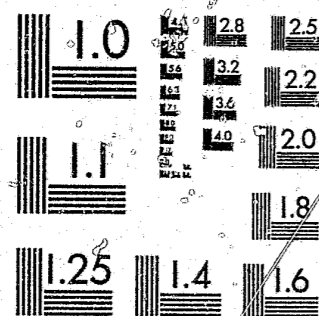


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NATIONAL  
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A NATIONWIDE SURVEY OF  
LAW ENFORCEMENT CRIMINAL JUSTICE  
PERSONNEL NEEDS AND RESOURCES

VOLUME VII - PART 1 of 2

THE SURVEY RESEARCH PROGRAM:  
PROCEDURES AND RESULTS

FINAL REPORT -

Prepared for  
Department of Justice  
Law Enforcement Assistance Administration  
by  
National Planning Association,  
American Institutes for Research,  
and  
Bureau of Social Science Research  
Washington, D.C.

Under Contract No. J-LEAA-035-74

September 30, 1976

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The major role of the Bureau of Social Science Research was the design and conduct of a series of surveys of manpower and education and training needs among major sectors of the criminal justice system. The position of Project Director for BSSR was filled by Dr. Shirley Star, whose sudden and untimely death during the study cut short her contributions to the National Manpower Survey. These contributions included developing the master plan for BSSR's role in NMS, creating the Employee Characteristics Occupational Code, and mastering the complex organizational relationships among the nation's courts which enabled her to update and reorganize Census' computerized record file of the Court sector. As succeeding Project Director, James Kretz represented BSSR in the three-member NMS consortium and continued to direct the Bureau's participation through the drafting of a final report.

As Deputy Director, Carol Kalish worked with Star and Kretz during the first phase of the study. She developed specific plans for carrying out several "phase one" tasks, among which were reviewing existing data sources for manpower, education and training; the data indexing system; and preliminary construction. During this phase, three analysts were assigned the responsibility of identifying, reviewing, and summarizing existing data sources. Gary Nordlinger researched the law enforcement sector; Maureen Eby investigated the corrections sector; and Rochelle Albin, the judicial process sector. Elizabeth Shelburne served as project research librarian and developed an indexing system for accessing the varied statistical data.

In the second phase, Carol Sosdian concentrated on survey instruments, developing and completing eight of the ten executive surveys and the Court Agency

survey. As analyst for the judicial process sector, she supervised the day-to-day progress in receiving and preparing the sector surveys for data reduction and analysis, and prepared preliminary analysis plans. As law enforcement sector analyst, Gary Nordlinger saw through the completion of two executive survey instruments and supervised those surveys related to his sector. Concurrently, he worked closely with Dr. Star during BSSR's recording of portions of Census' Employee Characteristics Survey. Towards the end of the survey period, Neil Bomberg assumed the supervision of the Prosecutors survey. Mary Eileen Dixon handled the very large task of coordinating successive mailouts and maintained the complex sample file. She also contributed to the first and the final drafts of the project methodology statement. Ellen Stern assumed the role of project librarian and supervised much of the data reduction procedures for the probation/parole survey. As the study neared completion, Gloria Hamilton was given the task of coordinating the input of additional data and making the resultant necessary text revisions in the final methodology monograph. Estela Long served as project administrative secretary throughout the course of the Bureau's involvement.

A very considerable debt is owed to all those in the criminal justice system who were gracious enough to contribute their knowledge and experiences in their responses to our questionnaires. Without their cooperation there could have been no National Manpower Survey.

## CHAPTER I. INTRODUCTION

The overall study goals of the National Manpower Survey (discussed in detail in other sections of this report) encompassed the following broad objectives:

- An assessment of the adequacy of existing federal, state, and local training and education (T and E) programs to meet current personnel needs in various law enforcement and criminal justice (LE/CJ) functions and operations.
- A projection of future personnel and training needs, by occupation, in relation to anticipated availability of qualified personnel in order to assess the future adequacy of T and E resources.
- Establishment of "needs priorities" as a basis for future LEAA-funded training and academic assistance programs.

The study design provided for systematic coverage of personnel needs in all state and local governmental agencies which are part of the law enforcement and criminal justice system. The sectors within this system include:

- The law enforcement sector, consisting of police departments and sheriffs' agencies, ranging in size from one-man constabularies to large city departments employing 30,000 or more personnel.
- The correctional sector, including both adult and juvenile correctional institutions and agencies.
- The judicial process sector, including a wide range of courts with varying jurisdictions and scope; district attorneys' or prosecutors' offices, and public defenders' offices.

The Bureau of Social Science Research was allocated primary responsibility

for acquisition and assessment of existing statistical data (published, unpublished, and on-going) as well as the design and execution of systematic mail surveys of agencies, officials, and employees within the LE/CJ system.

The major thrust of USSR's initial participation in the National Manpower Survey involved the effort to locate, review, classify, and index existing data on subjects pertinent to NMS. The primary purpose of this effort was to be able to determine quickly and definitively whether or not a particular data item needed for NMS already existed in printed form or could be obtained by re-tabulation of existing data files, along with an assessment of the currency and reliability of the data. As major gaps and inadequacies in existing data became evident, these items became potential subjects for inclusion in the surveys to be fielded by NMS. A secondary purpose of the effort was to provide through this research useful inputs for the ultimate development by NILECJ/LEAA of a systematic data bank for the entire criminal justice system.

The effort began with the usual bibliographic search and in gathering of relevant materials. As the collection of materials grew, it became necessary to establish a set of priorities to be used in selecting those studies which--once reviewed and categorized--would afford the greatest utility to the overall purposes of NMS.

All subject matter was classified along two major dimensions. The first dimension--subject matter area covered--was grouped into four broad classes in order of priority:

- "Primary" data, that is, "hard" numbers for manpower analyses. Examples of primary data included numbers of personnel, vacancies, turnover rates, distribution of personnel by occupation, etc.
- "Secondary" data, that is, "facts" which might be quite subjective versions of reality. Examples of secondary data included such items as descriptions

of work activities, duties, and tasks by position incumbents and statements concerning agency current personnel policies and practices.

- "Change" data, that is, data pertaining to what people within the criminal justice system expect or want by way of change in any part of the system.

- "Effectiveness" data, that is, data produced by studies which attempt to assess the relative effectiveness of any criminal justice personnel practice or any innovative program with manpower or training implications.

The second dimension--the geographic boundaries of the universe to which the data could be generalized--was easily characterized as national, regional or multi-state, single state, sub-areas of states comprising more than one unit, single unit of sub-state size, or sub-area of a single unit.

The actual review priority for a particular study required consideration of subject matter and scope simultaneously. The review effort was begun with national studies yielding primary data (summarized in Table 1) and continued with other national studies in lower data priority order--secondary, change, evaluation. Studies at lower levels of generalizability were reviewed as time permitted and "need to know" dictated with no effort being made to insure completeness in either bibliographic or actual data review coverage. These studies were shared, however, by all organizational elements of the National Manpower Survey, through provisions for systematic interchange of literature.

As the data review and indexing effort progressed, and as existing information was matched against the list specifying NMS data requirements, it became evident that the existing data base was inadequate to meet most of the National Manpower Survey needs. "Effectiveness" data at the national level relevant to the NMS study objectives proved to be virtually nonexistent. "Change" and "secondary" data were almost equally inadequate at the national level. Only "primary" data was readily available, but its availability varied widely among

TABLE 1

MAJOR SOURCES OF NATIONAL DATA ON CRIMINAL JUSTICE SYSTEM  
(Revised)

Sector of CJ System	Basic Reporting Unit		
	Governmental Function	CJ Agency	Individual Employee
0. Systemwide or Multisector	EE-1,2,3,4: F69-72 CG-EE-1,2: F67-68 EEO-4(SLI): F73,74 CG-PE(NY): F72	NCJD-F71,74 EC-F75 SPAS-F71-73 NCSJPA-73 NLC/USCH-73	EC-F75
1. Law Enforcement			
a. Police	NY: 74 and preceding	IACP (COR): 69, 72, 74 IACP (ETS): F73 ICMA-USDR: F71 LEAA-OCRC: 74 UCR-73 and preceding FOP: 74 and preceding KCPD: 73 and preceding PSP-F75	PSP-F75
(1) Medical examiner/coroner		FSF (FP)-F75	FSF (FP)-F75
(2) Forensic specialists and criminalists		FSF (FP)-F75	FSF (FP)-F75
(3) Evidence technicians		FSF (FP)-F75	FSF (FP)-F75
b. Sheriffs		EE/DS:F72	

## Explanation of abbreviations

EE:	LEAA Expenditure and Employment Survey
CG:EE	Census of Governments Expenditure and Employment Survey
EEO-4	Equal Employment Opportunity Commission, State and Local Information Survey
CG-PE	Census of Governments Public Employment Survey
NCJD	LEAA: National Criminal Justice Directory Survey
EC	LEAA: Employment Characteristics Survey
SPAS	LEAA: Analysis of State Planning Agency Statistics from Planning Grant Applications
NCSCJ/A	National Conference of State Criminal Justice Planning Administrators, Survey of SPA's
NLC/USCH	National League of Cities/U.S. Conference of Mayors, Survey of Local Criminal Justice Planning
NY	International City Management Association Municipal Yearbook
IACP (COR)	Comparative Data Report for State Police
IACP (ETS)	ETS Survey Conducted for IACP
ICMA-USDR	ICMA Urban Data Service Report for Trends in Police and Fire Salaries
LEAA-OCRC	Office of Civil Rights Compliance Survey
UCR	Uniform Crime Reports, FBI
FOP	Fraternal Order of Police Salaries and Working Conditions Survey
KCPD	Kansas City Police Department Survey of Municipal Police Departments
PSP	Indiana University Police Services Project
FSF (FP)	Forensic Sciences Foundation Survey of Forensic Professions
EE/DS	Deputy Sheriffs' Supplement to EE

TABLE 1 - Continued

Sector of CJ System	Basic Reporting Unit		
	Governmental Function	CJ Agency	Individual Employee
<b>2. Judicial Process</b>			
<b>a. Courts</b>	JSS-72	CO-72	
(1) Presiding Judges			CSG-74
(2) Juvenile courts/Judges		OVD-65-72	NCJC-63,73
<b>b. Prosecutor's Offices</b>		NDAA(PA)-65 NDAA(MPC)-70 NAAG-70,73 NAAG(OA)-73-75 NCPH-72-75	NDAA(NSP)-74 NDAA(BDP)-75 NAAG-70,73
(1) Executive head			
<b>c. Public Defender's Offices</b>		HLADA-F73	HLADA-F73
(1) Executive head			HLADA-F73
(2) Position of defender			HLADA-F73

Explanation of abbreviations

JSS	Judicature Society Survey
CO	LEAA Survey of Court Organization
OVD	HEW Office of Youth Development
NDAA(PA)	National District Attorneys Association (Prosecuting Attorneys)
NDAA(MPC)	National District Attorneys Association (Metropolitan Prosecutors Conference)
NAAG	National Association of Attorneys General
NAAG(OA)	National Association of Attorneys General (Office of Attorney General)
NCPH	National Center for Prosecution Management
HLADA	National Legal Aid and Defenders Association (Survey of Public Defenders)
CSG	Council of State Governments (State Court Systems)
NCJC	National Council of Juvenile Court Judges
NDAA(NSP)	National District Attorneys Association (National Survey of Prosecutors)
NDAA(BDP)	National District Attorneys Association (Base Data Program)

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TABLE 1 - Continued

Sector of CJ System	Basic Reporting Unit		
	Governmental Function	CJ Agency	Individual Employee
3. Corrections			
a. Institutional		Census: 1970 and preceding HEW(PEA):F66 LEAJ:66	JCCMT(USC):67 JCCMT(Harris):68
(1) Adult (a) Jails (b) Prisons		Jails:F70,72 Prisons:F73	
(2) Juvenile		NAJC:F73 JD:71,73,74 HEW-DC:65-70 CUS(CI):66 SIU:69	
b. Probation/Parole		HEW(PEA):F66 NCCD:72 LEAJ:66 CG(PP):74	JCCMT(Harris):68
c. Community Programs		CYA:71	

Explanation of abbreviations

Census	Bureau of the Census, Census of Population
HEW(PEA)	Health, Education and Welfare Survey conducted by Piven and Alcabes
LEAJ	President's Commission on Law Enforcement and the Administration of Justice
Jails	LEAA Survey of Local Jails
Prisons	LEAA Census of State Correctional Facilities
NAJC	University of Michigan, National Assessment of Juvenile Corrections
JD	LEAA Survey of Juvenile Detention and Correctional Facilities
HEW-DC	Health, Education and Welfare Statistics on Public Institutions for Delinquent Children
CUS(CI)	Center for Urban Studies, University of Chicago Survey of Children's Institutions
SIU	Southern Illinois University, National Survey of Juvenile Detention Facilities
NCCD	National Council on Crime and Delinquency, Organization of Parole Systems
CG(PP)	Census of Governments, Administrative Structure of Probation/Parole
CYA	California Youth Authority, Study of Youth Service Bureaus
JCCMT(USC)	Joint Commission on Correctional Manpower and Training, University of Southern California, Developing Correctional Administrators
JCCMT(Harris)	Joint Commission on Correctional Manpower and Training, Harris Survey of Correctional Employees

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the various sectors of the criminal justice system. Coverage of the judicial process sector was found to be especially thin.

In addition to the basic problem of availability of data, the issue of utility of existing data for NMS's purposes proved to be a problem of equal magnitude. Many of the studies which did exist were found to have used definitions (for example, definitions of populations) which differed widely from the operational definitions which NMS planned to use. Many of the existing data were not sufficiently current for inclusion in NMS. For these, and other reasons, it was determined that much of the data essential for the National Manpower Survey, if it was to meet its mandated tasks, would have to be generated by the project itself.

## CHAPTER II. THE CENSUS BUREAU'S CRIMINAL JUSTICE EMPLOYEE CHARACTERISTICS SURVEY

Originally, the National Manpower Survey new data collection efforts, as described in its initial project plan, envisioned a two-phase strategy. The initial phase was to have been a set of agency level questionnaires directed to all sectors of the criminal justice system. These instruments were to have yielded information on such subjects as staffing patterns, personnel turnover, personnel practices, and training activities. It was also anticipated that their precise content would be developed in consultation with State Planning Agency personnel. Provisions were to be made for state agencies to add a few questions of particular importance to that agency. In return for active participation in the finalization of content, State Planning Agencies, and regional planners were to provide assistance in distributing and collecting questionnaires. The agency level instruments were expected to generate rosters of employees in particular kinds of positions. These rosters would then have constituted nationwide sampling frames for the second phase of the survey, that of personnel in key occupations. Six such surveys were tentatively planned.

It was not possible for the National Manpower Survey to execute these original plans due in large measure to the fact that, prior to the initiation of the NMS project, LEAA had separately funded the Census Bureau's Criminal Justice Employee Characteristics Survey which was to be fielded within a similar, although not identical, time frame as NMS. The Census Bureau survey, details of which were not available until after initiation of the NMS project, became ultimately a potent influence on the overall design of the NMS survey program.

The Census Bureau study had been initiated by LEAA in 1973. It was designed to provide a common core of basic information about the employees in LE/CJ agencies, aggregated for each state. The data were to consist of basic demographic information; current occupation; some partial educational, training, and employment histories; as well as data concerning possible participation by the employee-respondent in the Law Enforcement Education Program (LEEP). Toward this end the Census Bureau developed and fielded two separate questionnaires. The first was a brief four-page form directed to agency and department heads. This form, used across all types of criminal justice organizations, asked questions about departmental size and personnel policies, and contained a request that a roster of employees of that organization, as of October 31, 1974, be supplied to the Census Bureau. From these rosters (which supplied only name and address, but not position or function) a sample of almost 50,000 criminal justice employees was selected, and these employees were sent the second questionnaire.

The sampling for the Census Bureau study thus proceeded in two stages, from agency to individuals, in a manner similar to that originally planned for NMS. The purposes behind the sampling plan, however, were quite different. The overall study design for the Employee Characteristics Study required a sample of individuals, as opposed to agencies, so that estimates of the total number of criminal justice employees, and their characteristics, could be made for each state. The so-called "agency" questionnaire was allotted merely a supporting role in the project since its primary function was to define the agency along certain parameters so that a satisfactory sampling frame could be obtained through which individual LE/CJ employees could be selected.

The sampling plan was operationalized by defining 102 strata by the variables of location by state (including the District of Columbia) and primary function of the agency. "Function" was dichotomized into "police protection

functions" and "all others." Approximately 4,000 agencies were then selected from these strata, utilizing probabilities proportionate to size (based on data from the 1972 Census of Government and the Employment and Expenditures series). In the second stage, the 50,000 individual employees were selected.

Four basic features of the sampling procedures are especially noteworthy for their implications for the aims of the National Manpower Survey.

1. As previously stated, the purpose of the Census study was to develop state by state estimates of employee characteristics. That is, the study was not intended to provide estimates of agency characteristics (beyond those mentioned above which were to serve merely as designators for the sampling frame) either at the state or national level, whereas agency data were essential to the NMS concept.

2. The "agency" to which the first stage questionnaire in the Census study was directed for the purpose of obtaining the list for the second stage was defined as "the lowest level organization capable of supplying a roster of employees." Under such a definition, for example, the Los Angeles Sheriff's Department and that Department's jails were considered to be separate organizations. Any attempt to re-aggregate the data into units corresponding to the NMS concept of "agency" was virtually impossible because of the level of effort required. Resulting from the problem of definition was the practical impossibility of establishing manpower staffing ratios for most categories of agencies since these are inherently agency characteristics which cannot be obtained by a simple aggregation of individual data, without accurate knowledge of which set of respondents are employees of which specific agencies, as defined by NMS.

3. The courts and court-administered organizations, namely probation offices, were excluded from the Census study completely. Parole and probation

units, in so far as they were not administered by a court, were included among the "other" agencies in the "police protection--all others" dichotomy.

4. Only one very general questionnaire was developed for each of the two stages of the field work, which placed distinct limitations upon the detailed information available through the questions asked. To accommodate the broad range of the questionnaires, essentially standard Current Population Survey questions were used. Thus, questions designed to provide the basis for occupational classification of employees were the standard questions used by the Census Bureau in all of its labor force surveys, rather than being adapted to the particular sets of occupations and work duties of employees in law enforcement and criminal justice agencies.

The NMS consortium was faced with difficult decisions. Although the data resulting from the Census study would not be adequate for maximum utility by NMS it was necessary to deal with the reality of the situation.

By the time that the NMS project was initiated, the Census survey could not be materially altered because its questionnaires had been pretested and were already at OMB for final clearance. In addition, although the two studies were not identical in objectives, there was considerable overlap. The pragmatic results of such an overlap would be that the study which was first in the field preempted the opportunities. Criminal justice agencies consistently reported that they were over-surveyed, and besieged with requests to supply data to the detriment of their own primary missions, according to their own assessments of the situation. One sheriff's office apparently had received so many requests for cooperation that it had prepared a form letter to respond to future requests. (See Exhibit A.) Researchers other than the Bureau of the Census routinely reported low completion rates in the LE/CJ sectors.

The Bureau of the Census--partly because of its unique governmental status and partly through the use of extensive followups by its corps of field repre-

EXHIBIT A

SHERIFF'S DEPARTMENT  
COURTHOUSE

Dear Mr. Kretz;

Your form letter is being sent to you pursuant to a Questionnaire Survey Form received February 25, 1976 requesting certain information.

I regret to inform you that this Department can no longer comply with such requests. The various reasons are listed below:

1. Please be assured that for many years we have complied fully with each and every such request.
2. It is apparent certain grants have stimulated this type of information-gathering until the quantity received has become insurmountable.
3. The time and personnel of this Department are exhausted. Time being directly related to monetary circumstances.
4. The in-coming Survey Forms are becoming voluminous, consisting of forms from Universities, Colleges, Law Enforcement and other institutions throughout the United States - many of which are varied, unique and constructive in nature, while others are similar to a point of being completely redundant.
5. It is our desire to be "qualitative" in our response rather than "quantitative".  
(a) As previously stated, time and manpower are not available at this time.

Please note below the self-explanatory status of your Survey Form Request:

Your form request is:

- |   |  |
|---|--|
| 1. <input type="checkbox"/> PLACED ON FILE        | 5. <input type="checkbox"/> HELD FOR SENDER DISPOSITION<br>(POSTAGE NEEDED FOR RETURN) |
| 2. <input type="checkbox"/> RETURNED TO SENDER    | 6. <input type="checkbox"/> REFERRED TO STAFF  |
| 3. <input type="checkbox"/> REFERRED TO COMMITTEE | 7. <input type="checkbox"/> STUDY CONDUCTED BY<br>DIVISION OF INTEREST                 |
| 4. <input checked="" type="checkbox"/> DISCARDED  |  |

My sincere appreciation for being selected in your line of requests, and we first to concur that it is regrettable to advise you of our inability to participate.

Respectfully,

representatives--generally obtained more satisfactory completion rates. It was our technical judgment that any agency surveys that might be fielded by the NMS so shortly after the Census Employee Characteristics survey would have to approach many of the same agencies (since the Census sample was such as to include essentially all of the larger agencies in the sector covered), with questionnaires including a good deal of overlapping content. Under such circumstances, we anticipated that, even if OMB clearance were obtained for such a survey, the results would be low levels of agency cooperation and questionnaire completion, considerable complaint and resentment about lack of coordination among government-sponsored survey efforts, and little contribution toward the successful completion of the National Manpower Survey.

The first major decision made by NMS therefore was to redesign its own survey plan to make maximum possible use of the Census survey results, and to focus its own major efforts on separate surveys of executives and of courts agencies which would primarily emphasize those categories of information not covered by the Census. To maximize the utility of the Census employee survey results, an agreement was made under which the National Manpower Survey would develop a new and more detailed occupational code, appropriate to the research goals of the NMS study. BSSR was to receive photocopies of one page from each of the Employee Characteristics Survey's almost 48,000 completed questionnaires, re-code the occupational item and return these data to Census for transcription and inclusion in the data file. Through this arrangement, although the two studies remained quite separate in scope and in objective, the data from the Census Employee Characteristics Survey could serve to supplement and enhance NMS data.

#### A. THE SPECIAL OCCUPATIONAL CODING

Current occupational information supplied by criminal justice system employees was originally coded by the Census Bureau coders using the standard

Census occupational codes. Even under the full three digit detailed Census code, these categorizations lacked the necessary specificity for the research objectives of the National Manpower Survey. The Census coding, for example, groups nearly all police officers in a single occupational category, "policemen and detectives," without any distinction as to duties performed or level of responsibility. To meet the need for an occupation code which permitted the requisite detail, the NMS staff developed an entirely new occupational code and applied it to the approximately 48,000 cases. This new code was aimed at distinguishing respondents' positions in terms of their functional relationship to the criminal justice system, as well as by occupation or duty position. Some of the flavor of this functional orientation might be gained from two examples: the Census codes for a forensic pathologist attached to a police department and for a physician responsible for medical treatment of prison inmates is the same, i.e., "physician." The NMS code permits a clear differentiation between these two distinct functions. Similarly, the NMS code distinguishes correctional officers, serving as prison guards, from guards and watchmen in public buildings, whereas the Census code is the same for both functions.

The reason for developing a functionally oriented occupation code stems from the basic purpose of the National Manpower Survey. Assessing future training needs requires both knowledge of current training patterns and likely staffing patterns. To learn that some percentage of all sworn law enforcement officers are filling clerical positions and therefore need training in office procedures rather than weapons handling requires that the occupational coding scheme maintain such distinctions. The NMS occupational code is premised upon a functional orientation which results in a consistent classification scheme. The system is relatively complex to learn but simple

to use, once understood. The details of the NMS code as well as tables showing the distribution of employees in state and local criminal justice agencies by occupation and sector are presented in Appendix C.

It should be noted that these coding procedures were designed to make maximum feasible use of the information already provided by the respondents to the Census survey. An alternative procedure, which might have been employed in the Census Survey, was to develop a standard list of occupations with accompanying definitions, and to request the respondent to identify the occupation most descriptive of his or her job. These structures occupational lists, if carefully designed, can greatly simplify the occupational classification process and are recommended for consideration in any subsequent surveys of this type.

### CHAPTER III. THE SURVEYS

In addition to the tasks outlined above, the major role of the Bureau of Social Science Research in the National Manpower Survey was the implementation of 10 nationwide surveys directed to executives in criminal justice agencies, and an eleventh survey of general and appellate jurisdiction courts.

#### A. THE EXECUTIVE SURVEYS

The 10 "executive surveys," as they came to be known, were directed to:

- Chiefs of Police (separately for "small" departments in jurisdictions with less than 17,000 population)
- Sheriffs (separately for "small" departments with less than 10 employees)
- Chief Prosecutors
- Chief Defenders
- Court Administrators
- Wardens of Adult Correctional Facilities
- Directors of Juvenile Correctional Facilities
- Chief Probation and Parole Officers

The need to conduct separate surveys for large and small police and sheriffs' departments was dictated primarily by the problems involved in designing questionnaires which would be meaningful to the selected respondents. Many of the questions which would adequately cover the complex organizational structure, personnel descriptions or case loads of departments numbering hundreds of persons would be irrelevant or confusing to spokesmen for agencies staffed by only a few individuals. It was determined early in the study to design comparable but

separate questionnaires to cover the widely divergent situations among such organizations. The 10 surveys, being addressed to responsible agency spokesmen, were uniquely adapted to obtain the subjective reactions of the persons who, by virtue of their position in the structure, were in a position to initiate changes within their agencies. Thus, their assessment of their agencies' manpower and training needs, their evaluations of experimental innovations within and without their own agencies, their plans for changes in staffing, recruitment or training, are all highly relevant to forecasting the directions of change in the criminal justice system of the future.

A number of generic topics were covered in each instrument, which included-- but were not limited to--the following:

- An overall assessment of current agency manpower problems, and estimates of the total number of personnel required to fulfill all agency duties and responsibilities.
  - Desired and actual entry level standards and training program contents.
  - Demographic, educational, training, and occupational background information about the executive respondent.
  - Attitudes toward various topical issues such as team policing, plea bargaining, and computer assisted case management.
  - A fact sheet section including data on agency employment by occupational category, agency workloads, personnel turnover, salaries, and related information.
- The instruments are included in their entirety in Appendix A.

Each instrument was reviewed by various elements of NMS staff and by outside consultants with expert knowledge of the particular sector or agency category. Each instrument was then pretested with available members of each target population. The police instrument, for example, was administered to 14 senior

police executives attending the FBI National Academy Program. The defenders instrument was administered to a group of seven at the National College of Criminal Defense Lawyers and Public Defenders, and the prosecution instrument was pretested with five prosecutors attending the National College of District Attorneys, both colleges located in Houston, Texas. Pretesting of the court administrator instrument was conducted with volunteers attending a court administration conference held at the University of Chicago and with local court administrators in Maryland. The other instruments were administered to individual executives at their offices. Following each pretest, whether administered to groups or individuals, two to four hours were spent reviewing the respondents' understanding of each item, the intent of their answers, and suggestions about both sins of omission and commission regarding content.

Under the cycle of review and revision, described above, each questionnaire underwent six or more revisions prior to submission for OMB clearance.

#### B. THE COURT AGENCY SURVEY

The eleventh survey was an attempt at a full census of general trial and appellate jurisdiction courts. This effort differed from the "executive surveys" in that it was intended to yield basic statistical information regarding the personnel, training activities, and case loads of these courts, and did not seek any attitudinal or subjective responses from court officials. Thus the agency itself was the reporting unit, with the informant only required to be in a position to provide accurate, reliable information of the type requested.

This difference in design for the courts survey was necessitated by the fact that the existing base of statistical information about the operation of the court system was found to be even more limited than that available for other sectors. Moreover, the court sector was excluded entirely from the Census-LEAA Employee

Characteristic survey. The need to fill this gap in the data base therefore required the fielding of a survey whose purpose was the development of basic statistical information concerning the operation of the court system. Specific subjects covered by the questionnaire included a description of court functions, the number of judicial and nonjudicial personnel, training provided to nonjudicial personnel, methods used to assign cases to judges, case load information, utilization of computers in the management and operation of the court, and budgetary information.

As was the case with the executive surveys, the development of the court agency questionnaire was accomplished through a process of internal review, pre-testing, and redrafting before the final document emerged. This instrument is also included in Appendix A.

#### C. SURVEY SAMPLE DESIGN

Several sources of agency names and addresses were used to select the NMS samples. The primary source was a magnetic tape copy of the Directory of Criminal Justice Agencies compiled and maintained by the Bureau of the Census for the Law Enforcement Assistance Administration. This directory was the product of a special 1970 survey and more recent updating through surveys in various sectors and in-house Census research. To supplement this directory and to provide alternative sources of address information as the need arose, several other directories were used including the Directory: Juvenile and Adult Correctional Institutions and Agencies, 1974-1975 Edition compiled by the American Correctional Association, telephone directories for various jurisdictions, plus telephone and written correspondence with numerous officials. Personal contact became especially important for the public defender, court administrator and correctional administrator surveys.

Of all the surveys, only three (small police, large and small sheriffs' departments) actually entailed sampling; for each of the others, because of the small size of the universe and lack of adequate data on which to base stratification decisions, censuses were attempted. The precise population definitions used are detailed below by sector and segment.

#### 1. Law Enforcement Sector

Large Police Department Chiefs.--A census of all general purpose police department chiefs serving jurisdictions with 1970 populations equal to or exceeding 17,000. Number of chiefs serving departments meeting this definition: 1,619.

Small Police Departments Chiefs.--A 20 percent sample of all general purpose police departments serving 1970 populations smaller than 17,000. Number of chiefs selected into the sample: 2,723.

Large Sheriffs.--The sampling frames for both sheriffs' samples were augmented through the use of the Special Survey of Sheriffs conducted by Census in 1970, and information provided by the National Association of Counties. Large sheriffs' departments were defined as those with at least 10 employees and were stratified into two additional size groups.

Stratum I: sampling ratio - 100 percent (205) of departments with 50 or more employees plus 14 state level sheriffs' departments (Connecticut, 8; Hawaii, 1; Rhode Island, 5), plus the 3 independent Virginia cities with populations of 100,000 or more (Hampton, Norfolk, Portsmouth).

Stratum II: sampling ratio - 3/7 (305 cases) of departments

with 10-49 employees. Combined number of large department sheriffs: 510.

Small Sheriffs.--Sampling of 3/13 of departments with fewer than 10 employees plus the sheriffs of the 17 smaller independent Virginia cities. Sample size: 502.

## 2. Judicial Process Sector

Prosecutors.--A census of all prosecutors in agencies listed in the Directory of Criminal Justice Agencies as providing legal counsel or other services to state or county governments, most of which were presumed to have prosecutorial responsibilities. Number of prosecutors: 3,525.

Public Defenders.--A census of agencies listed in the Directory and supplemented by telephone calls. Organizations or programs administered by nongovernmental bodies or providing services on a contractual basis were excluded from the Directory and therefore excluded from the NMS sample. Number of chief defenders: 543.

Court Administrators.--A census of all professional court administrators identified by the state's offices of court administration and/or judicial councils. Each of these offices received a specially generated list of all general and appellate jurisdiction courts in their state and were asked to supply the name and title of the court administrator attached to each. In addition, each was asked to supply the name, title and court of each court administrator attached to limited or special jurisdiction courts. For the purpose of constructing this universe, "court administrator" was defined as: "...non-

lected professional administrators concerned with caseflow throughout the court system, personnel management, planning and research, budget drafting and all other administrative and managerial business of the court or court system." This was the only one of the executive surveys for which a wholly new sampling frame had to be established. Number of court administrators: 456.

Courts (The Agency Questionnaire).--A census of all general and appellate jurisdiction courts, other than federal, to elicit agency characteristics. Number of courts: 3,873.

## 3. Corrections Sector

Juvenile Corrections Directors.--A census of all administrators of institutions classified by the Census Directory as publicly operated detention centers, shelters, reception or diagnostic centers, training schools, ranches, forestry camps, farms, or group homes whose resident populations were at least 50 percent juveniles. Juvenile detention centers that were an integral part of adult jails were excluded both from the Directory and the sample. Number of positions included: 845.

Adult Correctional Administrators.--A census of heads of state diagnostic and reception centers; maximum, medium, and minimum security closed institutions, and mental hospitals whose entire patient population were criminal commitments. Unlike the other executive surveys, the initial mailing was distributed through the head of each state's department of corrections, who was also asked to check our lists for completeness. Number of correctional administrators: 270.

Probation and Parole Heads.--A census of heads of all agencies

listed in the Directory. Number of positions: 3,304.

As the foregoing definitions make clear, certain categories of agencies were systematically excluded from the populations being surveyed. These exclusions were the results of conscious decisions made about the scope of the surveys. Chief among these exclusions were city-level prosecutor and legal services offices, attorneys providing indigent defense on a contract basis, most community-based correctional facilities, and limited and special jurisdiction courts.

City-level prosecutor and legal services offices were excluded from the census of prosecutors because many of them have only civil responsibilities. "Contract" defenders were excluded from the defender census because they did not meet the definition of "public employee" underlying the entire study. Limited and special jurisdiction courts were excluded from the court census, in part, because there was so much variation among the "L and S" courts and between these courts and courts of general jurisdiction that it would have been impossible to draft a questionnaire which adequately covered them all. In addition, NMS staff were advised by courts experts that--in view of the staffing limitations of many of these courts--a mailed questionnaire survey was not likely to produce adequate and reliable data.

Community-based correctional facilities were excluded from the correctional sector because they frequently combine many different sources of funding, including private, governmental, and resident contributions and because they utilize a large number of volunteer workers. NMS also did not attempt to separately survey county jails as virtually all of these jails are run by sheriffs who were included in the survey as agency heads. Sheriffs were asked some questions about their correctional activities in the "executive" questionnaire.

#### D. MAILING PROCEDURE AND COMPLETION RATES

The field administration phase for nine of the surveys took place from late

November, 1975, through early April, 1976. Court agency questionnaires were in the field from early March through late May and court administrator questionnaires from early May until late June. Three waves of questionnaires were mailed out during each period. The first mailing for the first nine surveys, addressed to approximately 13,800 potential respondents in the nine sectors, took place in late November and early December. First questionnaires were preceded by a brochure describing the National Manpower Survey and by a letter from LEAA Administrator Richard Velde stressing the importance of the study (See Appendix B).

A second mailing, addressed to all those who had not yet returned their questionnaires, took place in early January. A letter from the Director of Survey Operations (See Appendix B), attempting to answer some of the reasons for nonresponse encountered during the first wave, was mailed out in advance of the second questionnaires. The final mailing, which took place in late February, consisted of a mailgram from the Director of Survey Operations (See Appendix B) urging participation from those who had not responded, followed immediately by a third questionnaire. Similar methods were used for the two court-related surveys during their respective field periods.

Within days after the first mailings it became apparent that the procedure was going to be complicated by problems in the agency lists produced from the Census Directory tape. The major problems encountered included bad addresses which made the delivery of questionnaires impossible, the inclusion on the list of agencies whose functions were outside the scope of the study, the presence on the list of agencies which did not actually exist, and duplicate entries which slipped through despite careful screening prior to mailing.

The problem of bad addresses was present in varying degrees across all sectors but was particularly pronounced in the case of public defenders--a young, relatively unestablished field characterized by high turnover. Frequently, it

was discovered that the address on the list was that of the private law firm of an attorney who had served as Public Defender several years previously. In these and all cases where questionnaires were returned as undelivered an attempt was made to locate new addresses through telephone books and other available directories. Table 2 presents disposition of cases by sector and reason. It is probable that the numbers shown as "unlocatable" (those whose questionnaires were returned to us by the Postal Service despite repeated efforts to obtain better addresses) reflect only the tip of the iceberg, since numerous calls and letters were received in response to the third wave mailgram from agency executives whose questionnaires had not been returned, stating that the mailgram was the first piece of NMS mail to reach their offices. Proper addresses were, of course, obtained from these executives and questionnaires were mailed to them but there was no way of determining how many others were in a similar situation but did not respond to the mailgram--and how many others had not even received the mailgram.

The problem of the inclusion in the lists of agencies whose functions were outside the scope of the study occurred most frequently in the Large Police file and in the Prosecutor's file. In the Large Police file we discovered that a number of special police agencies (park rangers, harbor police, etc.), outside of the scope of the sample, had been miscoded on the Directory tape and had been included among the general purpose police forces. The Prosecutor's file proved to include numerous government legal services offices having only civil responsibilities. As soon as notification of these situations was received the cases in question were removed from the files.

