generally most useful in smaller cities where the size of the agency and the crime problem do not warrant investments in specialized units.

1. Prescriptive Package

Figure 1. Typical Organizational Structure:
Detective Specialist/Centralized Model



This is the most prevalent organizational arrangement for investigating reported crimes. In this model, responsibility for investigating crime is assigned to the specialized Criminal Investigative Division. Members of the Patrol Division play a perfunctory and minimal role of collecting basic information when they respond to the scene of a crime.

While there are a number of advantages to having a specialized detective division, there are an equal number of disadvantages. Both sides of the issue can be briefly outlined as follows:

Advantages

- Definite, fixed investigative responsibility.
- Enhanced development of higher skill levels
- Facilitation of training in latest investigative technologies
- Development of higher morals and pride in accomplishment

- Stronger sense of identification with goal and investigative performance levels
- Development of public interest and support
- More time for uniformed officers to patrol their areas.

Disadvantages

- Internal communication of information is stymied and ineffective
- Negative impact on the morale of the uniformed officer
- Timely response and, thus, the effectiveness of investigation suffers
- Increase in administrative and clerical work loads
- Negative impact on public relations because of time delays in the investigation.²

While this listing can be expanded upon in support of either position, it is sufficient to make the point that the plusses and minuses should be weighted and considered.

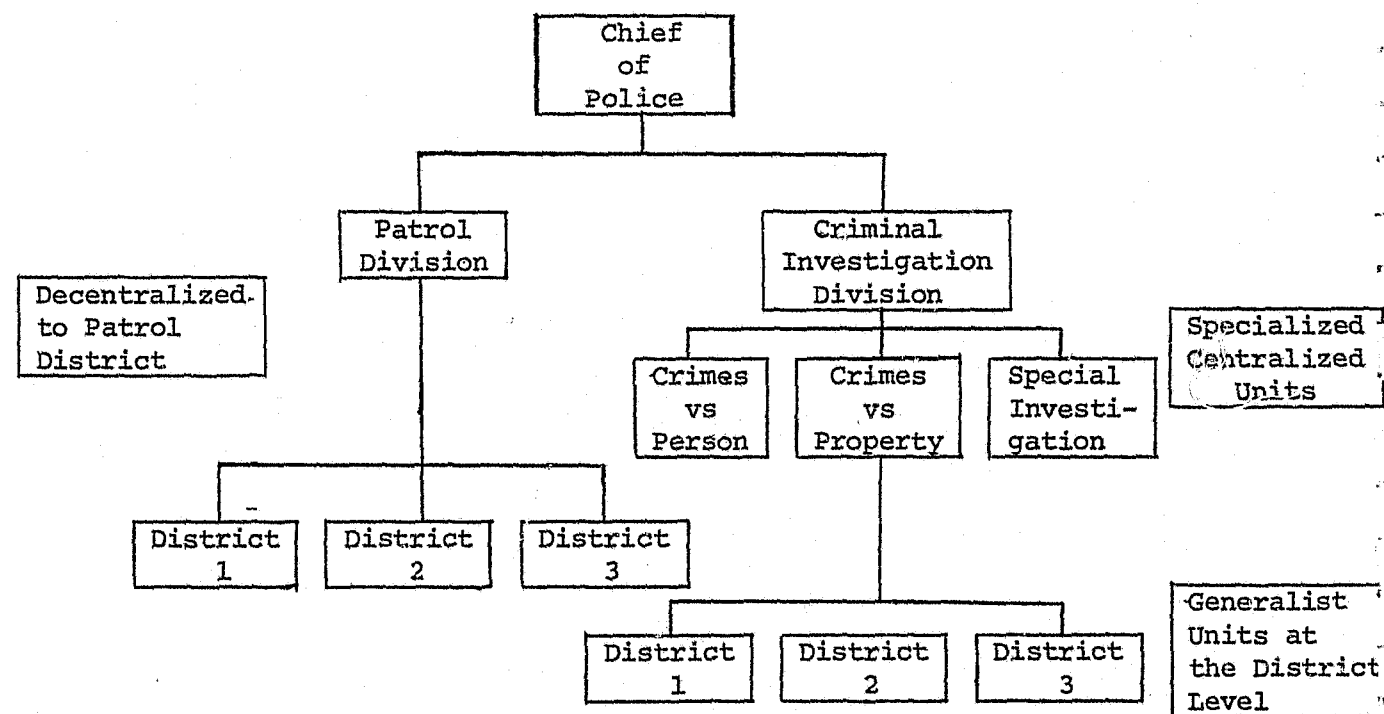
Since the ultimate measure of effectiveness is whether the organization is producing the desired results and outcomes, the assessment of current levels of performance must be directed toward evaluating that end. Whatever the outcome of the final determination, there is a need to critically challenge the worth of the existing arrangement in each police agency. Even if the determination is that the existing organization is efficient, effective, and productive, the police administrator will at least feel more comfortable as a result of the reaffirmation of prior

2. Task Force findings, Multnomah County, Oregon, Sheriff's Office.

judgments. On the other hand, he may find that there are better ways to maximize the results of the criminal investigation effort.

In many agencies, where that hard critical assessment has been made, changes have, in fact, been made and experimentation with different organizational models has begun. In these agencies, at least, there was dissatisfaction with performance and productivity levels in the criminal investigation system.

Figure 2. Typical Organizational Structure:
Detective Specialist/Centralized and Decentralized Model



One variation of the traditional model features a decentralization of some investigators to the district or precinct level. Essentially, however, this model retains the same basic characteristics of the purely centralized model; that is, the assignment of investigative responsibility remains in the Criminal Investigation Division, there is a distinct organizational

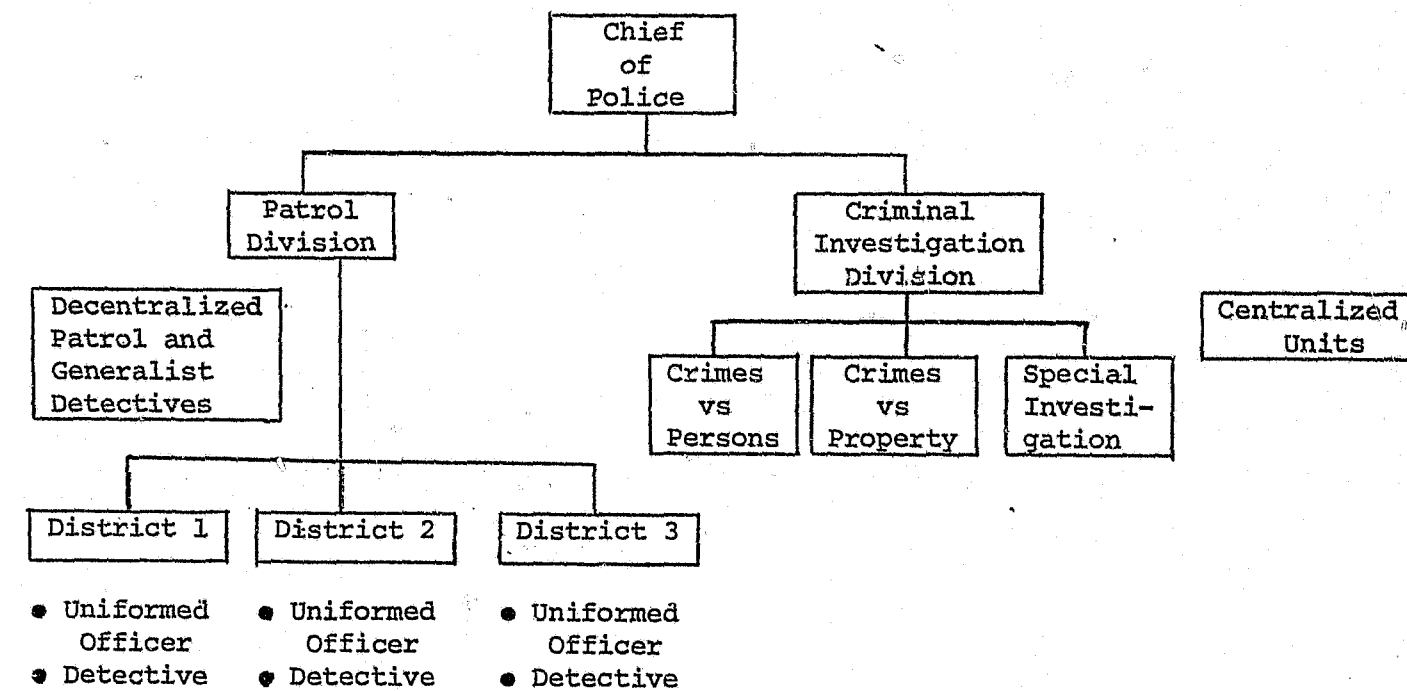
reporting relationship to the chief, specialized crime units by category remain at the centralized level, and the uniformed officer's role is both perfunctory and minimal.

The placement of some portion of the criminal investigators at the decentralized level (or "street" level) appears to be designed to accomplish several benefits. They are:

- Assigning the investigators closer to the community they serve
- Fostering a better communication with patrol officers
- Making possible a more timely response to reported crimes
- Facilitating the cultivation of sources of information
- Increasing the generalist's knowledge about generalist criminals in the particular community.

Still another modification to the traditional organization is the Team Policing Model:

Figure 3. Typical Organizational Structure.
Detective Specialist/Centralized
Detective Generalist/Decentralized and Patrol Division
(Team Policing Model)



This model features a specialized centralized detective unit with the decentralized generalist investigator assigned to the Patrol Division Commander. In this arrangement uniformed officer and investigator work together in a "team" which is assigned to a particular community or segment of the jurisdiction to be policed. In essence, this represents a partial return to the generalist model mentioned earlier.

The operations of the "team" policing unit has been found to promote, among other benefits, a good relationship between uniformed and investigative officers, a more rapid response by the investigator to the scene of a crime and the development of community identification with "its" police.

Many departments throughout the country have adopted this model or have begun experimenting with a team policing concept. One of those agencies is in Rochester, New York.

In early 1971, the Rochester Police Department began experimenting with a Coordinated Team Patrol (CTP) to determine whether improved activities in investigation and apprehension could be effected. Over the period of the experiment, evaluations and adjustments were made. The results of assigning teams of patrol officers and investigators to work together in fixed geographical areas (sectors) were as follows:

- Teams made arrests in a higher percentages of burglary, robbery and larceny cases than did nonteam personnel in other sectors.
- Teams cleared a higher percentage of burglaries, robberies and larcenies than did nonteam personnel.
- Teams made on-scene arrests in robbery and larceny cases more often. However, there was no apparent difference in burglary cases.

- Team on-scene arrests for burglary, larceny and robbery were less likely to result in prosecutions than those made by nonteam personnel.
- No significant differences were found in the quantity of information contained in the preliminary investigation reports of team and nonteam personnel.
- Burglary and robbery arrests resulting from follow-up investigations were made in a larger percentage of cases by team personnel than by nonteam personnel.
- Prosecutions resulting from follow-up investigations did not vary between team and nonteam cases.
- Both team and nonteam personnel felt that the CTP method was more effective in dealing with crime.
- Both team and nonteam personnel felt that the CTP model helped to improve the relationship between patrol and detective personnel.
- Team patrol officers reported a much higher level of cooperation with team investigators than with nonteam investigators.

While these results may not necessarily be typical, the outcomes produced by the criminal investigation process were improved upon in that city by altering the organizational structure and changing the allocation mix of investigative resources.

In 1975 the Multnomah County Sheriff's Office in Oregon undertook the "difficult process" of self-analysis which included a critical review of the way in which crimes were being investigated by that agency. There was not only dissatisfaction with the performance results obtained by the traditional organizational approach, but also a growing concern that the potential of the better educated personnel in the agency was not being fully maximized. Job satisfaction and enrichment for the uniformed officer were real concerns.

Their self-analysis led to substantial organizational changes which emphasize the generalist investigator approach. An interesting and informative overview of the self-analysis process was detailed in a concise publication entitled The Generalist Investigator: A New Role for the Patrol Officer Under Neighborhood Team Policing. A reprint of that article has been added as Appendix A to this chapter for your information.

Multnomah County's analysis is representative of many signs that a growing number of police agencies are challenging the effectiveness of their current approach to criminal investigations. While there may not be a single best way to improve the process, the encouraging factor is that agencies are actively seeking the best ways for their agencies to conduct investigations.

Another very interesting experiment was undertaken by the Cincinnati Police Department between March 1973 and January 1974. In this city, the Police Division experimented with all three basic organizational models in an effort to determine the relative impact of each upon investigative effectiveness.

The three basic models were:

1. Team Policing--One district was organized into six geographical sectors. The team in each sector included officers with investigative skills. The team members were given responsibility for investigating all crimes except homicide.
2. Decentralized District--Officers with investigative skills were assigned to this District. They were organized into specialized units based upon crime categories (against persons and against property). The investigators were responsible for investigating all crimes except homicide within the District.

3. Centralized Investigation--Patrol units in the remaining four districts were supported by the traditional detective operation made up of units according to crime categories and working out of a central detective operation.

The overall results of the Cincinnati experiment showed the following:

- The team policing Model had the best overall level of effectiveness as measured by clearance, arrest rates, and overall clearance rates. Local officials believed that most of the success could be attributed to the work of the patrol service in the district.
- Cases requiring investigative follow-up for clearance results were most successfully handled in the Decentralized District Model.
- Officers asked to select the "best model" other than the one they were assigned to chose the Decentralized District Model most often.
- Investigators felt that the ideal model for their purposes would be the Decentralized District Model with team policing for patrol and a centralized unit for handling highly specialized cases and providing information dissemination services.

The detailed findings of the evaluation were reported in a document entitled Investigative Effectiveness in Cincinnati. Because of the uniqueness of the experiment, and the potential utility for chiefs of other departments, a reprint of this report is included as Appendix B to this chapter.

In summary, almost all police administrators believe there is a need for establishing a specialized investigative capability. However, there is

a growing concern about how large that commitment should be. The value of returning investigators to perform more generalist duties and assigning some percentage to a decentralized model are being increasingly considered and, then, adopted.

It would appear that the current trend points toward a decentralized component which relates more directly, and promptly, to the local communities in the jurisdiction served.

Allocation of Resources

Concurrent with the examination of how the agency is organized to best perform the criminal investigation function, is the perplexing, yet critical, question of resource allocation. How much of the total departmental resources should be assigned to the criminal investigation process?

Unfortunately, there have been no scientific studies conducted which will provide information about optimizing case loads or determining proper allocation policies for the criminal investigation process. Consequently, the percentage of total resources assigned by police agencies to this function varies widely.

Some law enforcement experts have suggested that the proper percentage is between 9 and 11 percent of the total personnel resources in the agency. They do not, however, indicate how those percentages were arrived at.

In fact, the six agencies studied, which were reported upon in the Prescriptive Package on Managing Criminal Investigations allocated from 8 to 22 percent of their resources to the criminal investigation function. The differences most likely reflected the value judgments made by the head of the police agency which are related to his personal assessment of community need and agency capability.

The percentage of the total departmental resources which should be assigned to the specialized criminal investigation division is determined by many factors. Three of the major factors are: 1) the degree to which other agency components are involved in the process, 2) the size of the total criminal case workload, and 3) the internal and external policies which effectively determine which cases will be investigated and for how long.

Several questions which might be asked to begin to determine how many officers should be assigned to criminal investigations include:

- Are the uniformed officers conducting thorough preliminary investigations?
- Is the crime information collection instrument (crime report form) forcing the collection of all available information?
- Could the patrol division become more involved? How?
- Could nonsolvable cases be ejected from the investigative process early in the process? When? By whom?
- Are continuing investigations managed with view of early discontinuance?
- Are we overspecialized in the criminal investigation division?
- Are there redundancies in the organization of the investigative effort (e.g. juvenile, narcotics, detective elements)?
- Could civilians perform some follow-up responsibilities?
- Are completed cases being accepted for prosecution?
- How should the agency monitor the effectiveness of the CI process?
- Are there more productive uses of existing investigative personnel (If the current outcomes are not satisfactory, what are the alternatives, etc.)?

The above list of questions could be greatly expanded upon by the police administrator. By following the flow of the MCI program elements, and challenging each on the grounds of productivity and waste levels, good insight can be obtained into the current use as measured against productivity expectations. The answers to the questions formulated will facilitate decisions concerning adequacy of existing systems.

It is entirely possible that the administrator could be making better use of total personnel resources. On the other hand, if the decision is that the existing allocations policies are sufficient, the administrator will at least have updated the validity of earlier judgments.

As a matter of fact, many administrators, after going through a critical and constructive analysis of existing policies, have found it possible to reinvest existing resources in imaginative and responsive programs which are tailored to the particular needs of their communities.

Some of the innovative alternative uses of personnel include:

- Major Offenders Unit

Personnel are directing their investigative energies against those criminals who are "recidivists" and who account for a disproportionate amount of the total crime picture. In some agencies this unit also concentrates on the major criminals who are notorious in particular crime endeavors.

- Task Force Units

Particular crimes are identified as the "bad weather" for that community (robbery, burglary, etc.), and intensified and concentrated efforts are made to bring these crime problems under control. The efforts of the unit are based upon careful crime analysis which provides frequency, pattern, and geographic data.

- Anti-fencing

Many police agencies have gone into the "fencing" business. These operations are covered in operation and require consultation with prosecutors, etc. They have been very effective in arresting burglars, identifying other fences, and recovering property.

- Crime Analysis Units

A comprehensive analysis of crime data is conducted with the view of identifying patterns and trends to maximize the productivity and effectiveness of all agency line elements. Such efforts have led to the establishment of units which deal with street crime, auto larceny, etc.

- Rape Analysis/Sex Crimes Unit

Where the problem warrants it, some departments have created units specifically responsible for analyzing and developing rape investigation and educational programs.

- Police/Prosecutor Legal Advisor Units

These units are primarily interested in assisting agency members in developing and conducting better case investigations so that cases submitted for prosecutions are of the highest order.

- Crime Prevention Programs

Many departments have established an aggressive crime prevention program aimed at educating the public about what it can do to help reduce crime. Programs include such programs as: auxiliary police, block-watchers, community lectures, operation identification (the marking of valuable property), preparation of information leaflets, public radio announcements, and the like.

- Others

Pawn shop units

Detective trainers of recruits and inservice investigation programs.

Mobile laboratory technicians.

Case review and screening officers.

This list of alternative uses of personnel is by no means exhaustive.

It was presented to give information about the ways some managers have reassigned resources for the purpose of improving the outcomes of the criminal investigation process.

In summary, it has been the experience of many agencies that a careful review of the key components of the total criminal investigation process with a view toward maximizing the outcomes of each component of the process has led the police administrator to make changes in the existing organizational structure and the current allocation strategies.

APPENDIX A
(To Chapter 6)

by

R. KAUFFMAN

THE GENERALIST INVESTIGATOR:
A NEW ROLE FOR THE PATROL OFFICER
UNDER NEIGHBORHOOD TEAM POLICING

THE GENERALIST INVESTIGATOR:
A NEW ROLE FOR THE PATROL OFFICER
UNDER NEIGHBORHOOD TEAM POLICING

By R. KAUFFMAN

INTRODUCTION

The decade of the sixties clearly illustrated that local law enforcement agencies were not organizationally and operationally adaptive to the changes of a rapidly evolving society. Reported crime was on the upswing; civil disorders of all categories became commonplace; elected representatives voiced the concern of their constituents; and "law and order" became a major political slogan.