The number of study cases was further diminished by the discovery that a substantial number of agencies no longer existed. This was particularly true of police departments in small towns which no longer provided their own law

TABLE 2

	Large Police	Small Police	Large Sheriff	Small Sheriff	Prosecutors	Public Defenders	Adult Correction	Juvenile Correction	Probation/ Parole	Court Administrator	Court Agency	Total: All Surveys
Total No. of Cases in Survey (include those originally selected and additions made)	1,619	2,722	508	504	3,530	575	306	856	3,313	456	3,873	18,262
Unlocatable Cases (questionnaires returned by Post Office; Unable to locate latter address)	1	8	-	2	5	4	-	5	19	-	3	47
Cases Removed from Sample as Nonexistent or Out-of Scope	86	176	1	1	603	41	20	52	309	1	338	1,628
Total "Good" Cases in Survey	1,532	2,538	507	501	2,922	530	286	799	2,985	455	3,532	16,587
Usable Completions Received	1,207	1,515	309	276	1,344	252	220	585	2,011	334	1,644	9,697
Response Rate	78.8%	59.7%	60.9%	55.1%	46.0%	47.5%	76.9%	73.2%	67.4%	73.4%	46.5%	58%

enforcement, and of single-purpose, single-county probation departments which had merged into multi-purpose, multi-county agencies. We also discovered occasionally that correctional agencies were components of larger facilities already included on the list, and thus had no independent executives. Again, the cases in question were removed from the study as soon as notification of the situation was received.

An additional problem arose as a result of the fact that the Census Directory titles and agency designations were not always exact. They occasionally contained ambiguities which caused the questionnaire to be delivered to and filled out by executives of agencies other than those for which they were intended. Considerable time and effort was expended in determining the identity of the agency whose executive actually completed the questionnaire and in ascertaining whether that agency was already in the survey, or should have been, in which case the questionnaire could be used, or whether the questionnaire would have to be discarded.

During the course of the mailings, the existence of agencies not on our lists came to our attention. When these agencies belonged to one of the sectors in which censuses were being undertaken, they were added to our lists. Public Defenders and Adult Correctional institutions accounted for most of the additions made.

In addition to questionnaires which were returned incomplete because the designated respondents were inappropriate for inclusion or even nonexistent, there were, of course, refusals. Several distinct themes emerged in the reasons given for these refusals. One common reason cited by heads of small agencies was the impression that the questionnaire was designed for large offices and was not really applicable to small offices. Insufficient manpower was frequently given as a reason for refusing to participate. A number of agency heads,

particularly in the Probation and Parole sector, refused by telling us that department policy and/or lack of access to the information requested made it impossible for them to respond and referred us to their superiors at the state or regional level.

Unless overt hostility was evident in the refusals received, those who refused were written letters telling them of the importance of each response and requesting that they reconsider. A number of preliminary refusals were converted to completions by these letters.

The fielding of the court agency questionnaire produced a unique set of problems. The first major problem encountered was occasioned by the fact that most courts in the United States, particularly courts of general jurisdiction, are organized into circuits or districts and many maintain records only at the district or circuit level. Although questionnaires were sent to each seat at which district or circuit courts met, and the questionnaire instructions requested that answers refer only to that specific seat, a number of the responses were clearly consolidated replies for all the courts in a general circuit or district. Frequently the questionnaires were accompanied by notes which stated that it would be impossible to produce separate responses for each of the courts within the district or circuit. When this occurred, the consolidated responses were accepted as such and new cases were created and added to the files which were clearly identified as "consolidations." The cases representing the individual courts which made up the district or circuit for which we had received a "consolidated" response were then closed out as already included in a "higher-level" response.

A second problem encountered with some frequency in the court agency file involved "mixed responses." Rather than reporting only on the activities and operations of the appellate or general jurisdiction court to which the questionnaire was addressed, the person completing the questionnaire reported facts

and figures in such a fashion that it was impossible to determine whether the data were truly for the level of court addressed. Often, for example, respondents combined caseloads for both general jurisdiction and L & S courts in their jurisdiction--the latter of which were not even in the survey. All such "mixed responses" had to be declared unacceptable. Another effort was made in such cases to encourage the person who had completed the questionnaire to fill out another questionnaire and refer only to the court addressed, but these letters unfortunately produced few results.

#### E. DATA REDUCTION

As soon as completed questionnaires had been checked in, they were put through editing and coding processes. Editing entailed the manual examination of all questionnaires to: (1) insure that all answers on the questionnaire were legible and intelligible to the keypunchers; (2) eliminate multiple responses where they were not allowed (following careful instructions which specified where one of the multiple responses could be accepted and where all such multiple responses had to be thrown out); (3) correct improperly followed skip patterns (i.e., eliminating answers to questions which respondents were supposed to have skipped by virtue of their answer to a preceding question); and (4) where possible, attempt to reconcile inconsistent and contradictory responses.

This latter effort--reconciling inconsistent responses--proved to be particularly difficult. The problem of inconsistency was frequently encountered in questions which called for numerical data--i.e., numbers of employees, case loads, etc.--and which asked for both total figures as well as enumerations of the categories which made up the total. cursory inspection frequently revealed that the parts added to either more or less than the total. Rather than attempting to reconcile the responses (which in many cases would have been impossible) or discarding the data entirely (which would have eliminated a substantial

number of responses), the decision was made to leave such data as they were and to edit them to a limited extent by computer (throwing out cases which were clearly too divergent) where the items were needed for tabulations. Time and budget constraints precluded the only totally satisfactory solution of this problem, i.e., re-contacting respondents to obtain needed clarification.

After manual editing and coding had been completed and the questionnaires had been keypunched onto IBM cards, a specially written computer program was utilized to supplement the manual editing process. This computer routine searched for impossible codes (i.e., a code 4 when the only permissible values were: 1 = male; 2 = female; and 3 = no answer) as well as for any incorrectly filled out skip patterns which had "slipped through" the manual examination. These procedures flagged errors and corrections were then manually implemented.

#### F. COMPLETION RATES

The cut-off date for acceptance of completed questionnaires was April 12, 1976 for the first nine surveys; May 19 for the court agency survey; June 30, 1976 for court administrators. A total of 9,697 usable cases had been received for all 11 surveys by these dates. Table 2 provides the completion rates for each of the sectors. Response rates ranged from a high of 78.8 percent for large police departments to a low of 46.0 percent for prosecutors. Tables 3, 4, and 5 give more detailed breakdowns of these response rates by agency size, level of government and LEAA Region.

While the perfect survey has never been launched, a return of less than 90 percent is always a disappointment to researchers, and the problem of bias through nonresponse is a very real one. However, in this instance, it must be pointed out that the study attempted--and to a large extent accomplished--what had never been attempted before: a series of very complex national surveys,

**TABLE 3**  
RESPONSE RATES FOR SURVEY SEGMENTS AND SECTORS  
BY AGENCY SIZE<sup>a</sup>

Sector	1-9	10-49	50-99	100+	Not Available	Totals
<b>Large Police</b>						
No. Attempted	161	651	339	329	52	1,532
No. Completed	109	534	271	250	43	1,207
Response Rate	67.7	82.0	79.9	76.0	82.7	77.8
<b>Small Police</b>						
No. Attempted	1,916	297	-	-	325	2,538
No. Completed	1,117	230	-	-	168	1,515
Response Rate	58.3	77.4	-	-	51.7	59.7
<b>Large Sheriffs</b>						
No. Attempted	-	303	91	96	17	507
No. Completed	-	186	61	57	5	309
Response Rate	-	61.4	67.0	59.4	29.4	60.9
<b>Small Sheriffs</b>						
No. Attempted	498	-	-	-	3	501
No. Completed	274	-	-	-	2	276
Response Rate	55.0	-	-	-	66.7	55.1
<b>Prosecutors</b>						
No. Attempted	2,136	137	9	9	631	2,922
No. Completed	965	78	7	4	290	1,344
Response Rate	45.2	56.9	77.8	44.4	46.0	46.0
<b>Public Defenders</b>						
No. Attempted	254	51	-	-	129	530
No. Completed	113	33	-	-	106	252
Response Rate	44.5	64.7	-	-	47.1	47.5
<b>Adult Corrections</b>						
No. Attempted	3	37	12	105	129	286
Completed	2	27	9	76	106	220
Response Rate	66.7	73.0	75.0	72.4	82.2	76.9
<b>Juvenile Corrections</b>						
No. Attempted	205	303	90	123	78	799
No. Completed	137	233	70	87	58	585
Response Rate	66.8	76.9	77.8	70.7	74.4	73.2
<b>Probation/Parole</b>						
No. Attempted	1,485	200	21	12	1,267	2,985
No. Completed	940	155	16	10	890	2,011
Response Rate	63.3	77.5	76.2	83.3	70.2	67.4

<sup>a</sup>Agency size as available from Directory of Criminal Justice Agencies not available for either the court administrator or court agency survey. These segments therefore, do not appear in this table.

**TABLE 4**  
RESPONSE RATES FOR SURVEY SEGMENTS AND SECTORS  
BY LEVEL OF GOVERNMENT<sup>a</sup>

Sector	State	County	City	Town-Ship	City/County Consolidated	Independent Cities	Totals
<b>Large Police</b>							
No. Attempted	49	49	1,155	247	11	21	1,532
No. Completed	41	39	931	173	6	17	1,207
Response Rate	83.7	79.6	80.6	70.0	54.5	81.0	78.8
<b>Small Police</b>							
No. Attempted	-	2	2,206	325	-	5	2,538
No. Completed	-	-	1,332	180	-	3	1,515
Response Rate	-	-	60.4	55.4	-	60.0	59.7
<b>Large Sheriffs</b>							
No. Attempted	14	477	-	-	6	10	507
No. Completed	3	301	-	-	1	4	309
Response Rate	21.4	63.1	-	-	16.7	40.0	60.9
<b>Small Sheriffs</b>							
No. Attempted	-	495	-	-	1	5	501
No. Completed	-	272	-	-	1	3	276
Response Rate	-	54.9	-	-	100.0	60.0	55.1
<b>Prosecutors</b>							
No. Attempted	631	2,232	-	-	18	41	2,922
No. Completed	292	1,023	-	-	13	16	1,344
Response Rate	46.3	45.8	-	-	72.2	39.2	46.0
<b>Defenders</b>							
No. Attempted	232	275	20	3	-	-	530
No. Completed	104	141	6	1	-	-	252
Response Rate	44.8	51.3	30.0	33.3	-	-	47.5
<b>Adult Corrections</b>							
No. Attempted	282	-	-	-	-	4	286
No. Completed	217	-	-	-	-	3	220
Response Rate	77.0	-	-	-	-	75.0	76.9
<b>Juvenile Corrections</b>							
No. Attempted	376	370	6	-	12	35	799
No. Completed	217	-	5	-	8	25	585
Response Rate	70.5	76.2	83.3	-	75.0	71.4	73.2
<b>Probation/Parole</b>							
No. Attempted	1,391	1,487	116	6	-	-	2,985
No. Completed	977	958	72	4	-	-	2,011
Response Rate	70.1	64.4	62.1	66.7	-	-	67.4

<sup>a</sup>Level of government as available from Directory of Criminal Justice Agencies. not available for the court administrators survey. Although available for the court agency survey it was deemed to be irrelevant, therefore these segments do not appear in this table.

TABLE 5  
RESPONSE RATES FOR SURVEY SEGMENTS AND SECTORS  
BY LEAA REGION<sup>a</sup>

Sector	1	2	3	4	5	6	7	8	9	10	Totals
<b>Large Police</b>											
No. Attempted	175	214	139	190	358	129	70	46	173	38	1,532
No. Completed	111	160	117	155	284	103	60	39	147	31	1,207
Response Rate	63.4	74.8	84.2	81.6	79.3	79.8	85.7	84.8	85.0	81.6	78.8
<b>Small Police</b>											
No. Attempted	155	183	302	401	631	296	289	127	53	101	2,538
No. Completed	80	117	198	236	395	158	153	73	38	67	1,515
Response Rate	51.6	63.9	65.6	58.9	62.6	53.4	52.9	57.5	71.7	66.3	59.7
<b>Large Sheriffs</b>											
No. Attempted	20	36	44	98	117	78	21	14	54	25	507
No. Completed	9	20	29	52	82	37	14	9	37	20	309
Response Rate	45.0	55.6	65.9	53.1	70.1	47.4	66.7	64.3	68.5	80	60.9
<b>Small Sheriffs</b>											
No. Attempted	9	4	43	124	71	85	85	60	3	17	501
No. Completed	6	3	23	50	47	32	57	45	2	11	276
Response Rate	66.7	75.0	53.5	40.3	66.2	37.6	67.1	75.0	66.7	64.7	55.1
<b>Prosecutors</b>											
No. Attempted	82	85	295	546	596	417	417	254	96	134	2,922
No. Completed	36	52	136	201	273	165	211	140	56	74	1,344
Response Rate	43.9	61.2	46.1	36.8	45.8	39.6	50.6	55.1	58.3	55.2	46.0
<b>Public Defenders</b>											
No. Attempted	60	42	89	61	105	22	27	30	61	33	530
No. Completed	30	14	39	25	45	12	18	17	36	16	252
Response Rate	50.0	33.3	43.8	41.0	43.0	54.5	66.7	56.7	59.0	48.5	47.5
<b>Adult Corrections</b>											
No. Attempted	21	21	33	87	42	24	15	9	18	16	286
No. Completed	17	11	25	63	36	15	13	8	17	15	220
Response Rate	81.0	52.4	75.8	72.4	85.7	62.5	86.7	88.9	94.4	93.8	76.9
<b>Juvenile Corrections</b>											
No. Attempted	16	79	100	145	144	60	54	31	132	38	799
No. Completed	11	40	71	111	112	39	43	24	105	29	585
Response Rate	68.8	50.6	71.0	76.6	77.8	65.0	79.6	77.4	79.5	76.3	73.2
<b>Probation/Parole</b>											
No. Attempted	200	90	292	499	731	445	251	137	182	158	2,985
No. Completed	129	62	223	324	495	265	161	94	137	111	2,011
Response Rate	64.5	68.9	76.4	64.9	67.7	59.6	64.1	68.6	75.3	70.3	67.4
<b>Court Agencies</b>											
No. Attempted	78	166	283	891	668	615	343	258	106	124	3,532
No. Completed	43	64	140	367	331	234	184	156	54	71	1,644
Response Rate	55.1	38.6	49.5	41.2	49.6	38.0	53.6	60.5	50.9	57.3	46.5

<sup>a</sup>This characteristic was not readily ascertainable in most cases from the court administrator's file. This segment, therefore, does not appear in this table.

conducted simultaneously across the entire criminal justice system, and requesting a very wide range of information. At the same time the study sought, and did collect, three very different types of data through the instruments used in each of these surveys:

- (1) Agency information, including employment, workloads, functions, training activity, personnel policies, salaries, and related data.
- (2) Executive characteristics, including the age, sex, race, education, work history, and prior training of the executive.
- (3) Opinions and attitudes of the agency head on manpower and training needs, personnel policies, and on related topical issues.

Each of these types of data has associated with it specific methodological requirements in question design, and in editing, coding and checking, as well as specific response and validity problems. The project we attempted was a very large one and many unanticipated problems presented themselves throughout the course of the study, as has been described earlier in this report. At the same time, the surveys taken together constitute a benchmark in this type of research. They represent, at present, the best data base available covering criminal justice manpower concerns. As can be seen from Tables 2 through 5 very acceptable response rates were indeed achieved in a number of sectors, or from various types of agencies within sectors. In fact, with the exception of the Census Bureau itself, NMS obtained overall better rates of return from respondents than those reported by any other study which surveyed similar populations which has come to our attention.

The lowest response rates, not surprisingly, are found for the survey questionnaires addressed to respondents in the judicial process sector, particularly for those prosecutor and defender offices with fewer than 10 employees. As

previously stated, it is this sector which, country-wide, is the most diverse in structure, which has the weakest level of administrative support, and which has been surveyed the least, largely as a result of the inherent difficulties connected with such an endeavor. In the case of the courts, the lack of nationally-accepted, standard descriptors, titles, or structure for the courts, as well as the absence of any uniform system of case load statistics, poses almost insurmountable problems for survey researchers. That many of the problems were met and partially solved by NMS will help to smooth the path for any subsequent endeavor along similar lines.

In all surveys, nonresponse raises fundamental questions concerning the quality of the results and, in particular, the extent to which the findings can be generalized to the larger universe from which the respondents were drawn. The primary approach available to the National Manpower Survey to answer the nonresponse bias question was to compare the criminal justice executives who returned completed questionnaires with the original survey population, along certain dimensions. The obvious shortcoming of this procedure is the limited amount of information available for those who did not respond. A less obvious shortcoming is that even if the two groups appear identical with regard to a given variable (their agencies' sizes, for example), we have no basis for asserting that the relationship between size and any other variable known only for the respondents (e.g., critical manpower shortages, hiring policies, scope of training programs, etc.) is identical. Basically, this strategy is somewhat one-sided. That is, if the attempted cases and the cases as completed are not identical on those variables known for both groups, then the results could not be generalized to those who had not returned their questionnaires. If the two groups are essentially identical with regard to a limited number of characteristics, this alone does not provide justification for generalizing beyond actual

completions, although it increases confidence that the respondents are representative of the entire survey and that the nonrespondents may not be significantly different in any systematic way.

Tables 6, 7, and 8 compare the distributions of attempted and achieved cases for each of the executive surveys by agency size, level of government, and LEAA region. As can be seen, these distributions resemble each other closely, lending additional weight to the argument that the nonrespondents are distributed uniformly across all groups and probably do not differ significantly from the respondents in those sectors.

Validation through external data can also be used to assess the quality of survey data, at least to the extent of making judgments as to whether or not they are "in the ball-park." NPA staff analysts have systematically compared and checked the NMS survey data against other national level data where available from Census, FBI, or other sources. In most instances, these comparisons suggested a reasonable degree of consistency. In addition, in analysis of certain of the quantitative responses, such as estimates of manpower needs or turnover rates, weighting procedures by size of agency were used, based on the estimated distribution of all agencies, by number of employees, thus reducing any bias resulting from differential response rates from agencies in different size groups. These weights are shown in Table 9.

Over and above the bias caused by respondents who did not return a questionnaire at all, researchers must be concerned about the problem of item non-response, or the extent to which particular questions were left unanswered in returned questionnaires. As might be expected, the section which was most often answered completely was that dealing with the executive's own background, with missing data ranging from less than 1 percent of the executives in certain sectors, to approximately 5 percent in others. The earlier sections of each questionnaire which deal largely with opinion and attitude items received slightly

TABLE 6

DISTRIBUTION OF ATTEMPTED AND COMPLETED CASES AND COMPLETION RATE  
BY RESPONDENT'S AGENCY SIZE<sup>a</sup> AND SECTOR

Sector	Agency Size <sup>a</sup>						Completion Rate
	1-9	10-49	50-99	100+	Not Available	Base (100%=)	
Large Police Attempted Completed	10.5 9.0	42.5 44.2	22.1 22.4	21.5 20.7	3.4 3.6	1,532 1,207	78.8%
Small Police Attempted Completed	75.4 73.7	11.7 15.2	- -	- -	12.8 11.1	2,538 1,515	59.7%
Large Sheriffs Attempted Completed	- -	59.8 60.2	17.9 19.7	18.9 18.4	3.4 1.6	507 309	60.9%
Small Sheriffs Attempted Completed	99.4 99.3	- -	- -	- -	.6 .7	501 276	55.1%
Court Administrators Attempted Completed	- -	- -	- -	- -	- -	- -	-
Prosecutors Attempted Completed	73.2 71.7	4.7 5.8	.3 .5	.3 .3	21.6 21.6	2,922 1,344	46.0%
Public Defenders Attempted Completed	47.9 44.8	9.6 13.1	- -	- -	42.4 42.1	530 252	47.5%
Adult Corrections Attempted Completed	1.0 .9	12.9 12.3	4.2 4.1	36.7 34.5	45.1 48.2	286 220	76.9%
Juvenile Corrections Attempted Completed	25.7 23.4	37.9 39.8	11.3 12.0	15.4 14.9	9.8 9.9	799 585	73.2%
Probation/Parole Attempted Completed	49.7 46.7	6.7 7.7	.7 .8	.4 .5	42.4 44.2	2,985 2,011	67.4%

<sup>a</sup>Agency size as available from Directory of Criminal Justice Agencies. Not available for either the court administrator or court agency survey. These segments do not appear in this table.

TABLE 7

DISTRIBUTION OF ATTEMPTED AND COMPLETED CASES  
BY LEVEL OF GOVERNMENT AND SECTOR

Sector	Level of Government <sup>a</sup>						
	State	County	City	Town-ship	City/County Consolidated	Independent Cities	Base (100%=)
Large Police Attempted Completed	3.2 3.4	3.2 3.2	75.4 77.2	16.1 14.3	.7 .5	1.4 1.4	1,532 1,207
Small Police Attempted Completed	- -	.1 -	87.0 87.9	12.8 11.9	- -	.2 .2	2,538 1,515
Large Sheriffs Attempted Completed	2.8 1.0	94.1 97.4	- -	- -	1.2 .3	2.0 1.3	507 309
Small Sheriffs Attempted Completed	- -	98.8 98.6	- -	- -	.2 .4	1.0 1.1	501 276
Prosecutors Attempted Completed	21.6 21.7	76.4 76.1	- -	- -	.6 1.0	1.4 1.2	2,922 1,344
Defenders Attempted Completed	43.8 41.3	51.9 56.0	3.8 2.4	.6 .4	- -	- -	530 252
Adult Corrections Attempted Completed	98.6 98.6	- -	- -	- -	- -	1.4 1.4	286 220
Juvenile Corrections Attempted Completed	47.1 45.3	46.3 48.2	0.8 0.9	- -	1.5 1.4	4.4 4.3	799 585
Probation/Parole Attempted Completed	46.7 48.5	49.2 47.6	3.9 3.6	.2 .2	- -	- -	2,985 2,011

<sup>a</sup>Level of Government as available from Directory of Criminal Justice Agencies. Not available for the court administrators survey. Although available for the court agency survey it was deemed to be irrelevant. These segments, therefore, do not appear in this table.

TABLE 8  
DISTRIBUTION OF ATTEMPTED AND COMPLETED CASES  
BY LEAA REGION AND SECTOR

Sector	LEAA Region <sup>a</sup>										Base (100%=)
	1	2	3	4	5	6	7	8	9	10	
Large Police Attempted Completed	11.4 9.2	14.0 13.2	9.1 9.7	12.4 12.8	23.4 23.5	8.4 8.5	4.6 5.0	3.0 3.2	11.3 12.2	2.5 2.6	1,532 1,207
Small Police Attempted Completed	6.1 5.3	7.2 7.7	11.9 13.1	15.8 15.6	24.9 26.1	11.7 10.4	11.4 10.1	5.0 4.8	2.1 2.5	4.0 4.4	2,538 1,515
Large Sheriffs Attempted Completed	3.9 2.9	7.1 6.5	8.7 9.4	19.2 16.8	22.9 26.5	15.2 12.0	4.1 4.5	2.8 2.9	10.7 12.0	4.9 6.5	507 309
Small Sheriffs Attempted Completed	1.8 2.2	.7 1.0	8.6 8.3	24.6 18.1	14.2 17.0	16.8 11.6	17.2 21.0	12.0 16.3	.6 .7	3.4 4.0	501 276
Prosecutors Attempted Completed	2.8 2.7	2.9 3.9	9.8 10.1	18.7 14.9	20.4 20.3	14.3 12.3	14.3 15.7	8.7 10.4	3.3 4.2	4.6 5.5	2,922 1,344
Public Defenders Attempted Completed	11.3 11.9	7.9 5.6	16.8 15.5	11.5 9.9	19.8 17.8	4.2 4.8	5.1 7.1	5.7 6.7	11.5 14.3	6.2 6.3	530 252
Adult Corrections Attempted Completed	7.3 7.7	7.3 5.0	11.5 11.4	30.4 28.6	14.7 16.4	8.4 6.8	5.2 5.9	3.1 3.6	6.3 7.7	5.6 6.8	286 220
Juvenile Corrections Attempted Completed	2.0 1.9	9.9 6.8	12.5 12.1	18.1 19.0	18.0 19.1	7.5 6.7	6.8 7.4	3.9 4.1	16.5 17.9	4.8 5.0	799 585
Probation/ Parole Attempted Completed	6.7 6.4	3.0 3.1	9.8 11.1	16.7 16.6	24.5 24.6	14.9 13.2	8.4 8.0	4.6 4.7	6.1 6.8	5.3 5.5	2,985 2,011
Court Agencies Attempted Completed	2.2 2.6	4.7 3.9	8.0 8.5	25.2 22.3	18.9 20.1	17.4 14.2	9.7 11.2	7.3 9.5	3.0 3.3	3.5 4.3	3,532 1,644

<sup>a</sup>This characteristic was not readily ascertainable in most cases from the court administrator's survey. This segment does not appear in the table.

TABLE 9

ESTIMATED DISTRIBUTION OF EMPLOYMENT BY SIZE GROUP,  
IN SELECTED STATE AND LOCAL CRIMINAL JUSTICE ACTIVITIES,  
1974-75

(Percent Distribution)

Size Groups	Police	Sheriff	Prose- cutor <sup>a</sup>	Defender	Adult Corrections <sup>b</sup>	Juvenile Corrections	Probation and Parole
1,000 +	38.9	14.3	2.9	29.3	37.3	23.3	18.3
400-999	9.7	12.1					17.4
150-399	9.7	11.0	20.8	23.6	40.6	9.4	23.0
75-149	7.3	15.3	17.1		9.4		12.4
25-74	14.0	23.0	17.9	28.6	6.3	25.9	12.5
10-24	14.2	15.4	16.2	23.6	6.4	2.5	7.7
5-9	4.4	6.9	12.3	11.9			4.5
1-4	1.8	2.0	12.8	6.6			4.2
TOTAL	100.0	100.0	100.0	100.0	100.0	100.0	100.0

<sup>a</sup>State and County only.

<sup>b</sup>State only.

Sources: See following page for data sources.

SOURCES OF DATA FOR EMPLOYMENT DISTRIBUTIONS  
BY SIZE OF AGENCY \*

Police and Sheriffs Agencies

1. Agencies with 150 Employees or More

U.S. Department of Justice, Federal Bureau of Investigation, Uniform Crime Reports, 1974.

U.S. Department of Justice, LEAA, Expenditures and Employment Data for the Criminal Justice System, 1973-74.

International Association of Chiefs of Police, Comparative Data Report, 1974.

2. Agencies with fewer than 150 Employees

NMS survey data. The aggregate of reported employment in each size group was adjusted for sampling ration and nonresponse.

Prosecutors, Indigent Defense, Juvenile Corrections

NMS survey data. The aggregate of reported employment in each size group was adjusted for nonresponse.

State Adult Corrections

A special tabulation of the 1974 Census of State Corrections provided employment by size group for NMS size groups.

Probation and Parole

U.S. Department of Justice, LEAA, National Council on Crime and Delinquency, Probation and Parole Directory 1976, and average ratio of probation and parole officers to total employment from the NMS survey.

\* Estimates by National Planning Association.

less attention from the respondents; item nonresponse ranged from 1 percent to 9 percent with 3.5 - 5.5 percent nonresponse representing the modal interval. As anticipated, the highest levels of nonresponse occurred in the final section of each instrument, the "Office Fact Sheet." Table 10 presents nonresponse rates--showing this general pattern--for selected items by sector. The questionnaires in Appendix A show the number of respondents answering each question, so that a more thorough picture of the extent of item nonresponse can be obtained through a study of these instruments.

A problem related to item nonresponse, which can only be touched upon at this juncture, deals with consistency among related quantitative measures. As noted earlier, answers to questions dealing with parts of totals tended not to balance. It is quite possible that our instructions to the respondents on how to fill out the questionnaire were not sufficiently precise to clearly spell out to them the requirements of this task. It is also likely that agency records were often incomplete or incorrect, or that different staff members filled out separate components of the instrument. In addition, human error and carelessness undoubtedly played a role in these discrepancies, as did respondent unwillingness to comply with reporting requirements entailing additional workload. As previously noted, the only absolute basis upon which these answers could have been brought into consistency would have required recontacting almost 80 percent of all respondents to get a clarification of one or more items. This would have required resources well beyond those available, and would have imposed a further severe burden on the respondents. As a general caution, certain data--such as staff to workload ratios--must be interpreted with considerable care, since these may not be adequately representative of the true "universe" of agencies which were surveyed.

Throughout this series of NMS reports percentages based on the same questions, when presented in tabular form, may vary slightly from those shown in

TABLE 10  
PERCENTAGE OF RESPONDENTS FAILING TO ANSWER  
SELECTED QUESTIONS BY SURVEY GROUP

SURVEY GROUP	Selected Questions			
	Respondents' Educational Attainment	Rank of Organization Size as a Manpower Problem	Number of Basic Line Positions	Total Agency Budget
Chiefs of Large Departments	2%	4%	6%	12%
Chiefs of Small Departments	4%	11%	18%	
Sheriffs with Large Departments	4%	4%	11%	9%
Sheriffs with Small Departments	3%	8%	9%	15%
Chief Prosecutors	2% <sup>a</sup>	8%	33% <sup>b</sup>	11%
Chief Defenders	2% <sup>a</sup>	5%	28% <sup>b</sup>	21%
Wardens of Adult Correctional Facilities	1%	5%	7%	16%
Directors of Juvenile Corrections Facilities	1%	8%	6%	10%
Chief Probation/Parole Officers	1%	6%	29%	33% <sup>c</sup>

<sup>a</sup> "Method of Selection" rather than "Educational Attainment" used as illustrative item for these two samples.

<sup>b</sup> Due to the large numbers of one-person offices in this sector, the non-response rate is based upon the item requesting the combined number of chiefs and deputy chiefs rather than line positions.

<sup>c</sup> High nonresponse is probably due to the fact that many probation or parole units are not separate "agencies" for budget or payroll purposes.

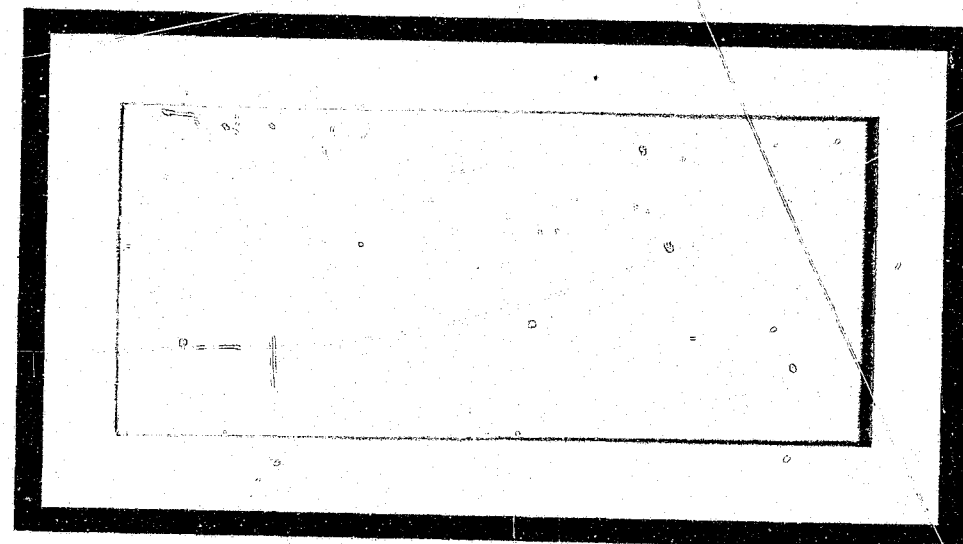
the questionnaires themselves. This variation is due to a slightly different handling of the "no answer" and occasionally, the "don't know" categories, which may have been deleted from the percentage base when appropriate.

Marginals usually are not shown for questions appearing in the early sections of the questionnaires which asked for numerical data. The numerical data appear in the final section of each instrument, in the set of questions which is referred to as the "Agency Fact Sheet." The data presented in this section are given in means ( $\bar{x}$ ), with the number of respondents (n) also being shown.

Throughout the questionnaires the number of respondents giving answers to open-ended questions is omitted. A useful tool for the reader is the code book for the open questions, which appears immediately following the last questionnaire in Appendix A. By means of the code book the entire range of answers given for each of the open-ended questions can be studied.

43359

PART 2 of 2



Aspen Systems Corporation



NATIONAL  
PLANNING  
ASSOCIATION

A NATIONWIDE SURVEY OF  
LAW ENFORCEMENT CRIMINAL JUSTICE  
PERSONNEL NEEDS AND RESOURCES

VOLUME VII - PART 2 of 2

THE SURVEY RESEARCH PROGRAM:  
PROCEDURES AND RESULTS

FINAL REPORT

Prepared for  
Department of Justice  
Law Enforcement Assistance Administration  
by  
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Washington, D. C.

Under Contract No. J-LEAA-035-74

September 30, 1976

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PART 2.

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APPENDIX A

NMS QUESTIONNAIRES AND SUMMARY DATA

APPENDIX A

This appendix includes all the NMS questionnaires employed in the surveys of law enforcement and criminal justice executives and of general and appellate courts. Also included, as marginal entries, are the number of responses and distribution of responses to each question. The distribution of responses are normally shown in percentage form, with the exception of certain numerical items, such as number of employees, caseloads, budgets, and salaries, for which mean values are shown as appropriate.

The reader is cautioned that the percentages and mean values shown in these "marginals" are "raw" unweighted data, prior to certain types of editing conducted in the more detailed analyses of these responses, and to use of statistical weighting procedures, where appropriate. For this reason, these marginal percentages or means may differ from those presented in other NMS reports. Among typical variations are differences in handling of the "no answer" or "don't know" categories for purposes of deriving percentage distributions. In other instances, differences may result from supplemental machine or manual editing of the responses.

QID No.: 043-575032  
 Approval Expires: July 31, 1976  
 LZAA No.: 3600-1  
 BSSR No.: 46710

Manpower Issues

1. How serious do you think each of the following manpower problems is in your department? Please rank them, using "1" for the most serious problem, "2" for the next most serious, and so on.

	Model Rank	Percent Responding Most Serious
a. Inadequate number of authorized positions . . . . .	1	59%
b. Inability to achieve or maintain authorized strength . . . . .	2	23
c. High (excessive) turnover . . . . .	4/5	5
d. Inadequate training of personnel . . . . .	3	13
e. Inadequate representation of minorities or women on force . . . . .		11
f. Other (please specify) . . . . .	6	39

(n varies: 1021-1112)

2. What do you feel is the major factor contributing to the manpower problem you ranked "most serious" (i.e., ranked "1") in Q. 1?

General lack of qualified applicants . . . . .	72
Lack of qualified minority or female applicants . . . . .	7
Inadequate levels of compensation . . . . .	6
Insufficient funds for training . . . . .	5
General budgetary problems . . . . .	66
Limited opportunities for advancement . . . . .	2
Other (please specify) . . . . .	4
No problem . . . . .	2

(n=1102)

VII-47

APPENDIX  
 LARGE POLICE

VII-48

3. Does your department currently have a critical manpower shortage in any of the following personnel categories? (Please circle all that apply.)
- Traffic:
- a. Basic officers (sworn nonsupervisory personnel assigned primarily to traffic control duties) . . . . . 31%
  - b. Officer supervisors (lowest level supervisors assigned primarily to traffic control duties) . . . . . 8
- Patrol:
- a. Basic officers (sworn nonsupervisory personnel assigned primarily to patrol duties) . . . . . 56
  - d. Patrol supervisors (lowest level supervisors including sergeants and corporals assigned primarily to patrol duties) . . . 14
- Investigations:
- a. Basic detectives and investigators (sworn nonsupervisory personnel assigned to criminal investigations) . . . . . 42
  - f. Detective supervisors (lowest level investigator supervisors) . . . 8
- Other:
- g. All other basic sworn officers (those NOT assigned primarily to patrol, traffic, or investigative functions) . . . . . 14
  - h. All other sworn first-line supervisors (those NOT assigned primarily to patrol, traffic, or investigative functions) . . . . . 4
  - i. Middle managers (sworn officers above the rank of sergeant, but below the rank of assistant or deputy chief) . . . . . 12
  - j. Chief, assistant or deputy chiefs, and so on . . . . . 5
  - k. Professional and technical nonsworn personnel . . . . . 24
  - l. Other nonsworn personnel . . . . . 16
  - m. NO CRITICAL SHORTAGES IN ANY OF THE ABOVE CATEGORIES . . . . . 25
- (n=1208)

4. During the three years before the current recession (i.e., the years 1971-1974), how serious a problem were voluntary resignations among your basic and supervisory sworn officers?
- Critical problem . . . . . 2%
  - Serious problem . . . . . 9
  - Moderate problem . . . . . 18
  - Slight problem . . . . . 23
  - No problem at all . . . . . 49
- (n=1196)
5. During the three years before the current recession (i.e., the years 1971-1974), did your department have an adequate supply of qualified applicants for the basic sworn-officer position?
- No . . . . . 26%
  - Yes . . . . . 74
- (n=1195)
6. What was this department's employment in each of the following categories on June 30, 1975?
- a. Number of sworn personnel . . . . .
  - b. Number of nonsworn personnel . . . . .
7. In your judgment, how many employees in each of the following categories would you need to fulfill effectively all the duties and responsibilities with which your department is charged?
- a. Total number of sworn personnel . . . . .
  - b. Total number of nonsworn personnel . . . . .
8. How many employees do you actually expect to have on the payroll by June 30, 1976?
- a. Number of sworn personnel . . . . .
  - b. Number of nonsworn personnel . . . . .

# Entry Level Standards

9. Based upon your experience as an administrator, what do you think is the minimum education a sworn officer should have prior to joining your department?

Less than high school diploma. . . . .	0%
High school diploma. . . . .	59
1 year of college. . . . .	11
2 or 3 years of college. . . . .	26
Bachelor's degree. . . . .	3
Education requirement not relevant to the job. . . . .	1

(n=1204)

10. What is the minimum education now required of new sworn officers by your department?

No minimum required. . . . .	2%
Less than high school diploma. . . . .	2
High school diploma. . . . .	87
1 year of college. . . . .	2
2 or 3 years of college. . . . .	6
Bachelor's degree. . . . .	0
Other (please specify): . . . . .	0

(n=1203)

11. What is the probability that a higher minimum education standard will be adopted by your department within the next two years?

Will almost certainly be adopted. . . . .	4%
Will probably be adopted. . . . .	16
Will probably <u>NOT</u> be adopted. . . . .	60
Will almost certainly <u>NOT</u> be adopted. . . . .	20

(n=1201)

12. Physical entry standards have been challenged on the grounds that they discriminate against women and minority groups. Have you had to deal with this issue? If so, have the standards at your department been affected?

NO, the issue has not come up . . . . . 52%

YES, the issue has come up,

but it has not yet been resolved. . . . . 8

and the physical entry standards have been revised. . . . . 35

but the physical entry standards have NOT been revised. . . . . 4

OTHER (please specify): . . . . . 1

(n=1184)

## Formal Entry Level Training

13. How many hours of formal (i.e., other than on-the-job) entry level training are currently provided to your new recruits? (If none, please enter "0.")

Number of hours: \_\_\_\_\_

IF YOU ENTERED "0" IN Q. 13, PLEASE ANSWER Q. 14. OTHERWISE, PLEASE SKIP TO Q. 15.

14. Do you expect to begin providing any formal entry level training for your new sworn officers within the next two years?

Yes, definitely. . . .	27%
Yes, probably. . . .	30
Probably not . . . .	21
Definitely not . . . .	0
Don't know . . . .	21

IF YOU ANSWERED Q. 14, PLEASE SKIP TO Q. 21. (n=33)

15. Is formal entry level training provided to every new recruit?

Yes. . . . .	91%
No, not provided to recruits with prior police experience. . . .	6
No, other (please explain): . . . . .	3

(n=1109)

16. Where do your new recruits take their formal entry level training? (Please circle all that apply.)

a. Within the department . . . . .	17%
b. At the department's academy . . . . .	14
c. At a local educational institution. . . . .	10
d. At another department's academy . . . . .	11
e. At a regional training academy. . . . .	36
f. At a state training academy . . . . .	35
g. Other (please specify): . . . . .	1

(n=1208)

17. Where will your new recruits probably take their formal entry level training two years from now? (Please circle all that apply.)

a. Within the department. . . . .	15%
b. At the department's academy. . . . .	14
c. At a local educational institution . . . . .	9
d. At another department's academy. . . . .	9
e. At a regional training academy . . . . .	39
f. At a state training academy. . . . .	34
g. Other (please specify): . . . . .	1

(n=1208)

18. Has the length of formal entry level training provided to your new recruits changed in the past five years?

No, length unchanged . . . . .	13%
Yes, length increased. . . . .	85
Yes, length decreased. . . . .	2

(n=1119)

19. Do you expect that the length of formal entry level training provided to your new recruits will be changed during the next two years?

No, no change expected. . . . .	32%
Yes, length expected to increase. . . . .	53
Yes, length expected to decrease. . . . .	1
Don't know. . . . .	14

(n=1123)

20. Which of the following areas are covered in the formal entry level training provided to your new recruits? (Please circle all that apply.)

a. Departmental policies and procedures. . . . .	66%
b. Weapons policy. . . . .	79
c. Weapons training. . . . .	93
d. Criminal law and legal procedures. . . . .	92
e. Criminal evidence and investigative procedures. . . . .	91
f. Preventive patrol techniques. . . . .	90
g. Traffic control. . . . .	91
h. Accident investigation. . . . .	92
i. First aid and emergency medical treatment. . . . .	89
j. Report writing and preparation. . . . .	91
k. Community and race relations. . . . .	85
l. Crisis intervention and domestic dispute settlement. . . . .	77
m. Physical training and self-defense. . . . .	87
n. Juvenile policies and procedures. . . . .	84
o. Other (please specify): . . . . .	13
	(n=1208)

VII-51

21. How much emphasis in formal entry level training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures. . . . .	78%	17	5	(n=1148)
b. Weapons policy. . . . .	89	9	2	(n=1169)
c. Weapons training. . . . .	84	16	0	(n=1191)
d. Criminal law and legal procedures. . . . .	85	15	0	(n=1195)
e. Criminal evidence and investigative procedures. . . . .	74	25	1	(n=1191)
f. Preventive patrol techniques. . . . .	73	26	1	(n=1191)
g. Traffic control. . . . .	42	53	5	(n=1195)
h. Accident investigation. . . . .	52	45	3	(n=1193)
i. First aid and emergency medical treatment. . . . .	55	39	6	(n=1191)
j. Report writing and preparation. . . . .	83	17	0	(n=1196)
k. Community and race relations. . . . .	62	35	3	(n=1196)
l. Crisis intervention and domestic dispute settlement. . . . .	63	34	4	(n=1192)
m. Physical training and self-defense. . . . .	53	43	4	(n=1195)
n. Juvenile policies and procedures. . . . .	52	44	4	(n=1195)
o. Other (please specify): . . . . .	80	18	2	(n=96)

**In-Service Training**

22. Does your department provide formal in-service training other than roll-call training to your experienced basic sworn officers?

No . . . 14%  
Yes . . . 86  
(n=1203)

IF YOU ANSWERED "YES" TO Q. 22, PLEASE ANSWER Q.23-26.  
OTHERWISE, PLEASE SKIP TO Q. 27.

23. Approximately how many of your experienced basic sworn officers attended formal in-service training during the last fiscal year?

Numbers: \_\_\_\_\_

24. For those experienced basic sworn officers who attended formal in-service training during the last fiscal year, approximately what was the average length of training in hours?

Average hours: \_\_\_\_\_

25. Where do your experienced basic sworn officers take their formal in-service training? (Please circle all that apply.)

- a. Within the department. . . . . 62%
- b. At the department's academy. . . . . 17
- c. At a local educational institution . . . . . 38
- d. At another department's academy. . . . . 16
- e. At a regional training academy . . . . . 35
- f. At a state training academy. . . . . 40
- g. Other (please specify): . . . . . 10

(n=1034)

26. Which of the following areas are covered in formal in-service training? (Please circle all that apply.)

- a. Departmental policies and procedures. . . . . 66%
- b. Weapons policy. . . . . 65
- c. Weapons training. . . . . 82
- d. Criminal law and legal procedures . . . . . 82
- e. Criminal evidence and investigative procedures. . . . . 79
- f. Preventive patrol techniques. . . . . 56
- g. Traffic control . . . . . 48
- h. Accident investigation. . . . . 63
- i. First aid and emergency medical treatment . . . . . 59
- j. Report writing and preparation. . . . . 63
- k. Community and race relations. . . . . 63
- l. Crisis intervention and domestic dispute settlement. . . . . 57
- m. Physical training and self-defense. . . . . 38
- n. Juvenile policies and procedures. . . . . 61
- o. Other (please specify): . . . . . 14

(n=1034)

VII-52.

27. How much emphasis in formal in-service training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures. . . .	71%	25	4	(n=1170)
b. Weapons policy. . . . .	78%	20	3	(n=1160)
c. Weapons training. . . . .	71	25	3	(n=1167)
d. Criminal law and legal procedures. . . . .	76	23	1	(n=1176)
e. Criminal evidence and investigative procedures. . . . .	72	26	2	(n=1174)
f. Preventive patrol techniques. . . . .	61	36	4	(n=1165)
g. Traffic control. . . . .	32	54	15	(n=1152)
h. Accident investigation. . . . .	41	52	8	(n=1164)
i. First aid and emergency medical treatment. . . . .	44	43	13	(n=1156)
j. Report writing and preparation. . . . .	71	26	3	
k. Community and race relations. . . . .	57	39	4	(n=1165)
l. Crisis intervention and domestic dispute settlement. . . . .	59	36	5	(n=1161)
m. Physical training and self-defense. . . . .	36	50	13	(n=1147)
n. Juvenile policies and procedures. . . . .	47	47	6	(n=1161)
o. Other (please specify): . . . . .	80	19	1	(n=70)

VII-35

28. Within the next two years, do you expect a change in the formal in-service training provided for your basic sworn officers?

Will begin in-service training . . . .	82
Will increase it . . . . .	62
Will leave it unchanged. . . . .	27
Will decrease it . . . . .	1
Will terminate in-service training . .	0
In-service training is not now provided nor will it be begun. . . .	1
	(n=1197)

29. Approximately how many of your officers have graduated from the following training programs? (If none, please enter "0.")

- a. FBI National Academy program . . . . .
- b. Northwestern University Traffic  
Institute (long course). . . . .
- c. Southern Police Institute. . . . .

30. Approximately how many of your officers do you expect to send to each of the following training programs within the next two years? (If none, please enter "0.")

- a. FBI National Academy program . . . . .
- b. Northwestern University Traffic  
Institute (long course). . . . .
- c. Southern Police Institute. . . . .

IF NEITHER FORMAL ENTRY-LEVEL NOR FORMAL IN-SERVICE TRAINING IS PROVIDED TO YOUR SWORN OFFICERS, PLEASE SKIP TO Q. 33. OTHERWISE, PLEASE CONTINUE.

31. In your opinion, to what extent is each of the following factors a limitation on the overall effectiveness of training in your department?

	Serious Limitation	Moderate Limitation	Not a Limitation	
a. Workload frequently prevents release of officers for training . . . . .	60%	33	7	(n=1114)
b. Workload frequently prevents release of senior staff to provide training. .	33	46	23	(n=1051)
c. Inadequate training budget . . . . .	42	34	24	(n=1064)
d. Necessary training resources are not available locally. . . . .	16	28	56	(n=1000)
e. Other (please specify:)	7%	16	10	(n=49)

32. On the whole, how satisfied are you with all aspects of training in your department?

Extremely satisfied . . . . .	4%
Very satisfied. . . . .	15
Satisfied . . . . .	46
Dissatisfied. . . . .	31
Very dissatisfied . . . . .	3
Extremely dissatisfied. . .	2
	(n=1137)

Continuing Academic Education

33. Based upon your experience with officers who have earned college degrees and those who have not, please indicate how you would rate the two groups on each of the following:

a. Which group as a whole performs better on patrol?	
College educated officers . . . . .	27%
Noncollege educated officers. . . . .	18
No difference . . . . .	42
Don't know. . . . .	13
	(n=1182)
b. Which group on the average deals with juveniles better?	
College educated officers . . . . .	43%
Noncollege educated officers. . . . .	10
No difference . . . . .	34
Don't know. . . . .	13
	(n=1185)
c. Which group deals with citizens better?	
College educated officers . . . . .	42%
Noncollege educated officers. . . . .	10
No difference . . . . .	38
Don't know. . . . .	10
	(n=1184)
d. Which group on the average makes better quality arrests?	
College educated officers . . . . .	29%
Noncollege educated officers. . . . .	11
No difference . . . . .	49
Don't know. . . . .	11
	(n=1180)
e. Which group handles paper work better?	
College educated officers . . . . .	71%
Noncollege educated officers. . . . .	4
No difference . . . . .	20
Don't know. . . . .	6
	(n=1185)
f. Which group tends to be promoted more quickly?	
College educated officers . . . . .	48%
Noncollege educated officers. . . . .	6
No difference . . . . .	36
Don't know. . . . .	9
	(n=1185)

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g. Which group generates more citizen complaints?

College educated officers . . . . .	11%
Noncollege educated officers . . . . .	26
No difference . . . . .	48
Don't know . . . . .	15

(n=1183)

h. Which group as a whole are better officers?

College educated officers . . . . .	39%
Noncollege educated officers . . . . .	12
No difference . . . . .	36
Don't know . . . . .	13

(n=1179)

36. In your judgment, should your department encourage basic sworn officers to pursue a college degree program once they have begun their law enforcement careers?

Should strongly encourage . . . . .	49%
Should encourage . . . . .	46
Should discourage . . . . .	0
Is not a matter for the department to take a stand on . . . . .	5

(n=1198)

35. Please rank the following five policies in order of how effective you think they would be in encouraging police officers to continue their academic education.

	MODAL RANK	Percent Responding Most Effective
a. Adjusting schedules to facilitate class attendance . . . . .	_____	17%
b. Allowing time off to attend class . . . . .	4/5	12
c. Departmental subsidies for books and tuition . . . . .	3	11
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	1	52
e. Using academic education as part of the basis for promotions . . . . .	2	17

(n varies 1098-1163)

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36. Which, if any, of the following policies has your department ever adopted?

	Adopted and Continued	Adopted But Later Terminated	Never Adopted By the Department	
a. Adjusting schedules to facilitate class attendance . . . . .	68%	10	22	(n=1149)
b. Allowing time off to attend class . . . . .	26	10	64	(n=1098)
c. Departmental subsidies for books and tuition . . . . .	47	9	43	(n=1114)
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	46	2	52	(n=1135)
e. Using academic education as part of the basis for promotions . . . . .	27	2	71	(n=1103)

Pay and Promotion Policies

37. Increased pay based on college credit and/or degrees has been challenged as discriminatory against officers with comparable assignments but less academic education. Has this become an issue for your department? If so, has the policy at your department been affected?

NO, the issue has not come up . . . . .	82%
YES, the issue has come up, but it has not yet been resolved . . . . .	8
and the education-linked pay policy has been revised . . . . .	2
but the education-linked pay policy has NOT been revised . . . . .	6
Other (please specify) . . . . .	2

(n=1189)

VII-55

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38. Promotion preference based on college credit and/or degree has been challenged as discriminatory against officers with comparable assignments but less academic education. Has this become an issue for your department? If so, has the policy at your department been affected?

NO, the issue has not come up . . . . .	90%
YES, the issue has come up, . . . . .	10%
but it has not yet been resolved. . . . .	4
and the education-linked promotion policy has been revised. . . . .	2
but the education-linked promotion policy has <u>NOT</u> been revised. . . . .	3
Other (please specify) . . . . .	2
	(n=1185)

VII-56

39. In your opinion, what is the minimum academic education that should be required of officers prior to promotion to sergeant or first supervisory level?

No minimum requirement . . . . .	4%
Some high school . . . . .	1
High school diploma . . . . .	42
1 year of college . . . . .	16
2 or 3 years of college . . . . .	33
Bachelor's degree . . . . .	4
Other (please specify) . . . . .	0
	(n=1198)

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40. In your judgment, should officers be required to take a special course in supervisory techniques either prior to being considered for their first promotion or immediately following their first promotion to a supervisory level?

No, should not be required. . . . .	4%
Yes, should be required prior to being considered for promotion. . . . .	32
Yes, should be required immediately following promotion . . . . .	65
	(n=1201)

41. Do you currently require that a special course for supervisors be completed?

No. . . . .	46%
Yes, prior to being considered for promotion . . . . .	5
Yes, immediately following promotion. . . . .	49
	(n=1204)

Operations and Manpower Requirements

42. Police department operations vary from jurisdiction to jurisdiction. For each of the following activities, please indicate whether it is performed by your department, and how you expect it to change in terms of manpower requirements within the next two years. (For each activity, please circle the number which best indicates your expectations.)

	Activity Is Performed and Manpower Will:			Activity Is NOT Performed,		
	Increase	Stay about the Same	Decrease	and probably will NOT be added during the next 2 years	but probably will be added during the next 2 years	
a. Patrol . . . . .	54%	44	2	0	0	(n=1191)
b. Crime investigation . . . . .	49	48	1	1	0	(n=1186)
c. Crime laboratory, identification and fingerprinting . . . . .	25	52	1	19	3	(n=1170)
d. Lockup and/or jail . . . . .	15	50	7	26	2	(n=1154)
e. Communications and dispatching . . . . .	44	50	3	3	1	(n=1184)
f. Traffic control . . . . .	33	65	4	1	0	(n=1181)
g. Accident investigation . . . . .	32	65	2	1	0	(n=1184)
h. Parking meter checking and collection . . . . .	4	38	10	46	1	(n=1133)
i. Juvenile services . . . . .	42	49	1	6	1	(n=1178)
j. Data processing . . . . .	35	23	1	29	13	(n=1150)
k. Administrative services and general management . . . . .	35	62	1	2	0	(n=1179)
l. Gun registration . . . . .	11	44	2	41	3	(n=1150)
m. School crossing guards . . . . .	15	61	3	20	1	(n=1175)
n. Responding to calls for service for noncriminal matters . . . . .	41	50	8	1	0	(n=1188)
o. Other (please specify): . . . . .	50	50	0	0	0	(n=24)

VII-57

43. Various studies have found that a large proportion of most police officers' time is spent on noncriminal matters, such as intervening in family crises, settling disputes between neighbors, and the like. As far as your department is concerned, would you prefer that other agencies take over these noncriminal matters, or that the police department continue its current role?

Shift noncriminal matters to other agencies. . . . . 46%  
 Have police department continue current role . . . . . 54  
 (n=1199)

44. Does the handling of noncriminal matters require any specialized training in (for example) social work, crisis intervention, or conflict resolution techniques?

Yes, requires substantial specialized training. . . . . 26%  
 Yes, requires some specialized training . . . . . 62  
 No, on-the-job experience is sufficient . . . . . 12  
 No, subject is not suitable for training. . . . . 0  
 (n=1199)

45. For each of the following offenses, please indicate if the number of arrests has changed significantly due to CHANGES in ARREST POLICIES in your jurisdiction (e.g., by local executive order; departmental policy; or prosecutorial, judicial, or legislative action) during the past five years.

	Arrest Policies Unchanged During Past Five Years	Changes in Arrest Policies Have:			
		Not			
		Decreased	Changed	Increased	
		Arrests	Arrests	Arrests	
a. Public intoxication. . . . .	36%	48	8	8	(n=1154)
b. Possession of small amounts of marijuana. . . . .	34	35	13	18	(n=1163)
c. Prostitution. . . . .	60	13	21	7	(n=1144)
d. Homosexual acts between consenting adults. . . . .	53	24	22	1	(n=1144)
e. Selling pornographic material. . . . .	44	2	19	9	(n=1151)
f. Gambling. . . . .	55	16	20	8	(n=1148)

IF ARRESTS HAVE CHANGED DUE TO CHANGED ARREST POLICIES FOR ANY OF THESE OFFENSES, PLEASE ANSWER Q. 46. OTHERWISE, PLEASE SKIP TO Q. 47.

46. For each offense for which you reported a change in arrests in Q. 45, how has the change affected your manpower requirements?

	Increased Manpower Requirements	Not Affected Manpower Requirements		Decreased Manpower Requirements	
a. Public intoxication. . . . .	8%	85	7		(n=605)
b. Possession of small amounts of marijuana. . . . .	19	77	3		(n=576)
c. Prostitution. . . . .	13	82	5		(n=202)
d. Homosexual acts between consenting adults. . . . .	2	90	8		(n=272)
e. Selling pornographic material. . . . .	6	88	6		(n=405)
f. Gambling. . . . .	21	74	4		(n=262)

47. In which of the following areas do you expect the nonsworn share of manpower to change within the next two years?

	Nonsworn Share of Manpower Will:			
	Increase	Change	Decrease	
a. Patrol. . . . .	13	86	1	(n=931)
b. Crime investigation. . . . .	14	86	0	(n=931)
c. Crime laboratory, identification and fingerprinting. . . . .	34	66	1	(n=947)
d. Lockup and/or jail. . . . .	23	74	3	(n=953)
e. Communications and dispatching. . . . .	59	39	2	(n=1100)
f. Traffic control. . . . .	17	82	1	(n=982)
g. Accident investigation. . . . .	10	89	1	(n=972)
h. Parking meter checking and collection. . . . .	21	71	8	(n=919)
i. Juvenile services. . . . .	27	73	1	(n=989)
j. Training. . . . .	29	70	1	(n=993)
k. Data processing. . . . .	56	43	2	(n=1017)
l. Administrative services. . . . .	45	54	1	(n=1039)
m. Gun registration. . . . .	15	84	2	(n=910)
n. Crossing guards. . . . .	32	64	4	(n=1016)
o. Responding to calls for service for noncriminal matters. . . . .	27	70	3	(n=979)
p. Other (please specify): . . . . .	54	42	4	(n=25)

48. For your department as a whole, how do you expect the nonsworn share of your manpower to change over the next two years?

No change expected. . . . .	30%
Nonsworn share of manpower will increase. . . . .	67
Nonsworn share of manpower will decrease. . . . .	3
	(n=1186)

Team Policing

49. Has your department adopted, or do you plan to adopt, a team policing approach?

(The term "team policing" refers to the decentralization of police into neighborhood units consisting of patrolmen and investigators who are responsible for maintaining high levels of civilian contact and for the provision of most police services in that small geographic area.)

YES.

Adopted throughout jurisdiction . . . . .	6%
Adopted on a pilot project basis only . . . . .	6
Adopted but discontinued . . . . .	2

NO,

But plan to adopt it in the next two years throughout the jurisdiction . . . . .	3%
But plan to try it out as a pilot project in the next two years . . . . .	14
And not now planning to try it in the next two years . . . . .	70

(n=159)

IF YOUR DEPARTMENT NOW USES TEAM POLICING, PLEASE ANSWER Q. 50-52.  
OTHERWISE, PLEASE SKIP TO Q. 53.

50. In your opinion, has the adoption of team policing changed your department's effectiveness?

Substantial increase in effectiveness . . . . .	23%
Moderate increase in effectiveness . . . . .	49
Little or no change in effectiveness . . . . .	15
Moderate decrease in effectiveness . . . . .	2
Substantial decrease in effectiveness . . . . .	0

(n=131)

51. Does the racial/ethnic composition of the neighborhood patrol teams reflect the racial/ethnic composition of the area patrolled?

No . . . . .	45%
Yes . . . . .	34
Don't know . . . . .	8

(n=131)

52. What do you consider to be the primary benefits of team policing? (Please circle all that apply.)

a. More efficient deployment of manpower . . . . .	50%
b. Better coverage of patrol areas . . . . .	49
c. Greater visibility to the public . . . . .	36
d. Improved officer morale . . . . .	36
e. Improved police-community relations . . . . .	70
f. Other (please specify: ) . . . . .	3

g. None . . . . .	4
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(n=131)

Consolidation of Departments

53. A recent policy study has proposed that all police departments with fewer than ten sworn positions be merged with other departments, and the police services they formerly provided be contracted out to a larger department. In general, would you support consolidation as a more efficient and effective way of providing police services?

Yes, would strongly support . . . . .	30%
Yes, would moderately support . . . . .	20
Would neither support nor oppose . . . . .	20
No, would moderately oppose . . . . .	7
No, would strongly oppose . . . . .	20
Other (please specify: ) . . . . .	3

(n=173)

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34. How many police departments with fewer than 10 sworn officers currently exist in your immediate geographical area?

Number of Departments: \_\_\_\_\_

IF YOU ANSWERED AT LEAST "1" IN Q. 34, PLEASE ANSWER Q. 35.  
OTHERWISE, PLEASE SKIP TO Q. 36.

35. To how many of these departments would you be willing to provide service on a contractual basis?

Number: \_\_\_\_\_

36. Does your department provide any police services on a contractual basis to other jurisdictions?

No . . . 87%  
Yes . . . 13  
(n=1171)

IF YOU ANSWERED "YES" TO Q. 36, PLEASE ANSWER Q. 37. IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 40.

37. Please list the number of jurisdictions served by your department on a contract basis, both currently and two years ago, for each of the functions listed below. (Please enter "0" for those services NOT provided on a contract basis.)

Number of Jurisdictions Served:

Currently Two Years Ago

a. Complete police services.....  
Specific police services:  
b. Communications and dispatching.....  
c. Crime laboratory services.....  
d. Crime scene analysis.....  
e. Lock-up facilities.....  
f. Training.....  
g. Other (please specify).....

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# Police Chief's Position and Background

38. Every Police Chief has particular duties and responsibilities which confront him with especially difficult decisions and problems. Based on your personal experience, please select the three areas in which such decisions and problems most often come up, and rank them, starting with "1" for the area in which they come up the most often.

	Model Rank Three Choices Only	Percent Responding Most Often
a. Operational field activities (patrol, investigation, field supervision).....	_____	40%
b. Budget and fiscal management (preparing budgets, estimating costs, day-to-day fiscal decisions, budget hearings and so on).....	_____	38
c. Personnel management (discipline, employee and personnel matters, union bargaining).....	1	48
d. Planning and evaluation (setting goals and reviewing agency performance against objectives).....	_____	30
e. Dealing with other criminal justice agencies (judges, prosecutors, defenders, sheriffs, correctional and probation officers, and so on).....	_____	24
f. Dealing with the public (giving speeches to citizens' groups, citizen contact, and so on).....	_____	27
g. Dealing with the news media (giving information, press conferences, and answering questions for newspapers, radio, and television).....	2/3	15
h. Dealing with local officials (correspondence and meetings with county executive, mayor, city manager, city council, and so on).....	2	33
i. Dealing with state officials (correspondence and meetings with governor, state commissions, legislators, and so on).....	_____	26
j. Other duties and responsibilities (please specify).....	_____	

(n varies 12-237)

09-11A

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39. Based upon your experience, what kinds of special courses, workshops, training sessions or seminars would you recommend as especially useful for your successors to take? (Please circle all that apply.)

a. Police administration . . . . .	95%
b. Personnel management . . . . .	94
c. Labor relations/collective bargaining . .	74
d. Law enforcement budgeting/ planning and evaluation . . . . .	93
e. Applied criminology . . . . .	20
f. Criminalistics . . . . .	16
g. Criminal law/criminal procedure . . . .	43
h. Police intelligence . . . . .	40
i. Riot and crowd control . . . . .	30
j. Hostage negotiation . . . . .	35
k. Crisis intervention . . . . .	29
l. Drugs . . . . .	22
m. Race/ethnic relations . . . . .	56
n. Organized crime . . . . .	41
o. Community relations . . . . .	83
p. Other (please specify) . . . . .	41
q. None . . . . .	0

(n=1208)

VII-11

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40. In which of the following areas have you had special courses, workshops, training sessions or seminars? (Please circle all that apply.)

a. Police administration . . . . .	92%
b. Personnel management . . . . .	87
c. Labor relations/collective bargaining . .	60
d. Law enforcement budgeting/ planning and evaluation . . . . .	74
e. Applied criminology . . . . .	47
f. Criminalistics . . . . .	43
g. Criminal law/criminal procedure . . . .	82
h. Police intelligence . . . . .	52
i. Riot and crowd control . . . . .	75
j. Hostage negotiation . . . . .	35
k. Crisis intervention . . . . .	44
l. Drugs . . . . .	63
m. Race/ethnic relations . . . . .	61
n. Organized crime . . . . .	58
o. Community relations . . . . .	82
p. Other (please specify) . . . . .	7
q. None . . . . .	1

(n=1208)

**CONTINUED**

**1 OF 6**

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61. How important do you think each of the following are as goals for your department? Please rank them, using "1" for the most important, "2" for the next most important, and so on.

	Medal Rank	Percent Responding Most Important
a. Community satisfaction with police department. . . . .	1	64%
b. Low reported crime rate. . . . .	5	9
c. Low crime rate for major crimes committed on the streets. . . . .		23
d. Low response time to calls for service. . . . .	2	13
e. High clearance rate. . . . .	3/4	8
f. Other (please specify): . . . . .	-	19

(n varies: 26-1192)

62. How much improvement in crime control and the administration of justice do you think could be achieved through changes in staffing, organization, and policies of law enforcement agencies in general (local, county, and state)?

A great deal of improvement. . . . .	41%
Some improvement. . . . .	51
Little or no improvement. . . . .	8

(n=1185)

63. What do you consider to be the major obstacle to the proper administration of justice in your jurisdiction?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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64. Please record yours:

a. Age (Median) . . . . .	28
b. Sex: (please circle)	Male 100% Female 0%
c. Color or race:	
White. . . . .	99%
Black. . . . .	1
Other (please specify): . . . . .	0

65. How were you selected for your current position? (Please circle all that apply.)

a. Competitive examination. . . . .	52%
b. Exempt or political appointment. . . . .	44
c. Election. . . . .	1
d. Other (please specify): . . . . .	7

(n=1203)

61. Did you advance to your current position from within this department, or were you recruited from outside?

From within. . . . .	75%
From outside. . . . .	25

(n=1197)

IF YOU WERE RECRUITED FOR YOUR CURRENT POSITION FROM OUTSIDE THIS AGENCY, PLEASE ANSWER Q. 67. OTHERWISE, PLEASE SKIP TO Q. 68.

67. What kind of organization did you leave to accept your current position?

City police department. . . . .	60%
State police department. . . . .	11
Sheriff's department. . . . .	8
Military. . . . .	3
FBI. . . . .	1
Other (please specify): . . . . .	10
No previous experience, or no criminal justice experience. . . . .	7

(n=291)

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68. In all, how many years have you worked in law enforcement? . . . \_\_\_\_\_

69. Have you ever served as Chief in another police department?

No . . . 91%  
Yes . . . 9  
(n=1195)

70. How many years have you worked in your present department?  
(If LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . \_\_\_\_\_

71. How many years have you been Chief of your present department?  
(If LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . \_\_\_\_\_

72. In which of the following types of agencies have you ever worked?  
(Please circle all that apply to you.)

a. Sheriff's department . . . . . 8%  
b. Prosecutor's office . . . . . 3  
c. Criminal defense office . . . . . 0  
d. Probation or parole agency . . . . . 1  
e. Jail . . . . . 2  
f. Prison . . . . . 1  
g. Military police . . . . . 18  
h. NONE OF THE ABOVE . . . . . 67  
(n=1208)

73. Please circle the number indicating the extent of your academic education prior to starting your law enforcement career.

Less than high school diploma . . . . . 5%  
High school diploma . . . . . 61  
One year of college . . . . . 16  
2 or 3 years of college . . . . . 12  
Bachelor's degree . . . . . 4  
Some graduate course work . . . . . 1  
Master's degree . . . . . 0  
Graduate work beyond the master's degree . . . . . 0  
LL.B., J.D., or other law degree . . . . . 1  
Ph.D. or other doctorate . . . . . 0  
(n=1190)

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-33-

74. Please circle the number indicating your current level of academic education:

Less than high school diploma . . . . . 1%  
High school graduate . . . . . 27  
1 year of college . . . . . 14  
2 or 3 years of college . . . . . 32  
Bachelor's degree . . . . . 8  
Some graduate course work . . . . . 8  
Master's degree . . . . . 6  
Graduate work beyond the master's degree . . . . . 2  
LL.B., J.D., or other law degree . . . . . 2  
Ph.D. or other doctorate . . . . . 0  
(n=1187)

IF YOU HAVE EARNED AT LEAST ONE COLLEGE DEGREE, PLEASE ANSWER Q. 75. OTHERWISE, PLEASE SKIP TO Q. 76.

75. Please record your area of specialization for each college degree you have earned.

a. A.A.: \_\_\_\_\_  
b. B.A. or B.S.: \_\_\_\_\_  
c. M.A.: \_\_\_\_\_  
d. Ph.D., LL.B., or J.D.: \_\_\_\_\_

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76. Did you continue your academic education after beginning your law enforcement career?

No . . . 31%  
Yes . . . 69

IF YOU ANSWERED "YES" IN Q. 76. PLEASE ANSWER Q. 77. OTHERWISE, PLEASE SKIP TO Q. 78.

77. Did you receive financial assistance to continue your schooling from any of the following sources? (Please circle all that apply.)

a. Law Enforcement Education Program (L.E.E.P.) . . . . . 44%  
b. G.I. Bill . . . . . 25  
c. Other federal programs . . . . . 10  
d. State programs . . . . . 12  
e. The law enforcement agency you were employed by . . . . . 37  
f. Other financial aid . . . . . 6  
g. NONE . . . . . 19  
(n=1150)

78. Have you been graduated from any of the following? (Please circle all that apply.)

a. Northwestern University Traffic Institute . . . . . 9%  
b. FBI National Academy Program . . . . . 29  
c. Southern Police Institute . . . . . 6  
d. None of the above . . . . . 56  
(n=1208)

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

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# POLICE DEPARTMENT FACT SHEET

## Personnel Information

79. What was this department's employment in each of the following categories on June 30, 1975?

NOTE: COUNT EMPLOYEES WORKING 35 HOURS OR MORE PER WEEK AS FULL-TIME, AND EMPLOYEES WORKING LESS THAN 35 HOURS A WEEK AS PART-TIME.