The immediate response to this newly articulated concern for public safety was typical of other responses to crises facing American society in recent history. Most public officials agreed that what was needed to stem the tide was more law enforcement officers, a more highly trained and specialized group of investigative experts, and a heavier reliance on the technological advancements made in related scientific fields.

Specialized units were formed or reorganized, trained and equipped to meet the rising tide of criminal activity in such areas as robbery, narcotics, burglary, auto theft, fraud and vice. Highly technical equipment was developed by industry and eagerly purchased and employed by agencies of all sizes. More highly skilled and educated personnel were recruited into public safety service.

The results of this movement, however, were not as predicted. Reported crime continued to rise, clearance of those crimes by arrest remained basically the same or decreased, and the local public safety agency became a highly complex bureaucratic organization fraught with communication problems and lack of cooperation. Smaller agencies became frustrated in that they could not financially afford the more expensive technical apparatus nor the high degree of specialization so highly recommended by the larger agencies at all levels. However, their perceived needs to combat the rising crime rate were not lessened.

With this surge of "professionalization of the police," little attention has been paid to the actual nature of crime resolution and the development of those individuals who provide the first line of public safety protection to any community, large or small -- the patrol officer.

CONTINUED

3 OF 4

DE-SPECIALIZATION IN MULTNOMAH COUNTY

The Multnomah County Division of Public Safety (MCDPS) was not unlike other agencies in this respect. Prior to July 1975, this agency typically relied on a large and highly specialized investigative force to investigate all categories of criminal activity within the county.

Organizationally, the investigative unit was divided into two broad sub-categories: crimes against persons and crimes against property. The Crimes Against Persons Section was further sub-divided into several teams which included homicide, robbery, special services, special investigations and support (general assignment). The Crime Against Property Section was comprised of specialized units dealing with auto theft, general theft, fraud, burglary, arson, bombs and a burglary tactical unit.

Other specialized units within the Investigative Division included the Youth Services Section and the Scientific Investigation Section. The major function of Youth Services was the investigation of all criminal acts committed by persons under the age of 18, as well as numerous status offenses as defined by state statute. In addition, the Youth Services Section was responsible for school liaison programs and protective services to children who had been abused, molested, neglected or abandoned.

Scientific Investigation (Criminalistics) had the major function of crime scene search, collection and preservation of evidence, and the processing of some physical evidence.

In terms of personnel resources alone, the Investigative Division accounted for one of six Captains within the agency, five of fifteen Lieutenants, and twenty-six of fifty-four Sergeants.¹

The primary duties of these units were typical of similar units within other agencies. Detective personnel were charged with the review and follow-up of all initial crime reports generated by the patrol officer. They conducted special investigations and interviews of suspects and victims, collected evidence, prepared cases for presentation to the District Attorney and provided the majority of testimony in major trials. In comparison, duties of the patrol officer involved responding to the scene (if necessary), locating present witnesses and taking an initial crime report. If a detective needed to be called to the scene, as prescribed by procedure, the patrol officer would notify the appropriate supervisor and turn over the scene to the detective upon his arrival. If not, the patrol officer would forward a copy of his/her initial report through normal channels which would be routinely assigned to the appropriate investigative unit. As is also typical of most agencies, the calling of detectives or the forwarding of a report was generally the last the patrol officer knew of a case.

¹The revised personnel level of the Detective Team has not become stabilized. However, the reduction of mid-level management personnel has been substantial. Currently, the Team is managed by a Lieutenant and staffed by thirteen Sergeants.

Within the agency, the "detective" was seen as a privileged individual. He/she could work in plain clothes, wear various modes of dress (including long hair and beards), had a nearly complete freedom of movement and mode of operation, drove unmarked vehicles and, most important, were perceived by uniformed officers as having the most prestige. As detectives were responsible for case follow-up, the majority of clearances were written by detectives. As a result, it was the detective who reaped that commodity deemed most necessary to a successful police career -- arrests and convictions.

As mentioned previously, this mode of operation added significantly to the traditional loss of effective and efficient communication between members of the agency. Criminal information was forwarded upward through the chain of command by patrol officers, rarely the other way around. The development and execution of search and arrest warrants was the responsibility of the detective. The patrol officer who had developed a quality case on his own and was "allowed" to participate in the development and execution of warrants was considered lucky by both detectives and other patrol officers.

During the early months of 1975, this agency began the difficult process of self-analysis. Our major concerns included not only the most effective and efficient delivery of public safety services to the community but a radical change in professional environment for members of the agency.

In the area of investigations, we found that the majority of a detective's time was taken up by the review of initial police reports.² Follow-ups were generally fruitless due to the time delay between the taking of an initial report by a patrol officer and the assignment of the case to a detective. In addition, reports contained little of value in terms of physical evidence and/or suspect information. Generally speaking, detectives were most successful when a suspect was taken into custody by the responding patrol officer and could be interviewed, or when the detective worked people and not cases. Detectives generally selected only those incidents that reflected the most promising hope of solution. Those cases which did not were suspended from active case loads until more promising information came to their attention.

Specific advantages and disadvantages of the Detective/Specialist operational model were discussed by members of a special study group. Advantages to continuing the Detective/Specialist model included:

1. Definite fixing of responsibility for the performance of a specific task is placed upon a specific individual or unit;
2. Constant repetition of a technical task develops a high degree of skill and ability in that task, thus resulting in superior performance;

²Our findings were substantiated by the recently released Rand Study on the Investigative Function.

3. Officers assigned to specialized fields or functions may be processed through advanced training programs in those areas. Such programs are not feasible for the personnel of an entire department;
4. A small group that is made responsible for a specific task tends to become more cohesive and experiences higher moral and pride in its accomplishments;
5. Because of the assignment of definite responsibility, specialist officers develop almost a proprietary interest in their specialty, and their concern causes them to exert more interest, energy and initiative in their particular field. In addition, the narrowed field of interest of the specialist officer stimulates him to study and research individually;
6. Specialized units arouse public interest and support of these police activities due to the publicity and status given the activity of specialist units;
7. The establishment and operation of specialist support units leaves the district patrol officer free for routine preventative patrol for a greater period of time than if he were functioning as a generalist.³

However, the disadvantages of the model as expressed by members of the study group were equally important. They included:

1. The decrease in intra-agency communication as the degree of specialization increased;
2. The negative impact on the morale of patrol officers in that they:
 - a. seldom knew the overall results of their work on the street
 - b. perceived a lack of opportunity to become involved in a prestige positions in the agency
 - c. rarely were afforded an opportunity to attend formal investigative schools to broaden their general police investigative skills

³Gourley, G. Douglas, "Effective Police Organization and Management." LEAA Report for the President's Commission on Law Enforcement and the Administration of Justice, Volume 4, October 1966, pp. 335-336.

- d. perceived a lack of opportunity for the development of significant experience necessary for promotion, and
- e. rarely received public or agency applause for the solution of a major case or for quality public service in general;
3. The positive solution of a criminal act is dependent on the timely arrival of police, and possible apprehension of suspects, the collection of evidence, and the interviewing of witnesses and victims at the scene. The traditional detective specialist mode automatically involves the loss of valuable time between the perpetration and/or discovery of a criminal act and its assignment to the individual(s) responsible for its solution;
4. A perhaps unnecessary increase in administrative load in that every crime report must be copied, assigned and read regardless of the probability of solution of the incident;
5. A negative impact on public relations in that there existed a considerable time lag between the patrol officer contact with a victim and a follow-up contact by detectives, if such contact occurred.

TEAM POLICING AND INVESTIGATIONS

During the planning phase of this agency's conversion to a full-service Neighborhood Team Policing model, it was decided to revise the existing functional investigative structure. In addition to the previously delineated concerns, it was realized by the command structure of the agency that the capabilities and job satisfaction requirements of the patrol officer in this agency had evolved. For example, even though entry into the agency required that a person be initially assigned to the uniform section as a district patrol officer after graduation from academy training, many officers had had prior experience and possessed highly specialized investigative skills. Second, under the direction of then Sheriff Donald E. Clark, all sworn officers hired after 1965 held a four-year college degree indicating that such officers were capable of handling complex problem solving, and as a result, job satisfaction for many officers became more difficult to achieve when they were assigned only routine patrol duties as defined under then existing policy and procedures.

Under the guidance of Sheriff Louis Rinehart and later Sheriff Lee P. Brown, this agency implemented a new role definition for the patrol officer. The patrol officer would now be responsible for:

1. The discharge of system and team goals developed in the performance of his profession to include speaking to community members, school groups, involvement in community functions, advocating for the rights and needs of children and adults within the community;

2. The acquisition and disposition of team and/or support resources required by the nature of his assigned calls for service;
3. The preliminary investigation of all crimes dispatched to him/her while on or off duty within a team area; and
4. The follow-up investigation of all assigned cases.⁴

By August 1975, the following changes had occurred. First, the Juvenile Services Section had been abolished and all of its personnel transferred to the Operations Section (Uniformed District Patrol).

The Investigative Division had been reduced in number of personnel and in responsibility. The remaining detectives were assigned to major felonies such as homicide, robbery, morals and child abuse, arson, fraud, and a burglary tactical unit (which was supported by outside funding). Other personnel were transferred to the Operations Section as supervisory personnel or district patrol officers. The reorganized investigative team was commanded by a Lieutenant and was operationally and administratively placed under the control of the Operations Section Commander, Captain Fred Pearce.

The Scientific Investigations Unit was assigned to the Detective Team in support for major felony investigations, the collection and processing of evidence and other criminalistic duties as designed by the Detective Team Manager, and criminalistic support to Neighborhood Policing Teams upon request.

Responsibility was transferred to the district patrol officer for the investigation of all misdemeanors, all categories of felonies not specifically assigned to the Detective Team, the collection and presentation of physical evidence (including such felonies as rape and assault), and the interviewing of victims, witnesses and suspects.

It is important to understand that in the expansion of the role of the district patrol officer, consideration was given to the level of investigative expertise among patrol officers. Special in-service training classes were and are still being conducted in various investigative areas. Those officers who were formerly investigators were distributed throughout the Operations Section in order to provide the less experienced officer with an on-hand expert with whom the officer could confer. In that many of these re-assigned investigators held the rank of Sergeant, such consultation and on-hand situational training could be conducted effectively while performing required supervisory control.

⁴Martin, Edgar E., et. al., "Multnomah County Department of Public Safety Neighborhood Team Policing Proposal," 1975.

The assignment of cases to the patrol officer was accomplished by his/her immediate supervisor and could be monitored through a case monitoring system developed in conjunction with the re-organization.⁵ Generally speaking, the responding officer would maintain responsibility for the case from start to finish.

Although an in-depth empirical evaluation of the expanded patrol officer role as a generalist can not be made at this time due to lack of sufficient comparable data, there are several significant results which can be mentioned. First, there have been several significant examples of patrol officers accepting their new role with increased motivation. For example, one officer cleared over thirty-four residential burglaries resulting in six felony arrests and the return of over \$2,000 worth of stolen property within the first month. Although he required assistance from more experienced officers, he can now develop and execute arrest and search warrants, develop complete criminal cases in the area of burglary and has the personal and professional satisfaction of a complete job, well done.

Second, there is clear evidence that patrol officers are now filtering out many cases which have little probability of resolution due to the lack of physical evidence or suspect information. Cases which do have a high probability of resolution can be followed up immediately by the officer who has the most first-hand experience with the case -- the responding patrol officer. Cases of major importance can be transferred to another patrol officer on the in-coming shift or to a detective, with the initially responding patrol officer knowing that the case is still essentially his responsibility and that other investigators are in support of his investigation.

Third, detectives are now allowed to investigate major complex crimes without having to carry a large load of cases with a low probability of solution. In that detectives are primarily cast in a supporting role to the generalist investigator, intra-agency communications have increased and the traditional street officer -- detective/specialist gap has been reduced. In addition, detectives are now allowed more time to operate in a "working people and not cases" mode.

However, several disadvantages became apparent in the initial stages of implementation. First, agency morale was greatly affected because of the reduction or elimination of specialized investigative units. Personnel transferred from such units to the Operations Section felt that they had suffered a loss of prestige which they had gained only through many years of hard, dedicated service to the agency. This transitional reaction was made more difficult in that little prior consideration had been given to producing a more positive image of the new role of the generalist investigator and the consulting role of the former investigator now assigned to Operations.

⁵A future article will cover the Case Monitoring System.

In addition, patrol officers felt that they would not only be unable to handle the increased work load as well as continue their other front line public safety duties, but that there now existed even fewer opportunities to "advance" into a perceptually more prestigious position within the agency.

Second, a heavier administrative load has been placed on the field supervisor (Sergeant). In that cases are no longer reviewed for completeness and accuracy by a detective specialist prior to final disposition, field supervisors are responsible for insuring that all cases are complete and have been properly investigated. Furthermore, field supervisors are more than ever responsible to insure that patrol officers assigned to their Neighborhood Team are properly reporting all categories of calls for service and that officers are not providing coded disposition for calls rather than writing crime reports in order to reduce their case loads.⁶

A final major problem area which needs to be pointed out particularly to members of smaller agencies, concerns the amount of out-of-service time spent by district patrol officers engaged in investigations. By reassigning investigative responsibilities and expanding the role of the district patrol officer, the total amount of time a Neighborhood Team Policing area was effectively patrolled has been drastically reduced. Many patrol officers were deeply concerned with the reduction of preventative patrol in-service time available, and were predicting that the existing number of officers would not be able to handle the numerous duties required under the full-service Neighborhood Team Policing Model and conduct quality investigations. Although this has not become a major problem in this agency in that a large number of sworn personnel was transferred to the Neighborhood Teams, a smaller agency may suffer from a lack of officers available for emergency calls and other routine front line police services.⁷ Portable radios, however, would reduce this problem.

CONCLUSION

There are many arguments supporting both sides of the generalist investigator versus detective specialist debate. In the implementation of Neighborhood Team Policing in Multnomah County, however, it was decided to attempt a reasonable program which would bring the police closer to the community it serves, increase the effectiveness and efficiency of its operation and enhance the job satisfaction and status of its personnel. By committing this agency to the development of the generalist investigator, we believe we have added to the accomplishment of those goals.

⁶This potential problem had been foreseen and, after a preliminary study, does not appear to have changed significantly from the previous detective specialist model. In fact, this continuing minor problem area has clearly come into focus for supervisory personnel at all levels and is now being approached as a team problem within each of the Neighborhood Policing Teams, as well as on a supervisor-to-patrol officer basis.

⁷It should be noted, however, that the Kansas City experience raised some provocative questions about the merits of preventative patrol.

APPENDIX B (To Chapter 6)

EVALUATION OF THE ORGANIZATIONAL EXPERIMENTS
CONDUCTED IN THE CINCINNATI POLICE DEPARTMENT
March 1973 - January 1974

Conducted by the Cincinnati Police
Department and Urban Institute,
1974.

INVESTIGATIVE EFFECTIVENESS IN CINCINNATI

The Cincinnati Police Division conducted an experiment between March, 1973 - January, 1974 to determine whether organizational structure had a measurable impact on investigative effectiveness. During that period the Police Division operated three "models":

Team Policing - District 1 was organized around six geographical sectors. Officers with investigative skills were assigned to each sector "team". Under District 1's COMSEC plan, all officers were to be encouraged to perform investigative functions. District 1 had responsibility for all crimes except Homicide.

Decentralized District - Officers with investigative skills were assigned to District 5 and operated as a specialized unit within the district. The investigative function was organized by the nature of the crime - investigators were assigned to deal with either crimes against property or crimes against persons. District investigators had responsibility for all crimes except Homicide.

Centralized Investigation (C.I.S.) - The other four districts were supported by Cincinnati's Centralized Investigative Section. That section consisted of specialized sub-units (Drugs, Vice, Burglary, Homicide, Youth Aid, Robbery and Documents). The centralized unit was the "standard mode" of investigation - the other two models were seen as "experiments".

The findings presented in this report were derived from two sources. The Division's COMSEC evaluation team collected and organized data from Division records to determine shifts in statistics which might reflect changes in investigative effectiveness. This data was taken from District keybooks for the entire year of 1973.

The statistical findings were supplemented by interviews conducted by Urban Institute personnel in March and April of 1974. At that time, portions of C.I.S. had been decentralized due to the January reorganization. Those officers interviewed in March showed markedly different attitudes from officers still assigned to C.I.S. Central. Consequently, this evaluation reports the attitudes of four groups of officers. In all, 47 officers were personally interviewed. They were chosen as being especially knowledgeable about the investigative function in their respective units of assignment.

TABLE 1

NUMBER OF INTERVIEWS FOR EACH MODEL

District 1	District 5	C. I. S.	
		Centralized	District
N = 13	N = 8	N = 12	N = 14

Major Findings

The District 1 Team Policing model showed the best overall level of effectiveness during the experimental period. This is best seen in the clearance by arrest rate and in the overall clearance rate, both of which were highest for District 1. To a large extent, this success can be attributed to the District 1 patrol force.

When only investigative functions are considered, however, it was the District 5 model which exhibited the best results. The major statistical finding was that the clearance rate for cases requiring investigative follow-up was highest in this model. This ranking was supported both by other statistical measurements and by the opinions of the officers interviewed. In situations where the respondents could not choose their own model, the great majority preferred the District 5 model.

The third major finding was that the ideal investigative model, as pictured by the investigators interviewed, would involve a district assignment for most investigators. Other components of the model would be a team policing set-up for patrol functions and a central coordinating agency for handling specialized cases and for disseminating information.

A Critique of the Experiment

The three models are not completely comparable either in geography, population served, or responsibility. To some extent, this can be adjusted for by comparing each model with its own baseline period two months prior to the start of the experiment.

More crucial were some unique factors in District 1. First, District 1 had responsibility for a broader range of crimes than District 5, making workload comparisons impossible. Second, and most important, the District 1 model was never fully realized. Training for patrolmen in investigative skills was not available until June of 1973. Even then, the stress upon "quality performance" discouraged young patrolmen from following through with too many investigations on their own, so that investigations remained the responsibility of a skilled few on most teams. The District 1 model was actually a further decentralization of skilled investigators to the team level. The "generalist" officer model was never tested. At present, it appears that the existing structure consists of "generalist teams" composed of officers with specific skills.

Changes in Crime

Many factors influence reported crime. Reported crime represents part of the workload of the police - a portion of which requires investigative follow-up. Dr. Clifford Marshall of the Urban Institute compared the first 6 months of the experiment with a comparable period in 1973 to determine what changes were larger than one would expect by chance¹. These are reported in Table 2 (see following page).

From Table 2 it is clear that no experimental district shows changes which out-strip other comparable areas. Similar positive changes appear in District 7 (which received C.I.S. support) and District 1.

¹Working Draft, "An elementary statistical analysis of pre and post COMSEC offense data", June 21, 1974.

Overall Effectiveness

In Cincinnati, the preliminary investigation has traditionally been performed by a patrol officer. Moreover, patrol officers may make on-site apprehensions. Consequently, the effectiveness of any district in solving crimes is the result of the combined efforts of both the investigators and patrol officers. The district clearance by arrest rate is one measure of overall effectiveness² (see Table 3).