	Full-Time %	Full-Time no	Part-Time %	Part-Time no
TOTAL EMPLOYMENT . . . . .	194.5	1092	16.9	595
<b>Traffic:</b>				
a. Basic officers (sworn nonsupervisory personnel assigned primarily to traffic control duties) . . . . .	20.0	900	5.7	301
b. Officer supervisors (lowest level supervisors assigned primarily to traffic control duties) . . . . .	3.7	843	.7	255
<b>Patrol:</b>				
c. Basic officers (sworn nonsupervisory personnel assigned primarily to patrol duties) . . . . .	74.7	1128	3.2	271
d. Patrol supervisors (lowest level supervisors including sergeants and corporals assigned primarily to patrol duties) . . . . .	12.0	1107	.20	240
<b>Investigation:</b>				
e. Basic detectives and investigators (sworn nonsupervisory personnel assigned to criminal investigations) . . . . .	17.6	1145	.17	252
f. Detective supervisors (lowest level investigator supervisors) . . . . .	4.3	1050	.02	349
<b>Other:</b>				
g. All other basic sworn officers (those NOT assigned primarily to patrol, traffic, or investigative functions) . . . . .	21.2	940	.36	236
h. All other sworn first-line supervisors (those NOT assigned primarily to patrol, traffic, or investigative functions) . . . . .	6.5	219	.04	229
i. Middle managers (sworn officers above the rank of sergeant, but below the rank of assistant or deputy chief) . . . . .	10.3	1025	.08	232

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	Full-Time		Part-Time	
	$\bar{x}$	n	$\bar{x}$	n
j. Chief, assistant or deputy chiefs, and so on. . . . .	2.2	1156	.04	258
k. Professional and technical nonsworn personnel . . . . .	9.4	818	.38	257
l. Other nonsworn personnel. . . . .	35.0	971	14.3	427
80. How many sworn officers voluntarily resigned from your department during the 12-month period from June 30, 1973 to June 30, 1974? . . . . .	$\bar{x}$	n		
	6.5	1135		
81. How many sworn officers did your department hire during the 12-month period from June 30, 1973 to June 30, 1974? . . . . .	12.6	1134		
82. How many sworn officers were employed by your department on June 30, 1973? . . . . .	147.3	1128		
83. How many sworn officers were employed by your department on June 30, 1974? . . . . .	151.4	1134		
84. Do you currently accept lateral entrants (i.e., experienced officers from other departments) directly into supervisory ranks but below the level of Chief?				
Yes. . . . .		6%		
No, lateral entrants are accepted only for the basic line position . . . . .		32		
No, lateral entrants are not accepted at all. . . . .		62		
85. Does your department participate in collective bargaining with a union which represents your police officers?				
No . . . . .		49%		
Yes. . . . .		51		
86. Are applicants for sworn positions required to take a written examination?				
No. . . . .		1	7%	
Yes, solely as a matter of departmental policy . . . . .			70	
Yes, required by civil or merit service . . . . .			73	
			(n=1195)	

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87. Does this department have written job descriptions for all officers in the basic line position?		
No . . . . .		15%
Yes. . . . .		85
		(n=1158)
88. Is the position of basic sworn officer regulated by civil service?		
No . . . . .		32%
Yes. . . . .		68
		(n=1195)
89. What are the minimum and maximum annual salaries of the basic police officer position?	$\bar{x}$	n
a. Minimum. . . \$10,128	1157	
b. Maximum. . . \$12,602	1151	
90. How many attorneys does your department employ full-time to provide legal advice? (If none, please enter "0.")	Number:	$\bar{x}$ n
		.28 1188
91. How many specially-trained evidence technicians does your department employ? (If none, please enter "0.")	Number:	$\bar{x}$ n
		2.8 1184
92. Does your department have an operational planning unit to assist management in the utilization of staff and other resources?		
No . . . . .		60%
Yes. . . . .		40
		(n=1192)
93. How many persons whose full-time responsibility is narcotics and drug investigations does your department employ? (If none, please enter "0.")	Number:	$\bar{x}$ n
		4.0 1136

Workload and Office Information

94. Total number of crimes reported in calendar year 1974:

	X=	n=
a. Part I crimes:	4662	1041
b. Part II crimes:	5306	845

95. Total number of arrests in calendar year 1974:

	X=	n=
a. Part I crimes:	1161	292
b. Part II crimes:	3236	935

96. Total number of calls for service in calendar year 1974:

	X=	n=
Numbers:	47616	1042

99-IIA

Expenditures

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE,  
PLEASE GIVE YOUR BEST ESTIMATE.

97. Total annual department expenditures for the last complete fiscal year: . . . . . X= n=

\$2,356,917 1046

98. Annual payroll expenditures for the last complete fiscal year (salaries and fringe benefits): . . . . .

\$ Median = 845,536

99. Annual operating expenditures for training for the last complete fiscal year (excluding salary of trainees): . . .

\$31,160 1091  
Median 5001

OMB No.: 043-573032  
Approval Expires: July 31, 1976  
LEAA No.: 3600-2  
BSSR No.: 46711

Manpower Issues

1. How serious do you think each of the following manpower problems is in your department? Please rank them, using "1" for the most serious problem, "2" for the next most serious, and so on.

	Modal Rank	Percent Responding Most Serious
a. Inadequate number of authorized positions . . . . .	1	59%
b. Inability to achieve or maintain authorized strength . . . . .	2/3	25
c. High (excessive) turnover . . . . .	4	16
d. Inadequate training of personnel . . . . .	6	27
e. Inadequate representation of minorities or women on force . . . . .	5	6
f. Other (please specify:)	-	-

(n varies:  
1034-1231)

2. What do you feel is the major factor contributing to the manpower problem you ranked "most serious" (i.e., ranked "1") in Q. 1?

General lack of qualified applicants . . . . .	8
Lack of qualified minority or female applicants . . . . .	1
Inadequate levels of compensation . . . . .	12
Insufficient funds for training . . . . .	10
General budgetary problems . . . . .	58
Limited opportunities for advancement . . . . .	5
Other (please specify:)	3
No problem	3

(n=1223)

APPENDIX  
SMALL POLICE

VII-67

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3. Does your department currently have a critical manpower shortage in any of the following personnel categories? (Please circle all that apply.)
- a. Basic sworn officers (including "privates," "troopers," and "agents") . . . . . 46%
  - b. Supervisory sworn officers (officers above basic line position, but below the rank of assistant or deputy chief) . . . . . 10
  - c. Chief and assistant or deputy chiefs . . . . . 6
  - d. Nonsworn personnel . . . . . 13
  - e. NO CRITICAL SHORTAGES IN ANY OF THE ABOVE CATEGORIES . . . . . 42
4. During the three years before the current recession (i.e., the years 1971-1974), how serious a problem were voluntary resignations among your basic and supervisory sworn officers? (n=1575)
- Critical problem . . . . . 4%
  - Serious problem . . . . . 12
  - Moderate problem . . . . . 17
  - Slight problem . . . . . 18
  - No problem at all . . . . . 49
5. During the three years before the current recession (i.e., the years 1971-1974), did your department have an adequate supply of qualified applicants for the basic sworn officer position? (n=1479)
- No . . . . . 47%
  - Yes . . . . . 53
6. What was this department's employment in each of the following categories on June 30, 1975? (n=1469)
- a. Number of sworn personnel: . . . . .
  - b. Number of nonsworn personnel: . . . . .
7. In your judgment, how many employees in each of the following categories could you need to fulfill effectively all the duties and responsibilities with which your department is charged?
- a. Total number of sworn personnel: . . . . .
  - b. Total number of nonsworn personnel: . . . . .

89-11A

-3-

8. How many employees do you actually expect to have on the payroll by June 30, 1976?
- a. Number of sworn personnel: . . . . .
  - b. Number of nonsworn personnel: . . . . .

Entry Level Standards

9. Based upon your experience as an administrator, what do you think is the minimum education a sworn officer should have prior to joining your department? (n=1503)
- Less than high school diploma . . . . . 1%
  - High school diploma . . . . . 77
  - 1 year of college . . . . . 8
  - 2 or 3 years of college . . . . . 10
  - Bachelor's degree . . . . . 1
  - Education requirement not relevant to the job . . . . . 3
10. What is the minimum education now required of new sworn officers by your department? (n=1504)
- No minimum required . . . . . 18%
  - Less than high school diploma . . . . . 3
  - High school diploma . . . . . 77
  - 1 year of college . . . . . 1
  - 2 or 3 years of college . . . . . 1
  - Bachelor's degree . . . . . 0
  - Other (please specify:) . . . . . 0

11. What is the probability that a higher minimum education standard will be adopted at your department within the next two years?

Will almost certainly be adopted . . . . .	5%
Will probably be adopted . . . . .	19
Will probably <u>NOT</u> be adopted . . . . .	57
Will almost certainly <u>NOT</u> be adopted . . .	19

(n=1508)

12. Physical entry standards have been challenged on the grounds that they discriminate against women and minority groups. Have you had to deal with this issue? If so, have the standards at your department been affected?

NO, the issue has not come up . . . . .	93%
YES, the issue has come up,	
but it has not yet been resolved . . . . .	1
and the physical entry standards have been revised . . . . .	3
but the physical entry standards have <u>NOT</u> been revised . . . . .	2
OTHER (please specify:) . . . . .	1

(n=1498)

69-IIA

Formal Entry Level Training

13. How many hours of formal (i.e., other than on-the-job) entry level training are currently provided to your new recruits? (If none, please enter "0.")

IF YOU ENTERED "0" IN Q. 13, PLEASE ANSWER Q. 14. OTHERWISE, PLEASE SKIP TO Q. 15.

14. Do you expect to begin providing any formal entry level training for your new sworn officers within the next two years?

Yes, definitely . . . . .	19.9%
Yes, probably . . . . .	21
Probably not . . . . .	31
Definitely not . . . . .	3
Don't know . . . . .	26

(n=375)

IF YOU ANSWERED Q. 14, PLEASE SKIP TO Q. 21.

15. Is formal entry level training provided to every new recruit?

Yes . . . . .	77%
No, not provided to recruits with prior police experience . . . . .	17
No, other (please explain:) . . . . .	6

(n=1029)

16. Where do your new recruits take their formal entry level training? (Please circle all that apply.)

a. Within the department . . . . .	11%
b. At a local education institution . . . . .	11
c. At another department's academy . . . . .	11
d. At a regional training academy . . . . .	22
e. At a state training academy . . . . .	34
f. Other (please specify:) . . . . .	1

(n=1515)

17. Where will your new recruits probably take their formal entry level training two years from now? (Please circle all that apply.)

a. Within the department . . . . .	89%
b. At a local educational institution . . . . .	11
c. At another department's academy . . . . .	9
d. At a regional training academy . . . . .	25
e. At a state training academy . . . . .	35
f. Other (please specify) . . . . .	1
<hr/>	
(n=1515)	

18. Has the length of formal entry level training provided to your new recruits changed in the past five years?

No, length unchanged . . . . .	24%
Yes, length increased . . . . .	76
Yes, length decreased . . . . .	0
<hr/>	
(n=1058)	

19. Do you expect that the length of formal entry level training provided to your new recruits will be changed during the next two years?

No, no change expected . . . . .	30%
Yes, length expected to increase . . . . .	52
Yes, length expected to decrease . . . . .	0
Don't know . . . . .	18
<hr/>	
(n=1060)	

20. Which of the following areas are covered in the formal entry level training provided to your new recruits? (Please circle all that apply.)

a. Departmental policies and procedures . . . . .	46%
b. Weapons policy . . . . .	57
c. Weapons training . . . . .	67
d. Criminal law and legal procedures . . . . .	66
e. Criminal evidence and investigative procedures . . . . .	64
f. Preventive patrol techniques . . . . .	61
g. Traffic control . . . . .	65
h. Accident investigation . . . . .	67
i. First aid and emergency medical treatment . . . . .	61
j. Report writing and preparation . . . . .	64
k. Community and race relations . . . . .	54
l. Crisis intervention and domestic dispute settlement . . . . .	52
m. Physical training and self-defense . . . . .	58
n. Juvenile policies and procedures . . . . .	59
o. Other (please specify) . . . . .	4
<hr/>	
(n=1515)	

21. How much emphasis in formal entry level training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures . . . . .	63%	32	5	(n=1420)
b. Weapons policy . . . . .	78%	20	2	(n=1444)
c. Weapons training . . . . .	83%	16	1	(n=1465)
d. Criminal law and legal procedures . . . . .	82%	17	1	(n=1474)
e. Criminal evidence and investigative procedures . . . . .	77%	22	2	(n=1465)
f. Preventive patrol techniques . . . . .	65%	33	3	(n=1444)
g. Traffic control . . . . .	41%	51	7	(n=1466)
h. Accident investigation . . . . .	57%	40	3	(n=1475)
i. First aid and emergency medical treatment . . . . .	57%	36	7	(n=1464)
j. Report writing and preparation . . . . .	66%	32	3	(n=1468)
k. Community and race relations . . . . .	46%	43	11	(n=1453)
l. Crisis intervention and domestic dispute settlement . . . . .	53%	40	7	(n=1448)
m. Physical training and self-defense . . . . .	59%	37	5	(n=1458)
n. Juvenile policies and procedures . . . . .	58%	38	4	(n=1466)
o. Other (please specify: ) . . . . .	66%	24	10	(n=62)

VII-71

In-Service Training

22. Does your department provide formal in-service training other than roll-call training to your experienced basic sworn officers?

NO . . . . . 48%  
Yes . . . . . 54%  
(n=1503)

IF YOU ANSWERED "YES" TO Q. 22, PLEASE ANSWER Q. 23-26. OTHERWISE, PLEASE SKIP TO Q. 27.

23. Approximately how many of your experienced basic sworn officers attended formal in-service training during the last fiscal year?

Number: \_\_\_\_\_

24. For those experienced basic sworn officers who attended in-service training during the last fiscal year, approximately what was the average length of training in hours?

Average hours: \_\_\_\_\_

25. Where do your experienced basic sworn officers take their formal in-service training? (Please circle all that apply.)

a. Within the department . . . . . 47%  
b. At a local educational institution . . . . . 34  
c. At another department's academy . . . . . 20  
d. At a regional training academy . . . . . 30  
e. At a state training academy . . . . . 40  
f. Other (please specify: ) . . . . . 5  
(n=793)

26. Which of the following areas are covered in the formal in-service training? (Please circle all that apply.)

a. Departmental policies and procedures . . . . .	59%
b. Weapons policy . . . . .	58
c. Weapons training . . . . .	73
d. Criminal law and legal procedures . . . . .	78
e. Criminal evidence and investigative procedures . . . . .	78
f. Preventive patrol techniques . . . . .	58
g. Traffic control . . . . .	56
h. Accident investigation . . . . .	70
i. First aid and emergency medical treatment . . . . .	54
j. Report writing and preparation . . . . .	65
k. Community and race relations . . . . .	52
l. Crisis intervention and domestic dispute settlement . . . . .	49
m. Physical training and self-defense . . . . .	41
n. Juvenile policies and procedures . . . . .	67
o. Other (please specify:) . . . . .	7

(n=790)

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27. How much emphasis in formal in-service training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures . . . . .	62%	33	5	(n=1326)
b. Weapons policy . . . . .	69%	29	3	(n=1384)
c. Weapons training . . . . .	74%	24	2	(n=1423)
d. Criminal law and legal procedures . . . . .	77%	21	1	(n=1427)
e. Criminal evidence and investigative procedures . . . . .	74%	24	2	(n=1419)
f. Preventive patrol techniques . . . . .	59%	38	4	(n=1356)
g. Traffic control . . . . .	38%	52	10	(n=1407)
h. Accident investigation . . . . .	53%	42	5	(n=1419)
i. First aid and emergency medical treatment . . . . .	62%	34	4	(n=1403)
j. Report writing and preparation . . . . .	46%	43	11	(n=1395)
k. Community and race relations . . . . .	53%	39	8	(n=1390)
l. Crisis intervention and domestic dispute settlement . . . . .	50%	43	8	(n=1387)
m. Physical training and self-defense . . . . .	56%	39	5	(n=1417)
n. Juvenile policies and procedures . . . . .	67%	23	13	(n=43)
o. Other (please specify:) . . . . .				

28. Within the next two years, do you expect a change in the formal in-service training provided for your basic sworn officers?

Will begin in-service training . . . . .	15%
Will increase it . . . . .	43
Will leave it unchanged . . . . .	28
Will decrease it . . . . .	1
Will terminate in-service training . . . . .	0
In-service training is not now provided nor will it be begun . . . . .	13
	(n=1463)

29. Approximately how many of your officers have graduated from the following training programs? (If none, please enter "0.")

a. FBI National Academy program . . . . .

b. Northwestern University Traffic Institute (long course) . . . . .

c. Southern Police Institute . . . . .

30. Approximately how many of your officers do you expect to send to each of the following training programs within the next two years? (If none, please enter "0.")

a. FBI National Academy program . . . . .

b. Northwestern University Traffic Institute (long course) . . . . .

c. Southern Police Institute . . . . .

IF NEITHER FORMAL ENTRY LEVEL NOR FORMAL IN-SERVICE TRAINING IS PROVIDED TO YOUR SWORN OFFICERS, PLEASE SKIP TO Q. 33. OTHERWISE, PLEASE CONTINUE.

31. In your opinion, to what extent is each of the following factors a limitation on the overall effectiveness of training in your department?

	Serious Limitation	Moderate Limitation	Not a Limitation	
a. Workload frequently prevents release of officers for training . . . . .	65%	25	10	(n=964)
b. Workload frequently prevents release of senior staff to provide training . . . . .	45%	37	18	(n=881)
c. Inadequate training budget . . . . .	52%	27	21	(n=921)
d. Necessary training resources are not available locally . . . . .	36%	27	37	(n=891)
e. Other (please specify: ) . . . . .	60%	14	26	(n=35)

32. On the whole, how satisfied are you with all aspects of training in your department?

Extremely satisfied . . . . .	3%
Very satisfied . . . . .	19
Satisfied . . . . .	47
Dissatisfied . . . . .	32
Very dissatisfied . . . . .	4
Extremely dissatisfied . . . . .	4
	(n=1035)

Continuing Academic Education

33. In your judgment, should your department encourage basic sworn officers to pursue a college degree program once they have begun their law enforcement careers?

Should strongly encourage . . . . .	33%
Should encourage . . . . .	39
Should discourage . . . . .	1
Is not a matter for the department to take a stand on . . . . .	28
	(n=1489)

34. Please rank the following five policies in order of how effective you think they would be in encouraging police officers to continue their academic education.

	Modal Rank	Percent Responding Most Effective
a. Adjusting schedules to facilitate class attendance . . . . .	4	26%
b. Allowing time off to attend class . . . . .		20
c. Departmental subsidies for books and tuition . . . . .		13
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .		48
e. Using academic education as part of the basis for promotions . . . . .	2/5	16

(n varies  
1243-1272)

35. Which, if any, of the following policies has your department ever adopted?

	Adopted and Continued	Adopted But Later Terminated	Never Adopted by the Department	
a. Adjusting schedules to facilitate class attendance . . . . .	54%	4	42	(n=1319)
b. Allowing time off to attend class . . . . .	40%	4	56	(n=1321)
c. Departmental subsidies for books and tuition . . . . .	28%		69	(n=1261)
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	13%	1	86	(n=1253)
e. Using academic education as part of the basis for promotions . . . . .	12%	1	88	(n=1254)

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Promotion Policies

36. In your opinion, what is the minimum academic education that should be required of officers prior to promotion to sergeant or first supervisory level?

No minimum requirement . . . . .	9%
Some high school . . . . .	3
High school diploma . . . . .	60
1 year of college . . . . .	12
2 or 3 years of college . . . . .	14
Bachelor's degree . . . . .	1
Other (please specify:) . . . . .	0
	(n=1463)

37. In your judgment, should officers be required to take a special course in supervisory techniques either prior to being considered for their first promotion or immediately following their first promotion to a supervisory level?

No, should not be required . . . . .	17%
Yes, should be required prior to being considered for promotion . . . . .	34
Yes, should be required immediately following promotion . . . . .	48
	(n=1483)

38. Do you currently require that a special course for supervisors be completed?

No . . . . .	77%
Yes, prior to being considered for promotion . . . . .	6
Yes, immediately following promotion . . . . .	17
	(n=1484)

Operations and Manpower Requirements

39. Police department operations vary from jurisdiction to jurisdiction. For each of the following activities, please indicate whether it is performed by your department, and how you expect it to change in terms of manpower requirements within the next two years. (For each activity, please circle the number which best indicates your expectations.)

		Activity Is Performed and Manpower Will:			Activity Is NOT Performed,		
		Increase	Stay about the Same	Decrease	and probably will NOT be added during the next 2 years	but probably WILL be added during the next 2 years	
a. Patrol	41%	56	1		1	1	(n=1443)
b. Crime investigation, identification and fingerprinting	34%	51	1		9	5	(n=1421)
c. Lockup and/or jail	10%	43	4		40	4	(n=1372)
d. Communications and dispatching	26%	48	2		20	5	(n=1413)
e. Traffic control	29%	67	1		3	1	(n=1436)
f. Accident investigation	30%	67	1		2	1	(n=1430)
g. Parking meter checking and collection	4%	24	4		63	4	(n=1304)
h. Administrative activities, general management	31%	60	1		7	1	(n=1388)
i. Gun registration	12%	38	2		44	5	(n=1363)
j. School crossing guards	10%	46	2		36	6	(n=1376)
k. Responding to calls for service for noncriminal matters	35%	61	2		2	0	(n=1426)
l. Other (please specify:)	62%	24	5		0	10	(n=21)

40. Various studies have found that a large proportion of most police officers' time is spent on noncriminal matters such as intervening in family crises, settling disputes between neighbors, and the like. As far as your department is concerned, would you prefer that other agencies take over these noncriminal matters, or that the police department continue its current role?

Shift noncriminal matters to other agencies . . . . 36%  
Have police department continue current role . . . . 64%  
(n=1492)

41. Does the handling of noncriminal matters require any specialized training in (for example) social work, crisis intervention, or conflict resolution techniques?

Yes, requires substantial specialized training . . 16%  
Yes, requires some specialized training . . . . . 52  
No, on-the-job experience is sufficient . . . . . 32  
No, subject is not suitable for training . . . . . 1  
(n=1478)

Provision of Services

42. Which, if any, of the following services are provided to your jurisdiction by another law enforcement agency? (Please circle all that apply.)

a. Communications and dispatching . . . . 56%  
b. Crime laboratory services . . . . . 91  
c. Crime scene analysis . . . . . 51  
d. Lock-up facilities . . . . . 74  
e. Training . . . . . 74  
f. Other (please specify:)

g. NONE . . . . . 2  
(n=1515)

IF ANY OF THE ABOVE SERVICES ARE PROVIDED TO YOUR JURISDICTION BY ANOTHER LAW ENFORCEMENT AGENCY, PLEASE ANSWER Q. 43-45. OTHERWISE, PLEASE SKIP TO Q. 46.

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43. Are any of these services provided on a contract basis?

No . . . . 79%  
Yes . . . . 21

(n=1446)

44. Which of the following provide the services to your jurisdiction? (Please circle all that apply.)

a. Sheriff's department or county police. . 73%  
b. State police . . . . . 56  
c. Other local police department(s) . . . . 27  
d. State Bureau of Investigation or Identification . . . . . 9  
e. All others . . . . . 9

(n=1515)

45. Do you expect the services provided to your jurisdiction by other law enforcement agencies to expand, not change, or be reduced within the next two years?

Services will probably:

	<u>Expand</u>	<u>Not Change</u>	<u>Be Reduced</u>	
a. Communications and dispatching . . . .	33%	61	6	(n=1114)
b. Crime laboratory services . . . . .	30%	68	2	(n=1379)
c. Crime scene analysis . . . . .	24%	73	4	(n=1082)
d. Lock-up facilities . . . . .	19%	77	4	(n=1223)
e. Training . . . . .	46%	52	2	(n=1260)
f. Other service (please specify:) . . .	29%	58	13	(n=31)

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46. Does your department provide any law enforcement services on a continuing basis to other jurisdictions?

No . . . . 75%  
Yes . . . . 26

(n=1483)

IF YOU ANSWERED "YES" TO Q. 46, PLEASE ANSWER Q. 47. IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 48.

47. Please list the number of jurisdictions served by your office on a contract basis, both currently and two years ago, for each of the functions listed below. (Please enter "0" for those services NOT provided on a contract basis.)

	<u>Number of Jurisdictions Served:</u>	
	<u>Currently</u>	<u>Two Years Ago</u>
a. Complete law enforcement services . . . . .	_____	_____
Specific law enforcement services:		
b. Communications and dispatching . . . . .	_____	_____
c. Crime scene analysis . . . . .	_____	_____
d. Lock-up facilities . . . . .	_____	_____
e. Training . . . . .	_____	_____
f. Other (please specify:) . . . . .	_____	_____

**Police Chief's Position and Background.**

48. Every Police Chief has particular duties and responsibilities which confront him with especially difficult decisions and problems. Based on your personal experience, please select the three areas in which such decisions and problems most often come up, and rank them, starting with "1" for the area in which they come up the most often.

	Modal Rank Three Choices Only	Percent Responding Most Often
a. Operational field activities (patrol, investigation, field supervision) . . . . .	1	64%
b. Budget and fiscal management (preparing budgets, estimating costs, day-to-day fiscal decisions, budget hearings and so on) . . . . .	—	43
c. Personnel management (discipline, employee and personnel matters, union bargaining) . . . . .	—	37
d. Planning and evaluation (setting goals and reviewing agency performance against objectives) . . . . .	—	25
e. Dealing with other criminal justice agencies (judges, prosecutors, defenders, sheriffs, correctional and probation officers, and so on) . . . . .	2	26
f. Dealing with the public (giving speeches to citizens' groups, citizen contact, and so on) . . . . .	3	24
g. Dealing with the news media (giving information, press conferences, and answering questions for newspapers, radio, and television) . . . . .	—	*
h. Dealing with local officials (correspondence and meetings with county executive, mayor, city manager, city council, and so on) . . . . .	—	39
i. Dealing with state officials (correspondence and meetings with governor, state commissions, legislators, and so on) . . . . .	—	*
j. Other duties and responsibilities (please specify) . . . . .	—	*

(n varies; 287-813)

\*Base too small to percentage.

49. Based upon your experience, what kinds of special courses, workshops, training sessions or seminars would you recommend as especially useful for your successors to take? (Please circle all that apply.)

a. Police administration . . . . .	82%
b. Personnel management . . . . .	68
c. Law enforcement budgeting/planning and evaluation . . . . .	62
d. Criminal law/criminal procedure . . . . .	65
e. Applied criminology . . . . .	30
f. Criminalistics . . . . .	25
g. Police intelligence . . . . .	42
h. Crisis intervention . . . . .	33
i. Drugs . . . . .	53
j. Race/ethnic relations . . . . .	30
k. Community relations . . . . .	79
l. Other (please specify) . . . . .	3
m. NONE . . . . .	1

(n=1515)

30. In which of the following areas have you had special courses, workshops, training sessions or seminars? (Please circle all that apply.)

a. Police administration	61%
b. Personnel management	52
c. Law enforcement budgeting/planning and evaluation	33
d. Criminal law/criminal procedure	74
e. Applied criminology	30
f. Criminalistics	27
g. Police intelligence	33
h. Crisis intervention	35
i. Drugs	63
j. Race/ethnic relations	34
k. Community relations	65
l. Other (please specify:)	6
m. NONE	10

(n=1515)

31. How important do you think each of the following are as goals for your department? Please rank them, using "1" for the most important, "2" for the next most important, and so on.

	Modal Rank	Percent Responding Most Important
a. Community satisfaction with police department	1	64%
b. Low reported crime rate	2/6	20
c. Low crime rate for major crimes committed on the streets	2/3	25
d. Low response time to calls for service	2/4	15
e. High clearance rate	3/6	15
f. Other (please specify:)		*

\*Base too small to percentage.

32. How much improvement in crime control and the administration of justice do you think could be achieved through changes in staffing, organization, and policies of law enforcement agencies in general (local, county and state)?

A great deal of improvement	44%
Some improvement	45
Little or no improvement	11

(n=1478)

33. What do you consider to be the major obstacle to the proper administration of justice in your jurisdiction?

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34. Please record your:

a. Age (median)	43%
b. Sex (please circle)	Male 99 Female 1
c. Color or race:	(n=1495)
White	99
Black	1
Other (please specify:)	1

(n=1495)

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55. How were you selected for your current position? (Please circle all that apply.)

a. Competitive examination . . . . .	24%
b. Exempt or political appointment . . .	56
c. Election . . . . .	7
d. Years of service, next in line for job, only man qualified, etc. . . . .	6
e. Appointed, submitted application or resumé and was interviewed, etc. . . .	8
f. All others . . . . .	1

(n=1515)

56. Did you advance to your current position from within this department, or were you recruited from outside?

From within . . . .	60%
From outside . . . .	40

IF YOU WERE RECRUITED FOR YOUR CURRENT POSITION FROM OUTSIDE THIS AGENCY, PLEASE ANSWER Q. 57. OTHERWISE, PLEASE SKIP TO Q. 58.

57. What kind of organization did you leave to accept your current position?

City police department . . . .	40%
State police department . . . .	7
Sheriff's department . . . .	19
Military . . . . .	8
FBI . . . . .	0
No previous experience . . . .	18
Other . . . . .	9

(n=547)

58. In all, how many years have you worked in law enforcement? . . .

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59. Have you ever served as Chief at another police department?

No . . . .	91%
Yes . . . .	9

(n=1495)

60. How many years have you worked in your present department? (IF LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . .

61. How many years have you been Chief in your present department? (IF LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . .

62. In which of the following types of agencies have you ever worked? (Please circle all that apply.)

a. Sheriff's department . . . . .	23%
b. Prosecutor's office . . . . .	2
c. Criminal defense office . . . . .	0
d. Probation or parole agency . . . .	1
e. Jail . . . . .	8
f. Prison . . . . .	3
g. Military police . . . . .	20
h. NONE OF THE ABOVE . . . . .	56

(n=1515)

63. Please circle the number indicating the extent of your academic education prior to starting your law enforcement career.

Less than high school diploma . . . . .	14%
High school diploma . . . . .	64
1 year of college . . . . .	9
2 or 3 years of college . . . . .	9
Bachelor's degree . . . . .	2
Some graduate course work . . . . .	1
Master's degree . . . . .	0
Graduate work beyond Master's degree . . .	0
LL.B., J.D., or other law degree . . . .	0
Ph.D. or other doctorate . . . . .	0

(n=1487)

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64. Please circle the number indicating your current level of academic education.

Less than high school diploma . . . . .	10%
High school diploma . . . . .	47
1 year of college . . . . .	16
2 or 3 years of college . . . . .	21
Bachelor's degree . . . . .	3
Some graduate course work . . . . .	4
Master's degree . . . . .	1
Graduate work beyond Master's degree . . . . .	0
LL.B., J.D., or other law degree . . . . .	1
Ph.D. or other doctorate . . . . .	0

(n=1458)

IF YOU HAVE EARNED AT LEAST ONE COLLEGE DEGREE, PLEASE ANSWER Q. 65. OTHERWISE, PLEASE SKIP TO Q. 66.

65. Please record your area of specialization for each college degree you have earned.

a. A.A.: \_\_\_\_\_

b. B.A. or D.S.: \_\_\_\_\_

c. M.A.: \_\_\_\_\_

d. Ph.D., LL.B., or J.D.: \_\_\_\_\_

66. Did you continue your academic education after beginning your law enforcement career?

No . . . . . 50%

Yes . . . . . 50%

(n=1380)

IF YOU ANSWERED "YES" IN Q. 66, PLEASE ANSWER Q. 67. OTHERWISE, PLEASE SKIP TO Q. 68.

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67. Did you receive financial assistance to continue your schooling from any of the following sources? (Please circle all that apply.)

a. Law Enforcement Education Program (L.E.E.P.) . . . . .	41%
b. G.I. Bill . . . . .	22
c. Other federal programs . . . . .	8
d. State programs . . . . .	17
e. The law enforcement agency you were employed by . . . . .	32
f. Other financial aid . . . . .	4
g. NONE . . . . .	19

(n=696)

68. Have you been graduated from any of the following? (Please circle all that apply.)

a. Northwestern University Traffic Institute . . . . .	3%
b. FBI National Academy Program . . . . .	5
c. Southern Police Institute . . . . .	2
d. None of the above . . . . .	81

(n=1515)

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

08-11A

POLICE DEPARTMENT FACT SHEET

Personnel Information

69. What was this department's employment in each of the following categories on June 30, 1975?

NOTE: COUNT EMPLOYEES WORKING 35 HOURS OR MORE PER WEEK AS FULL-TIME; AND EMPLOYEES WORKING LESS THAN 35 HOURS A WEEK AS PART-TIME.

	Full-Time		Part-Time	
	$\bar{x}$	n	$\bar{x}$	n
a. TOTAL EMPLOYMENT	8.7	1356	3.6	952
b. Basic sworn officers (including "privates," "troopers," and "agents")	6.9	1246	4.7	652
c. Supervisory sworn officers (officers above the basic line position, but below the rank of assistant or deputy chief)	2.2	1130	1.0	466
d. Chief and assistant or deputy chiefs	1.3	1277	.68	397
e. Nonsworn personnel	1.9	934	1.7	644
70. How many sworn officers voluntarily resigned from your department during the 12-month period from June 30, 1973 to June 30, 1974?	1.5	1406		
71. How many sworn officers did your department hire during the 12-month period from June 30, 1973 to June 30, 1974?	2.0	1412		
72. How many sworn officers were employed by your department on June 30, 1973?	6.8	1422		
73. How many sworn officers were employed by your department on June 30, 1974?	7.4	1419		
74. Do you currently accept lateral entrants (i.e., experienced officers from other departments) directly into supervisory ranks but below the level of Chief?				
Yes			19%	
No, lateral entrants are accepted only for the basic line position			45	
No, lateral entrants are not accepted at all			36	
			(n=1363)	

75. Does your department participate in collective bargaining with a union that represents your police officers?

No . . . . . 85%  
Yes . . . . . 15  
(n=1482)

76. Are applicants for sworn positions required to take a written examination?

No . . . . . 60%  
Yes, solely as a matter of departmental policy . . . . . 20  
Yes, required by civil or merit service . . . . . 20  
(n=1482)

77. Is the position of basic sworn officer regulated by civil service?

No . . . . . 81%  
Yes . . . . . 19  
(n=1482)

78. Does this department have written job descriptions for officers in the basic line position?

No . . . . . 57%  
Yes . . . . . 43  
(n=1470)

79. What are the minimum and maximum annual salaries of the basic sworn officer position?

a. Minimum . . . \$7810 1229  
b. Maximum . . . \$9258 1200

Workload and Office Information

80. Total number of crimes reported in calendar year 1974:
- |                    | X=  | n=  |
|--------------------|-----|-----|
| a. Part I crimes:  | 234 | 849 |
| b. Part II crimes: | 551 | 681 |
81. Total number of arrests in calendar year 1974:
- |                    |     |     |
|--------------------|-----|-----|
| a. Part I crimes:  | 120 | 855 |
| b. Part II crimes: | 342 | 703 |
82. Total number of calls for service in calendar year 1974:
- |  |      |     |
|--|------|-----|
|  | 4680 | 938 |
|--|------|-----|

Expenditures

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE,  
PLEASE GIVE YOUR BEST ESTIMATE.

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83. Total annual department expenditures for the last complete fiscal year: . . . . . \$103,705 1235
84. Annual payroll expenditures for the last complete fiscal year (salaries and fringe benefits): . . . . . \$ 89,233 1241
85. Annual operating expenditures for training for the last complete fiscal year (excluding salary of trainees): . . . \$ 1,444 1127

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APPENDIX  
LARGE SHERIFF

OMB No.: 043-575032  
Approval Expires: July 31, 1976

LEAA No.: 3600-3a

BSSR No.: 46712

Manpower Issues

1. How serious do you think each of the following manpower problems is in your department? Please rank them, using "1" for the most serious problem, "2" for the next most serious, and so on.

	<u>RANK</u>	
a. Inadequate number of authorized positions . . . . .	<u>1</u>	74%
b. Inability to achieve or maintain authorized strength . . . . .	<u>16</u>	
c. High (excessive) turnover . . . . .	<u>4/6</u>	6
d. Inadequate training of personnel . . . . .	<u>2/3</u>	8
e. Inadequate representation of minorities or women on force . . . . .	<u>5</u>	4
f. Other (please specify:) . . . . .	<u>38</u>	

(n varies: 34-291)

2. What do you feel is the major factor contributing to the manpower problem you ranked "most serious" (i.e., ranked "1") in Q. 1?

General lack of qualified applicants . . . . .	32
Lack of qualified minority or female applicants . . . . .	2
Inadequate levels of compensation . . . . .	12
Insufficient funds for training . . . . .	3
General budgetary problems . . . . .	71
Limited opportunities for advancement . . . . .	2
Other (please specify:) . . . . .	4
No problem . . . . .	1

(n=276)

3. Does your department have a critical manpower shortage in any of the following personnel categories? (Please circle all that apply.)

**Law enforcement:**

- a. Deputy sheriffs (sworn nonsupervisory personnel assigned primarily to patrol, traffic, or investigatory duties) . . . . . 69%
- b. Supervisory deputy sheriffs (lowest level supervisors assigned primarily to law enforcement duties) . . . . . 25

**Corrections:**

- c. Deputy sheriffs (sworn nonsupervisory personnel assigned primarily as jail guards, prisoner transport guards, and so on) . . . . . 49
- d. Supervisory deputy sheriffs (lowest level supervisors assigned primarily to corrections activities) . . . . . 19

**Court services:**

- e. Deputy sheriffs (sworn nonsupervisory personnel assigned to serving the courts, delivering summonses, and so on) . . . . . 49
- f. Supervisory deputy sheriffs (lowest level supervisors assigned primarily to court services) . . . . . 13

**Other:**

- g. All other deputy sheriffs (those NOT assigned primarily to law enforcement, corrections or court services) . . . . . 20
- h. All other supervisory deputy sheriffs (those NOT assigned primarily to law enforcement, corrections or court services) . . . . . 8
- i. Middle managers (deputy sheriffs above the rank of basic supervisory deputy, but below the rank of undersheriff or chief deputy) . . . . . 21
- j. Sheriff, undersheriff, and chief deputies . . . . . 3
- k. Professional and technical nonsworn personnel . . . . . 31
- l. Other nonsworn personnel . . . . . 19
- m. NO CRITICAL SHORTAGES IN ANY OF THE ABOVE CATEGORIES . . . . . 17

(n=309)

4. During the three years before the current recession (i.e., the years 1971-1974), how serious a problem were voluntary resignations among your deputy and supervisory deputy sheriffs?

- Critical problem . . . . . 12
- Serious problem . . . . . 12
- Moderate problem . . . . . 20
- Slight problem . . . . . 25
- No problem at all . . . . . 42
- (n=303)

5. During the three years before the current recession (i.e., the years 1971-1974), did your department have an adequate supply of qualified applicants for the position of deputy sheriff?

- No . . . . . 25%
- Yes . . . . . 75
- (n=306)

6. In your judgment, how many employees in each of the following categories would you need to fulfill effectively all the duties and responsibilities with which your department is charged?

- a. Total number of sworn personnel . . . . .
- b. Total number of nonsworn personnel . . . . .

7. What was this department's employment in each of the following categories on June 30, 1975?

- a. Number of sworn personnel . . . . .
- b. Number of nonsworn personnel . . . . .

8. How many employees do you actually expect to have on the payroll by June 30, 1976?

- a. Number of sworn personnel . . . . .
- b. Number of nonsworn personnel . . . . .

Entry Level Standards

9. Based upon your experience as an administrator, what do you think is the minimum education a deputy sheriff should have prior to joining your department?

Less than high school diploma . . . . .	0%
High school diploma . . . . .	69
1 year of college . . . . .	10
2 or 3 years of college . . . . .	16
Bachelor's degree . . . . .	3
Education requirement not relevant to the job . . . . .	1

(n=304)

10. What is the minimum education now required of new deputy sheriffs by your department?

No minimum required . . . . .	6%
Less than high school diploma . . . . .	3
High school diploma . . . . .	88
1 year of college . . . . .	1
2 or 3 years of college . . . . .	1
Bachelor's degree . . . . .	1
Other (please specify): . . . . .	0

(n=308)

11. What is the probability that a higher minimum education standard will be adopted at your department within the next two years?

Will almost certainly be adopted . . . . .	4%
Will probably be adopted . . . . .	21
Will probably <u>NOT</u> be adopted . . . . .	56
Will almost certainly <u>NOT</u> be adopted . . . . .	19

(n=309)

12. Physical entry standards have been challenged on the grounds that they discriminate against women and minority groups. Have you had to deal with this issue? If so, have the standards at your department been affected?

NO, the issue has not come up . . . . .	78%
YES, the issue has come up, but it has not yet been resolved . . . . .	4
and the physical entry standards have been revised . . . . .	16
but the physical entry standards have <u>NOT</u> been revised . . . . .	2
OTHER (please specify): . . . . .	0

(n=297)

Formal Entry Level Training

13. How many hours of formal (i.e., other than on-the-job) entry level training are currently provided to your new recruits? (If none, please enter "0.")

Number of hours: \_\_\_\_\_

IF YOU ENTERED "0" IN Q. 13, PLEASE ANSWER Q. 14. OTHERWISE, PLEASE SKIP TO Q. 15.

14. Do you expect to begin providing any formal entry level training for your new deputy sheriffs within the next two years?

Yes, definitely . . . . .	22%
Yes, probably . . . . .	17
Probably not . . . . .	50
Definitely not . . . . .	0
Don't know . . . . .	11

(n=18)

IF YOU ANSWERED Q. 14, PLEASE SKIP TO Q. 21.

58-11A .

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15. Is formal entry level training provided to every new recruit?

Yes . . . . .	78%
No, not provided to recruits with prior law enforcement experience . . . . .	17
No always provided to officers with prior experience; not mandatory with graduate of certified academy . . . . .	4
All others . . . . .	1

16. Where do your new recruits take their formal entry level training? (Please circle all that apply.)

a. Within the department . . . . .	16%
b. At the department's academy . . . . .	12
c. At a local educational institution . . . . .	22
d. At another law enforcement agency's academy . . . . .	15
e. At a regional training academy . . . . .	32
f. At a state training academy . . . . .	35
g. Other (please specify) . . . . .	1

(n=291)

17. Where will your new recruits probably take their formal entry level training two years from now? (Please circle all that apply.)

a. Within the department . . . . .	11%
b. At the department's academy . . . . .	10
c. At a local educational institution . . . . .	21
d. At another law enforcement agency's academy . . . . .	13
e. At a regional training academy . . . . .	35
f. At a state training academy . . . . .	39
g. Other (please specify) . . . . .	1

(n=291)

-7-

18. Has the length of formal entry level training provided to your new recruits changed in the past five years?

No, length unchanged . . . . .	14%
Yes, length increased . . . . .	86
Yes, length decreased . . . . .	0

(n=289)

19. Do you expect that the length of formal entry level training provided to your new recruits will be changed during the next two years?

No, no change expected . . . . .	27%
Yes, length expected to increase . . . . .	60
Yes, length expected to decrease . . . . .	0
Don't know . . . . .	12

(n=291)

20. Which of the following areas are covered in the formal entry level training provided to your new recruits? (Please circle all that apply.)

a. Departmental policies and procedures . . . . .	65%
b. Weapons policy . . . . .	79
c. Weapons training . . . . .	98
d. Criminal law and legal procedures . . . . .	96
e. Criminal evidence and investigative procedures . . . . .	94
f. Preventive patrol techniques . . . . .	86
g. Traffic control . . . . .	85
h. Accident investigation . . . . .	85
i. First aid and emergency medical treatment . . . . .	89
j. Report writing and preparation . . . . .	95
k. Community and race relations . . . . .	81
l. Crisis intervention and domestic dispute settlement . . . . .	76
m. Physical training and self-defense . . . . .	87
n. Juvenile policies and procedures . . . . .	86
o. Corrections or Jail Topics . . . . .	4
All others . . . . .	10

(n=291)

21. How much emphasis in formal entry level training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures . . . . .	73%	21	6	(n=288)
b. Weapons policy . . . . .	80	17	3	(n=298)
c. Weapons training . . . . .	86	13	1	(n=303)
d. Criminal law and legal procedures . . .	85	13	2	(n=304)
e. Criminal evidence and investigative procedures . . . . .	79	17	3	(n=299)
f. Preventive patrol techniques . . . . .	57	36	7	(n=290)
g. Traffic control . . . . .	26	54	20	(n=293)
h. Accident investigation . . . . .	36	45	20	(n=290)
i. First aid and emergency medical treatment . . . . .	59	37	5	(n=302)
j. Report writing and preparation . . . . .	76	21	3	(n=300)
k. Community and race relations . . . . .	56	36	8	(n=300)
l. Crisis intervention and domestic dispute settlement . . . . .	60	34	6	(n=291)
m. Physical training and self-defense . . .	56	42	2	(n=299)
n. Juvenile policies and procedures . . . .	50	43	7	(n=297)
o. Other (please specify:) . . . . .	63	33	4	(n=24)

VII-87

In-Service Training

22. Does your department provide formal in-service training other than roll-call training to your experienced deputy sheriffs?

No . . . . . 25%  
Yes . . . . . 75  
(n=309)

IF YOU ANSWERED "YES" TO Q. 22, PLEASE ANSWER Q. 23-26.  
OTHERWISE, PLEASE SKIP TO Q. 27.

23. Approximately how many of your experienced deputy sheriffs attended formal in-service training during the last fiscal year?

Number: \_\_\_\_\_

24. For those experienced deputy sheriffs who attended formal in-service training during the last fiscal year, approximately what was the average length of training in hours?

Average hours: \_\_\_\_\_

25. Where do your experienced deputy sheriffs take their formal in-service training? (Please circle all that apply.)

a. Within the department . . . . . 60%  
b. At the department's academy . . . . . 12  
c. At a local educational institution . . . . . 49  
d. At another law enforcement agency's academy . . . 23  
e. At a regional training academy . . . . . 28  
f. At a state training academy . . . . . 41  
g. Other (please specify:) . . . . . 11  
(n=232)

26. Which of the following areas are covered in the formal in-service training? (Please circle all that apply.)

a. Departmental policies and procedures . . . . .	63%
b. Weapons policy . . . . .	61
c. Weapons training . . . . .	75
d. Criminal law and legal procedures . . . . .	76
e. Criminal evidence and investigative procedures . . . . .	81
f. Preventive patrol techniques . . . . .	47
g. Traffic control . . . . .	29
h. Accident investigation . . . . .	47
i. First aid and emergency medical treatment . . . . .	60
j. Report writing and preparation . . . . .	63
k. Community and race relations . . . . .	51
l. Crisis intervention and domestic dispute settlement . . . . .	49
m. Physical training and self-defense . . . . .	40
n. Juvenile policies and procedures . . . . .	51
o. Other (please specify:) . . . . .	14
(n=232)	

88-11A

27. How much emphasis in formal in-service training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures . .	71%	25	4	(n=283)
b. Weapons policy . . . . .	72	24	4	(n=278)
c. Weapons training . . . . .	76	22	2	(n=286)
d. Criminal law and legal procedures . . .	74	24	2	(n=285)
e. Criminal evidence and investigative procedures . . . . .	73	25	3	(n=282)
f. Preventive patrol techniques . . . . .	48	43	9	(n=272)
g. Traffic control . . . . .	22	47	32	(n=269)
h. Accident investigation . . . . .	32	41	28	(n=269)
i. First aid and emergency medical treatment . . . . .	51	41	8	(n=281)
j. Report writing and preparation . . . . .	72	25	3	(n=284)
k. Community and race relations . . . . .	49	40	11	(n=281)
l. Crisis intervention and domestic dispute settlement . . . . .	55	36	9	(n=273)
m. Physical training and self-defense . . .	42	50	8	(n=279)
n. Juvenile policies and procedures . . . .	44	47	8	(n=279)
o. Other (please specify:) . . . . .	75	17	8	(n=24)

28. Within the next two years, do you expect a change in the formal in-service training provided to your deputy sheriffs?

Will begin in-service training . . . . .	14%
Will increase it . . . . .	61
Will leave it unchanged . . . . .	21
Will decrease it . . . . .	1
Will terminate in-service training . . . . .	0

In-service training is not now provided nor will it be begun . . . . . 3  
(n=297)

IF NEITHER FORMAL ENTRY LEVEL NOR FORMAL IN-SERVICE TRAINING IS PROVIDED TO YOUR DEPUTIES, PLEASE SKIP TO Q. 31. OTHERWISE, PLEASE CONTINUE.

29. In your opinion, to what extent is each of the following factors a limitation on the overall effectiveness of training in your department?

	Serious Limitation	Moderate Limitation	Not a Limitation	
a. Workload frequently prevents release of deputies for training . . . . .	75%	20	5	(n=269)
b. Workload frequently prevents release of senior staff to provide training . .	47	40	13	(n=256)
c. Inadequate training budget . . . . .	52	30	20	(n=250)
d. Necessary training resources are not available locally . . . . .	19	34	47	(n=239)
e. Other (please specify) . . . . .	67	11	22	(n=9)

30. On the whole, how satisfied are you with all aspects of training in your department?

Extremely satisfied . . . . .	2%
Very satisfied . . . . .	15
Satisfied . . . . .	50
Dissatisfied . . . . .	30
Very dissatisfied . . . . .	2
Extremely dissatisfied . . . . .	1

(n=273)

Continuing Academic Education

31. In your judgment, should your department encourage deputy sheriffs to pursue a college degree program once they have begun their careers as peace officers?

Should <u>strongly</u> encourage . . . . .	42%
Should encourage . . . . .	44
Should discourage . . . . .	1
Is not a matter for the department to take a stand on . . . . .	14

(n=305)

32. Please rank the following five policies in order of how effective you think they would be in encouraging deputy sheriffs to continue their academic education.

	MODE RANK	
a. Adjusting schedules to facilitate class attendance . . . . .	1	20%
b. Allowing time off to attend class . . . . .	4/5	14
c. Departmental subsidies for books and tuition . . . . .	3	9
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	1	57
e. Using academic education as part of the basis for promotions . . . . .	2	15

68-77A

33. Which, if any, of the following policies has your department ever adapted?

	Adopted and Continued	Adopted But Later Terminated	Never Adopted By the Department	
a. Adjusting schedules to facilitate class attendance . . . . .	73%	6	21	(n=290)
b. Allowing time off to attend class . . . . .	35	8	57	(n=269)
c. Departmental subsidies for books and tuition . . . . .	30	5	65	(n=266)
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	27	1	72	(n=261)
e. Using academic education as part of the basis for promotions . . . . .	31	0	69	(n=263)

06-111-90

Pay and Promotion Policies

34. Increased pay based on college credit and/or degrees has been challenged as discriminatory against deputies with comparable assignments but less academic education. Has this become an issue for your department? If so, has the policy at your department been affected?

NO, the issue has not come up . . . . .	91%
YES, the issue has come up,	
but it has not yet been resolved . . . . .	4
and the education-linked pay policy has been revised . . . . .	1
but the education-linked pay policy has <u>NOT</u> been revised . . . . .	2
Other (please specify:) . . . . .	2
	(n=304)

35. Promotion preference based on college credit and/or degrees has been challenged as discriminatory against deputies with comparable assignments but less academic education. Has this become an issue for your department? If so, has the policy at your department been affected?

NO, the issue has not come up . . . . .	94%
YES, the issue has come up,	
but it has not yet been resolved . . . . .	3
and the education-linked promotion policy has been revised . . . . .	0
but the education-linked promotion policy has <u>NOT</u> been revised . . . . .	2
Other (please specify:) . . . . .	1
	(n=302)

36. In your opinion, what is the minimum academic education that should be required of deputies prior to promotion to the first supervisory level?

No minimum requirement . . . . .	5%
Some high school . . . . .	2
High school diploma . . . . .	55
1 year of college . . . . .	14
2 or 3 years of college . . . . .	21
Bachelor's degree . . . . .	3
Other (please specify:) . . . . .	0
	(n=305)

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37. In your judgment, should deputies be required to take a special course in supervisory techniques either prior to being considered for their first promotion or immediately following their first promotion to a supervisory level?

No, should not be required . . . . . 16%

Yes, should be required prior to being considered for promotion . . . . . 34

Yes, should be required immediately following promotion . . . . . 50

(n=304)

38. Do you currently require that a special course for supervisors be completed?

No . . . . . 60%

Yes, prior to being considered for promotion . . . . . 4

Yes, immediately following promotion . . . . . 36

(n=307)

16-IIA

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# Operations and Manpower Requirements

39. Sheriff's department operations vary from jurisdiction to jurisdiction. For each of the following activities, please indicate whether it is performed by your department, and how you expect it to change in terms of manpower requirements within the next two years. (For each activity, please circle the number which best indicates your expectations.)

	Function Is Performed and Manpower Will:			Function Is NOT Performed.		
	Increase	Stay about the Same	Decrease	and probably will NOT be added during the next 2 years	but probably will be added during the next 2 years	
a. Patrol . . . . .	56%	34	1	6	2	(n=298)
b. Felony investigation . . . . .	61	32	0	6	1	(n=300)
c. Crime laboratory, identification and fingerprinting . . . . .	36	40	0	21	3	(n=299)
d. Jails and/or lockups . . . . .	59	33	2	6	1	(n=303)
e. Communications and dispatching . . . . .	51	41	1	6	1	(n=299)
f. Traffic control . . . . .	25	53	2	18	1	(n=296)
g. Accident investigation . . . . .	25	52	2	20	2	(n=294)
h. Parking meter checking and collection . . . . .	0	3	2	93	2	(n=279)
i. Juvenile services . . . . .	39	38	1	19	4	(n=293)
j. Transporting prisoners . . . . .	56	41	2	1	0	(n=304)
k. Data processing . . . . .	29	17	0	39	14	(n=290)
l. Administrative activities and general management . . . . .	52	47	0	1	0	(n=296)
m. Responding to calls for service for noncriminal matters . . . . .	46	46	4	1	1	(n=300)
n. Court service . . . . .	54	44	1	2	0	(n=304)
o. Gun registration . . . . .	21	30	1	44	4	(n=292)
p. Animal/dog control . . . . .	11	23	2	60	4	(n=283)
q. School crossing guards . . . . .	6	16	1	75	3	(n=283)
r. Emergency ambulance service . . . . .	5	2	2	82	5	(n=282)
s. Tax collection . . . . .	10	17	1	71	1	(n=284)
t. Airport security . . . . .	3	9	1	82	5	(n=275)
u. Other (please specify: ) . . . . .	69	19	0	0	12	(n=26)

40. Various studies have found that a large proportion of most peace officers' time is spent on noncriminal matters, such as intervening in family crises, settling disputes between neighbors, and the like. As far as your department is concerned, would you prefer that other agencies take over these noncriminal matters, or that the sheriff's department continue its current role?

Shift noncriminal matters to other agencies . . . . .	31%
Have sheriff's department continue current role . . . . .	70

(n=302)

41. Does the handling of noncriminal matters require any specialized training in (for example) social work, crisis intervention, or conflict resolution techniques?

Yes, requires substantial specialized training . . . . .	19%
Yes, requires some specialized training . . . . .	60
No, on-the-job experience is sufficient . . . . .	21
No, subject is not suitable for training . . . . .	1

(n=297)

VII-92

42. For each of the following offenses, please indicate if the number of arrests has changed significantly due to CHANGES in ARREST POLICIES in your jurisdiction (e.g., by local executive order; departmental policy; or prosecutorial, judicial, or legislative action) during the past five years.

	Arrest Policies Unchanged During Past 5 Years	Changes in Arrest Policies Have:			
		Decreased Arrests	Not Changed Arrests	Increased Arrests	
a. Public intoxication . . . . .	38%	46	8	8	(n=287)
b. Possession of small amounts of marijuana . . . . .	36	32	11	21	(n=289)
c. Prostitution . . . . .	66	13	17	4	(n=278)
d. Homosexual acts between consenting adults . . . . .	63	18	18	1	(n=279)
e. Selling pornographic material . . . . .	51	25	18	6	(n=282)
f. Gambling . . . . .	60	12	21	7	(n=284)

IF ARRESTS HAVE CHANGED DUE TO CHANGED ARREST POLICIES FOR ANY OF THESE OFFENSES, PLEASE ANSWER Q. 43. OTHERWISE, PLEASE SKIP TO Q. 44.

43. For each offense for which you reported a change in arrests in Q. 42, how has the change affected your manpower requirements?

	Increased Manpower Requirements	Not Affected Manpower Requirements	Decreased Manpower Requirements	
a. Public intoxication . . . . .	16%	77	8	(n=153)
b. Possession of small amounts of marijuana . . . . .	21	73	6	(n=140)
c. Prostitution . . . . .	18	78	4	(n=45)
d. Homosexual acts between consenting adults . . . . .	4	86	10	(n=51)
e. Selling pornographic material . . . . .	9	83	9	(n=80)
f. Gambling . . . . .	26	67	7	(n=54)

44. In which of the following areas do you expect the nonsworn share of your manpower to change within the next two years?

	Nonsworn Share of Manpower Will:			
	Increase	Not Change	Decrease	
a. Patrol . . . . .	12%	87	1	(n=217)
b. Felony investigation . . . . .	15	84	1	(n=219)
c. Crime laboratory, identification and fingerprinting . . . . .	34	65	1	(n=224)
d. Lockup . . . . .	38	60	2	(n=220)
e. Jail . . . . .	55	43	2	(n=240)
f. Communications and dispatching . . . . .	64	35	2	(n=251)
g. Traffic control . . . . .	8	90	1	(n=209)
h. Accident investigation . . . . .	7	91	2	(n=206)
i. Parking meter checking and collection . . . . .	4	93	4	(n=161)
j. Juvenile services . . . . .	29	70	1	(n=214)
k. Training . . . . .	44	55	0	(n=230)
l. Transporting prisoners . . . . .	27	73	1	(n=230)
m. Administrative services . . . . .	55	44	1	(n=242)
n. Emergency ambulance service . . . . .	9	88	3	(n=174)
o. Judicial process serving . . . . .	35	64	1	(n=225)
p. Maintaining order in the courts . . . . .	24	75	0	(n=224)
q. Gun registration . . . . .	19	79	2	(n=196)
r. Animal/dog control . . . . .	10	86	4	(n=179)
s. School crossing guards . . . . .	14	83	4	(n=177)
t. Tax collection . . . . .	12	84	4	(n=171)
u. Other (please specify) . . . . .	88	13	0	(n=8)

VII-93

45. For your department as a whole, how do you expect the nonsworn share of your manpower to change over the next two years?

No change expected . . . . .	33%
Nonsworn share of manpower will <u>increase</u> . . . . .	66
Nonsworn share of manpower will <u>decrease</u> . . . . .	1
	(n=293)

Provision of Services

46. How large is the geographical area to which you are the principal provider of law enforcement services?

Square miles: \_\_\_\_\_

47. How many municipalities do you provide with law enforcement services as part of your basic responsibilities (i.e., not on a contract basis)? . . . . .

48. Does your department provide any municipalities with law enforcement services on a contract basis?

No . . . . .	75%
Yes . . . . .	26
	(n=303)

IF YOU ANSWERED YES TO Q. 48, PLEASE ANSWER Q. 49. OTHERWISE, PLEASE SKIP TO Q. 50.

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49. Please list the number of jurisdictions served by your office on a contract basis, both currently and two years ago, for each of the functions listed below... (Please enter "N/A" for those services NOT provided on a contract basis.)

	Number of Jurisdictions Served	
	Currently	Two Years Ago
a. Complete law enforcement services . . . . .	_____	_____
Specific law enforcement services:		
b. Communications and dispatching . . . . .	_____	_____
c. Crime laboratory services . . . . .	_____	_____
d. Crime scene analysis . . . . .	_____	_____
e. Lock-up facilities . . . . .	_____	_____
f. Training . . . . .	_____	_____
g. Other (please specify): . . . . .	_____	_____

VII-94

50. Does your department operate a jail?

No . . . . 7%  
Yes . . . . 93%

(n=304)

IF YOU ANSWERED "YES" TO Q. 50, PLEASE ANSWER Q. 51 AND 52.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 53.

51. How many law enforcement agencies in your county use your jail as their principal detention facility? . . . . .

52. How many law enforcement agencies outside your county use your jail as their principal detention facility? . . . . .

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Consolidation of Departments

53. A recent policy study proposes that all law enforcement departments with fewer than ten sworn positions be merged with other departments, and the law enforcement services they formerly provided be contracted out to a larger department. In general, would you support consolidation as a more efficient and effective way of providing law enforcement services?

Yes, would strongly support . . . . . 50%  
Yes, would moderately support . . . . . 15  
Would neither support nor oppose . . . . 11  
No, would moderately oppose . . . . . 6  
No, would strongly oppose . . . . . 17  
Other (please specify): . . . . . 2

(n=297)

54. How many law enforcement departments with fewer than 10 sworn officers currently exist in your immediate geographical area?

Number: \_\_\_\_\_

IF YOU ANSWERED AT LEAST "1" IN Q. 54, PLEASE  
ANSWER Q. 55. OTHERWISE, PLEASE SKIP TO Q. 56.

55. To how many of these departments would you be willing to provide full law enforcement service on a contractual basis?

Number: \_\_\_\_\_

Sheriff's Position

56. Every sheriff has particular duties and responsibilities which confront him with especially difficult decisions and problems. Based on your personal experience, please select the three areas in which such decisions and problems most often come up, and rank them, starting with "1" for the area in which they come up the most often.

Mode  
Rank Three  
Choices Only

a. Management of law enforcement operations (patrol, investigation, field supervision) . . . . .	1	47%
b. Management of corrections operations (jail administration) . . . . .		46
c. Management of court services operations . . . . .		25
d. Budget and fiscal management (preparing budgets, estimating costs, day-to-day fiscal decisions, budget hearings and so on) . . . . .		44
e. Personnel management (discipline, employee and personnel matters, union bargaining) . . . . .		30
f. Planning and evaluation (setting goals and reviewing agency performance against objectives) . . . . .		31
g. Dealing with other criminal justice agencies (judges, prosecutors, defenders, police, correctional and probation officers, and so on) . . . . .		26
h. Dealing with the public (giving speeches to citizens' groups, citizen contact, and so on) . . . . .	2	31
i. Dealing with the news media (giving information, press conferences, and answering questions for newspapers, radio, and television) . . . . .	3	15
j. Dealing with local officials (correspondence and meetings with county executive, mayors, city managers, city councils, and so on) . . . . .		34
k. Dealing with state officials (correspondence and meetings with governor, state commissions, legislators, and so on) . . . . .		7
l. Other duties and responsibilities (please specify:) . . . . .		0

(n varies 34-180)

56-11A

57. Based upon your experience, what kind of special courses, workshops, training sessions or seminars would you recommend as especially useful for your successors to take? (Please circle all that apply.)

a. Law enforcement administration . . . . .	90%
b. Correctional administration . . . . .	72
c. Personnel management . . . . .	81
d. Labor relations/collective bargaining . . . . .	49
e. Law enforcement budgeting/planning and evaluation . . . . .	84
f. Applied criminology . . . . .	32
g. Criminalistics . . . . .	28
h. Criminal law/criminal procedure . . . . .	61
i. Corrections law . . . . .	54
j. Law enforcement intelligence . . . . .	39
k. Hostage negotiation . . . . .	30
l. Crisis intervention . . . . .	34
m. Counseling techniques . . . . .	33
n. Drugs . . . . .	41
o. Community relations . . . . .	76
p. Other (please specify:) . . . . .	5
q. NONE . . . . .	1

(n=309)

38. In which of the following areas have you had special courses, workshops, training sessions or seminars? (Please circle all that apply.)

a. Law enforcement administration . . . . .	82
b. Correctional administration . . . . .	63
c. Personnel management . . . . .	69
d. Labor relations/collective bargaining . . . . .	42
e. Law enforcement budgeting/planning and evaluation . . . . .	61
f. Applied criminology . . . . .	47
g. Criminalistics . . . . .	40
h. Criminal law/criminal procedure . . . . .	73
i. Corrections law . . . . .	51
j. Law enforcement intelligence . . . . .	46
k. Hostage negotiation . . . . .	30
l. Crisis intervention . . . . .	38
m. Counseling techniques . . . . .	34
n. Drugs . . . . .	60
o. Community relations . . . . .	66
p. Other (please specify) . . . . .	5
q. NONE . . . . .	4

(n=253)

96-11A

39. How important do you think each of the following are as goals for your department? Please rank them, using "1" for the most important, "2" for the next most important, and so on.

MODE  
RANK

a. Community satisfaction with sheriff's department . . . . .	1	63%
b. Low reported crime rate . . . . .	5/6	13
c. Low crime rate for major crimes committed on streets and highways . . . . .		23
d. Low response time to calls for service . . . . .	2/4	13
e. High clearance rate . . . . .	3/4	7
f. Other (please specify): Too small to measure. . . . .		

(n varies: 268-278)

60. How much improvement in crime control and the administration of justice do you think could be achieved through changes in staffing, organization, and policies of law enforcement agencies in general (local, county, and state)?

A great deal of improvement . . . . .	45%
Some improvement . . . . .	48
Little or no improvement . . . . .	7

(n=295)

61. What do you consider to be the major obstacle to the proper administration of justice in your jurisdiction?

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11

Sheriff's Background

62. Please record your:

	MEDIAN
a. Age: . . . . .	50
b. Sex: (please circle) . . .	Male 99%
	Female 1
c. Color or race: . . . . .	(n=304)
White . . . . .	100%
Black . . . . .	0
Other (please specify) . . .	0
_____	(n=306)

63. How were you selected for your current position?

Election . . . . .	94%
Other (please specify) . . .	6
_____	(n=306)
_____	

64. Before you became Sheriff, were you employed by this department?

No . . . . .	47%
Yes . . . . .	53
	(n=305)

IF YOU ANSWERED "NO" TO Q. 64, PLEASE ANSWER Q. 65.  
OTHERWISE, PLEASE SKIP TO Q. 66.

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65. By what kind of organization were you employed?

City police department . . . .	31%
State police department . . . .	13
Sheriff's department . . . . .	2
Correctional agency . . . . .	3
Military . . . . .	6
FBI . . . . .	4
Other (please specify) . . . .	18
_____	24
_____	

66. In all, how many years have you worked in law enforcement? . . . . .

67. Have you ever served as Sheriff in another sheriff's department?

No . . . . .	99%
Yes . . . . .	1

68. How many years have you worked in your present department? (IF LESS THAN SIX MONTHS, PLEASE ENTER "0") . . . . . (n=302)

69. How many years have you been Sheriff of your present department? (IF LESS THAN SIX MONTHS, PLEASE ENTER "0") . . . . .

70. In which of the following types of agencies have you ever worked? (Please circle all that apply.)

a. Police department . . . . .	46%
b. Prosecutor's office . . . . .	6
c. Criminal defense office . . . . .	1
d. Probation agency . . . . .	4
e. Parole agency . . . . .	2
f. Jail . . . . .	19
g. Prison . . . . .	2
h. Military police . . . . .	16
i. NONE OF THE ABOVE . . . . .	28

71. Please circle the number indicating the extent of your academic education prior to starting your law enforcement career:

Less than high school diploma . . . . .	10%
High school graduate . . . . .	52
1 year of college . . . . .	12
2 or 3 years of college . . . . .	13
Bachelor's degree . . . . .	8
Some graduate course work . . . . .	3
Master's degree . . . . .	1
Graduate work beyond a Master's degree . . . . .	0
LL.B., J.D., or other law degree . . . . .	2
Ph.D. or other doctorate . . . . .	0

(n=299)

72. Please circle the number indicating your current level of academic education:

Less than high school diploma . . . . .	6%
High school graduate . . . . .	31
1 year of college . . . . .	16
2 or 3 years of college . . . . .	26
Bachelor's degree . . . . .	10
Some graduate/course work . . . . .	5
Master's degree . . . . .	3
Graduate work beyond the master's degree . . . . .	0
LL.B., J.D., or other law degree . . . . .	2
Ph.D. or other doctorate . . . . .	1

IF YOU HAVE EARNED AT LEAST ONE COLLEGE DEGREE, PLEASE ANSWER Q. 73. OTHERWISE, PLEASE SKIP TO Q. 74.

(n=297)

73. Please record your area of specialization for each college degree you have earned.

- a. A.A.: \_\_\_\_\_
- b. B.A. or B.S.: \_\_\_\_\_
- c. M.A.: \_\_\_\_\_
- d. Ph.D., LL.B. or J.D.: \_\_\_\_\_

86-11A

74. Did you continue your academic education after beginning your law enforcement career?

No . . . . 44%  
Yes . . . . 56

(n=297)

IF YOU ANSWERED "YES" TO Q. 74, PLEASE ANSWER Q. 75. OTHERWISE, PLEASE SKIP TO Q. 76.

75. Did you receive financial assistance to continue your schooling from any of the following sources? (Please circle all that apply.)

a. Law Enforcement Education Program (L.E.E.P.) . . . . . 35%  
b. G.I. Bill . . . . . 21  
c. Other federal programs . . . . . 13  
d. State programs . . . . . 17  
e. The law enforcement agency you were employed by . . . . . 32  
f. Other financial aid . . . . . 8  
g. None . . . . . 28

(n=165)

76. Have you been graduated from the F.B.I. academy?

No . . . . 79%  
Yes . . . . 21

(n=296)

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

66-11A

SHERIFF'S DEPARTMENT FACT SHEET

Personnel Information

IF YOU HAVE ANY FULL-TIME DEPUTIES ASSIGNED PRIMARILY TO ANY ONE OF THE FOLLOWING FUNCTIONS--LAW ENFORCEMENT, CORRECTIONS, OR COURT SERVICE--PLEASE FILL OUT Q. 77. OTHERWISE, PLEASE SKIP TO Q. 78.

77. What was this department's employment in each of the following categories on June 30, 1975?

NOTE: COUNT EMPLOYEES WORKING 35 HOURS OR MORE PER WEEK AS FULL-TIME, AND EMPLOYEES WORKING LESS THAN 35 HOURS A WEEK AS PART-TIME.

	Full-Time		Part-Time	
	$\bar{x}$	n	$\bar{x}$	n
TOTAL EMPLOYMENT . . . . .	111.4	222	10.1	163
Law enforcement:				
a. Deputy sheriffs (sworn nonsupervisory personnel assigned primarily to patrol, traffic or investigatory duties) . . . . .	38.4	242	6.3	77
b. Supervisory deputy sheriffs (lowest level supervisors assigned primarily to law enforcement duties) . . . . .	7.7	223	.24	44
Corrections:				
c. Deputy sheriffs (sworn nonsupervisory personnel assigned primarily as jail guards, prisoner transport guards, and so on) . . . . .	17.4	239	3.9	71
d. Supervisory deputy sheriffs (lowest level supervisors assigned primarily to law enforcement duties) . . . . .	3.5	185	.21	43
Court services:				
e. Deputy sheriffs (sworn nonsupervisory personnel assigned to serving the courts, delivering summonses, and so on) . . . . .	9.1	212	3.6	43
f. Supervisory deputy sheriffs (lowest level supervisors assigned primarily to court services) . . . . .	1.7	158	.69	43
Other:				
g. All other deputy sheriffs (those NOT assigned primarily to law enforcement, corrections or court services) . . . . .	9.1	155	2.0	43
h. All other supervisory deputy sheriffs (those NOT assigned primarily to law enforcement, corrections or court services) . . . . .	3.2	119	.78	36
i. Middle managers (deputy sheriffs above the rank of basic supervisory deputy, but below the rank of undersheriff or chief deputy) . . . . .	9.5	154	.78	32
j. Sheriff, undersheriff, and chief deputies . . . . .	7.7	21	.06	39
k. Professional and technical nonsuorn personnel . . . . .	7.9	143	.53	51
l. Other nonsuorn personnel . . . . .	21.3	176	5.5	63

IF YOU ANSWERED Q. 77, PLEASE SKIP TO Q. 79.

78. What was this department's employment in each of the following categories as of June 30, 1973?

	Full-Time		Part-Time	
	$\bar{x}$	n	$\bar{x}$	n
a. TOTAL EMPLOYMENT . . . . .	32.4	37	7.3	17
b. Deputy sheriffs . . . . .	19.7	40	6.2	13
c. First-line supervisory deputies . . . . .	6.9	23	0	2
d. Middle managers (deputy sheriffs above the rank of basic supervisory deputies, but below the rank of undersheriff or chief deputy) . . . . .	4.0	23	17	3
e. Sheriff, undersheriff, and chief deputies . . . . .	1.6	37	16.2	3
f. Professional and technical nonsworn personnel . . . . .	3.4	21	0	2
g. Other nonsworn personnel . . . . .	8.5	27	1.5	6

79. How many deputy sheriffs voluntarily resigned from your department during the 12-month period from June 30, 1973 to June 30, 1974?

$\bar{x}$  = 4.9 n = 276

80. How many deputy sheriffs did your department hire during the 12-month period from June 30, 1973 to June 30, 1974?

9.3 270

81. How many deputy sheriffs were employed by your department on June 30, 1973?

58.1 261

82. How many deputy sheriffs were employed by your department on June 30, 1974?

61.4 268

83. Do you currently accept lateral entrants (i.e., experienced deputies from other departments) directly into supervisory ranks but below the level of Sheriff?

Yes . . . . . 16%

No, lateral entrants are accepted only for the basic deputy sheriff position . . . . . 50

No, lateral entrants are not accepted at all . . . . . 34

84. Does your department participate in collective bargaining with a union which represents your deputies?

(n=289)

No . . . . . 66%

Yes . . . . . 34

(n=299)

85. Are applicants for sworn positions required to take a written examination?

Yes, required by civil or merit service . . . 41%

Yes, as a matter of departmental policy . . . 20

No . . . . . 39

86. Is the position of deputy sheriff regulated by civil service?

(n=302)

No . . . . . 65%

Yes . . . . . 35

87. Does this department have written job descriptions for officers in the basic deputy sheriff position?

(n=303)

No . . . . . 26%

Yes . . . . . 74

88. What are the minimum and maximum annual salaries of the basic deputy sheriff position?

(n=300)

a. Minimum: \$ 9,006 293

b. Maximum: \$11,399 295

# Workload and Office Information

89. Total number of crimes reported in calendar year 1974:

$\bar{x}$  = n =

a. Part I crimes: 2645 182

b. Part II crimes: 5219 141

90. Total number of arrests in calendar year 1974:

a. Part I crimes: 669 169

b. Part II crimes: 1556 152

91. Total number of calls for service in calendar year 1974: 19,554 180

92. What is the capacity of the jail (or other confinement facility) operated by your department? (If your department does not operate a jail, please enter "N/A.")