TABLE 3
CLEARANCE BY ARREST RATE²

	District 1*	District 5	Other Districts
Baseline Period (Jan-Feb)	18.7%	13.5%	16.6%
Experimental Period (Mar-Dec)	24.4%	15.5%	16.2%

District 1's team policing model shows the highest clearance by arrest rate, and the highest net gain during the experimental period. Likewise, District 1's total clearance rate is higher than that of the other areas. This higher level of effectiveness is apparent even after arrests made by store security guards are systematically excluded from consideration as in Table 3 above.

As might be expected, most investigators felt their model was most effective. The exception was C.I.S. personnel now assigned in the district (see Table 4).

TABLE 4
OFFICER'S REPORTED EFFECTIVENESS

	District 1	District 5	C.I.S. Centralized	C.I.S. in District
who saw own model as most effective	62%	100%	92%	21%

²Clearance by arrest rate $\frac{\text{\#Clearances by Arrest}}{\text{\#Part I Crimes Reported}}$

* Arrests by store security guards are not included.

REPORTED CRIME BY TYPE AND DISTRICT

Test Statistic Z

Crime Type	Dist 1	Outside Dist 1	Entire City	Dist 3	Dist 4	Dist 5	Dist 6	Dist 7
Rape		↓	↓					
Robbery		↓ H	↓ H		↓ H	↓ H	↓	↓
Aggravated Assault								
Burglary	↓ H	↑		↑ H	↑ H	↑		↓
Larceny (over \$50)	↑	↑ H	↑ H	↑ H	↑		↑ H	
Larceny (under \$50)		↓ H	↓ H			↓	↓ H	
Auto Theft		↓ H	↓ H			↓	↓	↓ H
Total Index ¹	↓				↑		↓	↓ H
Minor (other) Assault	↑ H	↑ H	↑ H	↑ H	↑ H			↑ H
Total Part I ²				↑ H	↑ H			↓
Total Part II	↓			↑ H	↓			
Grand Total ²				↑ H				

1. Does not include Homicide
2. Does not include Homicide or Negligent Manslaughter.

LEGEND:

- Blank space indicates no significant change.
- Indicates a decrease when the first 6 months are compared with a comparable period 1 year earlier (p .05, two-tailed test).
- Indicates a highly significant decrease (p < .01).
- Indicates an increase (p < .05).
- Indicates a highly significant increase (p < .01).

Investigators also felt they were given little information about other units so that comparisons were difficult to make.

To some extent the clearance rates for districts (again excluding clearances due to arrests by security guards) may be inflated. Clearance rates are reported in Table 5.

TABLE 5

CLEARANCE FOR TOTAL PART I CRIMES

	District 1	District 5	Districts with C.I.S.
District Clearance Rate - baseline (Jan-Feb)	30.5%	34.7%	41.2%
District Clearance Rate (Mar-Dec)	48.7%	40.2%	31.3%

Fifty-one percent of the investigators interviewed felt that the models were not accurately portrayed by the statistics. Another 13% were not sure. Table 6 gives those reasons given by officers for their opinions.

TABLE 6

Why does the Division look better or worse on paper than is actually the case?

REASON	# OF RESPONSES
District 1 has more people, making a higher arrest rate easier	4
District 1 gets credit for arrests by security guards	4
The Division data is distorted by misuse of multiple-closures (exceptional clearances).	4
C.I.S. takes credit away from districts.	2
C.I.S. has more difficult cases.	2
All crimes are not reported to the police.	2
District 1 can control what the figures show.	1
District 5 gets credit for arrests mat at U.C.	1
District 5 is blamed for crime at U.C.	1
District 1 crime is more difficult.	1
District 1 does not properly report youth problems	1
	23

Effectiveness of Investigative Follow-up

To a large extent, District 1's high clearance by arrest rate is due to apprehensions and arrests made on the same day as the crime was reported. In this study, any apprehension made on the same date as the crime was reported was called a "Patrol Arrest". If the arrest was made later, it was termed an arrest which required investigative follow-up (see Table 7).

TABLE 7

CLEARANCE BY PATROL ARREST RATE FOR PART I CRIMES*

	District 1	District 5	Districts with C.I.S.
Jan - Feb	9.5%	5.8%	9.0%
March - Dec	20.6%	8.0%	11.3%

*Definition - $\frac{\# \text{ of Cases Closed by Patrol Arrest}}{\# \text{ of Part I Crimes}}$

Keeping in mind that the activities of a model's patrol force affects its investigators, we can sharpen our focus to consider strictly investigative functions. We have chosen three indices of investigative effectiveness to illustrate differences among the three models. The first is to the clearance by arrest rate due to investigative follow-up. Examination of these figures (see Table 8 on the following page) shows that, while all three models exhibited a decline since the baseline period, District 5 out-performed its rivals in both periods.

TABLE 8

% OF CASES CLEARED BY ARREST DUE TO INVESTIGATIVE FOLLOW-UP* (PART I CRIMES)

	District 1	District 5	Districts with C.I.S.
Jan - Feb	5.2%	7.7%	7.6%
March - Dec	3.8%	7.5%	4.9%

* Definition - $\frac{\# \text{ of Cases Closed by Investigative Arrest}}{\# \text{ of Part I Crimes}}$

Another important measure of investigative effectiveness is proportion of investigative workload cleared by investigative arrest. Rather than the above-mentioned arrest rate which has as its base all Part I offenses, this measure considers only investigative workload. Investigative workload consists of all Part I crimes with the exception of those closed by patrol arrest. In a sense, the offenses represent these offenses which require follow-up investigation. A glance at Table 9 shows that while the COMSEC and C.I.S. models showed some deterioration, District 5 held steady at 8.2%.

TABLE 9

CLEARANCE BY INVESTIGATIVE ARREST AS A PROPORTION OF INVESTIGATIVE WORKLOAD*

	District 1	District 5	Districts with C.I.S.
Jan - Feb	6.4%	8.2%	8.3%
March - Dec	5.5%	8.2%	5.7%

*Definition - $\frac{\# \text{ of Cases Closed by Investigative Arrest}}{\# \text{ Part I Crimes} - \# \text{ Clearance by Patrol Arrest Crimes}}$

The final measure of investigative effectiveness is the ratio of clearances to arrests for investigative follow-ups. Ideally, every closure made by an investigator would be by arrest. The closer to 1.0 that this ratio is, the better is the approximation to this ideal. By this standard, both District 5 and the centralized model have done rather well (Table 10).

TABLE 10

CLEARANCES PER ARREST FOR INVESTIGATIVE FOLLOW-UP*

	District 1	District 5	Districts with C.I.S.
Jan - Feb	4.0%	3.7%	4.2%
March - Dec	7.4%	4.3%	4.0%

* Definition - $\frac{\text{Closures by Investigative Arrest and Exceptional Clearances}}{\text{Closures by Investigative Arrest}}$

This statistical focus on investigative effectiveness was supported by the interview findings. As noted above, when asked to pick the "best" model, most respondents chose their own model. If we look further however, we can make some more tentative conclusions (Table 11).

TABLE 11

Q: "Which investigative model do you feel was doing the best job considering the overall investigative effectiveness?"

Model To Which Respondent Was Assigned

Model Doing "Best Job"	District 1		District 5		CIS "Central"		Districts with CIS	
	(N)	%	(N)	%	(N)	%	(N)	%
District 1	8	61.5	-	-	-	-	1	7.1
District 5	2	15.4	8	100.0	1	8.3	9	57.1
C.I.S.	-	-	-	-	11	91.6	3	21.4
Other (don't know etc.)	3	23.1	-	-	-	-	1	7.1
TOTAL	13		8		12		14	

The first striking point is the near-unanimity of opinion among District 5 and C.I.S. "Central" respondents. Both groups felt very strongly that their own model was "best". If the breakdown of C.I.S. respondents is any indication, previously centralized investigators quickly adopt a new viewpoint when exposed to a situation involving more decentralization. In fact, of the above four groups, only the decentralized C.I.S. respondents chose a model other than their own.

The other significant finding is that among those who did not choose their own model, District 5 was the most frequently mentioned. Of 17 interviewees who chose a model other than their own (or didn't know which was best) 71% (12) chose the District 5 model. The reasons given for the various choices are listed below (Table 12).

TABLE 12

Q: "What contributed to the superiority of the model that the respondent said was doing the best job?"

Model Chosen As Doing Best Job

Most Important Factor	District 1	District 5	C.I.S.	Other	Total	
					(N)	%
Training	4	3	2	1	10	21.3
Experienced Officers	2	5	5	1	13	27.7
Organizational Structure	3	7	6	-	16	34.0
Supervisors	-	5	1	2	8	17.0

Part II Crimes

The primary focus of this report has been on Part I crime. There are two reasons for this. First, Part I offenses are generally considered to be "more serious" than are Part II offenses. Secondly, a Part II offense is only entered into the keybook when an arrest is made. Therefore, it is impossible to determine what level of investigation was necessary for closure. Table 13 shows the number of arrests in two Part II categories for the 12-month periods prior to and immediately after the implementation of COMSEC in March, 1973.

TABLE 13

PART II ARRESTS

	District 1		District 5		Others	
	Pre*	Post	Pre	Post	Pre	Post
Drug Arrests	251	376	125	157	599	624
Total Vice Arrests**	1047	913	310	388	1319	1405

*Pre COMSEC period was 3/72 - 2/73; Post COMSEC period was 3/73 - 2/74

**Total Vice Arrests include those for prostitution and commercialized vice, narcotic drug laws, gambling, and liquor law violations.

Table 14 yields some insight into the relative effectiveness of handling specialized types of investigations. Respondents were asked to rank, on a 5-point scale, how their model did on these specialized cases.

TABLE 14

Q: "How did your model do, compared to other models with vice cases, drug cases, fraud and document cases, and youth aid cases?"

Model	Type of Case				
	Vice	Drug	Frauds	Youth Aid	
District 1	4.3	4.2	3.2	3.1	
District 5	2.9	2.6	3.0	3.5	
C.I.S.	3.5	4.0	4.3	3.3	

Scale

(5)	(4)	(3)	(2)	(1)
Much Better Job	Better Job	Similar Job	Worse Job	Much Worse Job

The ideal Investigative Model

The final questions of the interview dealt with the preferred investigative model. The respondents were asked to list the components of the "ideal" investigative model. The results are listed below in Table 15.

TABLE 15

Component	# of Responses
1. Train patrolmen as investigators.	3
2. Eliminate most specialized units.	1
3. Give patrolmen responsibility for follow-up.	3
4. Team policing.	15
5. District assignment for investigators	29
a. With separate investigative supervision.	2
b. Responsible to District Commander.	2
6. Drug cases as an exception.	1
7. Homicides as an exception.	8
8. Collators for coordination.	1
9. C.I.S. as it was (good image).	6
10. Mini-Tac Units for coordination.	2
11. Different organizational structure for different areas.	2
12. Document Squad centralized.	1
13. COMSEC as it is.	2

ADVANTAGES AND DISADVANTAGES OF MODELS

Officers critiqued their own models describing the strengths and weaknesses of each model. Table 14.1 contains the advantages mentioned by officers, grouped by the investigator's assignment. Table 14.2 lists weaknesses mentioned by investigators in describing their own models. The ideal investigative model follows naturally from these observations of current practice.

TABLE 14.1

ADVANTAGES OF
INVESTIGATIVE MODELS

	District One	District Five	C.I.S. District	C.I.S. Central
Patrolman - Investigator Interactions				
1. Cooperation, rapport	3	5	1	1
2. Continuing Exchange of information	2	2	0	0
3. Credit to patrolman for case closures	1	2	0	0
Patrolman - Performance of Investigative functions				
1. Partial performance of all functions	1	0	0	0
2. Complete performance of some functions	1	0	0	0
3. Complete performance all functions	2	0	0	0
4. Unspecified performance of functions	2	0	0	0
Familiarity with area of Operations				
1. Geographic familiarity with area	0	0	0	0
2. Familiarity with area residents	2	1	0	0
3. Familiarity with specific criminals	2	0	0	3
4. Familiarity with informants	0	0	1	3
5. Familiarity with crime types, trends, etc.	0	0	1	2
6. Community generated information, community meetings	4	0	0	0
7. Police-Community relations	1	0	0	0

TABLE 14.1

ADVANTAGES OF
INVESTIGATIVE MODELS

	District One	District Five	C.I.S. District	C.I.S. Central
Familiarity with type of operation (Specialization and Expertise)				
1. Training - investigative techniques	2	1	0	1
2. Training - specific crime types requiring investi- gation	0	0	0	1
3. Experience - investigative techniques (thorough case work)	2	0	2	4
4. Experience - specific crime types	0	0	1	5
Centralization (for handling multi-district crimes)				
1. Exchange and dissemination of information	0	0	2	4
2. Direction and performance of investigations	0	0	0	4
3. Coordination with outside agencies	0	0	0	5
Characteristics of the Unit				
1. Flexibility of operations (excluding early closures)	1	0	0	3
2. Early closures	1	2	0	0
3. Effectiveness of command, supervisor	0	1	0	1
4. Internal communications	1	1	0	2
5. Equipment and time	0	0	0	3
6. Faster response (time lag overcome)	2	0	0	0
7. Responsibility for performance of investi- gations	5	3	0	2
8. Inter-Sector cooperation and assistance	2	0	0	0
9. Team-work (pride in job)	2	0	0	2
10. Relieves patrolman of all investigative duties	0	1	0	0

TABLE 14.1

ADVANTAGES OF
INVESTIGATIVE MODELS

	District One	District Five	C.I.S. District	C.I.S. Central
Familiarity with type of operation (Specialization and Expertise)				
1. Training - investigative techniques	2	1	0	1
2. Training - specific crime types requiring investigation	0	0	0	1
3. Experience - investigative techniques (thorough case work)	2	0	2	4
4. Experience - specific crime types	0	0	1	5
Centralization (for handling multi-district crimes)				
1. Exchange and dissemination of information	0	0	2	4
2. Direction and performance of investigations	0	0	0	4
3. Coordination with outside agencies	0	0	0	5
Characteristics of the Unit				
1. Flexibility of operations (excluding early closures)	1	0	0	3
2. Early closures	1	2	0	0
3. Effectiveness of command, supervisor	0	1	0	1
4. Internal communications	1	1	0	2
5. Equipment and time	0	0	0	3
6. Faster response (time lag overcome)	2	0	0	0
7. Responsibility for performance of investigations	5	3	0	2
8. Inter-Sector cooperation and assistance	2	0	0	0
9. Team-work (pride in job)	2	0	0	2
10. Relieves patrolman of all investigative duties	0	1	0	0

TABLE 14.2

WEAKNESSES OF INVESTIGATIVE MODELS

	District One	District Five	C.I.S. District	C.I.S. Central
1. Communications Problem:				
Between sectors	3	0	0	0
To and from C.I.S.	1	2	7	6
Internal (general)	1	0	0	0
2. Specialization Problems:				
Lack of	3	2	0	0
Too much	0	0	2	0
3. Supervisory Problems:				
Internal	2	0	1	0
Lines of control (C.I.S. and District)	0	0	3	1
4. Not Enough Familiarity With Neighborhood or Area				
	0	0	2	2
5. Need for More Training				
	3	0	0	0
6. Job Environment:				
Need for early closures	0	0	2	0
Other problems	1	0	1	2
7. Workload or Equipment Problems:				
Workload too heavy	1	1	0	2
Lack of manpower	0	2	0	0
Lack of equipment	1	2	0	1

SUMMARY

1. District 1 - Team Policing - showed the best overall effectiveness during the experimental period.

- District 1 clearance by arrest rate was higher than other districts (25%).
- District 1 overall clearance rate was higher than other districts (50%).

These results do not include arrests made by Department Store Security Guards which would make the District 1 rates even higher.

2. District 5 showed the best results for clearance by arrest for cases requiring investigative follow-up ("same-day" definition).

Much of District 1's high clearance by arrest rate is due to apprehensions made the same day as the arrest is reported.

3. Investigators tended to prefer a District 5 model in situations where they could not choose their own model.

4. The "ideal investigative model" would have:

- District assignment for most investigators.
- Team policing for patrol functions with partial investigations.
- A central coordinating agency to provide:
 1. Analysis.
 2. Coordination with outside agencies.
 3. Consolidation and dissemination of information.
 4. Special, scarce skills.

APPENDICES TO APPENDIX B

Appendix A

DATA SOURCES

The great bulk of hard data used in this study was obtained from District keybooks rather than from regular Division sources. By using this keybook data a more accurate impression of investigative effectiveness could be obtained. The primary reason for this improved accuracy can be illustrated by considering the derivation of clearance rates. If we had used, for instance, the monthly offense and arrest reports produced by R.C.C., we would have had a problem of association. That is, while the offenses listed had occurred during the month in question, the arrests may have been for offenses which occurred during a prior month. In the keybooks, by contrast, the type of clearance is listed immediately to the right of the report of the offense. So, by using keybook data, we can obtain an accurate association of offenses and clearances.

Appendix B

When, during the interviews, investigators were asked to list components of an ideal investigative system, many (often conflicting) answers were received. One especially thoughtful and coherent answer is the following:

Q: Considering cost and overall levels of service, what would be the best way to organize the delivery of investigative services in Cincinnati; using the best ideas from any of the three models?

District assigned units (should be) doing on-the-street investigations; (their) closeness to patrolmen and district area allows them to be better aware of what is going on. Mini-tactical units also function as liaison between districts and centralized units. (They) can link up with R.E.N.U., Vice Control, Burglary Squad, etc., when needed. (We would) still need a central unit for continuity of effort, centralized information, (and the) expertise required for some crime types.

Sector assignment, task oriented patrol functions like COMSEC are (an) excellent way to obtain very close, accurate information about problems and conditions in neighborhoods. This would link up well with a district level investigative unit. (The) environment provided by COMSEC is an improvement in the life of a patrolman. (He has) more opportunity to do investigations, select and pursue (his own) specialization. (This) can be done without censorship, since creativity and individual initiative are encouraged.

SPECIAL APPENDIX

STRATEGIES FOR PLANNING ORGANIZATIONAL CHANGE:
FORCE FIELD ANALYSIS

ADAPTED FROM:
THE INSTITUTE FOR BEHAVIORAL CHANGE/
NATIONAL TRAINING LAB,
WASHINGTON, D.C.
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INTRODUCTION

No institution or organization is exempt from change. Today the student who returns to his alma mater ten years after graduation can expect to find changes, not only in personnel, but also in personnel policies and teaching practices. The executive returning to the firm where he once worked, the nurse going back to her old hospital, the social worker visiting his agency--all can expect to find sweeping changes.

It is fairly easy to identify changes in institutional patterns after they have occurred. It is more difficult to analyze changes while they are going on and still more difficult to predict changes or to influence significantly the direction and the tempo of changes already underway. Yet, more and more, those who have managerial functions in organizations must analyze and predict impending changes and take deliberate action to shape change according to some criteria of progress. The planning of change has become part of the responsibility of management in all contemporary institutions, whether the task of the institution is defined in terms of health, education, social welfare, industrial production, or religious indoctrination.

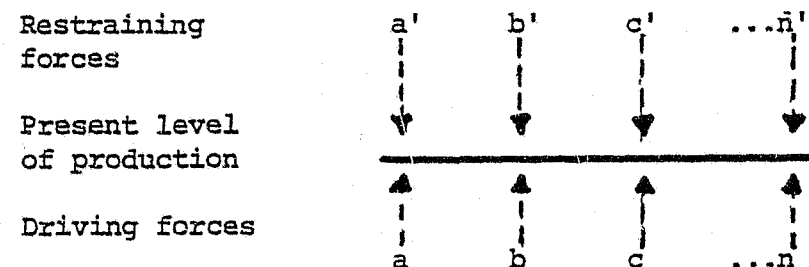
Whatever other equipment managers require in analyzing potentialities for change and in planning and directing change in institutional settings, they need some conceptual schema for thinking about change. This need stems from the profusion and variety of behaviors that accompany any process of change.

FORCE FIELD ANALYSIS

One useful model for thinking about change has been proposed by Kurt Lewin, who saw behavior in an institutional setting, not as a static habit or pattern, but as a dynamic balance of forces working in opposite directions within the social-psychological space of the institution (1).

Take, for example, the production level of a work team in a factory. This level fluctuates within narrow limits above and below a certain number of units of production per day. Why does this pattern persist? Because, Lewin says, the forces that tend to raise the level of production are equal to the forces that tend to depress it. Among the forces tending to raise the level of production might be: (a) the pressures of supervisors on the work team to produce more; (b) the desire of at least some team members to attract favorable attention from supervisors in order to get ahead individually; (c) the desire of team members to earn more under the incentive plan of the plant. Such forces Lewin called "driving forces." Among the forces tending to lower the level of production might be: (a') a group standard in the production team against "rate busting" or "eager beavering" by individual workers; (b') resistance of team members to accepting training and supervision from management; (c') feelings by workers that the product they are

producing is not important. Granted the goal of increased productivity, these forces are "restraining forces." The balance between the two sets of forces, which defines the established level of production, Lewin called a "quasi-stationary equilibrium." We may diagram this equilibrium as follows:



According to Lewin, this type of thinking about patterns of institutionalized behavior applies not only to levels of production in industry but also to such patterns as levels of discrimination in communities; atmosphere of democracy or autocracy in social agencies; supervisor-teacher-pupil relationships in school systems; and formal or informal working relationships among levels of a hospital organization.

According to this way of looking at patterned behavior, change takes place when an imbalance occurs between the sum of the restraining forces and the sum of the driving forces. Such imbalance unfreezes the pattern: the level then changes until the opposing forces are again brought into equilibrium. An imbalance may occur through a change in the magnitude of any one force, through a change in the direction of a force, or through the addition of a new force.

For examples of each of these ways of unfreezing a situation, let us look again at our original illustration. Suppose that the members of the work team join a new union, which sets out to get pay raises. In pressing for shifts in over-all wage policy, the union increases the suspicion of workers toward the motives of all management, including supervisors. This change tends to increase the restraining force--let's say restraining force (b'). As a result, the level of production moves down. As the level of production falls, supervisors increase their pressure toward greater production, and driving force (a) increases. This release of increased counterforce tends to bring the system into balance again at a level somewhere near the previous level. But the increase of these opposed forces may also increase the tension under which people work. Under such conditions, even though the level of production does not go down very much, the situation becomes more psychologically explosive, less stable, and less predictable.

A war that demands more and more of the product that the work team is producing may convert the workers' feeling that they are not producing anything important (restraining force (c')) to a feeling that their work is important and that they are not working hard enough. This response will occur provided, of course, that the workers are committed to the war effort. As the direction of force (c') is reversed, the level of production will almost certainly rise to bring the behavior pattern into a state of equilibrium at a higher level of productivity.

Suppose a new driving force is added in the shape of a supervisor who wins the trust and the respect of the work team. The new force results in a desire on the part of the work team to make the well-liked supervisor look good--or at least to keep him from looking bad--in relation to his colleagues and superiors. This force may operate to offset a generally unfavorable attitude toward management.

These examples suggest that in change there is an unfreezing of an existing equilibrium, a movement toward a new equilibrium, and the refreezing of the new equilibrium. Planned change must use situational forces to accomplish unfreezing, to influence the movement in generally desirable directions, and to rearrange the situation, not only to avoid return to the old level, but to stabilize the change or improvement.

This discussion suggests three major strategies for achieving change in any given pattern of behavior: the driving forces may be increased; the restraining forces may be decreased; these two strategies may be combined. In general, if the first strategy only is adopted, the tension in the system is likely to increase. More tension means more instability and more unpredictability and the likelihood of irrational rather than rational responses to attempts to induce change.

It is a well-known fact that change in an organization is often followed by a reaction toward the old pattern, a reaction that sets in when pressure for change is relaxed. After a curriculum survey, one school system put into effect several recommendations for improvement suggested by the survey. The action was taken under pressure from the board and the superintendent, but when they relaxed their vigilance, the old pattern crept back in.

This experience raises the problem of how to maintain a desirable change. Backsliding takes place for various reasons. Those affected by the changes may not have participated in the planning enough to internalize the changes that those in authority are seeking to induce; when the pressure of authority is relaxed, there is no pressure from those affected to maintain the change. Or, a change in one part of the social system may not have been accompanied by enough co-relative changes in overlapping parts and subsystems.

STRATEGIC PRINCIPLES

On the basis of this model of analysis, several principles of strategy for effecting institutional change may be formulated.

I To change a subsystem or any part of a subsystem, relevant aspects of the environment must also be changed.

The manager of the central office of a large school system wants to increase the efficiency of the secretarial forces by placing private secretaries in a pool. It is the manager's hope that the new arrangement will make for better utilization of the secretaries' time. In this situation at least two driving forces are obvious: fewer secretaries can serve a larger number of subexecutives; a substantial saving can be expected in office space and equipment. Among the restraining forces are the secretaries' resistance to a surrender of their personal relationship with a status person, a relationship implicit in the role of private secretary; the possible loss of the prestige implicit in the one-to-one secretary-boss relationship; the prospective dehumanization, as the secretaries see it, of their task; and a probable increase in work load. Acceptance of this change in role and relationship would require accompanying changes in other parts of the subsystem. Furthermore, before the private secretaries could whole-heartedly accept the change, their bosses as well as lower-status clerks and typists in the central office would have to accept the alteration in the secretarial role as one that did not necessarily imply an undesirable change in status. The secretaries' morale would surely be affected if secretaries in other parts of the school system--secretaries to principals in school buildings, for example--were not also assigned to a pool.

Thus to plan changes in one part of a subsystem, in this case in the central office of the school system, eventually involves consideration of changes in overlapping parts of the system--the clerical force, the people accustomed to private secretaries, and others as well. If these other changes are not effected, one can expect lowered morale, requests for transfers, and even resignation. Attempts to change any subsystem in a larger system must be preceded or accompanied by diagnosis of other subsystems that will be affected by the change.

II To change behavior on any one level of a hierarchical organization, it is necessary to achieve complementary and reinforcing changes in organization levels above and below that level.

Shortly after World War II, commanders in the United States Army decided to attempt to change the role of the sergeancy. The sergeant was not to be the traditionally tough, driving leader of men but a supportive, counseling squad leader. The traditional view of the sergeant's role was held by enlisted men, below the rank of sergeant, as well as by second lieutenants, above the rank of sergeant.

Among the driving forces for change were the need to transform the prewar career army into a new peacetime military establishment composed largely of conscripts; the perceived need to reduce the gap between

military life and civilian status; and the desire to avoid any excesses in the new army that might cause the electorate to urge a return to the prewar volunteer military establishment.

Among the immediate restraining forces were the traditional authoritarian role behaviors of the sergeancy, forged by wartime needs and peacetime barracks service. These behaviors were in harmony with the needs of a military establishment that by its very nature is based on the notion of a clearly defined chain of command. Implicit in such a hierarchy are orders, not persuasion; unquestioning obedience, not critical questioning of decisions. Also serving as a powerful restraining force was the need for social distance between ranks in order to restrict friendly interaction between levels.

When attempts were made to change the sergeant's role, it was discovered that the second lieutenant's role, at the next higher level, also had to be altered. No longer could the second lieutenant use the authority of the chain-of-command system in precisely the same way as before. Just as the sergeant could no longer operate on the principle of unquestioning obedience to his orders, so the second lieutenant could no longer depend on the sergeant to pass orders downward unquestioningly. It was soon seen that, if the changed role of the sergeant was to be stabilized, the second lieutenant's role would have to be revised.

The role of the enlisted man also had to be altered significantly. Inculcated with the habit of responding unquestioningly to the commands of his superiors, especially the sergeant, the enlisted man found the new permissiveness somewhat disturbing. On the one hand, the enlisted man welcomed being treated more like a civilian and less like a soldier. On the other hand, he felt a need for an authoritative spokesman who represented the army unequivocally. The two needs created considerable conflict. An interesting side effect, which illustrates the need of the enlisted men for an authoritative spokesman for the army, was the development of greater authority in the rank of corporal, the rank between private and sergeant.

To recapitulate briefly, the attempts to change the role of the sergeancy led unavoidably to alterations in the roles of lieutenant, private, and corporal. Intelligent planning of change in the sergeancy would have required simultaneous planning for changes at the interrelated levels.

III. The place to begin change is at those points in the system where some stress and strain exist. Stress may give rise to dissatisfaction with the status quo and thus become a motivating factor for change in the system.

One school principal used the dissatisfaction expressed by teachers over noise in the corridors during passing periods to secure agreement to extra assignments to hall duty. But until the teachers felt this dissatisfaction, the principal could not secure their whole-hearted agreement to the assignments.

Likewise, hospitals have recently witnessed a significant shift of functions from nurses to nurse's aides. A shortage of nurses and consequent overwork led the nurses to demand more assistance. For precisely the same reasons, teachers in Michigan schools were induced to experiment with teacher's aides.

The need for teachers to use the passing period as a rest period, the desire of the nurses to keep exclusive control over their professional relationships with the patient, and the resistance of teachers to sharing teaching functions with lay people--all these restraining forces sufficiently strong to overcome the restraining forces. Of course, the restraining forces do not disappear in the changed situation. They are still at work and will need to be handled as the changing arrangements become stabilized.

In diagnosing the possibility of change in a given institution, it is always necessary to assess the degree of stress and strain at points where change is sought. One should ordinarily avoid beginning change at the point of greatest stress.

Status relationships had become major concern of staff members in a certain community agency. Because of lower morale in the professional staff, the lay board decided to revamp lay-professional relationships. The observable form of behavior that led to the action of the board was the striving for recognition from the lay policy-making body by individual staff members. After a management survey, the channels of communication between the lay board and the professional staff were limited to communication between the staff head and the members of the lay board. The entire staff, except the chief executive, perceived this step as a personal rejection by the lay board and as a significant lowering of the status of staff members. The result was still lower morale. Because of faulty diagnosis the change created more problems than it solved.

The problem of status-striving and its adulteration of lay-professional relationships could have been approached more wisely. Definition of roles--lay and professional--could have been undertaken jointly by the executive and the staff in an effort to develop a more common perception of the situation and a higher professional esprit de corps. Lack of effective recognition symbols within the staff itself might have been dealt with first, and the touchy prestige symbol of staff communication with the lay board put aside for the time being.

IV. If thoroughgoing changes in a hierarchical structure are desirable or necessary, change should ordinarily start with the policy-making body.

Desegregation has been facilitated in school systems where the school board first agreed to the change. The board's statement of policy supporting desegregation and its refusal to panic at the opposition have been crucial factors in acceptance of the change throughout the school system and eventually throughout the community. In localities where boards of education have not publicly agreed to the change, administrators' efforts

to desegregate have been overcautious and halfhearted, and the slightest sign of opposition in the institution or the community has led to a strengthening rather than a weakening of resistance to desegregation. Sanction by the ruling body lends legitimacy to any institutional change, though, of course, "illegitimate" resistance must still be faced and dealt with as a reality in the situation.

V. Both the formal and the informal organization of an institution must be considered in planning any process of change.

Besides a formal structure, every social system has a network of cliques and informal groupings. These informal groupings often exert such strong restraining influences on institutional changes initiated by formal authority that, unless their power can be harnessed in support of a change, no enduring change is likely to occur. The informal groupings in a factory often have a strong influence on the members' rate of work, a stronger influence than the pressure by the foreman. Any worker who violates the production norms established by his peer group invites ostracism, a consequence few workers dare to face. Schools, too, have their informal groupings, membership in which is often more important to teachers than the approval of their supervisors. To involve these informal groups in the planning of changes requires ingenuity and sensitivity as well as flexibility on the part of an administrator.

VI. The effectiveness of a planned change is often directly related to the degree to which members of all levels of an institutional hierarchy take part in the fact-finding and the diagnosing of needed changes and in the formulating and reality-testing of goals and programs of change.

Once the workers in an institution have agreed to share in investigating their work problems and their relationship problems, a most significant state in overcoming restraining forces has been reached. This agreement should be followed by shared fact-finding by the group, usually with technical assistance from resources outside the particular social system. Participation by those affected by the change in fact-finding and interpretation increases the likelihood that new insights will be formed and that goals of change will be accepted. More accurate diagnosis results if the people to be changed are trained in fact-finding and fact-interpreting methods as part of the process of planning.

CONCLUSION

This article has been written from the standpoint that change in an institution or organization can be planned. Is this a reasonable view? Can change be deliberately planned in organizations and institutions as complex as school systems, hospitals, and armies? Do not many determinants of change operate without the awareness or knowledge of those involved?

It is true that most people are unaware of many factors that trigger processes of change in the situations in which they work. And most people are unaware of many factors that influence the direction of change. Many factors, even when known, are outside the power of people in an organization to control or some forces that influence change in an organization stem from the wider society: new knowledge, new social requirements, new public demands force the management of a school system to alter the content and the methods of its instructional program. Some factors cannot be fully known in advance. Even when they are anticipated, the school cannot fully control them.

Some forces that work for change or resistance to change in an organization stem from the personalities of the leaders and the members of the organization. Some of these factors are unknown to the persons themselves and to those around them. Some personality factors, even when they are known, cannot be altered or reshaped, save perhaps by therapeutic processes beyond the resources of the personnel involved.

All this is true. Yet members and leaders of organizations, especially those whose positions call for planning and directing change, cannot evade responsibility for attempting to extend their awareness and their knowledge of what determines change. Nor can they evade responsibility for involving others in planning change. All concerned must learn to adjust to factors that cannot be altered or controlled, and to adapt and to alter those that can be. For as long as the dynamic forces of science, technology, and intercultural mixing are at work in the world, change in organizations is unavoidable. Freedom, in the sense of the extension of uncoerced and effective human choice, depends on the extension of man's power to bring processes of change, now often chaotic and unconsidered, under more planful and rational control (2).

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SPECIAL APPENDIX

OVERVIEW

"The Criminal Investigation Process
Volume I: Summary and Policy Implications"

Rand Corporation

Overview

"The Criminal Investigation Process
Volume I: Summary and Policy Implications"
Rand Corporation

In October 1975 the Rand Corporation submitted a report to the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration. It contained the results of a two-year study of the process of criminal investigation. The findings, proposals, and conclusions of the study have been sharply challenged by many police administrators.

The most controversial observation contained in the report stated that:

On their face, our study findings suggest that the effectiveness of criminal investigation would not be unduly lessened if roughly half of the investigative effort were eliminated or shifted to more productive uses. The remaining investigative force should suffice to handle routine cases, which give rise to most of the clearances that now occur, and to perform the post arrest processing involved in a patrol arrest. These findings also indicate that significant increases in criminal apprehension rates are much more likely to be produced by more alert patrol units and improved citizen cooperation than by refinements in investigative work.

In July of 1976 an article entitled "An Evaluation of the Rand Corporation's Analysis of the Criminal Investigation Process" appeared in the Police Chief magazine. The authors of the article raised a number of questions regarding the validity of the study and the usefulness of the findings and recommendations.

While acknowledging the fact that the Rand research effort had developed some useful data, the authors described the purpose of their evaluation in the following way:

The present evaluation was not undertaken to support the investigative status quo. There is indeed a definite need for improvement in the investigative process, but there is also substantial cause for concern that police administrators may take at face value Rand's claimed research findings and implement changes which will prove harmful both to the police and the communities they serve. It is therefore imperative that we alert police administrators to

exercise great caution in considering the Rand study's purported findings and suggested reforms.

In the Summary of the study, Rand researchers also cautioned police administrators to assure themselves of the relevance of the research work as it related to their particular agency needs. This caution was stated as follows:

It would not be prudent for a department to materially reduce its level of investigative effort on the strength of our findings alone. For many inescapable reasons, a police chief would be sharply criticized by crime victims and others if he failed to respond with some degree of investigative effort on most cases. Rather, we recommend that a series of closely monitored experiments or demonstrations be conducted in different types of jurisdictions. These undertakings should provide for a carefully controlled reduction in follow-up investigative efforts and for an increase in efforts to accomplish identifications and arrests by other means. These demonstrations should be aimed at testing the substantive findings of our study and at demonstrating practical alternatives for enhancing police capability to apprehend criminals.

It is clear that each police agency must weigh the findings and proposed reforms offered by the Rand Corporation in the light of their own operations and agency responsiveness to criminal investigations.

To assist you in considering the options offered, and in weighing the practicality of the findings, a reprint of the Summary from the Rand study follows for your examination and use.

Very often, one of the major benefits arising from research efforts is the awakening of a questioning attitude about existing practices and procedures. The re-examination may lead to improvements in performance by making basic changes in the system. Or, it may convince the police executive that the current approach is sufficient.

Regardless of the outcome of the re-examination, a more efficient operation should be the end result of the examination/evaluation process.

THE CRIMINAL INVESTIGATION PROCESS VOLUME I: SUMMARY AND POLICY IMPLICATIONS

PREPARED UNDER A GRANT FROM THE NATIONAL INSTITUTE OF LAW
ENFORCEMENT AND CRIMINAL JUSTICE, LEAA, DEPARTMENT OF JUSTICE

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PREFACE

This report is the first in a series of volumes resulting from a two-year study of police criminal investigation practices and their impacts. The study, supported by a grant from the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration, U.S. Department of Justice, had four objectives:

- To describe, on a national scale, current investigative organization and practices.
- To assess the contribution that police investigation makes to the achievement of criminal justice goals.
- To ascertain the effectiveness of new technology and systems being adopted to enhance investigative performance.
- To reveal how investigative effectiveness is related to differences in organizational form, staffing, procedures, etc.

The present volume, *The Criminal Investigation Process: Summary and Policy Implications*, summarizes and synthesizes the overall findings of the study and draws policy-relevant conclusions and recommendations. This report should be of interest to police officials and to other criminal justice practitioners, such as prosecutors and judges, whose work brings them in contact with criminal investigators.

Volume II of the series (R-1777-DOJ), *The Criminal Investigation Process: Survey of Municipal and County Police Departments*, reports on the responses of police departments with more than 150 employees to a national survey. Differences among departments with regard to policies, resources used, and operational characteristics are identified and then related to standard gross performance statistics such as crime, clearance, and arrest rates. This report should be of interest to both police officials and the criminal justice research community.

Volume III of the series (R-1778-DOJ), *The Criminal Investigation Process: Observations and Analysis*, presents a comprehensive description of the criminal investigation process (based on all data gathered in the course of the study) and an analysis of those issues that can be illuminated by quantitative evidence. This report is directed primarily to researchers but may also be of interest to police officials who wish to examine the details of the analysis supporting the findings reported in this volume.