$\bar{x}$  = n =

Capacity: 140.2 278

93. What was the average daily population of your jail (or other confinement facility) during the last calendar year? (If your department does not operate a jail, please enter "N/A.")

Average daily population:  $\bar{x}$  = 342 n = 282

94. Approximately how large is the current population of your county? . . . . .

175,104 294

95. Approximately how large is the population served by your sheriff's department? . . . . .

120,832 290

Expenditures

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE, PLEASE GIVE YOUR BEST ESTIMATE.

96. Total annual department expenditures for the last complete fiscal year: . . . . .

Mean not available  
Median \$449,435 n = 280

97. Annual payroll expenditures for the last complete fiscal year (salaries and fringe benefits): . . . . .

Mean \$960,041  
Median \$555,280 n = 271

98. Annual operating expenditures for training for the last complete fiscal year (excluding salary of trainees): . . . . .

Mean \$25,916  
Median \$2,507 n = 23

Correct Respond . . . . . 99%  
Incorrect . . . . . 1  
(n=309)

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APPENDIX  
SMALL SHERIFF

OMB No.: 043-875032  
Approval Expires: July 31, 1976

LEAA No.: 3600-3

BSSR No.: 46713

1-3

6-1

Manpower Issues

1. How serious do you think each of the following manpower problems is in your department? Please rank them, using "1" for the most serious problem, "2" for the next most serious, and so on.

	MODAL RANK	PERCENT RESPONDING MOST SERIO
a. Inadequate number of authorized positions . . . . .	1	74%
b. Inability to achieve or maintain authorized strength. . . . .	2	26
c. High (excessive) turnover . . . . .	4	9
d. Inadequate training of personnel. . . . .	3	16
e. Inadequate representation of minorities or women on force . . . . .	5/6	4
f. Other (please specify:) . . . . .	-	*

(n varies  
178-242)

2. What do you feel is the major factor contributing to the manpower problem you ranked "most serious" (i.e., ranked "1") in Q. 1?

General lack of qualified applicants. . . . .	3%
Lack of qualified minority or female applicants . . . . .	:
Inadequate levels of compensation . . . . .	14
Insufficient funds for training . . . . .	7
General budgetary problems. . . . .	6
Limited opportunities for advancement . . . . .	4
Other (please specify:) . . . . .	4
No problem. . . . .	3

\*Base too small to percentage

(n= 221)

3. Does your department have a critical manpower shortage in any of the following personnel categories? (Please circle all that apply.)

- a. Deputy sheriffs (basic sworn officers including deputies assigned to law enforcement, corrections activities and court services) . . . . . 61%
- b. Supervisory deputy sheriffs (deputies above the basic sworn position, but below chief deputy or undersheriff) . . . . . 14
- c. Sheriff, undersheriff and chief deputies . . . . . 8
- d. Nonsworn personnel . . . . . 13
- e. NO CRITICAL SHORTAGES IN ANY OF THE ABOVE CATEGORIES . . . . . 31

(n=276)

4. During the three years before the current recession (i.e., the years 1971-74), how serious a problem were voluntary resignations among your deputy and supervisory deputy sheriffs?

- Critical problem . . . . . 4
- Serious problem . . . . . 8
- Moderate problem . . . . . 15
- Slight problem . . . . . 19
- No problem at all . . . . . 54

(n=267)

5. During the three years before the current recession (i.e., the years 1971-74), did your department have an adequate supply of qualified applicants for the position of deputy sheriff?

No . . . . . 47%

Yes . . . . . 53

(n=271)

6. In your judgment, how many employees in each of the following categories would you need to fulfill effectively all the duties and responsibilities with which your department is charged?

a. Total number of sworn personnel . . . . .

b. Total number of nonsworn personnel . . . . .

7. What was this department's employment in each of the following categories on June 30, 1975?

a. Number of sworn personnel . . . . .

b. Number of nonsworn personnel . . . . .

8. How many employees do you actually expect to have on the payroll by June 30, 1976?

a. Number of sworn personnel . . . . .

b. Number of nonsworn personnel . . . . .

Entry Level Standards

9. Based upon your experience as an administrator, what do you think is the minimum education a deputy sheriff should have prior to joining your department?

- Less than high school diploma . . . . . 1%
- High school diploma . . . . . 87
- 1 year of college . . . . . 4
- 2 or 3 years of college . . . . . 6
- Bachelor's degree . . . . . 0
- Education requirement not relevant to the job . . . . . 2

(n=270)

10. What is the minimum education now required of new deputy sheriffs by your department?

- No minimum required . . . . . 21%
- Less than high school diploma . . . . . 3
- High school diploma . . . . . 75
- 1 year of college . . . . . 1
- 2 or 3 years of college . . . . . 0
- Bachelor's degree . . . . . 0
- Other (please specify) . . . . . 0

(n=273)

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11. What is the probability that a higher minimum education standard will be adopted at your department within the next two years?

Will almost certainly be adopted . . . . .	5%
Will probably be adopted . . . . .	21
Will probably <u>NOT</u> be adopted . . . . .	55
Will almost certainly <u>NOT</u> be adopted . . . . .	19
(n=273)	

12. Physical entry standards have been challenged on the grounds that they discriminate against women and minority groups. Have you had to deal with this issue? If so, have the standards at your department been affected?

NO, the issue has not come up . . . . .	96%
YES, the issue has come up,	
but it has not yet been resolved . . . . .	2
and the physical entry standards have been revised . . . . .	2
but the physical entry standards have <u>NOT</u> been revised . . . . .	0
OTHER (please specify:) . . . . .	0
(n=273)	

Formal Entry Level Training

13. How many hours of formal (i.e., other than on-the-job) entry level training are currently provided to your new recruits? (If none, please enter "0.")

Number of hours: \_\_\_\_\_

IF YOU ENTERED "0" IN Q. 13, PLEASE ANSWER Q. 14. OTHERWISE, PLEASE SKIP TO Q. 15.

14. Do you expect to begin providing any formal entry level training for your new deputy sheriffs within the next two years?

Yes, definitely . . . . .	12%
Yes, probably . . . . .	20
Probably not . . . . .	36
Definitely not . . . . .	8
Don't know . . . . .	24
(n=50)	

IF YOU ANSWERED Q. 14, PLEASE SKIP TO Q. 21.

15. Is formal entry level training provided to every new recruit?

Yes . . . . .	75%
No, not provided to recruits with prior law enforcement experience . . . . .	21
No, other (please explain:) . . . . .	2
Not mandatory with graduate of certified academy; not always provided to officers with prior experience. . . . .	5
(n=195)	

16. Where do your new recruits take their formal entry level training? (Please circle all that apply.)

a. Within the department . . . . .	15%
b. At a local educational institution . . . . .	12
c. At another law enforcement agency's academy . . . . .	7
d. At a regional training academy . . . . .	19
e. At a state training academy . . . . .	58
f. Other (please specify:) . . . . .	2
(n=226)	

17. Where will your new recruits probably take their formal entry level training two years from now? (Please circle all that apply.)

a. Within the department . . . . .	12%
b. At a local educational institution . . . . .	10
c. At another law enforcement agency's academy . . . . .	6
d. At a regional training academy . . . . .	22
e. At a state training academy . . . . .	59
f. Other (please specify:) . . . . .	0
	(n=226)

18. Has the length of formal entry level training provided to your new recruits changed in the past five years?

No, length unchanged . . . . .	26%
Yes, length increased . . . . .	74
Yes, length decreased . . . . .	1
	(n=202)

19. Do you expect that the length of formal entry level training provided to your new recruits will be changed during the next two years?

No, no change expected . . . . .	28%
Yes, length expected to increase . . . . .	50
Yes, length expected to decrease . . . . .	0
Don't know . . . . .	22
	(n=201)

20. Which of the following areas are covered in the formal entry level training provided to your new recruits? (Please circle all that apply.)

a. Departmental policies and procedures . . . . .	54%
b. Weapons policy . . . . .	67
c. Weapons training . . . . .	80
d. Criminal law and legal procedures . . . . .	80
e. Criminal evidence and investigative procedures . . . . .	77
f. Preventive patrol techniques . . . . .	64
g. Traffic control . . . . .	67
h. Accident investigation . . . . .	74
i. First aid and emergency medical treatment . . . . .	72
j. Report writing and preparation . . . . .	79
k. Community and race relations . . . . .	57
l. Crisis intervention and domestic dispute settlement . . . . .	58
m. Physical training and self-defense . . . . .	68
n. Juvenile policies and procedures . . . . .	71
o. Other (please specify:) . . . . .	4
	(n=226)

21. How much emphasis in formal entry level training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures . . .	64%	33	3	(n=251)
b. Weapons policy . . . . .	72%	26	2	(n=255)
c. Weapons training . . . . .	78%	21	1	(n=262)
d. Criminal law and legal procedures . . .	85%	13	2	(n=262)
e. Criminal evidence and investigative procedures . . . . .	87%	12	1	(n=262)
f. Preventive patrol techniques . . . . .	48%	48	5	(n=251)
g. Traffic control . . . . .	27%	53	19	(n=247)
h. Accident investigation . . . . .	42%	44	15	(n=255)
i. First aid and emergency medical treatment . . . . .	56%	40	4	(n=256)
j. Report writing and preparation . . . . .	74%	23	3	(n=261)
k. Community and race relations . . . . .	49%	43	8	(n=253)
l. Crisis intervention and domestic dispute settlement . . . . .	54%	38	8	(n=253)
m. Physical training and self-defense . . .	55%	42	3	(n=257)
n. Juvenile policies and procedures . . . .	50%	44	5	(n=259)
o. Other (please specify: ) . . . . .	67%	17	17	(n=6)

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In-Service Training

22. Does your department provide formal in-service training other than roll-call training to your experienced deputy sheriffs?

No . . . . 50%  
Yes . . . . 50  
(n=273)

IF YOU ANSWERED "YES" TO Q. 22, PLEASE ANSWER Q. 23-26. OTHERWISE, PLEASE SKIP TO Q. 27.

23. Approximately how many of your experienced deputy sheriffs attended formal in-service training during the last fiscal year?

Number: \_\_\_\_\_

24. For those experienced deputy sheriffs who attended formal in-service training during the last fiscal year, approximately what was the average length of training in hours?

Average hours: \_\_\_\_\_

25. Where do your experienced deputy sheriffs take their formal in-service training? (Please circle all that apply.)

a. Within the department . . . . . 45%  
b. At a local educational institution . . . . . 33  
c. At another law enforcement agency's academy . . . . . 25  
d. At a regional training academy . . . . 23  
e. At a state training academy . . . . . 41  
f. Other (please specify: ) . . . . . 7  
(n=137)

26. Which of the following areas are covered in the formal in-service training? (Please circle all that apply.)

a. Departmental policies and procedures . . . . .	57%
b. Weapons policy . . . . .	56
c. Weapons training . . . . .	65
d. Criminal law and legal procedures . . . . .	88
e. Criminal evidence and investigative procedures . . . . .	88
f. Preventive patrol techniques . . . . .	49
g. Traffic control . . . . .	43
h. Accident investigation . . . . .	54
i. First aid and emergency medical treatment . . . . .	60
j. Report writing and preparation . . . . .	65
k. Community and race relations . . . . .	49
l. Crisis intervention and domestic dispute settlement . . . . .	52
m. Physical training and self-defense . . . . .	47
n. Juvenile policies and procedures . . . . .	60
o. Other (please specify:) . . . . .	8
	(n=137)

VII-107

27. How much emphasis in formal in-service training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures . . . . .	64%	31	5	(n=239)
b. Weapons policy . . . . .	66%	30	4	(n=238)
c. Weapons training . . . . .	71%	27	3	(n=244)
d. Criminal law and legal procedures . . . . .	83%	15	2	(n=247)
e. Criminal evidence and investigative procedures . . . . .	86%	14	1	(n=245)
f. Preventive patrol techniques . . . . .	42%	48	10	(n=235)
g. Traffic control . . . . .	21%	57	22	(n=232)
h. Accident investigation . . . . .	39%	41	20	(n=239)
i. First aid and emergency medical treatment . . . . .	53%	42	5	(n=245)
j. Report writing and preparation . . . . .	69%	26	5	(n=245)
k. Community and race relations . . . . .	45%	42	13	(n=236)
l. Crisis intervention and domestic dispute settlement . . . . .	50%	43	7	(n=240)
m. Physical training and self-defense . . . . .	47%	45	7	(n=243)
n. Juvenile policies and procedures . . . . .	52%	41	7	(n=242)
o. Other (please specify:) . . . . .	78%	22	0	(n=9)

28. Within the next two years, do you expect a change in the formal in-service training provided for your deputy sheriffs?

Will begin in-service training . . . . .	16%
Will increase it . . . . .	43
Will leave it unchanged . . . . .	31
Will decrease it . . . . .	0
Will terminate in-service training . . . . .	0
In-service training is not now provided nor will it be begun . . . . .	10
	(n=260)

IF NEITHER FORMAL ENTRY LEVEL NOR FORMAL IN-SERVICE TRAINING IS PROVIDED TO YOUR DEPUTIES, PLEASE SKIP TO Q. 31. OTHERWISE, PLEASE CONTINUE.

29. In your opinion, to what extent is each of the following factors a limitation on the overall effectiveness of training in your department?

	Serious Limitation	Moderate Limitation	Not a Limitation	
a. Workload frequently prevents release of deputies for training . . . . .	76%	22	2	(n=180)
b. Workload frequently prevents release of senior staff to provide training . . . . .	56%	32	13	(n=164)
c. Inadequate training budget . . . . .	57%	25	18	(n=169)
d. Necessary training resources are not available locally . . . . .	44%	31	25	(n=165)
e. Other (please specify:) . . . . .	100%	0	0	(n=2)

VII-108

30. On the whole, how satisfied are you with all aspects of training in your department?

Extremely satisfied . . . . .	6%
Very satisfied . . . . .	15
Satisfied . . . . .	48
Dissatisfied . . . . .	27
Very dissatisfied . . . . .	2
Extremely dissatisfied . . . . .	3
	(n=192)

Continuing Academic Education

31. In your judgment, should your department encourage deputy sheriffs to pursue a college degree program once they have begun their careers as peace officers?

Should strongly encourage . . . . .	25%
Should encourage . . . . .	47
Should discourage . . . . .	2
Is not a matter for the department to take a stand on . . . . .	27
	(n=264)

32. Please rank the following five policies in order of how effective you think they would be in encouraging deputy sheriffs to continue their academic education.

	MODAL RANK	PERCENT RESPOND MOST EFFECT
a. Adjusting schedules to facilitate class attendance . . . . .	5	25%
b. Allowing time off to attend class . . . . .	4	22
c. Departmental subsidies for books and tuition . . . . .	3	14
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	1	47
e. Using academic education as part of the basis for promotions . . . . .	2	14

(n varies:  
209-218)

33. Which, if any, of the following policies has your department ever adopted?

	Adopted and Continued	Adopted But Later Terminated	Never Adopted by the Department	
a. Adjusting schedules to facilitate class attendance . . . . .	51%	5	44	(n=227)
b. Allowing time off to attend class . . . . .	45%	4	52	(n=231)
c. Departmental subsidies for books and tuition . . . . .	13%	3	84	(n=207)
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	5%	1	95	(n=211)
e. Using academic education as part of the basis for promotions . . . . .	13%	1	87	(n=209)

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Promotion Policies

34. In your opinion, what is the minimum academic education that should be required of deputies prior to promotion to the first supervisory level?

No minimum requirement . . . . .	13%
Some high school . . . . .	1
High school diploma . . . . .	69
1 year of college . . . . .	8
2 or 3 years of college . . . . .	9
Bachelor's degree . . . . .	0
Other (please specify) . . . . .	0

(n=254)

35. In your judgment, should deputies be required to take a special course in supervisory techniques either prior to being considered for their first promotion, or immediately following their first promotion to a supervisory level?

No, should not be required . . . . .	28%
Yes, should be required prior to being considered for promotion . . . . .	37
Yes, should be required immediately following promotion . . . . .	35

(n=258)

36. Do you currently require that a special course for supervisors be completed?

No . . . . .	84%
Yes, prior to being considered for promotion . . . . .	7
Yes, immediately following promotion . . . . .	9

(n=258)

**CONTINUED**

**12 OF 6**

**Operations and Manpower Requirements**

37. Sheriff's department operations vary from jurisdiction to jurisdiction. For each of the following activities, please indicate whether it is performed by your department, and how you expect it to change in terms of manpower requirements within the next two years. (For each activity, please circle the number which best indicates your expectations.)

OTI-11A

Activity Is  
Performed and  
Manpower Will:

Activity Is  
NOT Performed,

Increase  
Stay about  
the Same  
Decrease

and probably will  
NOT be added during  
the next 2 years  
but probably WILL  
be added during  
the next 2 years

		Increase	Stay about the Same	Decrease	and probably will <u>NOT</u> be added during the next 2 years	but probably <u>WILL</u> be added during the next 2 years	
a.	Patrol . . . . .	38%	53	2	4	2	(n=255)
b.	Crime investigation, identifica- tion and fingerprinting . . . .	46%	52	0	2	0	(n=257)
c.	Lockup and/or jail . . . . .	40%	55	2	2	1	(n=253)
d.	Communications and dispatching .	38%	57	1	3	1	(n=254)
e.	Traffic control . . . . .	11%	73	4	10	2	(n=252)
f.	Accident investigation . . . . .	15%	69	5	11	1	(n=258)
g.	Administrative activities, general management . . . . .	35%	58	2	4	1	(n=253)
h.	Animal/dog control . . . . .	6%	41	11	38	4	(n=246)
i.	Gun registration . . . . .	18%	45	2	31	5	(n=247)
j.	Court service . . . . .	45%	54	1	1	0	(n=256)
k.	Tax collection . . . . .	17%	44	3	33	4	(n=242)
l.	Responding to calls for service for noncriminal matters . . . .	42%	53	2	2	0	(n=255)
m.	Other (please specify:)	67%	33	0	0	0	(n=9)

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38. Various studies have found that a large proportion of most peace officers' time is spent on noncriminal matters, such as intervening in family crises, settling disputes between neighbors, and the like. As far as your department is concerned, would you prefer that other agencies take over these noncriminal matters, or that the sheriff's department continue its current role?

Shift noncriminal matters to other agencies . . . . . 32%

Have sheriff's department continue current role . . . . . 68 (n=269)

39. Does the handling of noncriminal matters require any specialized training in (for example) social work, crisis intervention, or conflict resolution techniques?

Yes, requires substantial specialized training . . . . 14%

Yes, requires some specialized training . . . . . 49

No, on-the-job experience is sufficient . . . . . 36

No, subject is not suitable for training . . . . . 2 (n=265)

**Provision of Services**

40. How large is the geographical area to which you are the principal provider of law enforcement services?

Square miles: \_\_\_\_\_

41. How many municipalities do you provide with law enforcement services as part of your basic responsibilities (i.e., not on a contract basis)?

42. Does your department provide any municipalities with law enforcement services on a contract basis?

No . . . . . 85

Yes . . . . . 15 (n=271)

IF YOU ANSWERED "YES" TO Q. 42, PLEASE ANSWER Q. 43. OTHERWISE, PLEASE SKIP TO Q. 44.

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43. Please list the number of jurisdictions served by your office on a contract basis, both currently and two years ago, for each of the functions listed below. (Please enter "N/A" for those services NOT provided on a contract basis.)

	Number of Jurisdictions Served:	
	Currently	Two Years Ago
a. Complete law enforcement services . . . . .	_____	_____
Specific law enforcement services:		
b. Communications and dispatching . . . . .	_____	_____
c. Crime laboratory services . . . . .	_____	_____
d. Crime scene analysis . . . . .	_____	_____
e. Lock-up facilities . . . . .	_____	_____
f. Training . . . . .	_____	_____
g. Other (please specify:) . . . . .	_____	_____

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44. Does your department operate a jail?

No . . . . 13%  
Yes . . . . 87  
(n=270)

IF YOU ANSWERED "YES" TO Q. 44, PLEASE ANSWER Q. 45 AND 46.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 47.

45. How many law enforcement agencies in your county use your jail as their principal detention facility? . . . .

46. How many law enforcement agencies outside your county use your jail as their principal detention facility? . . . .

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47. Which, if any, of the following services are provided to your jurisdiction by another law enforcement agency? (Please circle all that apply.)

a. Communications and dispatching . . . . .	29%
b. Crime laboratory services . . . . .	8
c. Crime scene analysis . . . . .	39
d. Lock-up facilities . . . . .	20
e. Training . . . . .	61
f. Other (please specify:) . . . . .	1
_____	
g. None . . . . .	6 (n=276)

IF ANY OF THE ABOVE SERVICES ARE PROVIDED TO YOUR JURISDICTION BY ANOTHER LAW ENFORCEMENT AGENCY, PLEASE ANSWER Q. 48-50. OTHERWISE, PLEASE SKIP TO Q. 51.

48. Are any of these services provided on a contract basis?

No . . . . 87%  
Yes . . . . 13  
(n=243)

49. Which of the following provide the services to your jurisdiction? (Please circle all that apply.)

a. Another sheriff's department. . . . .	18%
b. County police . . . . .	3
c. State police . . . . .	59
d. Other local police department(s) . . . . .	24
e. Other (please specify:) . . . . .	28
_____	
	(n=260)

30. Do you expect the services provided to your jurisdiction by other law enforcement agencies to expand, not change, or be reduced within the next two years?

	Services Will Probably			
	Expand	Not Change	Be Reduced	
a. Communications and dispatching . . . . .	31%	61	9	(n=140)
b. Crime laboratory services . . . . .	39%	60	1	(n=218)
c. Crime scene analysis . . . . .	30%	67	3	(n=158)
d. Lock-up facilities . . . . .	17%	80	4	(n=14)
e. Training . . . . .	51%	48	2	(n=136)
f. Other service (please specify:) . . . . .	33%	50	17	(n=6)

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31. Sheriff's Position

Every sheriff has particular duties and responsibilities which confront him with especially difficult decisions and problems. Based on your personal experience, please select the three areas in which such decisions and problems most often come up, and rank them, starting with "1" for the area in which they come up the most often.

	Rank Three Choices Only	Percent Respond Most Of
a. Management of law enforcement operations (patrol, investigation, field supervision) . . . . .	1	65%
b. Management of corrections operations (jail administration) . . . . .	2	34
c. Management of court services operations . . . . .		33
d. Budget and fiscal management (preparing budgets, estimating costs, day-to-day fiscal decisions, budget hearings and so on) . . . . .		50
e. Personnel management (discipline, employee and personnel matters, union bargaining) . . . . .		27
f. Planning and evaluation (setting goals and reviewing agency performance against objectives) . . . . .		20
g. Dealing with other criminal justice agencies (judges, prosecutors, defenders, police, correctional and probation officers, and so on) . . . . .		40
h. Dealing with the public (giving speeches to citizen's groups, citizen contact, and so on) . . . . .		38
i. Dealing with the news media (giving information, press conferences, and answering questions for newspapers, radio, and television) . . . . .		13
j. Dealing with local officials (correspondence and meetings with county executive, mayors, city managers, city councils, and so on) . . . . .		28
k. Dealing with state officials (correspondence and meetings with governor, state commissions, legislators, and so on) . . . . .		33
l. Other duties and responsibilities (please specify:) . . . . .		

(n varies 21-144)



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54. How important do you think each of the following are as goals for your department? Please rank them, using "1" for the most important, "2" for the next most important, and so on.

	MODAL RANK	PERCENT RESPONDING MOST IMPORTANT
a. Community satisfaction with sheriff's department . . .	1	69%
b. Low reported crime rate . . . . .	5	13
c. Low crime rate for major crimes committed on streets and highways . . . . .	4	22
d. Low response time to calls for service . . . . .	3	13
e. High clearance rate . . . . .	2	18
f. Other (please specify:)		

(n varies: 246-267)

55. How much improvement in crime control and the administration of justice do you think could be achieved through changes in staffing, organization, and policies of law enforcement agencies in general (local, county, and state)?

A great deal of improvement . . .	42%
Some improvement . . . . .	44
Little or no improvement . . . . .	14

(n=266)

56. What do you consider to be the major obstacle to the proper administration of justice in your jurisdiction?

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Sheriff's Background

57. Please record your:

a. Age: (median) . . . . .	49
b. Sex: (please circle) . . . . .	Male 99%
	Female 1
	(n=276)
c. Color or race:	
White . . . . .	100
Black . . . . .	0
Other (please specify:)	0
	(n=272)

58. How were you selected for your current position?

Election . . . . .	95%
Appointed, submitted resume or application and was interviewed, etc. . . . .	4
All other	1

(n=274)

59. Before you became Sheriff, were you employed by this department?

No . . . . .	56%
Yes . . . . .	44

(n=274)

IF YOU ANSWERED "NO" TO Q. 59, PLEASE ANSWER Q. 60. OTHERWISE, PLEASE SKIP TO Q. 61.

60. By what kind of organization were you employed?

City police department . . . . .	28%
State police department . . . . .	14
Sheriff's department . . . . .	2
Correctional agency . . . . .	2
Military . . . . .	7
FBI . . . . .	6
No previous experience or non criminal justice experience.	43
All others	4

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61. In all, how many years have you worked in law enforcement? . . . \_\_\_\_\_

62. Have you ever served as Sheriff in another sheriff's department?

No . . . . 98%

Yes . . . . 2  
(n=273)

63. How many years have you worked in your present department?  
(IF LESS THAN SIX MONTHS, PLEASE ENTER "0".) . . . . \_\_\_\_\_

64. How many years have you been Sheriff of your present department?  
(IF LESS THAN SIX MONTHS, PLEASE ENTER "0".) . . . . \_\_\_\_\_

65. In which of the following types of agencies have you ever worked? (Please circle all that apply.)

a. Police department . . . . .	44%
b. Prosecutor's office . . . . .	1
c. Criminal defense office . . . . .	0
d. Probation agency . . . . .	2
e. Parole agency . . . . .	1
f. Jail . . . . .	15
g. Prison . . . . .	2
h. Military police . . . . .	15
i. NONE OF THE ABOVE . . . . .	36

(n=276)

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66. Please circle the number indicating the extent of your academic education prior to starting your law enforcement career:

Less than high school diploma . . . . .	17%
High school graduate . . . . .	61
1 year of college . . . . .	10
2 or 3 years of college . . . . .	10
Bachelor's degree . . . . .	2
Some graduate course work . . . . .	0
Master's degree . . . . .	0
Graduate work beyond Master's degree . . . . .	0
LL.B., J.D. or other law degree . . . . .	0
Ph.D. or other doctorate . . . . .	0

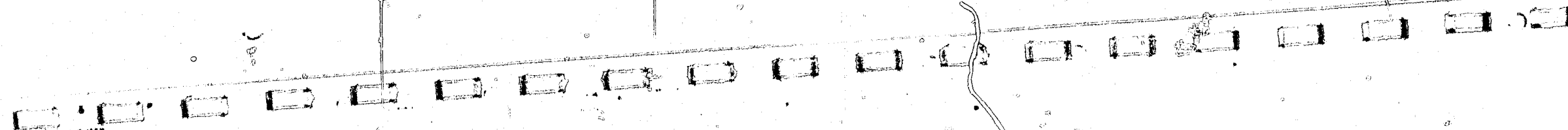
(n=273)

67. Please circle the number indicating your current level of academic education:

Less than high school diploma . . . . .	15%
High school graduate . . . . .	52
1 year of college . . . . .	16
2 or 3 years college degree . . . . .	14
Bachelor's college degree . . . . .	2
Some graduate course work . . . . .	2
Master's degree . . . . .	0
Graduate work beyond Master's degree . . . . .	0
LL.B., J.D. or other law degree . . . . .	1
Ph.D. or other doctorate . . . . .	0

(n=267)

IF YOU HAVE EARNED AT LEAST ONE COLLEGE DEGREE, PLEASE  
ANSWER Q. 68. OTHERWISE, PLEASE SKIP TO Q. 69.



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68. Please record your area of specialization for each college degree you have earned. " "

- a. A.A.: \_\_\_\_\_
- b. B.A. or B.S.: \_\_\_\_\_
- c. M.A.: \_\_\_\_\_
- d. Ph.D., LL.B. or J.D.: \_\_\_\_\_

69. Did you continue your academic education after beginning your law enforcement career?

No . . . .  
Yes . . . .

62%  
39  
(n=234)

IF YOU ANSWERED "YES" TO Q. 69, PLEASE ANSWER Q. 70.  
OTHERWISE, PLEASE SKIP TO Q. 71.

70. Did you receive financial assistance to continue your schooling from any of the following sources? (Please circle all that apply.)

- a. Law Enforcement Education Program (L.E.E.P.) . . . . 50%
- b. G.I. Bill . . . . . 20
- c. Other federal programs . . . . . 18
- d. State programs . . . . . 23
- e. The law enforcement agency you were employed by . . . . . 32
- f. Other financial aid . . . . . 4
- g. None . . . . . 18

(n=90)

71. Have you been graduated from the F.B.I. academy?

No . . . . 97%  
Yes . . . . 3  
(n=264)

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

911-11A

# SHERIFF'S DEPARTMENT FACT SHEET

## Personnel Information

72. What was this department's employment in each of the following categories on June 30, 1973?

NOTE: COUNT EMPLOYEES WORKING 35 HOURS OR MORE PER WEEK AS FULL-TIME, AND EMPLOYEES WORKING LESS THAN 35 HOURS A WEEK AS PART-TIME.

	Full-Time	Part-Time
	X= n=	X= n=
a. TOTAL EMPLOYMENT	2.1 252	2.8 134
b. Deputy sheriffs (basic sworn position including deputies assigned to law enforcement, correctional activities, and court services)	6.0 252	4.4 66
c. Supervisors (sworn officers above the basic sworn position, but below chief deputy or undersheriff)	1.2 162	1.5 40
d. Sheriff, undersheriff, chief deputy, and so on	1.7 234	2.1 35
e. Nonsworn personnel	2.6 194	2.1 95

73. How many deputy sheriffs voluntarily resigned from your department during the 12-month period from June 30, 1973 to June 30, 1974? X= n= 1.1 249

74. How many deputy sheriffs did your department hire during the 12-month period from June 30, 1973 to June 30, 1974? X= n= 1.8 243

75. How many deputy sheriffs were employed by your department on June 30, 1973? X= n= 4.7 232

76. How many deputy sheriffs were employed by your department on June 30, 1974? X= n= 5.4 245

77. Do you currently accept lateral entrants (i.e., experienced deputies from other departments) directly into supervisory ranks but below the level of Sheriff?

Yes . . . . . 19%

No, lateral entrants are accepted only for the basic deputy sheriff position . . . . . 58

No, lateral entrants are not accepted at all . . . . . 23 (n=90)

78. Does your department participate in collective bargaining with a union which represents your deputies?

No . . . . . 94%

Yes . . . . . 6 (n=269)

79. Are applicants for sworn positions required to take a written examination?

Yes, required by civil or merit service . . . . . 13%

Yes, as a matter of departmental policy . . . . . 13

No . . . . . 75 (n=265)

80. Does this department have written job descriptions for officers in the basic deputy sheriff position?

No . . . . . 71%

Yes . . . . . 29 (n=265)

81. Is the position of deputy sheriff regulated by civil service?

No . . . . . 90%

Yes . . . . . 10 (n=266)

82. What are the minimum and maximum annual salaries of the basic deputy sheriff position?

X= n=

a. Minimum: \$7351 239

b. Maximum: \$8559 227

## Workload and Office Information

83. Total number of crimes reported in calendar year 1974: X= n=

a. Part I. crimes: 287 127

b. Part II. crimes: 467 83

84. Total number of arrests in calendar year 1974: X= n=

a. Part I. crimes: 223 137

b. Part II. crimes: 258 87

85. Total number of calls for service in calendar year  
1974: . . . . . 4245 132

86. What is the capacity of the jail (or other confinement  
facility) operated by your department? (If your  
department does not operate a jail, please enter "N/A.")

Capacity: 22.6 249

87. What was the average daily population of your jail  
(or other confinement facility) during the last  
calendar year? (If your department does not operate  
a jail, please enter "N/A.")

Average daily population: 9.7 233

88. Approximately how large is the current population of  
your county? . . . . . 20,337 267

89. Approximately how large is the population served by  
your sheriff's department? . . . . . 17,967 251

Expenditures

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE,  
PLEASE GIVE YOUR BEST ESTIMATE.

90. Total annual department expenditures for the last  
complete fiscal year: . . . . . \$122,536 235

91. Annual payroll expenditures for the last complete  
fiscal year (salaries and fringe benefits): . . . . . \$ 70,450 226

92. Annual operating expenditures for training for the last  
complete fiscal year (excluding salary of trainees): . . . . . \$ 1,328 189

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APPENDIX

PROSECUTOR

OMB NO.: 043-575032  
Approval Expires: July 31, 1976  
LEAA No.: 3600-4  
BSSR No.: 46214

1.  
6.

Manpower Issues

1. How serious do you think each of the following manpower problems is in your office? Please rank them, using "1" for the most serious problem, "2" for the next most serious, and so on.

	Model Rank	Percent Respond Most Se
a. Inadequate number of authorized positions . . . . .	1	75
b. Inability to achieve or maintain authorized strength. . . . .	2	9
c. High (excessive) turnover . . . . .	4	11
d. Inadequate training of personnel. . . . .	2/3	15
e. Inadequate representation of minorities or women on staff . . . . .	5	3
f. Other (please specify:) . . . . .	-	-

(n varies  
659-10;

2. What do you feel is the major factor contributing to the manpower problem you ranked "most serious" (i.e., ranked "1") in Q. 1?

General lack of qualified applicants. . . . .	1
Lack of qualified minority or female applicants . . . . .	1
Inadequate levels of compensation . . . . .	2
Insufficient funds for training . . . . .	1
General budgetary problems. . . . .	5
Limited opportunities for advancement . . . . .	1
Other (please specify:) . . . . .	1
No Problem . . . . .	1

(n=118;

3. Does your prosecutor office currently have a critical manpower shortage in any of the following personnel categories? (Please circle all that apply.)

- |  |     |
|--|-----|
| a. Assistant prosecutors . . . . .                           | 38% |
| b. Investigators . . . . .                                   | 37  |
| c. Paralegals (excluding law students) . . . . .             | 13  |
| d. Secretaries/typists/stenographers . . . . .               | 24  |
| e. All other personnel (please specify:)                     | 2   |
| <hr/>  |     |
| f. NO CRITICAL SHORTAGES IN ANY OF THE ABOVE CATEGORIES. . . | 35  |

(n=1344)

4. What was this office's employment in each of the following categories on June 30, 1975?

- |  |       |
|--|-------|
| a. Number of assistant prosecutors . . . . .                                 | _____ |
| b. Number of investigators and paralegals (excluding law students) . . . . . | _____ |
| c. Number of secretaries/typists/stenographers . . . . .                     | _____ |

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5. In your judgment, how many employees in each of the following categories would you need to fulfill effectively all the duties and responsibilities with which your office is charged?

- |  |       |
|--|-------|
| a. Total number of assistant prosecutors . . . . .               | _____ |
| b. Total number of investigators . . . . .                       | _____ |
| c. Total number of paralegals (excluding law students) . . . . . | _____ |
| d. Total number of secretaries/typists/stenographers . . . . .   | _____ |
| e. Total number of other personnel (please specify:)             | _____ |

6. Given your current number of assistant prosecutors, and assuming that, for the present, no increase in that number is possible, how many additional staff in the following two groups could you effectively utilize in your current operations?

- |   |       |
|---|-------|
| a. Number of additional investigators . . . . .                       | _____ |
| b. Number of additional paralegals (excluding law students) . . . . . | _____ |

7. How many employees do you actually expect to have on the payroll by June 30, 1976?

- |  |       |
|--|-------|
| a. Number of assistant prosecutors . . . . .               | _____ |
| b. Number of investigators . . . . .                       | _____ |
| c. Number of paralegals (excluding law students) . . . . . | _____ |
| d. Number of secretaries/typists/stenographers . . . . .   | _____ |
| e. Number of other personnel (please specify:)             | _____ |

8. During the three years before the current recession (i.e., the years 1971-1974), did your office have an adequate supply of qualified applicants for the position of assistant prosecutor?