SUMMARY

SCOPE AND OBJECTIVES

This report, the first of a series of three volumes, is the product of a two-year Rand study of police investigation funded by the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration, U.S. Department of Justice. The objectives of the research were:

- To describe, on a national scale, current investigative organization and practices.
- To assess the contribution that police investigation makes to the achievement of criminal justice goals.
- To ascertain the effectiveness of new technology and systems being adopted to enhance investigative performance.
- To reveal how investigative effectiveness is related to differences in organizational form, staffing, procedures, etc.

The scope of the Rand study was limited to police investigation of serious reported crime: homicide, rape, assault, robbery, burglary, and theft. Our work did not address misdemeanor offenses or victimless and organized crimes whose investigation is substantially different from the felony offenses that were our primary concern.

The present volume summarizes and synthesizes the overall findings of the study and draws policy-relevant conclusions. Throughout the report the collective "we" is used to describe the work of the entire project staff.

SOURCES OF INFORMATION

The information used in this study was obtained in several ways. First, we examined the literature on the investigative performance of police departments in American cities and used some of their findings as hypotheses to be explored in our work:

We developed a comprehensive survey questionnaire which was distributed to all municipal or county law enforcement departments that had 150 or more full-time employees or that served a jurisdiction whose 1970 population exceeded 100,000. This survey produced extensive information from 153 jurisdictions (of the 300 solicited) on such topics as department characteristics, investigator deployment, investigator training and status, use of evidence technicians, nature of specialization, evaluation criteria, prosecutorial interaction, case assignment, use of computer files, and crime, clearance, and arrest rates.

On the basis of the survey responses, together with the consensus of our project advisory panel,¹ more than 25 police agencies were selected for more detailed study.

¹ A panel of distinguished police personnel were selected to serve in an advisory capacity to the project. The group consisted of Cornelius (Neil) J. Behan (New York City Police Department); James Fisk (Mem-

Our project staff visited each of these departments, observing and participating in the operations of the investigative units and discussing their procedures with personnel at various departmental levels. In some cities we monitored individual investigators and their supervisors continuously over a period of several days to obtain realistic profiles of their activities.

From some departments we obtained studies that they had made to evaluate novel investigative programs. Several departments cooperated closely with the Rand staff and provided us access to samples of completed or suspended cases, whose folders enabled us to trace case progress and disposition as related to the specific investigative inputs.

One very useful data source made available to us was the Kansas City Detective Case Assignment File, which has been maintained in that department since 1971. On the basis of daily information submitted by individual detectives, this computer file permitted us to determine, for each investigator and each investigative unit, a description of the time spent on various activities, the number of cases handled, and the number of arrests and clearances produced. This information source greatly facilitated our analyses of how detectives spend their time and to what purposes and effects.

From the FBI we obtained a computer-readable file of 1972 Uniform Crime Report (UCR) data, by reporting departments; these data and information from the survey were used to develop inferences about the relationship between investigative activities and reported crime rates, arrest rates, and clearance rates.

Finally, to provide a data source for a special study of information feedback to crime victims, a limited telephone survey was made of robbery and burglary victims in a single jurisdiction.

MAJOR FINDINGS

- *On investigative effectiveness: Differences in investigative training, staffing, workload, and procedures appear to have no appreciable effect on crime, arrest, or clearance rates.*

As part of our analysis of the survey questionnaire, we attempted to correlate (by means of standard statistical tests) crime, arrest, and clearance rates with the wide differences in organization, staffing, and procedures by which those departments reported that they performed the investigation function. This analysis shows that variations in crime, arrest, and clearance rates among these communities were weakly, if at all, related to the disparities in investigation inputs.

- *The method by which police investigators are organized (i.e., team policing, specialists vs. generalists, patrolmen-investigators) cannot be related to variations in crime, arrest, and clearance rates.*

Detailed analysis of case samples, combined with FBI-UCR and Rand survey data, shows that crimes are solved similarly across departments, regardless of how the investigators are organized.

ber of the Los Angeles Police Commission); Thomas Hastings (Rochester, New York Police Department); Jerry Wilson (Former Chief, Washington, D.C. Police Department); and Eugene Zoglio (Professor, Prince George's Community College).

- *On the use of investigators' time: Substantially more than half of all serious reported crimes receive no more than superficial attention from investigators.*

From an analysis of a computer-readable case assignment file maintained by the Kansas City (Missouri) Police Department, and observations during site visits, we determined that although a large proportion of reported crimes are assigned to an investigator, many of these receive no more attention than the reading of the initial crime incident report; that is, many cases are suspended at once. The data show that homicide, rape, and suicide invariably resulted in investigative activity. Overall, however, less than half of the reported felonies could be said to be worked on by an investigator, and the great majority of cases that are actively investigated receive less than one day's attention.

- *Our data consistently reveal that an investigator's time is largely consumed in reviewing reports, documenting files, and attempting to locate and interview victims on cases that experience shows will not be solved. For cases that are solved (i.e., a suspect is identified), an investigator spends more time in post-clearance processing than he does in identifying the perpetrator.*

From our analyses of a variety of crime types, it was determined that, in more than half of the cleared cases, the identity of the perpetrator is known or readily determinable at the time the crime report is made. The investigator needs to devote little time to the solution of these cases, but post-arrest processing frequently requires him to perform a number of administrative tasks. Difficult cases that are finally solved after a substantial application of investigative effort are relatively uncommon. Most of the work done by investigators on cases that are solved is a consequence of the fact that an arrest has already been made. Furthermore, much of the investigator's time is consumed by administrative duties, services to the public, and other activities not immediately directed to assigned cases.

- *On how cases are solved: The single most important determinant of whether or not a case will be solved is the information the victim supplies to the immediately responding patrol officer. If information that uniquely identifies the perpetrator is not presented at the time the crime is reported, the perpetrator, by and large, will not be subsequently identified.*

In an analysis of a large sample of combined crime types, it was determined that the perpetrator's identity became immediately known in more than one-half of the cases that were eventually cleared, chiefly because (1) the offender was arrested at the scene; (2) the victim or other witness identified him by name and address even though he was not arrested at the scene; or (3) he was identifiable by some unique evidence apparent at the crime scene, for example, a witness observed the license plate on the perpetrator's car or his employee badge number.

- *On how cases are solved: Of those cases that are ultimately cleared but in which the perpetrator is not identifiable at the time of the initial police incident report, almost all are cleared as a result of routine police procedures.*

A finding from our examination of the cleared cases in a sample drawn from six cities was that in nearly all cases where the perpetrator's identity was not apparent at the time of the offense, the clearances were produced by routine police procedures; that is, they required no imaginative exercise of investigative experience and skills. Typically, fingerprint search, random informant tips, mug shot showups, or stolen property recovery were instrumental in producing clearances. Investigative "special action" made a perceptible difference in only three types of crimes: commercial burglary, robbery, and homicide. In these crimes, we found that roughly 10 percent of the cases were solved as the result of nonroutine initiatives taken by investigators.

- *On collecting physical evidence: Most police departments collect more physical evidence than can be productively processed. Our analysis shows that allocating more resources to increasing the processing capabilities of the department can lead to more identifications than some other investigative actions.*

From our comparative analysis of the physical evidence collection and processing activities of six police departments which employ different procedures, we found that a department can assure a relatively high recovery rate of latent prints from crime scenes by a sufficient investment in evidence technicians and by routinely dispatching technicians to the scene of felonies. The latent print recovery rate is also increased by processing the crime scene immediately following the report of the incident. But, unless the department's print processing capability is commensurately improved, the rate of suspect identifications does not increase significantly.

- *On the use of physical evidence: Latent fingerprints rarely provide the only basis for identifying a suspect.*

Comparisons among fingerprint identification sections in four contrasting departments showed that although 4 to 9 percent of all latent prints are eventually matched with a suspect's inked prints, they rarely provide the basis for initial identification. Although the use of "cold search" (no other evidence) and its success rate varied substantially among departments, fingerprint identification did not have a significant effect on overall arrest rates in any department.

- *On investigative thoroughness: In relatively few departments do investigators consistently and thoroughly document the key evidentiary facts that reasonably assure that the prosecutor can obtain a conviction on the most serious applicable charges.*

This finding derives from a combination of observations of police departments made throughout the country and some of the results obtained in the study of post-arrest investigation practices. In the latter study our analysis of robbery cases showed that the department confronted by a stringent prosecutorial filing policy was significantly more thorough in performing and reporting post-arrest investigative work than the department in which cases were more permissively filed. Yet, even the former department fell short of supplying the prosecutor with all of the information he desired; the data show that each of 39 evidentiary questions considered by a prosecutor to be necessary for effective case presentation was on the average covered in only 45 percent of the cases, while 26 percent were addressed by the latter department.

- *On investigative thoroughness: Police failure to document a case investigation thoroughly may have contributed to a higher case dismissal rate and a weakening of the prosecutor's plea bargaining position.*

In relating case disposition to investigative thoroughness, our analysis showed significant differences between the two study jurisdictions that displayed differences in investigative thoroughness and prosecutorial screening practices. For example, none of the sampled cases were dismissed in the jurisdiction with more stringent case screening and greater investigative thoroughness; furthermore, 60 percent of the defendants pled guilty to the charges as filed. By comparison, in the second jurisdiction, about one-quarter of the sampled cases were dismissed after filing, and only one-third of the defendants pled guilty to the charges as filed.

- *On relations between victims and police: Crime victims in general strongly desire to be notified officially as to whether or not the police have "solved" their case, and what progress has been made toward convicting the suspect after his arrest.*

The Rand telephone survey indicated a strong desire on the part of victims to receive official notification when a suspect had been arrested, and of the disposition of the case. Few victims, no matter how distressed by the information conveyed to them by the police (e.g., that investigation into their case had been suspended), would act to redress their grievances by making a formal complaint.

- *On investigative organization and procedure: Investigative strike forces have a significant potential to increase arrest rates for a few difficult target offenses, provided they remain concentrated on activities for which they are uniquely qualified; in practice, however, they are frequently diverted elsewhere.*

Rand analyzed the performance of such units in general, and the Long Beach Suppression of Burglary (SOB) Unit and the Miami STOP Robbery Unit in particular. In these instances, the formation of an investigative strike force did tend to produce higher arrest rates for the targeted offense; yet, a significant proportion of the arrests in which these investigators participated did not result from the special efforts and skills exercised by them.

PROPOSED REFORMS

The above findings imply that traditional approaches to criminal investigation by police departments do not significantly affect the rate at which cases are solved. It appears, rather, that most cases are solved by the application of routine administrative procedures. If these implications are valid, then several policy changes are suggested. We set forth a number of such "reforms" whose rationale is consistent with our findings. We do not expect a police department to adopt them uncritically. Rather, it should first assure itself of the relevance of our work to its situation and then introduce the changes on an experimental basis, together with a careful evaluation program that enables their effects to be identified and assessed. If these experimental implementations have favorable outcomes in several departments, then the change(s) involved could be promoted for national adoption.

We believe that the recommended reforms should lead to a somewhat greater number of arrests, more successful prosecutions, and savings in resources. But they will not necessarily lead to a *substantial* improvement in apprehension rates, which our work indicates are more dependent on other factors, for example, victim and witness cooperation.

On their face, our study findings suggest that the effectiveness of criminal investigation would not be unduly lessened if approximately half of the investigative effort were eliminated or shifted to more productive uses. The remaining investigative force should suffice to handle routine cases, which give rise to most of the clearances that now occur, and to perform the post-arrest processing involved in a patrol arrest. These findings also indicate that significant increases in criminal apprehension rates are much more likely to be produced by more alert patrol units and improved citizen cooperation than by refinements in investigative work.

1. *Reduce follow-up investigation on all cases except those involving the most serious offenses.*

Rationale: Our data consistently reveal that a regular investigator's time is preponderantly used in reviewing reports, documenting files, and attempting to locate and interview victims and witnesses on cases that experience shows will not be solved. Our data show, moreover, that most cases that are solved are solved by means of information spontaneously provided by a source other than those developed by the investigator. It follows that a significant reduction in follow-up investigative efforts would be appropriate for all but the most serious offenses for which public confidence demands some type of response. If a thorough preliminary investigation fails to establish a suspect's identity, then the victim should be notified that active investigation is being suspended until new leads appear, for example, as a result of an arrest in another matter.

2. *Assign generalist-investigators (who would handle the obvious leads in routine cases) to the local operations commander.*

Rationale: Under the investigation policy suggested above, the main duty of the generalist-investigator is to respond to information developed by the patrol units at the crime scene or volunteered by the public, rather than to develop new leads on his own initiative. This role emphasizes the public service function of the investigator, and the men performing it should be responsible to the local commander who is concerned with all aspects of police-community relations.

Our research suggests that this type of investigative duty does not entail a requirement for specialized skills or centralized coordination. The officers performing it could readily shift between patrol and investigative duties. In departments with team policing, such investigation of routine cases could be a duty rotated among team members.

3. *Establish a Major Offenders Unit to investigate serious crimes.*

Rationale: Because of their importance to society, serious crimes (homicide, rape, assault with great bodily injury, robbery, or first-degree burglary) may warrant some special investigative efforts. These efforts can best be provided by a Major Offenders Unit, manned by investigators who are well trained and experienced in examining crime scenes, interpreting physical evidence, and interrogating hostile

suspects and fearful witnesses, and who are aided by modern information systems. One reason to establish such a unit is to clearly identify the investigative positions that require special skills and training and that demand knowledge of citywide crime patterns and developments. Our analysis of traditional investigation workloads suggests, by way of contrast, that with current staffing patterns, most investigators rarely see these highly serious cases. Therefore, when they arise, the investigators are frequently ill equipped to cope with them and unduly distracted by the burden of paperwork on their routine cases.

The Major Offenders Unit would concentrate efforts on a few *unsolved* serious felonies. The team would consist of a relatively small number of experienced investigators who would be closely supervised by a team commander.

4. *Assign serious-offense investigations to closely supervised teams, rather than to individual investigators.*

Rationale: The most serious impediment to high-quality investigative work appears to us to be the traditional method of case assignment and supervision. In nearly every department, cases are normally assigned to an individual investigator and become his sole responsibility whether he is a generalist, specialist, or engaged in team policing. Supervisors do not normally review the decisions he makes on how to pursue the case investigation—decisions that are largely unrecorded in the case file. Consequently, the relative priority an investigator gives to the tasks on one case assigned to him results largely from the number and nature of his other case assignments and from his personal predilections and biases. It may frequently turn out that caseload conflicts and personal predilections lead an investigator to unduly postpone or improperly perform important elements of a particular case assignment.

Assigning cases to investigative teams rather than to individuals could eliminate this impediment. For effective operations, this team should number approximately six men and be led by a senior investigator who is knowledgeable in the local crime situation, in criminal law, and in police management. The leader's primary responsibility would be to keep informed of progress on the cases assigned to his team and make the broad tactical decisions on the team's expenditure of effort. Each day the subordinate investigators would perform individually assigned tasks. A clerk delegated to the team would prepare progress reports to document the daily accomplishment on open cases and to assist the leader in making the allocation for the following day. These reports would also help the leader identify which of his men was most effective at which tasks. This approach should assure that significant steps in an investigation are objectively decided by a senior experienced investigator. This proposed reform is especially applicable to those cases handled by the Major Offenders Unit, described in Reform 3, and by those investigators assigned to the prosecutor, described in Reform 8.

5. *Strengthen evidence-processing capabilities.*

Rationale: Many police departments collect far more evidence (primarily fingerprints) than they can productively process. Our work shows that cold searches of latent fingerprints are far more effective in increasing the apprehension rate than are routine follow-up investigations.

The fingerprint-processing capabilities should be strengthened as follows: First,

the reference print files should be organized by geographic area, with a fingerprint specialist assigned to each area, of no more than 4000 to 5000 sets of inked prints. Second, to assure a large number of "request searches," which imply a cooperative effort between investigator and fingerprint specialist, some communication links should be devised to help motivate and facilitate the reciprocal exchange of information between these two parties. And third, the persons performing this function should be highly trained, highly motivated, and not overloaded with other tasks which detract from their primary function.

6. *Increase the use of information processing systems in lieu of investigators.*

Rationale: Much of the scanning and monitoring of the huge volume of information concerning crime incidents and arrests could instead be done by means of an information processing system that would involve clerks and routine procedures in small departments, and electronic computers in large ones. Rand's nationwide survey indicates that computerized information systems are not nearly as prevalent as would be justified by their potential to save manpower in this area.

7. *Employ strike forces selectively and judiciously.*

Rationale: The few investigative strike force operations we examined support the view that strike forces can be relatively productive, particularly against burglary and fencing offenses. But to achieve an advantage, these units must be manned by motivated and innovative personnel. The gain in employing them becomes illusory when mere quantity of arrests is emphasized, for then the efforts of this force tend to be diverted into making arrests that are not the result of its own unique capabilities. The operation of strike forces necessitates careful procedural and legal planning to protect the involved officers and to ensure that the defendants they identify can be successfully prosecuted. They also require close monitoring by senior officials to ensure that they do not become overly aggressive and infringe on individual privacy.

In all likelihood, the relative advantage of strike force operations in a particular department will not persist; so the department must accustom itself to creating and then terminating strike forces, as circumstances may dictate.

8. *Place post-arrest (i.e., suspect in custody) investigations under the authority of the prosecutor.*

Rationale: Our analyses of workload data reveal that most investigative effort on cleared cases is made after the arrest, and that most arrests are made by a responding patrol unit without prior investigator involvement. But many of these cases necessitate post-arrest investigation to strengthen the evidence to meet the "beyond a reasonable doubt" standard for conviction. Also, the investigator may be impelled to post-arrest efforts in an attempt to achieve clearances in other cases by the present arrest, or to satisfy the documentation requirements of the department.

Most prosecutors do not have investigators on their staff. If they do, these investigators are usually occupied with relatively complex "white-collar" offenses. Generally, then, the prosecutor relies on police investigators to provide the evidence needed to prosecute and convict the suspect. But this situation contains an inherent conflict between prosecutor and police. A police arrest is justified by *probable cause*—i.e., an articulable reasonable belief that a crime was committed and that the arrest-

ee was the offender. But generally, because of the pressure of new cases and the expectation that the case will be bargained rather than tried, the police are reluctant to expend further investigative efforts to strengthen the evidence in the case. The prosecutor, on the other hand, may be reluctant to file the charges that the police prefer, or to file at all, if he believes the evidence would not suffice for a conviction, i.e., *proof beyond a reasonable doubt*. It is clear that many cases are affected by the conflicting incentives of police and prosecutor, as reflected in failures to file, lenient filing, early dismissals, or imbalanced bargaining.

A promising remedy for this problem would be to place *post-arrest* investigations under the authority of the prosecutor's office, under assignment or as an integral part of his staff, depending on the local situation. They would be used to implement the policy that post-arrest investigation should seek to demonstrate the culpability of the suspect beyond a reasonable doubt. We feel this arrangement would be a more effective way of assuring that the evidentiary needs for a successful prosecution are met.

9. *Initiate programs designed to impress on the citizen the crucial role he plays in crime solution.*

Rationale: All our data show that the most important factor in crime solution is the information provided by the victim to the responding police officer. If information that uniquely identifies the perpetrator is not presented at the time the crime is reported, the perpetrator, by and large, will not be subsequently identified.

Police departments must initiate programs designed to increase the victim's desire to cooperate fully with the police. Resources allocated to such programs may serve to increase apprehension rates. Specifically, police departments should widely disseminate the findings uncovered by this study. The realistic picture of how crimes are solved will help eliminate the public's distorted stereotype images of detectives and will impress on them the importance of their cooperation with police in order to solve crimes.

CONCLUDING REMARKS

Rand began this study prepared to find great variability in the criminal investigation procedures employed by police departments across the country and in their effectiveness. We hoped to identify and describe those key program factors which led to improved effectiveness and to suggest how other police departments might modify their investigative practices to achieve the identified benefits. These hopes were not realized.

Despite our finding apparently diverse investigation practices, organization, and official procedures, we conclude that most detectives work similarly everywhere. Special projects established to test new operating concepts in some communities usually seemed to us to be poorly designed to test the underlying concept on which they were based, or to provide reliable proof of their eventual impact.² We found few departments seriously undertaking the use of electronic data processing equipment

² Exceptions were the Long Beach SOB Unit, the New York City Anti-Fencing Unit, and Rochester's Team Policing experiment.

to help solve their cases; and in those departments where computing systems were used, few objective data were available to assess their contribution.

In general, we ascertained that investigator activities have only a marginal impact on the overall level of identifications and arrests achieved by a major police department. Although investigators may sometimes concentrate sustained investigative efforts on particular cases, nearly all case solutions result from simple routine processing of information available at the time of the initial police report.

It would not be prudent for a department to materially reduce its level of investigative effort on the strength of our findings alone. For many inescapable reasons, a police chief would be sharply criticized by crime victims and others if he failed to respond with some degree of investigative effort on most cases. Rather, we recommend that a series of closely monitored experiments or demonstrations be conducted in different types of jurisdictions. These undertakings should provide for a carefully controlled reduction in follow-up investigative efforts and for an increase in efforts to accomplish identifications and arrests by other means. These demonstrations should be aimed at testing the substantive findings of our study and at demonstrating practical alternatives for enhancing police capability to apprehend criminals.

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54. Operational-Criminological Research, Robert.
55. Police Crime Analysis Unit Handbook, Search Group.
56. Team Policing: Seven Case Studies, Sherman.
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58. Police Robbery Control Manual, Ward.
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61. Criminal Investigation-Basic Perspectives, Weston. 291 pages.
62. Criminal Investigation-Basic Perspectives, Weston. 476 pages.
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- American Bar Association Project on Standards for Criminal Justice. STANDARDS RELATING TO THE URBAN POLICE FUNCTION. Approved Draft. ABA, New York City. 1973, 303 pp. This report is one of a series prepared by the ABA on standards for the entire spectrum of criminal justice services and programs. It lists and discusses ten categories of standards related to law enforcement services, including objectives, authority, policy-making, control, police unions, resources, performance, public understanding, and evaluation. Each of the standards has a commentary which explores and analyzes the ABA's perspective on the urban police function in contemporary United States. The Appendix contains an extensive bibliography.
- American Bar Association Project on Standards for Criminal Justice. STANDARDS RELATING TO THE PROSECUTION FUNCTION AND THE DEFENSE FUNCTION. Approved Draft. ABA, New York City. 1971, 327 pp. This report is one of a series prepared by the ABA on standards for the entire spectrum of criminal justice services and programs. It lists and discusses. There are six general categories of standards related to the prosecution function, including general standards, organization, investigation, plea discussions, the trial, and sentencing. There are eight categories of standards related to the defense function, including general standards, access to counsel, lawyer-client relationship, investigation and preparation, control and direction of litigation, disposition without trial, trial, and activities after conviction. The appendix includes a table of parallel sections in prosecution and defense standards and a selected bibliography. Commentaries on each of the standards are presented, explicating ABA concerns and philosophies.
- Bard, Morton, Braunstein, Stacy, Curtis, Naomi, Hirsh, Eloise, McIver, Bruce, McLeod, Donald K., and Zacker, Joseph W. THE FUNCTION OF THE POLICE IN CRISIS INTERVENTION AND CONFLICT MANAGEMENT: A TRAINING GUIDE. LEAA, Washington, D.C. 1975, 160 pp, plus Appendices. A report prepared by Criminal Justice Associates which details organizational concerns associated with the development of a training program in crisis intervention and conflict management for line police officers. The report discusses procedures police can take to avoid serious assaults on their person and on others who may be involved in a serious dispute. Chapters in the report discuss how to avoid making arrests, if possible, training techniques, and the role of law enforcement in the helping system.
- Bloch, Peter B. and Bell, James. MANAGING INVESTIGATIONS: THE ROCHESTER SYSTEM. Urban Institute and Police Foundation. Washington, D.C. 1976. 85 pp. Detailed report on the experiment and evaluation of organizational changes made for the purpose of improving the results of the investigative process in Rochester, N.Y.
- Bloch, Peter B. and Specht, David. NEIGHBORHOOD TEAM POLICING. LEAA, Washington, D.C. 1973, 153 pp. Another "prescriptive package" providing a review of the efforts of eleven departments which developed team policing systems. In addition, the full range of issues and procedures for implementing this important technique are explained.

- Bloch, Peter B. and Weidman, Donald R. MANAGING CRIMINAL INVESTIGATIONS, LEAA. Washington, D. C. 1975, 145 pp. A "prescriptive package" which details the procedures of six departments which have developed innovative uses of investigative resources. The first four chapters provide an excellent discussion of the issues relating to criminal investigative function management. This work is the most important, specific document available for the police manager concerned with developing better management of the investigative function.
- Bloch, P. B. and Weidman, Donald R. MANAGING CRIMINAL INVESTIGATIONS, LEAA. Washington, D.C. 1975, p. 253. While skilled detectives are often essential, there are a number of new methods police managers can adopt to improve investigative success. Management issues addressed include budgeting and allocating resources; improving relationships with the prosecutor; interacting with the public, especially victims and witnesses; improving relationships between investigators and patrol officers; decentralizing detective assignments, particularly in neighborhood team policing approaches; using civilian employees for investigative tasks; assigning personnel; supervising and training investigative personnel; improving investigative procedures; and conducting investigative activities not related to specific cases. The suggestions are based on an examination of the investigative practices of six selected police departments, a review of the relevant literature and recent experiments in other departments, and the observations and conclusions of a panel of experienced police officials. It is especially interesting to note that many of the ideas require little or no additional resources. This report is written primarily for police chiefs and heads of detective units, but should also be of interest to other police officials and to local government officials such as city managers.
- Bloch, Peter B. POLICEWOMEN ON PATROL: FINAL REPORT, Police Foundation, 1974, 65 pp. Federal law and guidelines are clear. Since 1972, every police department in the United States has been in the position of having to hire and assign women on an equal basis with men or demonstrate that there was a bona fide occupational qualification for not doing so.

In 1972, a survey conducted by Catherine Milton, an Assistant Police Foundation Director, disclosed little objective information was available on the subject of policewomen on patrol. The findings of Ms. Milton's survey are available in Women in Policing, a Foundation publication.

Because patrol operations take up the majority of the average police agency's resources and are considered the most important of all police work, the Police Foundation decided to sponsor an evaluation of the performance of women on patrol. The purpose was to provide police and public administrators with as much scientific information as possible on the subject.

The evaluation was undertaken for the Foundation by The Urban Institute of Washington, D.C. The results are the subject of this document. The Foundation believes that, while the evaluation was conducted in Washington, the results will be useful for police agencies nationwide.

A decision of Chief Jerry V. Wilson of the Metropolitan Police of the District of Columbia to assign a large number of women to patrol provided the first significant opportunity for such an evaluation.

The evaluation could not have been realized without the invaluable assistance and work of Chief Wilson and the Metropolitan Police; The Urban Institute; Joseph Lewis, Director of Evaluation for the Police Foundation; Ms. Milton; and the diligent authors, Peter P. Bloch and Deborah Anderson of The Institute. The technical guidance of the Police Foundation's Evaluation Advisory Group was an important ingredient in the completion of this report. Members of the group are Professor Francine F. Rabinovitz, Department of Political Science, Massachusetts Institute of Technology; Professor Albert J. Reiss, Jr., Department of Sociology, Yale University; Professor Lee Sechrest, Department of Psychology, University of Florida; and Professor Hans Zeisel of the University of Chicago Law School.

- Boydstun, John E. SAN DIEGO FIELD INTERROGATION: FINAL REPORT, Police Foundation, 1975, 67 pp. The San Diego Police Department Field Interrogation Experiment breaks further ground in the effort to replace hunch and surmise about police practices with empirically derived knowledge. In leading his department to concrete, measured tests of what works in policing, Chief Raymond L. Hoobler has demonstrated the major contributions that can be made by those police departments whose chiefs have the openness of mind to approach critically what they are doing; the resolve to face the hard tasks of scientific experimentation; and the determination to apply the results of experimentation.

The Police Foundation hopes that publication of this report will encourage others to replicate the field interrogation experiment in different kinds of cities. The lessons recorded here from the pioneering San Diego design can help others to plan and implement experiments, perhaps of larger scale, involving larger numbers of beats and police officers, than was feasible in this first field interrogation experiment. The first step points the way.

- Bridge, P. A. COMMUNICATION BARRIERS WITHIN THE CRIMINAL JUSTICE SYSTEM, Police Chief, Vol. 39, No. 4, 1972, p. 2. International Association of Chiefs of Police. System dysfunction caused by ineffective communications is portrayed as a barrier to the administration of justice. The Criminal Justice Center has accordingly been established to supply basic, specialized and interdisciplinary training to police, court officials, probation and parole personnel.
- California Crime Technological Research Foundation. TRAINING WORKBOOK ON THE CRIME ANALYSIS PROCESS. Law Enforcement Assistance Administration, Washington, D.C. 1975, 50 pp. This workbook is the basis for a course taught under the auspices of the California Crime Technological Research Foundation. It presents extrapolation techniques, statistics, and probability theory as they apply to crime solving. Practice exercises include taxicab hits, purse snatchings, gas station holdups, and information enrichment. These exercises are constructed with times of occurrences and locations pertaining to a map of a fictitious town named Centerville. Evaluation techniques for judging the effectiveness of a police crime analysis unit.

- Crabtree, C. T. INVESTIGATION-APPREHENSION CONTROL AND MANAGEMENT SYSTEM. Dept. of Public Safety, Sunnyvale, Calif. 1973, 115 pp. This report describes ICAM and its current operation in the Department of Public Safety, Sunnyvale, California - the city that has developed and tested the technique. The rationale and the derivation of ICAM is illustrated through the presentation of a conceptual model of the apprehension system, the series of activities which produce information leading to arrest. The system is viewed as an information processing media that acquires, stores, processes, or transmits information that contributes to the systems performance. The flow of apprehension system activities is described and system performance measures and their use are defined and demonstrated. The manuscript describes how the data to operate ICAM is produced from activity reports which are completed by police field personnel. Detailed instructions and coding forms are appended. The ICAM basic performance module, which produces several basic types of management reports, is presented and the uses of the reports are explained. Deficiencies which commonly exist in police reporting systems and which ICAM is designed to overcome are outlined. The ICAM model is demonstrated using thirty example criminal cases. The report concludes with examples which show how ICAM is used to support the typical management sequence of planning, goal setting, the development and selection of alternatives, organizing, controlling and evaluating. (Author abstract modified)
- Chaiken, Jan M., THE CRIMINAL INVESTIGATION PROCESS---Three Volumes. The Rand Corporation. Santa Monica, California. 1975. An LEAA funded research report on the most comprehensive analysis of the investigative organizations, procedures and results on a nationwide basis. The impact of this work will be felt for many years. It provides an excellent overview of the national profile of police investigative processes. The manager seeking to assess his own operation would do well to evaluate his agency in the light of the data provided in this report.
- Diggles, W. J. POLICE PLANNING AND ANALYSIS OFFICE. Springfield, Illinois. 1973, 48 pp. Structure, functions, and resource requirements of a planning and analysis unit for a local police department.
- Feeney, F., and Weir, A. PREVENTION AND CONTROL OF ROBBERY, V4 - THE RESPONSE OF THE POLICE AND OTHER AGENCIES TO ROBBERY. NILECJ, Washington, D.C. 1973, 185 pp. Studies describing the operation of the various components of the criminal justice system with respect to robbery and purse snatching cases.

The first three articles deal with the police component of the criminal justice system. Dispatching and reporting procedures are discussed along with robbery investigation techniques. The different stages of the prosecution process and the factors affecting decisions at each stage are described. The final report is an examination of the policies and procedures followed by a Bay Area county, California, probation department in the handling of youths arrested for robbery and purse snatching.

- Finn, Peter and Hoffman, Alan R. PROSECUTION OF ECONOMIC CRIME. LEAA, Washington, D. C. 1976, 161 pp. This is a summary of Exemplary Projects in San Diego and Seattle Fraud Divisions concerned with white collar crime and its prosecution.

An estimated \$40 billion is lost each year as a result of economic - or "white collar" - crime, according to the U.S. Chamber of Commerce. Much of this loss is borne by the low and moderate income person victimized by such consumer frauds as false advertising or fraudulent auto repair. Some of the loss falls on businesses, the target of security frauds, insurance swindles, or embezzlement. In addition to the enormous financial impact, we are all affected, in a more general way, by the cynicism and lack of confidence spawned by ineffective prosecution of white collar criminals.

Recently, several jurisdictions have focused their resources on investigating and prosecuting these crimes. The Fraud Divisions established in the District Attorney's offices of San Diego, California, and Seattle (King County), Washington, are excellent examples of the aggressive efforts being launched against economic crime. The work of these two projects has resulted in fines and incarceration for the offenders and restitution for the victims.

The San Diego and Seattle Fraud projects have been given sufficient resources to pursue the twin goals of prosecuting and preventing economic crime. In both jurisdictions, the District Attorney has given priority to strong efforts against economic crime. This combination of resources and status within the Prosecutor's Office has made these projects distinctive and successful.

- Gourley, G. D. EFFECTIVE POLICE ORGANIZATION AND MANAGEMENT - V5, THE INVESTIGATIVE, CUSTODIAL AND CRIME PREVENTION FUNCTIONS. National Technical Information Service, Springfield, Va. 1966, 250 pp. Reviews investigative, custodial, and crime preventive duties of police. This volume covers three chapters of the total report. The specialization of investigative duties and the investigative function are described. Methods and degrees of specialization are presented with factors affecting specialization, advantages and disadvantages, and selection of investigators. Information from a national survey on methods of selecting detectives is listed with a chart showing cities surveyed and other criteria used. The custody function, procedures used, responsibilities of police, personnel, facilities, and prisoner rights are covered. Organizing for crime prevention and police work with juveniles, community information, and relations are a third discussion. Oakland Police Department security system is examined in detail with recommendations that every law enforcement agency institute similar activities. Appendices contain British police principles and information on the St. Louis Police-Community Relations Council. Over 180 pages of appendix supplement the section on the Oakland Police Department.

- Greenberg, B. and Lang, K. ENHANCEMENT OF THE INVESTIGATIVE FUNCTION, VOL. 4--BURGLARY INVESTIGATIVE CHECKLIST AND HANDBOOK--FINAL REPORT ADDENDUM. 1973, p. 37. Stanford Research Institute, Menlo Park, CA. Project to develop guidelines to aid investigators in initial and follow-up investigations and to develop an evaluation methodology for selecting cases for follow-up.

This volume discusses the results of field testing the experimental burglary investigative checklist and case follow-up decision aid developed during the initial two phases of the project. The investigative checklist was designed to aid in the initial crime scene investigation. The case follow-up decision model was designed to aid the reviewing officer in his determination of whether a given case should be followed up or suspended, based upon the probability of the case being cleared.

- Greenberg, B. ENHANCEMENT OF THE INVESTIGATIVE FUNCTION, VOL. 1--ANALYSIS AND CONCLUSIONS--FINAL REPORT--PHASE 1. 1972, p. 236. National Technical Information Service, Springfield, VA. Project to develop guidelines to aid investigators in initial and follow-up investigations and to develop an evaluation methodology case selection for follow-up.
- The report concentrates on the crime of burglary. Because successful investigations encompass a broad process and utilize many police department resources, the author emphasize that the investigative function must reflect a total systems approach. Six Alameda County, CA, law enforcement agencies were sampled for the study and their investigative operations were analyzed individually. This volume of the report covers the research objectives, methodology analysis, and conclusions.
- Greenberg, Bernard, Yu, Oliver S, and Lang, Karen I. ENHANCEMENT OF THE INVESTIGATIVE FUNCTION, V4, BURGLARY INVESTIGATIVE CHECKLIST AND HANDBOOK - (FINAL REPORT ADDENDUM). Stanford Research Institute, Menlo Park, California. 1973. The need to improve the investigative procedures of police agencies has been recognized by many authorities within the law enforcement community. The high volume and low clearance rates associated with burglary; inconsistent case handling by law enforcement and the criminal justice system as a whole; general public apathy or unawareness of the role it should have in controlling the problem -- all contribute to the minimal success in reducing the level of incidents. This volume discusses the results of field testing the experimental burglary investigative checklist and case followup decision aid developed during the initial two phases of the project. The investigative checklist was designed to aid the investigator in the initial crime scene investigation. The case followup decision model was designed to aid the reviewing officer in his determination of whether a given case should be followed up or suspended, based upon the probability of the case being cleared.
- Halper, Andrew and Ku, Richard. NEW YORK CITY POLICE DEPARTMENT STREET CRIME UNIT. LEAA, Washington, D.C. 1975, 165 pp. This is a report of an Exemplary Project concerning a Street Crime Unit (SCU), which was conducted in New York City.

The sharp increase in violent street crime in urban America forces so many city dwellers to live and work in the shadow of fear. The New York City Police Department Street Crime Unit (SCU) works to ease the problem.

- Kelling, George L., et. al. THE KANSAS CITY PREVENTIVE PATROL EXPERIMENT. Final Report, Police Foundation. 1974, 50 pp. Police patrol strategies have always been based on two unproven but widely accepted hypotheses: first, that visible police presence prevents crime by deterring potential offenders; second, that the public's fear of crime is diminished by such police presence. Thus, routine preventive police patrol was thought both to prevent crime and reassure the public.

The Kansas City, Missouri, Police Department conducted an experiment from October 1, 1972, through September 30, 1973, designed to measure the impact routine patrol had on the incidence of crime and the public's fear of crime. This experiment, made possible by Police Foundation funding, employed a methodology which accurately determined that traditional routine preventive patrol had no significant impact either on the level of crime or the public's feeling of security.

Three controlled levels of routine preventive patrol were used in the experimental areas. One area, termed "reactive," received no preventive patrol. Officers entered the area only in response to citizen calls for assistance. This in effect substantially reduced police visibility in that area. In the second area, called "proactive," police visibility was increased two to three times its usual level. In the third area, termed "control," the normal level of patrol was maintained. Analysis of the data gathered revealed that the three areas experienced no significant differences in the level of crime, citizens' attitudes toward police services, citizens' fear of crime, police response time, or citizens' satisfaction with police response time.