- |   |     |
|---|-----|
| Not applicable (office employs no assistant prosecutors). . . . . | 35% |
| No . . . . .  | 15  |
| Yes. . . . .  | 46  |

(n=1288)

9. During the three years before the current recession (i.e., 1971-1974), how serious a problem were voluntary resignations among assistant prosecutors?

- |   |     |
|---|-----|
| Not applicable (office employs no assistant prosecutors). . . . . | 35% |
| Critical problem . . . . .  | 3   |
| Serious problem. . . . .  | 8   |
| Moderate problem . . . . .  | 11  |
| Slight problem . . . . .  | 9   |
| No problem at all. . . . .  | 30  |

(n=1279)

10. Please rank the following possible reasons for leaving the field of prosecution according to your judgment of the degree to which each contributes to the decision to resign. (Please use "1" for the most important reason, "2" for the next most important reason, and so on.)

	Modal Rank	Percent Responding Most Serious
a. Salaries inadequate . . . . .	1	70%
b. Limited promotion opportunities . . . . .	3	6
c. Excessive work overload; pressure too heavy; job too demanding. . . . .	2	14
d. Frustration, low status, inadequate public recognition and support, and so on. . . . .	4/5	6
e. Desire for broader legal experience . . . . .	-	14
f. Other reason (please specify): . . . . .	6	*

(n varies: 91-1128)

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Entry Level Standards and Training

IF YOUR OFFICE DOES NOT EMPLOY ASSISTANT PROSECUTORS, PLEASE SKIP TO Q. 19. IF IT DOES, PLEASE CONTINUE WITH Q. 11.

11. Of all assistant prosecutors hired in the past two years, approximately what proportion had any prior trial experience? (Please give your answer in percentage form.) . . . . . 2

12. Do you give hiring preference to law school graduates with experience as legal interns (e.g., clinical law program graduates)?

No . . . . .	45%
Yes, any clinical program. . . . .	14
Yes, clinical program giving any trial experience. . . . .	8
Yes, clinical program giving criminal prosecution experience . . . . .	30
Other (please specify): . . . . .	4

(n=770)

\* Base too small to percentage.

13. Please estimate the amount of formal (i.e., other than on-the-job) entry level training your new assistant prosecutors receive during their first year of employment:

NONE. . . . .	38%
One day or less (basic orientation only) . . . . .	9
Two days to one week. . . . .	26
1 or 2 weeks. . . . .	20
3 or 4 weeks. . . . .	6
5 or 6 weeks. . . . .	1
More than 6 weeks . . . . .	1

(n=816)

IF YOU ANSWERED "NONE" IN Q. 13, PLEASE SKIP TO Q. 16. OTHERWISE, PLEASE ANSWER Q. 14.

14. Does your office provide in-house formal (i.e., other than on-the-job) entry level training for new assistant prosecutors?

Yes . . . . .	33%
No, but there are plans to begin providing it within two years . . . . .	7
No, and there are no plans to begin providing it within two years . . . . .	60

(n=507)

IF YOU ANSWERED "YES" TO Q. 14, PLEASE ANSWER Q. 15. IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 16.

15. Which of the following topics are usually covered in your in-house formal entry-level training? (Please circle all that apply.)

	Percent Yes
a. Constitutional law (arrest; search and seizure). . . . .	72%
b. Law of evidence . . . . .	73
c. Charging practices. . . . .	70
d. Screening policies and procedures . . . . .	76
e. Case investigation and/or case preparation. . . . .	76
f. Pre-trial diversion/deferred prosecution procedures or programs. . . . .	38
g. Preliminary hearing procedures and tactics. . . . .	65
h. Jury selection. . . . .	62
i. Plea negotiation practices. . . . .	74
j. Criminal trial procedure. . . . .	73
k. Trial advocacy. . . . .	54
l. Appellate advocacy. . . . .	10
m. Juvenile/family laws and court procedure. . . . .	37
n. Forensic science. . . . .	20
o. Polygraph use . . . . .	13
p. Substantive criminal law developments . . . . .	53
q. Scientific evidence identification. . . . .	33
r. Other (please specify:) . . . . .	5

(n=168)

Continuing Education

16. Does your office have a policy that requires experienced assistant prosecutors (e.g., persons who have completed at least one year as prosecutors) to participate in some type of job-related continuing education?

No . . . 70%  
Yes. . . 30

(n=802)

17. Does your office provide in-house formal training for experienced assistant prosecutors?

Yes. . . . . 15%  
No, but there are plans to begin providing it within two years. . . . . 7  
No, and there are no plans to begin providing it within two years. . . . . 78

(n=813)

IF YOU ANSWERED "YES" TO Q. 17, PLEASE ANSWER Q. 18.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 19.

18. Which of the following topics are covered in your in-house formal training provided for experienced assistant prosecutors? (Please circle all that apply.)

	Percent Yes
a. Constitutional law (arrest; search and seizure). . . . .	78%
b. Law of evidence . . . . .	78
c. Charging practices. . . . .	57
d. Screening policies and procedures . . . . .	57
e. Case investigation and/or case preparation. . . . .	66
f. Pre-trial diversion/deferred prosecution procedures or programs. . . . .	36
g. Preliminary hearing procedures and tactics. . . . .	52
h. Jury selection. . . . .	63
i. Plea negotiation practices. . . . .	67
j. Criminal trial procedure. . . . .	71
k. Trial advocacy. . . . .	59
l. Appellate advocacy. . . . .	18
m. Juvenile/family laws and court procedure. . . . .	32
n. Forensic science. . . . .	29
o. Polygraph use . . . . .	18
p. Substantive criminal law developments . . . . .	63
r. Other (please specify:) . . . . .	11

(n=120)

19. Does your office provide assistance (through administrative leave, tuition support, or other means) for external continuing education in the field of prosecution?

YES, assistance is routinely provided. . . . . 20%  
YES, assistance is provided as circumstances permit. . . . . 47  
NO, but there are plans to begin providing assistance within the next two years . . . . . 2  
NO, and there are no plans to begin providing assistance within the next two years . . . . . 31

(n=1308)

IF YOU ANSWERED "YES" TO Q. 19, PLEASE ANSWER Q. 20.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 21.

20. Which of the following does your office use as sources of external continuing education? (Please circle all that apply.)

a. National District Attorney's Association (NDAA) . . . . . 65%  
b. National College of District Attorneys. . . . . 40  
c. University-related centers for continuing education . . . . . 47  
d. Other (please specify:) . . . . . 52

(n=873)

21. Approximately how many experienced prosecutors from your office received any external continuing education in the field of prosecution during the last fiscal year?

Number: \_\_\_\_\_

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IF NEITHER FORMAL ENTRY-LEVEL NOR FORMAL CONTINUING EDUCATION IS PROVIDED, PLEASE SKIP TO Q. 24. OTHERWISE, PLEASE CONTINUE.

22. In your opinion, to what extent is each of the following factors a limitation on the overall effectiveness of training in your office?

	Serious Limitation	Moderate Limitation	Not a Limitation	
a. Workload frequently prevents release of assistant prosecutors for training . .	46%	35	19	(n=654)
b. Workload frequently prevents release of senior staff to provide training . . .	48%	30	22	(n=681)
c. Inadequate training budget. . . . .	51%	33	16	(n=721)
d. Necessary training resources are not available locally . . . . .	40%	32	28	(n=698)
e. Other (please specify:) . . . . .	51%	6	43	(n=47)

23. On the whole, how satisfied are you with all aspects of training at your office?

Extremely satisfied . . . . . 3%  
Very satisfied. . . . . 7  
Satisfied . . . . . 47  
Dissatisfied. . . . . 37  
Very dissatisfied . . . . . 3  
Extremely dissatisfied. . . . . 3

(n=812)

Career Preparation

24. Please rate the following areas of legal training in terms of how well you think recent law school graduates are prepared for assuming prosecutorial duties. (For each area, please circle the number at the reply which best indicates your opinion.)

	Well Prepared	Adequately Prepared	Not Well Prepared	Don't Know	
a. Substantive criminal law (e.g., State Penal Code) . . . .	11%	46	32	11	(n=1271)
b. Constitutional law (e.g., search and seizure) . . . . .	17%	54	19	11	(n=1267)
c. Law of evidence . . . . .	6%	49	35	11	(n=1266)
d. Juvenile/family law and court procedure . . . . .	2%	18	62	18	(n=1251)
e. Criminal trial procedure . . . . .	2%	26	60	12	(n=1266)
f. Trial advocacy . . . . .	2%	25	59	14	(n=1264)
g. Appellate advocacy . . . . .	6%	31	39	24	(n=1254)
h. Sentencing standards . . . . .	1%	15	60	24	(n=1252)
i. Legal ethics . . . . .	23%	49	13	15	(n=1263)
j. Brief preparation . . . . .	20%	48	16	16	(n=1260)

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OPERATIONS AND POLICIES

A. Plea/Sentence Negotiation

25. In your personal opinion, which of the following should actively participate in the plea/sentence negotiation process? (Please circle all that apply.)

a. The prosecutor . . . . .	96%
b. Counsel for the defendant . . . . .	96
c. The defendant . . . . .	49
d. The Court . . . . .	44
e. Probation officer . . . . .	26
f. Other (please specify:) . . . . .	11
g. No one; it should not be engaged in at all . . . . .	2
	(n=1344)

26. Which of the following statements most closely describes your personal opinion about how plea/sentence negotiation proceedings should be recorded?

a. Negotiations should be conducted <u>only</u> on an informal, off-the-record, basis . . . . .	26
b. When a plea/sentence is negotiated, that fact should be entered on the court record . . . . .	26
c. Negotiations should be formally documented by entering the specific terms of the agreement on the court record . . . . .	47
d. Other view (please specify:) . . . . .	5
e. Plea/sentence negotiation should not be engaged in at all . . . . .	2
	(n=1276)

27. Which of the following statements most closely describes your personal opinion about whether or not there should be written standards or regulations concerning plea/sentence negotiation?

- a. Plea/sentence negotiation should not be restricted by any written standards or regulations. . . . . 63%
- b. Plea/sentence negotiation should be standardized by adopting written policies to regulate its application. . . . . 29
- c. Plea/sentence negotiation should not be engaged in at all . . . . . 3
- d. Other view (please specify): . . . . . 5

(n=1325)

28. Which of the following statements most closely describes your personal opinion about the future use of plea/sentence negotiation as an option to trial?

- a. Plea/sentence negotiation should not be phased out. . . . . 88%
- b. Plea/sentence negotiation should be phased out. . . . . 8
- c. Other view (please specify): . . . . . 4

(n=1331)

29. Which of the following usually actively participate in the plea/sentence negotiation process in your jurisdiction? (Please circle all that apply.)

- a. The prosecutor. . . . . 96%
- b. Counsel for the defendant . . . . . 96
- c. The defendant . . . . . 39
- d. The Court . . . . . 30
- e. Probation officer . . . . . 13
- f. Other (please specify): . . . . . 9

- g. Plea/sentence negotiations are not conducted in this jurisdiction. . . . . 2

(n=1344)

30. Which of the following statements most closely describes the current record-keeping practice with respect to plea/sentence negotiations in your jurisdiction?

- Negotiations are conducted only on an informal, off-the-record, basis . . . . . 35%
- When a plea/sentence is negotiated, that fact is entered on the court record. . . . . 24
- Negotiations are formally documented by means of entering the specific terms of the agreement on the court record . . . . . 31
- Other procedures (please specify): . . . . . 8

- Negotiations are not conducted in this jurisdiction . . . . . 2

(n=1298)

31. Which of the following statements most closely describes the governance of plea/sentence negotiations in your jurisdiction?

- Plea/sentence negotiations are not governed by written standards or regulations. . . . . 75%
- Plea/sentence negotiations are governed by at least some written standards or regulations . . . . . 19
- Plea/sentence negotiations are not conducted in this jurisdiction. . . . . 2

(n=1333)

32. Do you anticipate a change within the next two years in your jurisdiction's requirements concerning the recording of plea/sentence negotiation proceedings?

- No, no change anticipated . . . . . 90%
- Yes, there are plans to begin entering on the court record the fact that plea/sentence negotiations were involved in deciding upon the plea/sentence . . . . . 5
- Yes, there are plans to begin documenting negotiations by entering the specific terms of the agreement on the court record. . . . . 3
- Other (please specify): . . . . . 3

(n=1317)

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33. Do you anticipate a change within the next two years in your jurisdiction's policies regarding the use or application of plea/sentence negotiation?

No, no change anticipated. . . . . 92%  
Yes (please specify): . . . . . 9  
(n=1322)

34. Even if you do not expect a policy change in your jurisdiction, do you anticipate a change within the next two years in the frequency with which your office utilizes the negotiated plea/sentence?

No change anticipated. . . . . 79%  
Yes, increased use. . . . . 10  
Yes, decreased use. . . . . 11  
(n=1310)

IF YOU ANSWERED "YES" Q. 34, PLEASE ANSWER Q. 35. OTHERWISE, PLEASE SKIP TO Q. 36.

35. Do you expect this change in the use of the negotiated plea/sentence to change your need for assistant prosecutors?

No change expected . . . . . 49%  
Yes, will increase need for assistant prosecutors. . . . . 49  
Yes, will decrease need for assistant prosecutors. . . . . 2  
(n=258)

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B. Effects of Arrest Policies

36. For each of the following offenses, please indicate if the number of arrests has changed significantly due to CHANGES in ARREST POLICIES in your jurisdiction (e.g., by local executive order; departmental policy; or prosecutorial, judicial, or legislative action) during the past 5 years.

	Arrest Policies Unchanged During Past 5 Years	Changes in Arrest Policies Have:				
		Decreased Arrests	Not Changed Arrests	Increased Arrests	Don't Know	
a. Public intoxication. . . . .	37%	38	7	8	9	(n=1295)
b. Possession of small amounts of marijuana. . . . .	30%	36	11	17	5	(n=1299)
c. Prostitution . . . . .	53%	10	15	3	20	(n=1246)
d. Homosexual acts between consenting adults. . . . .	49%	15	12	1	22	(n=1249)
e. Selling pornographic material . . . . .	45%	19	13	4	19	(n=1258)
f. Gambling . . . . .	49%	13	16	8	14	(n=1264)

IF ARRESTS HAVE CHANGED DUE TO CHANGED ARREST POLICIES FOR ANY OF THESE OFFENSES, PLEASE ANSWER Q. 37. OTHERWISE, PLEASE SKIP TO Q. 38.

37. For each offense for which you reported a change in arrests in Q. 36, how has the change affected your manpower requirements?

	Increased Manpower Requirements	Not Affected Manpower Requirements	Decreased Manpower Requirements	
a. Public intoxication. . . . .	11%	79	10	(n=564)
b. Possession of small amounts of marijuana. . . . .	20%	70	10	(n=640)
c. Prostitution . . . . .	9%	79	12	(n=144)
d. Homosexual acts between consenting adults . . . . .	2%	83	15	(n=183)
e. Selling pornographic material. . . . .	9%	80	11	(n=268)
f. Gambling . . . . .	18%	74	8	(n=245)

**C. Formal Pre-Trial Diversion Programs**

38. Are there any formal pre-trial diversion programs (e.g., deferred prosecution) operating in your jurisdiction?

Yes . . . . .	41%
No, but there are some in the planning stage . . . . .	11
No . . . . .	48
	(n=1332)

IF YOU ANSWERED "YES" IN Q. 38, PLEASE ANSWER Q. 39 AND 40. OTHERWISE, PLEASE SKIP TO Q. 43.

39. Which of the following types of formal pre-trial diversion programs are operating in your jurisdiction? (Please circle all that apply.)

a. Deferred prosecution without rehabilitative services (i.e., adjournment in contemplation of dismissal). . . . .	40%
b. Deferred prosecution with rehabilitative services for defendants charged with drug law violations. . . . .	61
c. Deferred prosecution with rehabilitative services for alcohol abuse defendants . . . . .	62
d. Deferred prosecution with rehabilitative services for mentally ill offenders . . . . .	44
e. Informal probation for juveniles . . . . .	68
f. Other pre-trial diversion program(s) (please specify:) . . . . .	19

(n=546)

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40. Which, if any, of the following formal pre-trial diversion programs are administered by your office? (Please circle all that apply.)

a. Deferred prosecution without rehabilitative services (i.e., adjournment in contemplation of dismissal). . . . .	31%
b. Deferred prosecution with rehabilitative services for defendants charged with drug law violations. . . . .	26
c. Deferred prosecution with rehabilitative services for alcohol abuse defendants . . . . .	28
d. Deferred prosecution with rehabilitative services for mentally ill offenders . . . . .	22
e. Informal probation for juveniles . . . . .	27
f. Other pre-trial diversion program (please specify:) . . . . .	10

g. NONE . . . . .	33
	(n=546)

IF YOUR OFFICE ADMINISTERS ANY FORMAL PRE-TRIAL DIVERSION PROGRAM, PLEASE ANSWER Q. 41. OTHERWISE, PLEASE SKIP TO Q. 42.

41. Has the administration of formal pre-trial diversion program(s) significantly affected the size of your office workload?

No . . . . .	53%
Yes, workload has decreased substantially. . . . .	2
Yes, workload has decreased somewhat . . . . .	22
Yes, workload has increased somewhat . . . . .	19
Yes, workload has increased substantially. . . . .	5

(n=307)

42. Has the use of the available formal pre-trial diversion programs significantly affected the size of your office workload?

No . . . . . 68%  
 Yes, workload has decreased substantially. . . . . 2  
 Yes, workload has decreased somewhat . . . . . 15  
 Yes, workload has increased somewhat . . . . . 12  
 Yes, workload has increased substantially. . . . . 3  
 (n=510)

43. In your professional judgment, will the degree to which your office makes use of formal pre-trial diversion programs change within the next two years?

No . . . . . 65%  
 Yes, will begin using such programs. . . . . 15  
 Yes, will increase use . . . . . 15  
 Yes, will decrease use . . . . . 1  
 Yes, will discontinue use of such programs entirely. . . . . 0  
 Other (please specify) . . . . . 4  
 (n=1262)

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44. Prosecutor office responsibilities vary from jurisdiction to jurisdiction. For each of the following activities, please indicate whether it is performed by your office, and how you expect it to change in terms of manpower requirements within the next two years. (For each activity, please circle the number at the reply which best indicates your expectations.)

	Activity Is Performed and Manpower Will:			Activity Is NOT Performed,		
	Increase	Stay about the Same	Decrease	and probably will NOT be added during the next 2 years	but probably will be added during the next 2 years	
a. Prosecution of felonies. . . . .	61%	32	0	6	0	(n=1311)
b. Prosecution of misdemeanors (excluding criminal ordinance violations). . . . .	58%	35	1	5	1	(n=1311)
c. Prosecution of criminal ordinance violations . . . . .	27%	38	1	32	3	(n=1266)
d. Prosecution/adjudication of juveniles. . . . .	52%	32	1	14	2	(n=1298)
e. Prosecution of mental health commitment cases . . . . .	25%	40	2	28	5	(n=1276)
f. Prosecution at probation/parole revocation hearings. . . . .	42%	47	1	10	1	(n=1307)
g. Post-conviction collateral proceedings (e.g., habeas corpus). . . . .	33%	48	2	17	1	(n=1293)
h. Appellate proceedings. . . . .	32%	36	1	29	1	(n=1286)
i. Civil law responsibilities . . . . .	41%	35	1	22	1	(n=1276)
j. Other prosecution activities (please specify:). . . . .	58%	29	2	9	2	(n=352)

Chief Prosecutor's Position

45. Every chief prosecutor has particular duties and responsibilities which confront him with especially difficult decisions and problems. Based on your personal experience, please select the three areas in which such decisions and problems most often come up, and rank them, starting with "1" for the area in which they come up the most often.

	Modal Rank Three Choices Only	Percent Responding Most Often
a. Preparation, supervision, and review of legal cases . . . .	1	69%
b. General personnel management (e.g., recruitment, grievances, and so on) . . . . .		19
c. Workload management . . . . .		33
d. Dealing with defenders and defender offices . . . . .	2	17
e. Dealing with other criminal justice agencies or offices (excluding defender offices). . . . .		18
f. Dealing with the public (giving speeches to citizens' groups, and so on). . . . .		12
g. Dealing with the news media (giving information, press conferences, and so on) . . . . .	3	18
h. Dealing with local officials (correspondence and meetings with mayor, city council, county executive, and so on) . . . . .		22
i. Dealing with state officials (correspondence and meetings with governor, state commissions, legislators, and so on) . . . . .		10
j. Other duties and responsibilities (please specify) . . . .		30
_____		
_____		

(n varies:  
91-1040)

46. Considering your experience and responsibilities as a chief prosecutor, in which areas would you recommend special or extended (post-law school) training as especially useful for your successors to take? (Please circle all that apply.)

a. Constitutional law (arrest; search and seizure) . . . .	67%
b. Law of evidence . . . . .	73
c. Juvenile justice law. . . . .	37
d. Jury selection. . . . .	36
e. Plea negotiation practices. . . . .	30
f. Trial advocacy. . . . .	71
g. Appellate advocacy. . . . .	20
h. General management/administration . . . . .	37
i. Program management (e.g., pre-trial diversion, deferred prosecution) . . . . .	20
j. Substantive criminal law developments . . . . .	55
k. Scientific evidence identification. . . . .	36
l. Polygraph use . . . . .	13
m. Psychiatry and the law. . . . .	25
n. Forensic pathology. . . . .	26
o. Human relations . . . . .	25
p. Community relations . . . . .	29
q. Other (please specify) . . . . .	3
_____	
r. NONE. . . . .	2

(n=1344)

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47. Have you taken any (post-law school) comprehensive or "omnibus" prosecutor training course(s) which, for example, cover many prosecution-related topics at one time?

No . . . 44%  
Yes . . . 56

48. In which, if any, of the following areas have you taken individual, concentrated courses or specialty training? (Please circle all that apply.)

a. Constitutional law (arrest; search and seizure) . .	46%
b. Law of evidence . . . . .	39
c. Juvenile justice law. . . . .	17
d. Jury selection. . . . .	21
e. Plea negotiation practices. . . . .	15
f. Trial advocacy. . . . .	42
g. Appellate advocacy. . . . .	7
h. General management/administration . . . . .	19
i. Program management (e.g., pre-trial diversion, deferred prosecution) . . . . .	10
j. Substantive criminal law developments . . . . .	39
k. Scientific evidence identification. . . . .	22
l. Polygraph use . . . . .	9
m. Psychiatry and the law. . . . .	13
n. Forensic pathology. . . . .	14
o. Human relations . . . . .	5
p. Community relations . . . . .	6
q. Other (please specify): . . . . .	4

r. NONE. . . . . 23  
(n=1344)

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49. How much improvement in the administration of justice do you think could be achieved through changes in staffing, organization, and policies of prosecutor offices in general (local, county, and state)?

A great deal of improvement. . .	46%
Some improvement . . . . .	42
Little or no improvement . . . .	13

(n=1306)

50. What do you consider to be the major obstacle to the proper administration of justice in your jurisdiction?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Chief Prosecutor's Background

51. Please record your:

a. Age: (Median) . . . . .	37
b. Sex: (Please circle) Male . . . . .	99%
Female . . . . .	1
c. Color or race: . . . . .	
White . . . . .	99%
Black . . . . .	
Other (please specify): . . . . .	

(n=1344)

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52. Are you employed (as chief prosecutor) on a full-time (35 hours/week or more) or on a part-time basis?

Part-time. . .	47%
Full-time. . .	53

53. Do you currently have an outside law practice?

Only civil . . . . .	59%
Only criminal. . . . .	0
Both civil and criminal. . . . .	7
No private practice maintained . . . . .	34

(n=1337)

IF YOU ANSWERED "NO PRIVATE PRACTICE MAINTAINED" IN Q. 53, PLEASE ANSWER Q. 54. OTHERWISE, PLEASE SKIP TO Q. 55.

54. Is an outside law practice permitted?

Only civil practice permitted . . . . .	13%
Only criminal practice permitted. . . . .	1
Both permitted. . . . .	3
Neither permitted . . . . .	83

(n=391)

55. What is your exact title? \_\_\_\_\_

56. How were you originally selected for this position?

Elected (partisan ballot). . . . .	61%
Elected (nonpartisan ballot) . . . . .	11
Appointed. . . . .	27
Other (please specify): . . . . .	1

(n=1321)

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57. How many years have you been chief prosecutor?

(IF LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . .

58. Please record the number of years you have worked in the following areas. (IF LESS THAN SIX MONTHS, PLEASE ENTER "0.")

a. Attorney in a corporation counsel's office . . . . .	_____
b. Attorney in a prosecutor office. . . . .	_____
c. Attorney in a criminal defense office. . . . .	_____
d. Attorney in a Legal Services office (i.e., civil law). . . . .	_____
e. Other criminal justice area (e.g., parole agency, police, etc.). . . . .	_____
f. Private law practice only. . . . .	_____
g. Other legal occupation (please specify): . . . . .	_____

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

PROSECUTOR OFFICE FACT SHEET

Personnel Information

59. What was this office's employment in each of the following categories on June 30, 1975?

NOTE: COUNT EMPLOYEES WORKING 35 HOURS OR MORE PER WEEK AS FULL-TIME, AND EMPLOYEES WORKING LESS THAN 35 HOURS A WEEK AS PART-TIME.

	Full-Time		Part-Time	
	$\bar{x}$	n	$\bar{x}$	n
a. TOTAL EMPLOYMENT. . . . .	14.8	865	2.7	698
b. Chief and assistant chief prosecutor(s) . . . . .	1.3	895	.9	682
c. Assistant prosecutors . . . . .	6.0	782	1.4	651
d. Investigators (on your payroll) . . . . .	2.2	783	.1	513
e. Investigators (detailed to your office) . . . . .	1.1	667	.1	509
f. Paralegals (excluding law students) . . . . .	.5	666	.1	506
g. Secretaries/typists/stenographers . . . . .	5.1	995	.9	654
h. All other personnel (please specify:)	2.0	575	.4	470

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IF YOUR OFFICE EMPLOYS ASSISTANT PROSECUTORS, PLEASE ANSWER Q. 60-65. OTHERWISE, PLEASE SKIP TO Q. 66.

60. On the average, how many hours per week do your part-time assistant prosecutors work (as prosecutors)? (Please enter "0" if you have no part-time assistant prosecutors.)

Hours/week. . .  $\bar{x}$  = 12.4 n = 890

61. How many assistant prosecutors voluntarily resigned from your office during the 12-month period from June 30, 1973 to June 30, 1974? . . . . .

1.3 811

62. How many assistant prosecutors did you hire during the 12-month period from June 30, 1973 to June 30, 1974? . . . . .

1.8 830

63. How many assistant prosecutors were employed by your office on June 30, 1973? . . . . .

5.4 827

64. How many assistant prosecutors were employed by your office on June 30, 1974? . . . . .

6.0 837

65. What are the minimum and maximum annual salaries for assistant prosecutors at your office?

a. Minimum. . . .  $\bar{x}$  = \$ 9,809 n = 740

b. Maximum. . . . \$15,191 783

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66. Does your office utilize law students?

No . . . 1 64%  
Yes . . . 2 36

(n=1288)

IF YOU ANSWERED "YES" TO Q. 66, PLEASE ANSWER Q. 67 AND 68.  
OTHERWISE, PLEASE SKIP TO Q. 69.

67. How many law students usually work at your office?

a. Number of law students connected with clinical  
law program (i.e., legal interns) . . . . . 2.6 353  
b. Number of law students NOT connected with  
clinical law program . . . . . 2.0 268

68. Which of the following tasks are law students at your  
office permitted to perform? (Please circle all that apply.)

a. Screening . . . . . 41%  
b. Suspect questioning . . . . . 29  
c. Case investigation . . . . . 63  
d. Preparation of briefs . . . . . 82  
e. Legal research, abstracting, and so on . . . . . 93  
f. Prosecution of misdemeanor suspects,  
under supervision . . . . . 61  
g. Prosecution of felony suspects, under  
supervision . . . . . 22  
h. Other (please specify): . . . . . 14

(n=463)

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Caseload Information

69. Approximately what proportion of your felony defendants during  
the last fiscal year were processed through plea/sentence  
negotiation? (Please exclude defendants who pled guilty  
without negotiations, and give your answer in percentage form.) . 55.6 1173

70. Approximately what proportion of your misdemeanor defendants  
during the last fiscal year were processed through plea/  
sentence negotiation? (Please exclude defendants who pled  
guilty without negotiations, and give your answer in  
percentage form.) . . . . . 43.2 1173

71. Approximately what number of cases in each of the following  
categories were prosecuted or filed (via information or  
indictment) by your office during the last complete fiscal  
year?

a. TOTAL CASES . . . . . 2780.5 821  
b. Number of felony cases . . . . . 483.4 1169  
c. Number of non-traffic misdemeanor cases . . . . . 1396.3 1046  
d. Number of juvenile court cases . . . . . 350.3 995

72. Approximately what number of cases prosecuted or filed by your  
office during the last complete fiscal year resulted in each of  
the following dispositions?

NUMBER OF CASES:

a. Diverted before trial (deferred  
prosecution). . . . . 56.9 758  
b. Dismissed before trial . . . . . 147.9 869  
c. Negotiated guilty plea . . . . . 538.2 880  
d. Non-negotiated guilty plea . . . . . 405.4 806  
e. Bench trials or hearings . . . . . 246.3 774  
f. Jury trials . . . . . 55.4 913  
g. Continued . . . . . 119.5 544  
h. Referred to other prosecutor's office . . . . . 11.1 507

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73. Approximately what number of appellate cases did your office work on during the last complete fiscal year?  $\bar{x}$  = 29.7 n = 1191

Office Information

74. How many counties are served by your office?  $\bar{x}$  = 1.9 n = 1298  
Number of counties served:

75. Approximately how large is the total population served by your office?  $\bar{x}$  = 163716.3 n = 1292

76. Please indicate which, if any, types of assistance your office receives from the following sources. (Please circle as many numbers as needed to describe each source's assistance to your office.)

		Type of Assistance					
		Administrative	Planning	Legal Research/ Legal Advice	Appeals	Training	Other
a. National District Attorney's Association (NDAA) . . . . .	9%	8	11	1	38	6	
b. State Prosecutor Office. . . . .	11%	10	33	23	27	5	
c. National College of District Attorneys. . . . .	3%	2	3	1	29	2	
d. State Attorney General . . . . .	6%	4	48	47	20	6	
e. State Judicial Conference or Courts. . . . .	3%	3	2	1	3	2	
f. Accredited law schools . . . . .	1%	1	12	1	12	3	
g. State Planning Agency. . . . .	4%	10	1	0	6	4	
h. State Court Administrator's Office . . . . .	8%	3	1	0	2	2	
i. State Bar Association. . . . .	3%	3	7	1	22	4	
j. Other source (please specify:). . . . .	5%	6	8	2	12	4	

(n=1344)

Expenditures

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE,  
PLEASE GIVE YOUR BEST ESTIMATE.

77. Total annual office expenditures for the last complete fiscal year . . . . . \$ 612,635 1191
78. Annual payroll expenditures for the last complete fiscal year (salaries and fringe benefits). . . . . \$ - 1186
79. Annual operating expenditures for training for the last complete fiscal year (excluding salary of trainees) . . . . \$ - 1344

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APPENDIX  
PUBLIC DEFENDER

OMB No.: 043-373032  
Approval Expires: July 31, 1976  
LEAA No.: 3600-5  
BSSR No.: 46715

Manpower Issues

1. How serious do you think each of the following manpower problems is in your office? Please rank them, using "1" for the most serious problem, "2" for the next most serious, and so on.

	Modal Rank	Percent Responding Most Impor
a. Inadequate number of authorized positions. . . . .	1	83%
b. Inability to achieve or maintain authorized strength . . . . .	-	10
c. High (excessive) turnover. . . . .	4	5
d. Inadequate training of personnel . . . . .	2/3	12
e. Inadequate representation of minorities or women on staff. . . . .	5	6
f. Other (please specify): . . . . .	-	*

(n varies:  
150-215)

2. What do you feel is the major factor contributing to the manpower problem you ranked "most serious" (i.e., ranked "1") in Q. 1?

General lack of qualified applicants . . . . .	1%
Lack of qualified minority or female applicants. . . . .	0
Inadequate levels of compensation. . . . .	8
Insufficient funds for training. . . . .	5
General budgetary problems . . . . .	75
Limited opportunities for advancement. . . . .	0
Other (please specify): . . . . .	3
No problem . . . . .	7

\* Base too small to percentage.

(n=231)

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3. Does your defender office currently have a critical manpower shortage in any of the following personnel categories? (Please circle all that apply.)

	Percent Yes
a. Assistant defenders . . . . .	44%
b. Investigators . . . . .	44
c. Paralegals (excluding law students) . . . . .	18
d. Secretaries/typists/stenographers . . . . .	28
e. All other personnel (please specify:)	5
_____	
f. NO CRITICAL SHORTAGES IN ANY OF THE ABOVE CATEGORIES. . .	29

(n=252)

4. What was this office's employment in each of the following categories on June 30, 1975?

a. Number of assistant defenders. . . . . \_\_\_\_\_  
b. Number of investigators and paralegals (excluding law students) . . . . . \_\_\_\_\_  
c. Number of secretaries/typists/stenographers. . . . . \_\_\_\_\_

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5. Given your current staff, how well do you feel that your defender office is able to comply with Supreme Court decisions which require defense counsel for cases in which the offender may receive a jail sentence on conviction (Argersinger v. Hamlin, 407 U.S. 25, 1972; Tate v. Short, 401 U.S. 395, 1971; Williams v. Illinois, 399 U.S. 235, 1970)?

Extremely well; full compliance . . . . .	23%
Reasonably well; adequate compliance. . . . .	44
Acceptably; minimum compliance. . . . .	23
Unacceptably; unable to achieve minimum compliance. . . . .	9

(n=243)

IF YOU ANSWERED "REASONABLY WELL," "ACCEPTABLY," OR "UNACCEPTABLY" IN Q. 5, PLEASE ANSWER Q. 6. OTHERWISE, PLEASE SKIP TO Q. 7.

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6. In your judgment, how many employees in each of the following categories would your office need to achieve full compliance with the present Supreme Court mandate for defense?

a. Total number of assistant defenders . . . . . \_\_\_\_\_  
b. Total number of investigators . . . . . \_\_\_\_\_  
c. Total number of paralegals (excluding law students) . . . . . \_\_\_\_\_  
d. Total number of secretaries/typists/stenographers . . . . . \_\_\_\_\_  
e. Total number of other personnel (please specify:)

7. Given your current number of assistant defenders, and assuming that, for the present, no increase in that number is possible, how many additional staff in the following two groups could you effectively utilize in your current operations?

a. Number of additional investigators . . . . . \_\_\_\_\_  
b. Number of additional paralegals (excluding law students) . . . . . \_\_\_\_\_

8. How many employees do you actually expect to have on the payroll by June 30, 1976?

a. Number of assistant defenders . . . . . \_\_\_\_\_  
b. Number of investigators . . . . . \_\_\_\_\_  
c. Number of paralegals (excluding law students) . . . . . \_\_\_\_\_  
d. Number of secretaries/typists/stenographers . . . . . \_\_\_\_\_  
e. Number of other personnel (please specify:)

9. During the three years before the current recession (i.e., the years 1971-1974), did your office have an adequate supply of qualified applicants for the position of assistant defender?

Not applicable (office employs no assistant defenders) . . . . .	22%
No. . . . .	11
Yes . . . . .	67
	(n=246)

10. During the three years before the current recession (i.e., the years 1971-1974), how serious a problem were voluntary resignations among your assistant defenders?

Not applicable (office employs no assistant defenders) . . . . .	22%
Critical problem. . . . .	1
Serious problem. . . . .	5
Moderate problem. . . . .	13
Slight problem. . . . .	16
No problem at all . . . . .	43
	(n=246)

11. Please rank the following possible reasons for leaving the practice of indigent defense according to your judgment of the degree to which each contributes to the decision to resign. (Please use "1" for the most important reason, "2" for the next most important reason, and so on.)