- Kansas City, Missouri, Police Department, Kansas City, Missouri. ALERT II (AUTOMATED LAW ENFORCEMENT RESPONSE TEAM)--ACCIDENT. NCJRS, Washington, D.C. 1973, 74 pp. Systems documentation and programs for the traffic accident reporting subsystem of Alert II.

One of a set of seventeen modularized Alert II systems operating manuals, this volume refers to the traffic accident reporting subsystem, a vehicular accident system containing statistical and historical data about traffic accidents. The system documentation section contains a system overview and a system flowchart. System record layouts and the source document, the Missouri uniform accident report, also appear in this section. The system program section contains program narratives, detailed descriptions, program-specific system flowcharts, and each program's EDP (electronic data processing) record layout. Some of the programs are illustrated with print-outs. Examples of programs include year-to-date traffic accident tapes and accidents reports by hour and day and by beat of occurrence. For other subsystems documents, refer to NCJ-12897, 12898, 12904-12910, and 13123. For documentation applicable to all subsystems, refer to NCJ-12894-12896, 13118, and 13119.

- LEAA. CITIZEN DISPUTE SETTLEMENT: THE NIGHT PROSECUTOR PROGRAM OF COLUMBUS, OHIO. LEAA, Washington, D.C. 1974, 61 pp. This is a report of an Exemplary Project concerned with citizen dispute settlement.

The Columbus Citizen Dispute Settlement Program offers a constructive answer to a troubling problem: how to provide better service to the public without further burdening an already overloaded system.

In Columbus, minor criminal cases arising from neighborhood and family disputes are screened by the local prosecutor's office and referred to trained hearing

officers for mediation. For the convenience of the disputants, hearings are scheduled for evenings and weekends, normally within one week after the complaint is filed.

During the project's first year, criminal affidavits were filed in only 2 percent of the cases handled and the average cost of diverting each case was approximately \$20.

When compared to the time and expense involved in normal criminal processing of such cases, the economy of the Columbus approach is obvious. Equally important, persons involved in minor criminal conduct are spared the stigma of an arrest record.

- Los Angeles Police Department. THE POLICE CHIEF EXECUTIVE REPORT: A Report of the Police Chief Executive Committee of the International Association of Chiefs of Police. IACP, Washington, D.C. 1976, 147 pp. plus Appendices. This is a special report concerned with an exploration of selection and retention of chiefs of police in the United States.

The police chief executive is one of the most important individuals in the criminal justice system of any state, city, or town in America. Charged with protecting the persons and property of all members of the community, the police chief executive leads the most visible of public services.

This report is about those individuals who lead police agencies. It proposes an orderly method of selecting a police chief executive who is qualified for a particular job. It proposes a systematic way of retaining a qualified police chief executive after selection. And it sets out procedures, grounded on American constitutional notions of fairness and due process, for removing an unqualified police chief executive from office.

Stability of government -- change without disruption -- is a hallmark of democracy. Most states and municipalities in the United States move from one political administration to another with little more than the fanfare of a parade, a swearing-in at the State House or City Hall, and a victory dinner for the winners.

In most states, counties and municipalities, too, the transition from one police chief executive to the next is conducted in an orderly and proper manner. There may be less fanfare, and no parade, but the event is nonetheless of enormous importance to that state or community. The qualifications of the person selected for the position of police chief executive will have lasting effects on the quality of life in that state or community.

In some communities, selection of the police chief executive is not conducted in an orderly and proper manner. There may be political considerations--as when the new occupants of City Hall look upon the position solely as a patronage job. When that occurs, the potential harm is equally lasting.

- U. S. Department of Justice: LEAA. PROGRAM PLANNING TECHNIQUES. Peat, Marwick and Mitchell Co., 1972.

Planning aid for professional personnel in the law enforcement assistance administration for use in the implementation of law enforcement programs. Program Planning Techniques is a specially prepared planning aid for professional personnel in the Law Enforcement Assistance Administration. It provides framework for the development of comprehensive planning and execution methodology for LEAA programs related to the reduction of crime in particular, it is concerned with the techniques of developing a firm planning base and management organization for major new and on-going programs of the size and scope of the high impact anticrime program and the law enforcement education program. These are prototypical of future program efforts of the administration. The methodology outlined includes problem delineation and analysis, program definition, program planning, program execution, and program evaluation. Exemplary charts, graphs, flow and critical path diagrams to assist planning analysis functions are provided. Abstract)

- U. S. Department of Justice: LEAA. PROGRAM MANAGEMENT GUIDELINES. Peat, Marwick and Mitchell Co., 1972

Guidelines designed to aid in establishing procedures and standard methodologies for the planning, implementation, and evaluation of major law enforcement programs. Topics covered include basic concepts, problem definition and analysis, program definition, program planning, program execution, and evaluation. (Author abstract modified)

- U. S. Department of Justice: LEAA. CRIMINAL JUSTICE SYSTEM. REPORT OF THE NATIONAL ADVISORY COMMISSION ON CRIMINAL JUSTICE STANDARDS AND GOALS. National Advisory Commission on Criminal Justice Standards and Goals, 1973.

This volume, Report on the Criminal Justice System, is one of six reports of the National Advisory Commission on Criminal Justice Standards and Goals. Major recommendations call for: Development by States of a general system of multi-year criminal justice planning. Establishment of criminal justice coordinating councils by all major cities and counties. Creation by each State of an organizational structure for coordinating the development of criminal justice information.

- Leahy, Frank, Jr.; Busseman, Ann; Fennessy, Edmund F., Jr.; Goldstein, Benjamin; Leibowitz, Peter; and Pinsky, Paul. A LITERATURE REVIEW OF POLICE PLANNING AND RESEARCH. (Interim Report the Conn. Research Commission.) Hartford, Conn. Travelers Research Center, Inc., October, 1968, p. 197, Plus Appendices.

1968 review of material of interest to police administrative and planning officials. An overview of police planning and research, 17 essays on the collected material and a bibliography.

- U. S. Department of Justice: LEAA. POLICE--REPORT OF THE NATIONAL ADVISORY COMMISSION ON CRIMINAL JUSTICE STANDARDS AND GOALS. National Advisory Commission on Criminal Justice Standards and Goals, 1973.

This volume, Report on Police, is one of six reports of the National Advisory Commission on Criminal Justice Standards and Goals. The Commission's recommendations are directed toward increasing the effectiveness of the police in reducing crime. The recommendations and standards recognize the patrolman as the primary force in reducing crime and preventing crime. They seek to enhance his role. Major recommendations call for: Active crime prevention efforts by the police working with the community. Diversion of juveniles, drunks, and mental patients from the criminal justice system. Use of the patrolman as the primary investigator for crimes which come to his attention. Consolidation or elimination of police departments with fewer than 10 full-time police officers. Increased use of civilians. College education entrance requirements for employment of police officers. Legislation authorizing police officers to obtain search warrants by telephone. Continuing analysis of crime trends and deployment of special units to react to developing crime trends. Establishment of different classifications and pay levels within the basic patrolman category. Development of units within police departments to work with prosecutors, courts, and corrections officials and to follow specific cases and individuals through the criminal justice system.

- U. S. Department of Justice, LEAA. INTRODUCTORY READING MATERIALS ON PLANNING AND RESEARCH UNITS IN POLICE DEPARTMENTS. (Selected Readings), 1967, 31 p.

Background readings for the LEAA special grant program for establishing planning and research units in medium-sized state, county, and municipal police departments.

- MacDonald, J. M. and Brannan, D., INVESTIGATION OF ROBBERY, POLICE CHIEF, VOL. 41, NO. 1, 1974, pp. 68-75. 1974, p. 8. International Association of Chiefs of Police. Gaithersburg, MD

Discussion of police responses to a robbery report, including area searches, arrests, preliminary investigations, and evidence preservation.

Comments are made on police response to such varied situations as a robbery in a crowded area or a robbery which is still in progress when the officers arrive. Discussion then proceeds to area searches and deals with identification of getaway cars, questioning witnesses, and following offenders who flee on foot. The authors focus on the use of search plans. Commenting on the organization of roadblocks and suspect detention, arrest, and preliminary investigation. Highlights the investigation process, cover such areas as evidence preservation and making reports.

- Macsas, C. J. BOSTON--POLICE DEPARTMENT--CRIME ANALYSIS UNIT CAPABILITY DEVELOPMENT--POLICE TECHNICAL ASSISTANCE REPORT. Westinghouse Justice Institute, Arlington, VA, 1975, 81 pp.

A report on crime analysis unit capability development for the Boston (MA) Police Department which serves an area of 47 square miles with a strength of 2,877 (2,498 sworn), dated December 29, 1975.

Recommendations are made for establishing a crime analysis unit whose chief function will be the analysis of crime data to identify crime patterns and trends which can be combatted by deployment of regular patrol forces, tactical units, and crime prevention teams. Topics addressed in this report include data gathering, data analysis, information dissemination, and systems and functional evaluation. The appendix contains a lengthy report on crime analysis operations and applications. Based on the author's experience with the Dallas (TX) Crime Analysis Unit.

- Martensen, K. R. CRIME ANALYSIS - A WAY TO TURN DATA INTO INFORMATION. (From Project Search - International Symposium on Crim Just Info and Stat Systems, 2D - Proceedings, by E. Cresswell) Search Group, Inc., Sacramento, CA. 1974, 16 pp. This paper discusses the ways that data that are already being maintained by police departments can be used to analyze crime patterns.

The basic elements of crime analysis are presented, including the need for an internal crime analysis unit. Geographical analysis, crime trend and projection analysis, threshold analysis, property loss analysis and modus operandi comparative analysis are all explained as functions of the crime analysis unit. Dissemination and utilization techniques of crime analysis information, the crime analysis data base, data analysis techniques and built-in evaluative components of crime analysis unit project are described.

- McCreedy, K. R. THEORY AND METHODS OF POLICE PATROL. Delmar Publishers, Albany, N. Y. 1974, 255 pp. Techniques for the beginning patrolman in dealing with the duties and responsibilities of police patrol.

The discussion covers the safe and effective handling of actual and potential criminal suspects in situations involving the control of pedestrians and persons in vehicles and the transportation of prisoners. Also presented are methods of interacting with victims, witnesses, and the public, performing preliminary investigations, evaluating criminal and non-criminal incidents, and managing crime scenes until investigative specialists arrive. Report writing and controlling large crowds are examined. Photographs and detailed diagrams illustrate the discussion.

- McIntyre, D. M. IMPEDIMENTS TO EFFECTIVE POLICE-PROSECUTOR RELATIONSHIPS. American Criminal Law Review, V13, N2, American Bar Association, Chicago, Ill. 1975, 31 pp. The major impediments are conflicting goals and poor information flow: one effective solution is to set up a felony review unit that necessitates interagency cooperation in screening cases prior to charging.

Questionnaires were administered to 247 police and prosecutors attending a conference on police-prosecutor relations. The first section of this article examines the data on whether prosecutors and police transmit advice to each other on joint agency problems. The inquiry reveals that the two agencies cooperate to a greater or lesser degree, largely depending on the specific problem involved. The second section covers the transactions in which police and prosecutors inevitably make contact. It describes the likely sources of tension and friction between the two agencies in settings such as case screening, police training, and trial preparation. The third section discusses reasons underlying the conflict and describes Chicago's felony review unit as the panacea for many of the impediments to effective interagency cooperation. (Author abstract modified)

- Milton, Catherine. WOMEN IN POLICING, Police Foundation, 1972, 95 pp. With the Commission's recommendations and findings in mind, the Police Foundation began in 1971 to study women in policing. The Foundation hoped to find out why there are so few women in policing, why most of the women who are in policing are given such limited roles, and whether women could be given a wider variety of jobs in policing. The research effort for the study concentrated on gathering all the general information available on how police departments are using women and assessing firsthand in a limited number of departments the performance of policewomen in a wide range of tasks.

To assist the Police Foundation staff in understanding the issues involved, the Foundation sponsored a meeting of policewomen from six cities on July 30, 1971, in Washington, D.C. Afterwards, Police Foundation representatives interviewed a large number of police personnel in the United States and abroad, by telephone, by mail and in person. In addition, letters of application were sent to the 60 largest U.S. police departments. Seven police departments were chosen for in-depth study by representatives of the Foundation: Dallas, Indianapolis, Miami, New York City, Peoria, Philadelphia and Washington. These departments were selected to give as wide a range as possible in terms of geography, size and receptivity to new ideas. On their visits to each department, the Police Foundation representatives interviewed top commanders, policemen and policewomen.

The results of the Foundation's study are summarized in the following pages. Chapter II explores the different kinds of jobs now performed by policewomen in the United States and other countries; Chapter III discusses some of the reasons the role of policewomen has traditionally been limited; Chapter IV addresses the issue of violence and women; Chapter V gives evidence that women want more opportunities in policing; and Chapters VI and VII are the author's conclusions and recommendations. The Appendices contain a discussion of the emerging body of law related to the employment rights of women and the case studies of the seven departments.

- Milton, Catherine. WOMEN IN POLICING, Police Foundation, 1974, 60 pp. One of the objectives of the Police Foundation is to sponsor research which will assist police departments in improving the quality of their personnel. The Foundation believes that a police department's services are only as good as the people providing them. In 1972, the Foundation sponsored a survey on the use of women in policing to determine whether a new, untapped resource would, in fact, help improve the quality of policing. Since that time, the Foundation has been actively in the forefront of research on the subject of women in policing. The most extensive and conclusive research was an evaluation of the performance of women on patrol in Washington, D.C. The Foundation published results of the evaluation in Policewomen On Patrol: Final Report.

To disseminate information from this important experiment, the Foundation in the spring of 1974 sponsored a national Symposium about Women in Policing. This manual was originally prepared for participants at the symposium.

Besides dissemination, the symposium had several other purposes -- namely to draw attention to critical legal, policy, administrative and operational issues

and to elucidate the problems and benefits resulting from the expansion of the role of women in policing. The conference served as a forum for active discussion of recent experimental findings and as a means of gathering new information and insights from participants.

Attending the symposium were more than 100 persons, including researchers with experience in the subject of women in policing, female officers and their male partners, chiefs of police and other police administrators, mayors, city managers, municipal personnel and budget directors, and representatives from federal, state and local public and private interest organizations. The symposium thus benefitted from the wide range of experience of participants with various ranks and points of view.

- Munro, J. L. ADMINISTRATIVE BEHAVIOR AND POLICE FUNCTION. Anderson Co. 1970, 202 pp. Various aspects of crime and its control are subsumed under the title, "The criminal justice system." It is unfortunate that the title does not aptly describe the processes of social control through the media of the police, courts and the correctional processes. The idea of a "system" (in terms of systems theory) is hardly reflected in the criminal justice processes--a sequence, perhaps (at least for the offender who gets caught up into it). Yet the concept of a system in regard to the problems of social control is an important one. Some might argue that unless the criminal justice processes can become a "system" there is every chance that they will break down in the near future.

Jim L. Munro takes a "system theoretic" approach to his subject, raising in his first chapter the problem of purpose, objectives or goals of police work. The idea of "policing" in a democracy is not an easy one to develop, and Mr. Munro talks of the Police Dilemma. The ideas put forward in this chapter deserve debate in more than police training circles: the problem of how the "controllers" may be controlled is a fairly general one. The theoretical approach of the first chapter is counterbalanced with some "down-to-earth" examples of action in the day-to-day work of the police in the first part of the second chapter. The purposes and goals of the production seen in this perspective should make a basis for much class discussion, especially in those schools of criminal justice and criminology where there are representatives from the field who are studying as "mature students" among the general student body.

Mr. Munro next turns to the relationship between the scientific study of behavior and police work in terms of "Levels of analysis." Many points are well made in this chapter; particularly that of differences between science and common sense.

- Murray, Charles A., and Krug, Robert E. THE NATIONAL EVALUATION OF THE PILOT CITIES PROGRAM: A Team Approach to Improving Local Criminal Justice Systems. LEAA, Washington, D.C. 1975, 194 pp. plus Appendices. This is a report of a 20 months evaluation of eight cities in the Pilot Cities Program to demonstrate and evaluate selected ideas and technologies. The evaluators conclude that the process of change is not wholly dependent on personalities or special circumstances. Strategies, such as the Pilot Team Approach, can be developed and transferred to other localities even though circumstances and personalities may differ. The analysis illustrates the differences between "innovation" and "improvement," for the two are not necessarily reinforcing. They may even compete with each other. The report discusses the study's design, rationale, site selection procedures for the eight cities, the clients served, and the accomplishments of the various programs, especially its impact on law enforcement agencies and operations.

- Police Foundation. NATIONAL SYMPOSIUM ON POLICE LABOR RELATIONS. 1974, 77pp. The International Association of Chiefs of Police, the Police Foundation, and the Labor-Management Relations Service sponsored the National Symposium to develop guidelines that would enable labor and management officials to accommodate fundamental changes in the concept of police labor relations. Four key issues were discussed: (1) The role of labor and management in the labor relations process; (2) Professionalization and unionism in law enforcement; (3) Productivity in law enforcement; and (4) Key issues in police unionism--national unions, strikes, discipline and corruption.

Objectives of the Symposium were to provide a relaxed and private atmosphere in which the participants could exchange ideas on these issues and develop labor relations policy guidelines with respect to the issues.

Four discussion sections corresponding to the issues were selected. Each section was composed of three sub-groups: (1) mayors/city managers/county executives, (2) police chiefs and (3) police union officials. Each discussion section benefited from the interchange of views, attitudes and experiences among participants who fulfill different roles in the labor relations process. Since the goal of the Symposium was to develop policy guidelines, all viewpoints received consideration.

The discussion sections met for one-and-a-half days. The proposed policy recommendations were then prepared through the joint efforts of the section moderator, resource person(s), and a representative of each sub-group in the discussion section. These proposals were then reviewed by all the Symposium participants at a plenary session. Members of the session approved, disapproved or modified the proposed recommendations. The labor relations guidelines contained in the first part of this report represent the consensus of the plenary session on the recommendations developed by the discussion groups.

The second section of this report contains the concept papers prepared by seven knowledgeable practitioners in the field of police labor relations. These papers were used as a guide for the discussions that took place at the National Symposium on Police Labor Relations.

- New York City Police Department. NEW YORK CITY-POLICE DEPARTMENT-DETECTIVE BUREAU-WORKLOAD ANALYSIS-INTERIM REPORT. 1973, 108 pp. A study of the amount of time detectives spend in investigating different kinds of cases to determine optimum manpower allocations for each squad, district, borough and the whole detective bureau of New York City.

Through a statistical analysis of investigation times and current allocation policies, the Detective Bureau was able to eliminate the Fugitive Squad, devise a more equitable performance measurement scale geared not solely to the number of arrests, but to the difficulty of the case, and the elimination of certain types of investigations from the jurisdiction of the Detective Bureau. The eliminated investigations include non-criminal motor vehicle homicides, leaving the scene of an accident investigations, and missing persons investigations.

- National District Attorneys Association (NDAA). PHILOSOPHICAL, PROCEDURAL AND LEGAL ISSUES INHERENT IN PROSECUTOR DIVERSIONARY PROGRAMS. NDAA, Chicago, IL, 1974, 21 pp. Several issues relating to standardization of diversion procedures, legal and constitutional issues, the basis for diversion programs, and suggestions on diversion procedures are discussed.

It is argued that a traditional "no charge" decision by a prosecutor does not operate to divert offenders out of the criminal justice system, since it offers no program to affect behavior and recidivism. Similarly, police diversion programs are viewed as unsatisfactory, since they are often subjective and unstandardized. The author states that prosecutory diversion is not a usurpation of a legislative or judicial function, but is another form of the prosecutor's traditional discretionary powers. Guidelines dealing with standards on accepting pleas of defendants, the kinds of defendants to accept for diversion, and factors to consider when deciding to divert are discussed. Suggestions on uniform application of diversion programs, and written reports on diversion programs are provided. Legal issues such as the right to sue a prosecutor for exercising his discretionary powers are also discussed.

- National Commission on Productivity. REPORT OF THE ADVISORY GROUP ON PRODUCTIVITY IN LAW ENFORCEMENT ON OPPORTUNITIES FOR IMPROVING PRODUCTIVITY IN POLICE SERVICES. NCP, Washington, D.C. 1973, 76 pp. This is a report prepared by the National Commission on Productivity, a program designed to analyze productivity in various segments of occupational activity in the United States. In all reports, the Commission was concerned with developing tools--concepts, measures, means for improvement, and strategies for change--to improve productivity. The chapters discuss the concept of productivity as applied to policing; measuring police activity; productivity as applied to three substantive areas, including patrol, crime prevention, and human resources management; and barriers to productivity improvement.

Recognizing both the diversity of local situations and the complexity of police productivity, the Advisory Group decided to focus this initial effort

on limited areas of police work. Three areas were selected because they were believed to be both of great importance to most police departments, and subject to significant productivity improvements through existing techniques or knowledge. The areas treated are: (1) Patrol--direct services to the public in both crime and noncrime situations; (2) Crime Prevention--specific programs - aside from those normally associated with traditional patrol activities - designed to anticipate and prevent crime; (3) Human Resources--the management of people - including recruitment, selection, assignment, training, and organization development - to maximize their potential in meeting department goals while increasing the satisfaction they get from their work.

In each area, issues relating to productivity are identified, the potential for developing more precise measures is explored, and some illustrative examples for actually improving productivity are suggested. Where measures are presented, in no sense are they offered as final, refined products. No preliminary and exploratory effort could pretend to do this. They are, instead, suggested starting points for the development of measures suited to the particular level of service and individual needs of a specific community. Only by trial of application will their full value and pitfalls be determined.

- Nelson, J. G. PRELIMINARY INVESTIGATION AND POLICE REPORTING - A COMPLETE GUIDE TO POLICE WRITTEN COMMUNICATION. Glencoe Press, Beverly Hills, California. 1970, 513 pp. Preliminary investigation procedures are described in conjunction with the basic elements of effective police reporting.

Criminal investigations and the reports which document them are inseparable. A perfect investigation is virtually worthless to all except the investigator unless there is a written record of what was learned from his endeavors. Preliminary Investigation and Police Reporting combines both of these topics in a detailed, step-by-step procedural test designed for use by students, teachers, supervisors, and patrolmen, as either a course guide or reference work. Writing techniques such as style and composition are covered. A section entitled "The Lawman's English Guide" provides information on grammar, sentence structure, punctuation, and spelling. The types of arrests and the procedure for completing an arrest report are delineated. The various techniques of investigation and reporting which are appropriate for homicide, assault, burglary, robbery, theft, automobile accidents, and property crimes are explained. The appended material includes a list of definitions for medical, legal, and slang terms that law enforcement officers will frequently encounter or find occasion to use in the preparation of their reports. (SNI Abstract)

- Pate, Tony, Bowers, Robert A, and Parks, Ron. THREE APPROACHES TO CRIMINAL APPREHENSION IN KANSAS CITY: AN EVALUATION REPORT. Police Foundation. 1976, 123 pp. This report describes the results of an evaluation of three approaches to criminal apprehension tested by the Kansas City Police Department with the assistance of the Police Foundation. The report shows that regularly providing data on known serious offenders to patrol units through a Crime Information Center (CIC) clearly produced increased arrests among those offenders. This seems a clear gain and the department has institutionalized the CIC approach.

The other two approaches were Location-Oriented Patrol (LOP), surveillance of areas with notably high crime rates, and Perpetrator-Oriented Patrol (POP), surveillance of selected groups of potential criminal perpetrators. The report shows that, although Location-Oriented Patrol by the department's tactical unit appeared to be somewhat more effective than Perpetrator-Oriented Patrol, neither (as tried in Kansas City) represented a substantial improvement over the more usual mix of tactical unit activities. Since the experimentation with the three approaches was completed, tactical unit resources have been decentralized to district patrol stations.

This report contains substantial information about the problems encountered in attempting experiments in apprehension methods and prescriptions for avoiding these problems to the extent that circumstances may allow. A major purpose for publishing this report is to share the lessons learned in Kansas City with all who want to test whether what they do improves policing.

- Newton, F. A. 3rd, and Francini, J. F. CRIME ANALYSIS PROGRAM (CAPER) - EVALUATION FOR POLICE PATROL PRODUCTIVITY APPLICATION - POLICE TECHNICAL ASSISTANCE REPORT. Westinghouse Justice Institute, Arlington, Virginia. 1975, 11 pp. This report, dated October 15, 1975, assesses the utility and applicability of the CAPER system to the planned patrol productivity program and its possible uses in improving crime analysis-crime prevention capabilities.

The Police Section of the Office of Regional Operations, LEAA, Washington, is developing a multi-year \$2.2 million program directed at improving the productivity, effectiveness, and deployment of patrol units through the effective use of departmental crime analysis units, crime prevention units, and their analysis support to patrol operations. The Crime Analysis - Project Evaluation - Research System (CAPER) was developed to provide medium-sized cities and counties with a relatively simple crime analysis, project evaluation, and research capability. This system mechanism, particularly with the target groups that will participate in the planned police productivity program. Accordingly, this assignment provides an evaluation of CAPER from transfer and utility viewpoints. To accomplish this task, interviews were scheduled with the CAPER project director and three departments within Santa Clara County that use CAPER for crime-analysis purposes. During the course of the interviews with the San Jose Police Department personnel, the demonstrated capabilities of the expanded Geo-data Analysis and Display System (GADS) were discussed as an attractive alternative to CAPER for consideration. Accordingly, the potential of GADS as a crime analysis tool was also investigated. A review of the CAPER system revealed that the system is not on-line, and produces information to most of its users on a quarterly basis. Two of its users get the information every month. Because of the information lag, it was concluded that CAPER would not be supportive of a patrol productivity program. Another shortcoming of the system is that CAPER does not edit cleared crimes from the population, and does not interface with any information system of known offenders. However, it was found that the GADS system is effective and can be easily transferred to other law enforcement applications. The technique employed can be applied to any application where there is a need to assign.

- Peterson, Joseph L. THE UTILIZATION OF CRIMINALISTICS SERVICES BY THE POLICE: An Analysis of The Physical Evidence Recovery Process. LEAA, Washington, D.C. 1974, 46pp. This is a monograph prepared for LEAA which discusses the forensics science laboratory and how police agencies can effectively utilize such a resource.

Within the past decade the forensic science laboratory has assumed a prominent position in the investigation and adjudication of criminal offenses. It has been demonstrated that scientific examination of physical evidence by the forensic scientist can develop objective information not possible through other investigative channels.

In recent years, as scientific techniques have become more advanced, the number of crime laboratories in the United States has doubled.

This monograph explores one aspect of the scientific evidence process which has been rarely examined or discussed in the literature: investigation procedures. These include the search for, recognition, and collection of evidence from crime scenes which precede actual laboratory analysis of the physical evidence. Because physical evidence associated with crimes is never recovered and thus never even reaches the laboratory, this report focuses on the behavior of the investigator who in large part determines if forensic science techniques will be used at all.

Crime commission reports have called for greater use of scientific evidence to improve arrest levels; and court decisions restricting forms of criminal investigation have increased the importance of unbiased analytical evidence.

This report, therefore, offers insight into an area important to the overall administration of justice.

- President's Commission on Law Enforcement and Administration of Justice. TASK FORCE REPORT: POLICE. Washington, D.C.: U.S. Government Printing Office. 1967. This volume deals with the role and function of police in modern society from a very comprehensive perspective including separate discussions on the police role, police organization, management and operations, coordination and consolidation, personnel, police and the community, police integrity, police standards and the community's role in law enforcement.
- Public Administration Service. COORDINATION AND CONSOLIDATION OF POLICE SERVICE. Public Administration Service, Chicago, IL. 1966, 300 pp. Analysis of the problems of local police administration and potential of coordination or consolidation of services as an aid to repression of crime.

Topics covered are: Obstacles to coordination and consolidation, legal political, social and economic, coordination and consolidation of staff services, recruitment, training, and planning, coordination and consolidation of auxiliary services, records, communications, detention facilities, and

laboratory services, coordination and consolidation of selected field services, criminal investigation, control of delinquency, vice control, and special task force operations, police service and jurisdictional consolidation, under metropolitan government, through county subordinate service, districts, annexation, contract law enforcement, and special districts, and role of the state in improving local police service.

- Public Safety Research Institute, Inc. FULL-SERVICE NEIGHBORHOOD TEAM POLICING: PLANNING FOR IMPLEMENTATION. PSRI, St. Petersburg, Florida, 1975, 111 pp. plus Appendices. This is a report prepared under a National Institute of Law Enforcement and Criminal Justice contract to explore a form of team policing that involves the concept of a full-service operation. Full-service policing recognizes the variety of skills and roles demanded of the police officer in the enforcement of the law and as the government's initial representative in helping citizens in trouble. The report explores the ways in which an officer gets to know the neighborhood he polices well and establishes rapport with the residents. Full-Service Team Policing requires careful planning and extensive management, as well as operation training. The report, which is a manual, provides comprehensive information in planning and implementation of the concept. The appendices discuss three experiments and also include an extensive bibliography on the subject.

- Robert, P. "Operational Research in the System of Criminal Justice." Collected Studies in Criminological Research 8 (1971):51-135.

Review of various methods of systems analysis with a consideration of the possible value of applying them to the criminal justice system. Preliminary considerations on the place of operational research in the system of criminal justice are examined. The various types of operational analysis are defined and discussed, and their roles in criminology delineated. The second part of the report focuses on the uses of operational analysis when applied to the criminal justice system. These uses include forecasting for the purpose of planning, cost evaluation for the optimization of choices, and definition of the image-making process to set the guidelines for reform.

- Search Group Inc. POLICE CRIME ANALYSIS UNIT HANDBOOK--A PRESCRIPTIVE PACKAGE. 1973, p. 200. NCJRS, Washington, D.C. Functions, methodologies, capabilities, and limitations of a unit designed to collect, analyze, and disseminate data on reported crimes and offenders.

Crime analysis is an essential tool for converting regularly collected information on reported crimes and criminal offenders into effective crime prevention and offender apprehension actions. Crime analysis can support police operations through strategy planning, manpower deployment, and investigative assistance. This document, one of the series of Prescriptive Packages sponsored by the National Institute of Law Enforcement and Criminal Justice, provides both background information and operational guidelines for police administrators interested in developing crime analysis units. The areas discussed are a definition of goals and objectives, crime data input, analysis of crime data, crime information disseminated as output, and feedback and evaluation. In addition, the

fundamental prerequisites for the operation of a crime analysis unit are considered. These include formal administrative support, organizational placement, staffing, and a method of guaranteeing the integrity of input crime and offender information. The concluding chapter presents three model crime analysis systems - manual, semiautomated, and fully automated - for small, medium, and large agencies, respectively. The appendix contains the grant proposals for these three systems, a glossary of crime-related terms, crime analysis unit staff job descriptions, and a discussion of the role of regional and statewide crime analysis systems. (Author abstract modified)

- Sherman, Lawrence W., Milton, Catherine H., and Kelly, Thomas V. **TEAM POLICING: SEVEN CASE STUDIES.** Police Foundation, Washington, D.C. 1973. 108 pp. This is a report which documents the activities of seven police agencies in their attempts to implement elements of team policing in their jurisdictions. The cities involved included Dayton, Detroit, New York City, Syracuse, Holyoke, Los Angeles, and Richmond. The report discusses elements of team policing, preparations needed for implementation (including goals, plans, and training). The report covers how team policing is to be conducted on the streets, obstacles faced, and an extensive evaluation of the program. In a summary and conclusion chapter, the report discusses change strategies for law enforcement and concludes that effective team policing depends on community goals and its sense of the effectiveness of such programs based on its specific situation, especially commitment and available resources.
- Slott, I., and Sprecher, W. M. **COST EFFECTIVENESS AND CRIMINAL JUSTICE.** New York City: American Society of Mechanical Engineers, 1972, 7 pp. Examination of systems analysis approach to the crime problem and its relationship to existing technology and expertise. Specifically, police decisions about burglary outlays, manpower allocation, and the adoption of new techniques can be planned by using quantitative studies of objectives, measures of performance, and cost and output trade-offs.
- Ward, R. H. and Ward, T. J. **POLICE ROBBERY CONTROL MANUAL--PRESCRIPTIVE PACKAGE.** 1975, p. 81. LEAA, Washington, D.C.

Overview of research and state-of-the-art of police robbery control projects in the United States, and guidelines to both police administrators and line personnel in implementing and assessing projects.

This Prescriptive Package is designed to provide an overview of both the research and state-of-the-art of police robbery control projects in the United States and provide practical guidelines to both police administrators and line personnel in the planning, implementation, and assessment of robbery control projects. The authors sent a questionnaire to police departments across the country and visited departments in over twenty cities. The robbery control projects of five cities are highlighted: Miami, Florida, New York, New York; Denver, Colorado, Kansas City, Missouri, and Minneapolis, Minnesota. This manual draws together both current research and data relative to robbery and descriptive data relative to

robbery control projects underway throughout the United States. It provides crime specific information which can be used for comparative purposes by planning or crime analysis units and a descriptive analysis of current projects, which should aid in selecting suitable projects for particular cities or geographic areas. Also included is specific information for those personnel actually engaged in a robbery control project and administrative information on funding, resource allocation factors, cost-benefit data, and the means for evaluating projects. The manual is designed primarily to assist law enforcement agencies in the development or improvement of a robbery control project. An attempt has been made to develop model projects which are based upon the findings of this study. In order to facilitate communication, appendix A outlines various robbery control projects now in existence and persons who can be contacted for further information. Information on particular robbery types and likely offenders is also presented in order to assist in the planning effort. (SNI abstract)

- Ward, R. H. **INTRODUCTION TO CRIMINAL INVESTIGATION.** Addison-Wesley Publishing Company, Inc. Reading, MA. 1975, pp. 285.

Textbook designed to provide the student or new practitioner with the foundation necessary to be an effective investigator and to familiarize the reader with the problems facing the criminal investigator.

Its primary focus is on the solution of crime by investigation. Some of the basic concepts discussed include the history of criminal investigation in the United States, general aspect of the investigative function, preliminary investigation and the crime scene, photographing and sketching the crime scene, and scientific evidence and criminal investigation. The different aspects of the investigative function examined are as follows: interviewing and interrogation, informants and information, information analysis and theory building, and crimes and their patterns. Emphasis is also placed on familiarizing the investigator with some of the major Supreme Court decisions affecting the investigative process. Among areas of interest discussed are cases involving admissions and confessions, wiretapping and eavesdropping, searches and seizures, informants and information, search warrants, and lineups. The special investigative techniques and problems considered include undercover and surveillance operations, narcotics and dangerous drugs, ghetto or inner-city investigations, organized crime, and relations with other agencies and organizations. Individual chapters are followed by discussion questions and exercises designed to develop the student's awareness of the chapter's important elements. A six-page bibliography and an alphabetical index are provided.

- Wampler, D. **ENFORCEMENT AND PROSECUTION--A JOINT ENDEAVOR.** 1972, pp. 4. Federal Bureau of Investigation, Washington, D.C. Discussion of police performance requirements, stressing the need for communication and coordinated effort between police and prosecutor.

- Weston, P. B. and Wells, K. M. CRIMINAL INVESTIGATION--BASIC PERSPECTIVES. 1970, pp. 291. Prentice-Hall, Englewood Cliffs, NJ.

Police criminal investigation function, from the preliminary investigation to the preparation of the case for prosecutorial review.

The legal significance of evidence is stressed. Crime scene searches, the collection of physical evidence, and techniques for interviewing witnesses are covered as basic concepts of criminal investigation. Various ways for developing investigative leads to discover a suspect's identity are discussed. Eyewitnesses and the corroborating circumstances of motive, opportunity, and modus operandi are treated in detail. Laboratory services, other scientific aids, surveillance, sources of information, police intelligence, and interrogation are presented as essential aids to the criminal investigator. After a general overview of the science of inquiry, the special skills necessary for investigating crimes of violence, crimes against property, and organized crime are outlined. Discussion questions, a library assignment, and a workbook project are included at the end of each chapter. The text written primarily for use in college law enforcement courses, can be of value to police officers, investigators, and others interested in criminal investigation.

- Weston, P. B. and Wells, K. M. CRIMINAL INVESTIGATION--BASIC PERSPECTIVES. 2D. ED. 1974, pp. 476. Prentice-Hall, Englewood Cliffs, NJ.

Contemporary look at police procedure which stresses the fundamental importance and legal significance of physical evidence.

Searching for and collecting physical evidence at crime scenes and interviewing witnesses are examined as basic aspects of criminal investigation. Basic investigative leads are presented in detail to develop a system of criminal investigation in which the crime and its circumstances are the key events. Eyewitnesses and the corroborating circumstances of motive, opportunity, and modus operandi are discussed in detail. Laboratory services, other scientific aids, surveillance, sources of information, police intelligence, and interrogation are presented as procedures in law and science with standards of reasonableness and scientific method. All aspects of the criminal investigation function of police are fully covered from the preliminary investigation to the preparation of the case for review by the prosecutor. The police apprehension process, the continuing investigation, and the focusing of the case are handled as major segments of this function. Chapters cover investigative report writing, investigating illegal drugs and narcotics cases, search warrants as a technique of investigation, the investigation of robbery, the investigation of arson, the investigation of burglary, and the investigation of homicide and assaults.

- White, Thomas W.; Regan, Katelyna J.; Waller, John D.; and Wholley, Joseph S. POLICE BURGLARY PREVENTION PROGRAMS. LEAA, Washington, D.C. 1975. 66 pp. This is a "Prescriptive Package" which discusses Crime Watch Operation Identification programs currently popular in many communities, and conducted by local police agencies.

Controlling and reducing burglary poses a particularly difficult problem for law enforcement agencies. The huge volume of burglary cases strains the investigative resources of police. Because it is a crime of stealth and opportunity, burglars often go undetected. Typically, clearance rates are quite low and stolen property is seldom recovered.

With the rapid increase in burglary rates, both police and citizens have recognized the need for cooperative action to prevent and reduce burglaries. Many communities have initiated a variety of preventive programs. In general, these efforts involve fairly simple measures: making facilities physically more secure; marking property with identification numbers that can be traced; tailoring police patrol to burglary patterns; and increasing the vigilance and responsiveness of citizens in protecting their homes and property.

While each of these steps offers some benefit, good results are not automatic. The key to success lies in selecting the right combination of specific measures and the appropriate overall approach to implementing a comprehensive program.

END