	Modal Rank	Percent Responding Most Important
a. Salaries inadequate . . . . .	1	42%
b. Limited promotion opportunities . . . . .	4	5
c. Excessive work overload; pressure too heavy; job too demanding . . . . .	2	30
d. Frustration, low status, inadequate public recognition and support, and so on. . . . .	3/5/6	12
e. Desire for broader legal experience . . . . .	-	23
f. Other reason (please specify): . . . . .	-	*

\* Base too small to percentage.

(n varies; 16-200)

#### Entry Level Standards and Training

IF YOUR OFFICE DOES NOT EMPLOY ASSISTANT DEFENDERS, PLEASE SKIP TO Q. 20. IF IT DOES, PLEASE CONTINUE WITH Q. 12.

12. Of all assistant defenders hired in the past two years, approximately what proportion had any prior trial experience? (Please give your answer in percentage form.) . . . . .

13. Do you give hiring preference to law school graduates with experience as legal interns (e.g., clinical law program graduates)?

No. . . . .	32%
Yes, any clinical program . . . . .	12
Yes, clinical program giving any trial experience. . . . .	7
Yes, clinical program giving criminal defense experience. . . . .	39
Other (please specify): . . . . .	1
Only experienced trial lawyers . . . . .	9
	(n=184)

14. Please estimate the amount of formal (i.e., other than on-the-job) entry level training your new assistant defenders receive during their first year of employment:

NONE. . . . .	32%
One day or less (basic orientation only). . . . .	15
Two days to one week. . . . .	24
1 or 2 weeks. . . . .	21
3 or 4 weeks. . . . .	5
5 or 6 weeks. . . . .	2
More than 6 weeks . . . . .	2
	(n=191)

IF YOU ANSWERED "NONE" IN Q. 14, PLEASE SKIP TO Q. 17. OTHERWISE, PLEASE ANSWER Q. 15.

15. Does your office provide in-house formal (i.e., other than on-the-job) entry level training for new assistant defenders?

Yes. . . . .	46%
No, but there are plans to begin providing it within two years. . . . .	11
No, and there are no plans to begin providing it within two years. . . . .	44

(n=133)

IF YOU ANSWERED "YES" TO Q. 15, PLEASE ANSWER Q. 16.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 17.

16. Which of the following topics are usually covered in your in-house formal entry level training? (Please circle all that apply.)

	Percent Yes
a. Constitutional law (arrest; search and seizure) . . . . .	74%
b. Law of evidence . . . . .	66
c. Charging practices. . . . .	34
d. Screening policies and procedures . . . . .	39
e. Case investigation and/or case preparation. . . . .	79
f. Pre-trial diversion/deferred prosecution procedures or programs. . . . .	51
g. Preliminary hearing procedures and tactics. . . . .	69
h. Jury selection. . . . .	62
i. Plea negotiation practices. . . . .	74
j. Criminal trial procedure. . . . .	69
k. Trial advocacy. . . . .	62
l. Appellate advocacy. . . . .	31
m. Juvenile/family law and court procedure . . . . .	41
n. Forensic science . . . . .	23
o. Polygraph use . . . . .	23
p. Substantive criminal law developments . . . . .	69
q. Scientific evidence identification. . . . .	26
r. Other (please specify): . . . . .	10

(n=61)

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Continuing Education

17. Does your office have a policy that requires experienced assistant defenders (e.g., persons who have completed at least one year as defenders) to participate in some type of job-related continuing education?

No . . . . .	67%
Yes. . . . .	33

(n=195)

18. Does your office provide in-house formal training for experienced assistant defenders?

YES . . . . .	28%
NO, but there are plans to begin providing it within two years . . . . .	11
NO, and there are no plans to begin providing it within two years . . . . .	61

(n=195)

IF YOU ANSWERED "YES" TO Q. 18, PLEASE ANSWER Q. 19.  
OTHERWISE, PLEASE SKIP TO Q. 20.

19. Which of the following topics are covered in your in-house formal training provided for experienced assistant defenders? (Please circle all that apply.)

	Percent Yes
a. Constitutional law (arrest; search and seizure) . . .	78%
b. Law of evidence . . . . .	78
c. Charging practices. . . . .	24
d. Screening policies and procedures . . . . .	25
e. Case investigation and/or case preparation. . . . .	65
f. Pre-trial diversion/deferred prosecution procedures or programs. . . . .	44
g. Preliminary hearing procedures and tactics. . . . .	56
h. Jury selection. . . . .	62
i. Plea negotiation practices. . . . .	56
j. Criminal trial procedure. . . . .	73
k. Trial advocacy. . . . .	75
l. Appellate advocacy. . . . .	38
m. Juvenile/family law and court procedure . . . . .	36
n. Forensic science. . . . .	44
o. Polygraph use . . . . .	27
p. Substantive criminal law developments . . . . .	73
q. Scientific evidence identification. . . . .	40
r. Other (please specify): . . . . .	15

(n=55)

20. Does your office provide assistance (through administrative leave, tuition support, or other means) for external continuing education in the field of criminal defense?

YES, assistance is routinely provided. . . . .	20%
YES, assistance is provided as circumstances permit. . . .	54
NO, but there are plans to begin providing assistance within the next two years . . . . .	2
NO, and there are no plans to begin providing assistance within the next two years . . . . .	25

(n=243)

IF YOU ANSWERED "YES" IN Q. 20, PLEASE ANSWER Q. 21.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 22.

21. Which of the following does your office use as sources of external continuing education? (Please circle all that apply.)

	Percent Yes
a. National College of Criminal Defense Lawyers and Public Defenders. . . . .	55%
b. National Legal Aid and Defenders Association (NLADA) . . . . .	55
c. University-related centers for continuing education . . . . .	46
d. State Bar Association and related courses . . . . .	21
e. State Defender Association and related courses. . . .	18
f. All others _____	12

(n=179)

22. Approximately how many experienced defenders from your office received any external continuing education in the field of criminal defense during the last fiscal year?

IF NEITHER FORMAL ENTRY-LEVEL TRAINING NOR FORMAL CONTINUING EDUCATION IS PROVIDED, PLEASE SKIP TO Q. 25. OTHERWISE, PLEASE CONTINUE.

23. In your opinion, to what extent is each of the following factors a limitation on the overall effectiveness of training in your office?

	Serious Limitation	Moderate Limitation	Not a Limitation	
a. Workload frequently prevents release of assistant defenders for training . . .	50%	39	11	(n=140)
b. Workload frequently prevents release of senior staff to provide training . . .	43	36	21	(n=139)
c. Inadequate training budget. . . . .	65	24	11	(n=141)
d. Necessary training resources not available locally . . . . .	44	31	25	(n=129)
e. Other (please specify): . . . . .	75	0	25	(n=4)

24. On the whole, how satisfied are you with all aspects of training at your office?

Highly satisfied. . . . .	3%
Very satisfied. . . . .	8
Satisfied . . . . .	44
Dissatisfied. . . . .	35
Very dissatisfied . . . . .	4
Extremely dissatisfied. . .	6

(n=160)

Career Preparation

25. Please rate the following areas of legal training in terms of how well you think recent law school graduates are prepared for assuming defender duties. (For each area, please circle the number at the reply which best indicates your opinion.)

	Well Prepared	Adequately Prepared	Not Well Prepared	Don't Know	
a. Substantive criminal law (e.g., State Penal Code). . . .	7%	47	36	11	(n=241)
b. Constitutional law (e.g., search and seizure) . . . . .	15	57	19	9	(n=242)
c. Law of evidence . . . . .	6	42	43	10	(n=241)
d. Juvenile/family law and court procedure . . . . .	0	14	66	20	(n=231)
e. Criminal trial procedure. . . .	0	24	65	11	(n=240)
f. Trial advocacy. . . . .	0	22	64	13	(n=239)
g. Appellate advocacy. . . . .	3	32	45	20	(n=236)
h. Sentencing standards. . . . .	0	10	72	18	(n=240)
i. Legal ethics. . . . .	23	41	22	14	(n=242)
j. Brief preparation . . . . .	13	49	24	14	(n=240)

OPERATIONS AND POLICIES

A. Plea/Sentence Negotiation

26. In your personal opinion, which of the following should actively participate in the plea/sentence negotiation process? (Please circle all that apply.)

- a. The prosecutor. . . . . 97% (n=245)  
b. Counsel for the defendant . . . . . 97 (n=245)  
c. The defendant . . . . . 63 (n=159)  
d. The Court . . . . . 50 (n=126)  
e. Probation officer . . . . . 23 (n=58)  
f. Other (please specify): . . . . . 6 (n=14)

- g. No one; it should not be engaged in at all. . . . . 4 (n=9)

27. Which of the following statements most closely describes your personal opinion about how plea/sentence negotiation proceedings should be recorded?

- a. Negotiations should be conducted only on an informal, off-the-record, basis . . . . . 9%  
b. When a plea/sentence is negotiated, that fact should be entered on the court record . . . . . 17  
c. Negotiations should be formally documented by entering the specific terms of the agreement on the court record . . . . . 59  
d. Other view (please specify): . . . . . 3  
e. Plea/sentence negotiation should not be engaged in at all . . . . . 2  
f. Circled answers two and three . . . . . 8  
g. Circled answers three and five . . . . . 1 (n=251)

28. Which of the following statements most closely describes your personal opinion about whether or not there should be written standards or regulations concerning plea/sentence negotiation?

- a. Plea/sentence negotiation should not be restricted by any written standards or regulations. . . . . 61%  
b. Plea/sentence negotiation should be standardized by adopting written policies to regulate its application . . . . . 36  
c. Plea/sentence negotiation should not be engaged in at all . . . . . 2  
d. Other view (please specify): . . . . . 1 (n=248)

29. Which of the following statements most closely describes your personal opinion about the future use of plea/sentence negotiation as an option to trial?

- a. Plea/sentence negotiation should not be phased out. . . . . 87%  
b. Plea/sentence negotiation should be phased out. . . . . 9  
c. Other view (please specify): . . . . . 4 (n=251)

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30. Which of the following usually actively participate in the plea/sentence negotiation process in your jurisdiction? (Please circle all that apply.)

- |  |     |         |
|--|-----|---------|
| a. The prosecutor . . . . .            | 97% | (n=244) |
| b. Counsel for the defendant . . . . . | 98  | (n=247) |
| c. The defendant . . . . .             | 52  | (n=131) |
| d. The Court . . . . .                 | 31  | (n=78)  |
| e. Probation officer . . . . .         | 11  | (n=28)  |
| f. Other (please specify:) . . . . .   | 7   | (n=17)  |

- g. Plea/sentence negotiations are not conducted in this jurisdiction. . . . . 2 (n=4)

31. Which of the following statements most closely describes the current record-keeping practice with respect to plea/sentence negotiations in your jurisdiction?

- |  |     |
|--|-----|
| a. Negotiations are conducted <u>only</u> on an informal, off-the-record, basis . . . . .                                      | 19% |
| b. When a plea/sentence is negotiated, that fact is entered on the court record . . . . .                                      | 27  |
| c. Negotiations are formally documented by means of entering the specific terms of the agreement on the court record . . . . . | 45  |
| d. Other procedures (please specify:) . . . . .  | 8   |

- e. Negotiations are not conducted in this jurisdiction . . . . . 2 (n=249)

32. Which of the following statements most closely describes the governing of plea/sentence negotiations in your jurisdiction?

- |   |     |
|---|-----|
| a. Plea/sentence negotiations are <u>not</u> governed by written standards or regulations. . . . .            | 73% |
| b. Plea/sentence negotiations <u>are</u> governed by at least some written standards or regulations . . . . . | 26  |
| c. Plea/sentence negotiations are not conducted in this jurisdiction. . . . .                                 | 2   |

33. Do you anticipate a change within the next two years in your jurisdiction's requirements concerning the recording of plea/sentence negotiation proceedings?

- |   |     |
|---|-----|
| a. No, no change anticipated . . . . .  | 89% |
| b. Yes, there are plans to begin entering on the court record the fact that plea/sentence negotiations were involved in deciding upon the plea/sentence . . . . . | 2   |
| c. Yes, there are plans to begin documenting negotiations by entering the specific terms of the agreement on the court record. . . . .                            | 4   |
| d. Other (please specify:) . . . . .  | 5   |

(n=246)

34. Do you anticipate a change within the next two years in your jurisdiction's policies regarding the use or application of plea/sentence negotiation?

No, no change anticipated . . . . . 84%  
Yes (please specify): . . . . . 16  
Expect phase out or reduction in plea negotiation . . . . . 7  
Expect some process or procedural change . . . . . 5  
Other . . . . . 4

(n=245)

35. Even if you do not expect a policy change in your jurisdiction, do you anticipate a change within the next two years in the frequency with which your office utilizes the negotiated plea/sentence?

No change anticipated. . . . . 77%  
Yes, increased use . . . . . 8  
Yes, decreased use . . . . . 15

(n=238)

IF YOU ANSWERED "YES" TO Q. 35, PLEASE ANSWER Q. 36. OTHERWISE, PLEASE SKIP TO Q. 37.

36. Do you expect this change in the use of the negotiated plea/sentence to change your need for assistant defenders?

No change expected . . . . . 25%  
Yes, will increase need for assistant defenders. . . . . 65  
Yes, will decrease need for assistant defenders. . . . . 4

(n=55)

B. Effects of Arrest Policies

37. For each of the following offenses, please indicate if the number of arrests has changed significantly due to CHANGES in ARREST POLICIES in your jurisdiction (e.g., by local executive order; departmental policy; or prosecutorial, judicial, or legislative action) during the past 5 years.

	Arrest Policies Unchanged During Past 5 Years	Changes in Arrest Policies Have:				
		Decreased Arrests	Not Changed Arrests	Increased Arrests	Don't Know	
a. Public intoxication. . . . .	23%	47	5	8	38	(n=235)
b. Possession of small amounts of marijuana . . . . .	20	44	11	14	11	(n=236)
c. Prostitution . . . . .	41	13	14	5	27	(n=228)
d. Homosexual acts between consenting adults. . . . .	33	25	9	1	33	(n=233)
e. Selling pornographic material . . . . .	30	23	9	7	31	(n=233)
f. Gambling . . . . .	32	16	45	8	28	(n=232)

IF ARRESTS HAVE CHANGED DUE TO CHANGED ARREST POLICIES FOR ANY OF THESE OFFENSES, PLEASE ANSWER Q. 38. OTHERWISE, PLEASE SKIP TO Q. 39.

38. For each offense for which you reported a change in arrests in Q. 37, how has the change affected your manpower requirements?

	Increased Manpower Requirements	Not Affected Manpower Requirements	Decreased Manpower Requirements	
a. Public intoxication . . . . .	8%	77	15	(n=120)
b. Possession of small amounts of marijuana. . . . .	19%	61	20	(n=131)
c. Prostitution. . . . .	22%	76	3	(n=37)
d. Homosexual acts between consenting adults . . . . .	4%	87	9	(n=54)
e. Selling pornographic material . . . . .	6%	89	5	(n=65)
f. Gambling . . . . .	13%	86	2	(n=55)

C. Formal Pre-Trial Diversion Programs

39. Are there any formal pre-trial diversion programs (e.g., deferred prosecution) operating in your jurisdiction?

Yes . . . . .	171%
No, but there are some in the planning stage . . . . .	6
No . . . . .	23

(n=249)

IF YOU ANSWERED "YES" IN Q. 39, PLEASE ANSWER Q. 40 AND 41. OTHERWISE, PLEASE SKIP TO Q. 44.

40. Which of the following types of formal pre-trial diversion programs are operating in your jurisdiction? (Please circle all that apply.)

a. Deferred prosecution without rehabilitative services (i.e., adjournment in contemplation of dismissal). . . . .	49%
b. Deferred prosecution with rehabilitative services for defendants charged with drug violations. . . . .	73
c. Deferred prosecution with rehabilitative services for alcohol abuse defendants . . . . .	65
d. Deferred prosecution with rehabilitative services for mentally ill offenders . . . . .	48
e. Informal probation for juveniles . . . . .	69
f. Other pre-trial diversion program (please specify): . . . . .	23

Deferred prosecution for nonviolent or minor offenses, pretrial intervention

All other \_\_\_\_\_ 9

(n=176)

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41. Which, if any, of the following formal pre-trial diversion programs are administered by your office? (Please circle all that apply.)

a. Deferred prosecution without rehabilitative services (i.e., adjournment in contemplation of dismissal). . . . .	11%
b. Deferred prosecution with rehabilitative services for defendants charged with drug violations. . . . .	18
c. Deferred prosecution with rehabilitative services for alcohol abuse defendants . . . . .	14
d. Deferred prosecution with rehabilitative services for mentally ill offenders . . . . .	11
e. Informal probation for juveniles . . . . .	13
f. Other pre-trial diversion program (please specify): . . . . .	5
_____	
_____	
g. NONE . . . . .	62

(n=176)

IF YOUR OFFICE ADMINISTERS ANY FORMAL PRE-TRIAL DIVERSION PROGRAM, PLEASE ANSWER Q. 42. OTHERWISE, PLEASE SKIP TO Q. 43.

42. Has the administration of formal pre-trial diversion program(s) significantly affected the size of your office workload?

No . . . . .	56%
Yes, workload has decreased substantially. . . . .	2
Yes, workload has decreased somewhat . . . . .	14
Yes, workload has increased somewhat . . . . .	21
Yes, workload has increased substantially. . . . .	7

(n=43)

43. Has the use of the available formal pre-trial diversion programs significantly affected the size of your office workload?

No . . . . . 71%

Yes, workload has decreased substantially. . . 2

Yes, workload has decreased somewhat . . . . 21

Yes, workload has increased somewhat . . . . 6

Yes, workload has increased substantially. . . 1

(n=170)

44. In your professional judgment, will the degree to which your office makes use of formal pre-trial diversion programs change within the next two years?

No . . . . . 64%

Yes, will begin using such programs. . . . . 11

Yes, will increase use . . . . . 21

Yes, will decrease use . . . . . 1

Yes, will discontinue use of such programs entirely. . . 1

Other (please specify): . . . . . 2

(n=229)

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45. Defender office responsibilities vary from jurisdiction to jurisdiction. For each of the following activities, please indicate whether it is performed by your office, and how you expect it to change in terms of manpower requirements within the next two years. (For each activity, please circle the number at the reply which best indicates your expectations.)

	Activity Is Performed and Manpower Will:			Activity Is NOT Performed:		
	Increase	Stay about the Same	Decrease	and probably will NOT be added during the next 2 years	but probably will be added during the next 2 years	
a. Representation at bail/ROR hearings. . .	39%	47	0	12	2	(n=243)
b. Representation at preliminary hearings . .	51	40	1	7	2	(n=245)
c. Representation at probation/parole revocation hearings. . . . .	47	45	0	6	2	(n=245)
d. Representation at mental health commitment hearings. . . . .	29	36	0	29	6	(n=233)
e. Representation of prisoner rights cases. . . . .	10	22	0	59	9	(n=234)
f. Defense of felonies. . . . .	65	30	0	4	0	(n=245)
g. Defense of misdemeanors (excluding criminal ordinance violations) . . . . .	56	30	1	7	6	(n=243)
h. Defense of criminal ordinance violations . . . . .	26	35	3	30	6	(n=235)
i. Defense of juveniles . . . . .	53	25	0	15	8	(n=238)
j. Representation for appeals cases . . . .	42	33	3	19	3	(n=238)
k. Representation for post-conviction collateral proceedings (a.g., habeas corpus). . . . .	35	43	3	18	3	(n=240)
l. Other representation or defense (please specify): . . . . .	57	33	0	0	10	(n=30)

**Chief Defender's Position**

46. Every chief defender has particular duties and responsibilities which confront him with especially difficult decisions and problems. Based on your personal experience, please select the three areas in which such decisions and problems most often come up, and rank them, starting with "1" for the area in which they come up the most often.

	Modal Rank Three Choices Only	Percent Responding Most Often
a. Preparation, supervision, and review of legal cases . . . . .	1	53%
b. General personnel management (e.g., recruitment, grievances, and so on). . . . .	2	26
c. Workload management . . . . .		40
d. Dealing with prosecutors and prosecutor offices . . . . .		24
e. Dealing with other criminal justice agencies or offices (excluding prosecutor offices). . . . .	3	24
f. Dealing with the public (giving speeches to citizen's groups, and so on). . . . .		14
g. Dealing with the news media (giving information, press conferences, and so on) . . . . .		20
h. Dealing with local officials (correspondence and meetings with mayor, city council, county executive, and so on) . . . . .		30
i. Dealing with state officials (correspondence and meetings with governor, state commissions, legislators, and so on) . . . . .		24
j. Other duties and responsibilities (please specify): . . . . .		64
<hr/>		
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(n varies;  
5-166)

47. Considering your experience and responsibilities as a chief defender, in which areas would you recommend special or extended (post-law school) training as especially useful for your successors to take? (Please circle all that apply.)

a. Constitutional law (arrest; search and seizure). . . . .	56%
b. Law of evidence. . . . .	62
c. Juvenile justice law . . . . .	30
d. Jury selection . . . . .	36
e. Plea negotiation practices . . . . .	31
f. Trial advocacy . . . . .	61
g. Appellate advocacy . . . . .	31
h. General management/administration. . . . .	49
i. Program management (e.g., pre-trial diversion, deferred prosecution) . . . . .	20
j. Substantive criminal law developments. . . . .	51
k. Scientific evidence identification . . . . .	37
l. Polygraph use. . . . .	19
m. Psychiatry and the law . . . . .	41
n. Forensic pathology . . . . .	31
o. Human relations. . . . .	33
p. Community relations. . . . .	24
q. Other (please specify): . . . . .	2
<hr/>	
r. NONE . . . . .	3

(n=252)

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48. Have you taken any (post-law school) comprehensive or "omnibus" defender training course(s) which, for example, cover many defense-related topics at one time?

No . . .	39%
Yes. . .	61
	(n=246)

49. In which, if any, of the following areas have you taken individual, concentrated courses or specialty training? (Please circle all that apply.)

a. Constitutional law (arrest; search and seizure). . . . .	47%
b. Law of evidence. . . . .	44
c. Juvenile justice law . . . . .	16
d. Jury selection . . . . .	25
e. Plea negotiation practices . . . . .	19
f. Trial advocacy . . . . .	46
g. Appellate advocacy . . . . .	14
h. General management/administration. . . . .	23
i. Program management (e.g., pre-trial diversion, deferred prosecution) . . . . .	8
j. Substantive criminal law developments. . . . .	41
k. Scientific evidence identification . . . . .	29
l. Polygraph use. . . . .	16
m. Psychiatry and the law . . . . .	18
n. Forensic pathology . . . . .	18
o. Human relations. . . . .	6
p. Community relations. . . . .	4
q. Other (please specify): . . . . .	2
r. NONE . . . . .	17
	(n=252)

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50. How much improvement in the administration of justice do you think could be achieved by changes in staffing, organization, and policies of defender offices in general?

A great deal of improvement. . .	49%
Some improvement . . . . .	39
Little or no improvement . . . .	12
	(n=234)

51. What do you consider to be the major obstacle to the proper administration of justice in your jurisdiction?

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Chief Defender's Background

52. Please record the following:

a. Age: (Median) . . . . .	37	(n=252)
b. Sex: (Please circle) Male		95%
Female		2
c. Color or race:		(n=243)
White. . . . .		95%
Black. . . . .		1
Other (please specify): . . .		1
		(n=239)

-26-

53. Are you employed (as chief defender) on a full-time (35 hours/week or more) or on a part-time basis?

Part-time. . .	27%
Full-time. . .	73
	(n=244)

54. Do you currently have an outside law practice?

Only civil. . . . .	15%
Only criminal. . . . .	1
Both civil and criminal. . . . .	24
No private practice maintained. . .	61
	(n=245)

IF YOU ANSWERED "NO PRIVATE PRACTICE MAINTAINED" IN Q. 54, PLEASE ANSWER Q. 55. OTHERWISE, PLEASE SKIP TO Q. 56.

55. Is an outside law practice permitted?

Only civil practice permitted. . .	5%
Only criminal practice permitted. .	1
Both permitted. . . . .	2
Neither permitted. . . . .	92
	(n=132)

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56. What is your exact title? \_\_\_\_\_

57. How were you originally selected for this position?

Appointed by governor. . . . .	32
Appointed by judiciary alone. . . . .	20
Appointed by judiciary, with approval of county board. . . . .	7
Appointed by state defender office. . .	19
Appointed by county board. . . . .	28
Appointed to unexpired portion of term of an elective office. . . . .	1
Elected (partisan ballot). . . . .	3
Elected (nonpartisan ballot). . . . .	0
Other (please specify:). . . . .	13
Appointed by State Judicial Council with approval of or on recommendation of judiciary. . . . .	2
Appointed by County Commissioners or County Board with approval of or on recommendation of judiciary. . . . .	2
Appointed by Appellate Judicial Commission. . . . .	2
Civil Service. . . . .	0
Appointed by City Council. . . . .	0
Other. . . . .	

(n=248)

-28-

38. How many years have you been chief defender?  
(IF LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . . 2  
(n=239)
39. Please record the number of years you have worked in the following areas. (IF LESS THAN SIX MONTHS, PLEASE ENTER "0.")
- |   | Median<br>Years |         |
|---|-----------------|---------|
| a. Attorney in a corporation counsel's office. . . . .                          | <u>0</u>        | (n=113) |
| b. Attorney in a prosecutor office . . . . .                                    | <u>0</u>        | (n=144) |
| c. Attorney in a criminal defense office . . . . .                              | <u>3</u>        | (n=189) |
| d. Attorney in a Legal Services office<br>(i.e., civil law) . . . . .           | <u>0</u>        | (n=108) |
| e. Other criminal justice area (e.g.,<br>parole agency, police, etc.) . . . . . | <u>0</u>        | (n=97)  |
| f. Private law practice only . . . . .  | <u>4</u>        | (n=183) |
| g. Other legal occupation (please specify): . . . . .                           | <u>0</u>        | (n=86)  |

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Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

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# DEFENDER OFFICE FACT SHEET

## Personnel Information

60. What was this office's employment in each of the following categories on June 30, 1975?

NOTE: COUNT EMPLOYEES WORKING 35 HOURS OR MORE PER WEEK AS FULL-TIME, AND EMPLOYEES WORKING LESS THAN 35 HOURS A WEEK AS PART-TIME.

	Full-Time		Part-Time	
	<u>X</u>	<u>n</u>	<u>X</u>	<u>n</u>
a. TOTAL EMPLOYMENT. . . . .	<u>13.2</u>	<u>169</u>	<u>.5</u>	<u>124</u>
b. Chief and assistant chief defender(s) . . . . .	<u>1.5</u>	<u>182</u>	<u>1.0</u>	<u>105</u>
c. Assistant defenders . . . . .	<u>10.3</u>	<u>153</u>	<u>2.7</u>	<u>112</u>
d. Investigators (on your payroll) . . . . .	<u>2.7</u>	<u>167</u>	<u>.4</u>	<u>82</u>
e. Investigators (detailed to your office) . . . . .	<u>.6</u>	<u>106</u>	<u>.2</u>	<u>75</u>
f. Paralegals (excluding law students) . . . . .	<u>.2</u>	<u>110</u>	<u>.2</u>	<u>74</u>
g. Rehabilitative services staff (excluding secretarial personnel). . . . .	<u>.3</u>	<u>107</u>	<u>.1</u>	<u>74</u>
h. Secretaries/typists/stenographers . . . . .	<u>4.1</u>	<u>128</u>	<u>1.1</u>	<u>90</u>
i. All other personnel (please specify): . . . . .	<u>1.5</u>	<u>92</u>	<u>3.4</u>	<u>66</u>

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BEGIN  
CARD 06

IF YOUR OFFICE EMPLOYS ASSISTANT DEFENDERS, PLEASE ANSWER  
Q. 61-65. OTHERWISE, PLEASE SKIP TO Q. 67.

61. On the average, how many hours per week do your part-time assistant defenders work (as defenders)? Please enter "0" if you have no part-time assistant defenders.)

Hours/week. . . . 21.6 99

62. How many assistant defenders voluntarily resigned from your office during the 12-month period from June 30, 1973 to June 30, 1974? . . . . .

1.9 180

63. How many assistant defenders did you hire during the 12-month period from June 30, 1973 to June 30, 1974? . . . . .

2.9 173

64. How many assistant defenders were employed by your office on June 30, 1973? . . . . .

8.1 180

65. How many assistant defenders were employed by your office on June 30, 1974? . . . . .

9.1 180

66. What are the minimum and maximum annual salaries for assistant defenders at your office?

a. Minimum. . . . \$ 14,127 169  
b. Maximum. . . . \$ 21,786 169

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67. Does your office utilize law students?

No. . . . 4%  
Yes. . . . 56  
(n=241)

IF YOU ANSWERED "YES" TO Q. 67, PLEASE ANSWER Q. 68 AND 69.  
OTHERWISE, PLEASE SKIP TO Q. 70.

68. How many law students usually work at your office?

a. Number of law students connected with clinical law program (i.e., legal interns) . . . . . 5.8 103  
b. Number of law students NOT connected with clinical law program. . . . . 4.3 101

69. Which of the following tasks are law students at your office permitted to perform? (Please circle all that apply.)

a. Screening . . . . . 47%  
b. Client interviewing . . . . . 81  
c. Case investigation. . . . . 72  
d. Preparation of briefs . . . . . 84  
e. Legal research, abetting, and so on. . . . . 93  
f. Representation of misdemeanor clients, under supervision . . . . . 49  
g. Representation of felony clients, under supervision . . . . . 20  
h. Other (please specify): . . . . . 11

(n=134)

751-11A  
VIT-15A

# Caseload Information

70. Approximately what proportion of your felony defendants during the last fiscal year were processed through plea/sentence negotiation? (Please exclude defendants who pled guilty without negotiations, and give your answer in percentage form.) . . . . . 65.7 216

71. Approximately what proportion of your misdemeanor defendants during the last fiscal year were processed through plea/sentence negotiation? (Please exclude defendants who pled guilty without negotiations, and give your answer in percentage form.) . . . . . 57.6 210

72. Approximately what proportion of all indigent cases in your jurisdiction were represented by your office (rather than by assigned counsel) during the last complete fiscal year? (Please give your answer in percentage form.) . . . . . 84 224

73. Approximately what proportion of your office caseload during the last complete fiscal year was contracted to a specialist private attorney (excluding assigned counsel)? (Please give your answer in percentage form.) . . . . . 1.0 223

74. Approximately what number of cases in each of the following categories were defended by your office during the last complete fiscal year?

a. TOTAL CASES. . . . .	<u>2987</u>	<u>202</u>
b. Number of felony cases . . . . .	<u>928</u>	<u>202</u>
c. Number of non-traffic misdemeanor cases. . . . .	<u>1424</u>	<u>199</u>
d. Number of juvenile court cases . . . . .	<u>430</u>	<u>234</u>

75. Approximately what number of cases defended by your office during the last complete fiscal year resulted in each of the following dispositions?

## NUMBER OF CASES:

a. Diverted before trial (deferred prosecution) . . . . .	<u>122</u>	<u>137</u>
b. Dismissed before trial . . . . .	<u>345</u>	<u>146</u>
c. Negotiated guilty plea . . . . .	<u>887</u>	<u>144</u>
d. Non-negotiated guilty plea . . . . .	<u>183</u>	<u>122</u>
e. Bench trials or hearings . . . . .	<u>160</u>	<u>134</u>
f. Jury trials. . . . .	<u>74</u>	<u>153</u>
g. Continued. . . . .	<u>191</u>	<u>64</u>
h. Other (please specify): . . . . .	<u>234</u>	<u>32</u>

76. Approximately what number of appellate cases did your office work on during the last complete fiscal year? . . . . . 61 216

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Office Information

77. Please indicate which description best fits your office:

Office is part of a state public defender system. . . . .	1	34%
Office is local or county-based . . . . .	2	54
Attorney(s) under government contract to provide defense for indigents . . . . .	3	5
Private attorney(s) affiliated with a law school program . . . . .	4	1
Legal Aid Society (Criminal Division) . . . . .	5	1
Other (please specify): . . . . .	6	5

(n=244)

951-11A

78. In what year was your particular defender office established? . . 19\_\_

79. Please list the counties served by your office:

_____
_____
_____
_____
_____
_____
_____

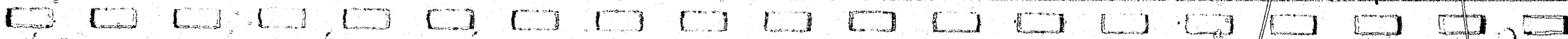
<input type="checkbox"/>	<input type="checkbox"/>
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80. Please indicate which, if any, types of assistance your office receives from the following sources. (Please circle as many numbers as needed to describe each source's assistance to your office.)

	Type of Assistance					
	Administrative	Planning	Legal Research/ Legal Advice	Appeals	Training	Other

a. National Legal Aid and Defenders Association (NLADA). . . . .	8%	8	8	0	17	4
b. State Defender Office. . . . .	21	12	19	23	21	5
c. National Legal Research Centers (e.g., OEO back-up centers) . . . . .	0	0	1	0	0	0
d. National College of Criminal Defense Lawyers and Public Defenders . . . . .	2	3	6	0	32	0
e. State Bar Association. . . . .	1	2	4	0	15	1
f. State Judicial Conference or Courts. . . . .	1	1	1	0	2	0
g. Accredited law schools . . . . .	1	0	11	1	5	4
h. State Planning Agency. . . . .	1	3	0	0	2	4
i. State Court Administrator's Office . . . . .	8	4	0	0	1	2
j. State Attorney General . . . . .	0	0	2	0	1	2
k. Other source (please specify): . . . . .	2	1	2	2	6	3

(n=252)



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Expenditures .

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE,  
PLEASE GIVE YOUR BEST ESTIMATE.

81. Total annual office expenditures for the last complete  
fiscal year . . . . . \$778,023 199
82. Annual payroll expenditures for the last complete  
fiscal year (salaries and fringe benefits). . . . . \$724,773 201
83. Annual operating expenditures for training for the  
last complete fiscal year (excluding salary of trainees). . \$ 7,451 187

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OMB No.: 043-575032  
Approval Expires: July 31, 19  
LEAA No.: 3600-7  
BSSR No.: 46716

**NOTE:** Throughout this questionnaire, the term "correctional officer" has been used to designate both custody and security personnel.

Manpower Issues

1. How serious do you think each of the following manpower problems is in your institution or facility? Please rank them, using "1" for the most serious problem, "2" for the next most serious, and so on.

	Modal Rank	Percent Responding Most Ser
a. Inadequate number of authorized positions . . . . .	1	59%
b. Inability to achieve or maintain authorized strength. . . . .	2/3	16
c. High (excessive) turnover . . . . .	4	11
d. Inadequate training of personnel. . . . .	-	15
e. Inadequate representation of minorities or women on force . . . . .	5/6	7
f. Other (please specify:) . . . . .	-	*

(n varies 27-206)

2. What do you feel is the major factor contributing to the manpower problem you ranked "most serious" (i.e., ranked "1") in Q. 1?

General lack of qualified applicants. . . . .	8%
Lack of qualified minority or female applicants . . . . .	3
Inadequate levels of compensation . . . . .	8
Insufficient funds for training . . . . .	9
General budgetary problems. . . . .	64
Limited opportunities for advancement . . . . .	4
Other (please specify:) . . . . .	5

(n=193)

\* Base too small to percentage.

851-11A

APPENDIX  
ADULT CORRECTIONS

3. Does your facility currently have a critical manpower shortage in any of the following personnel categories? (Please circle all that apply.)

	Percent Yes
a. Basic correctional officers (guards and other first-line custody or security personnel) . . . . .	51%
b. Supervisory correctional officers (first-line supervisors of guard, other custody, or security force) . . . . .	29
c. Middle management (correctional or guard force members above first-line supervisors, but below assistant or deputy administrator) . . . . .	19
d. Correctional administrator and deputy or assistant administrator(s) . . . . .	14
e. Psychiatrists . . . . .	39
f. Medical doctors . . . . .	38
g. Nurses . . . . .	37
h. Psychologists . . . . .	31
i. Social workers . . . . .	26
j. Other counselors . . . . .	30
k. Case aides . . . . .	11
l. Vocational teachers . . . . .	20
m. Academic teachers . . . . .	13
n. Physical facilities maintenance personnel . . . . .	39
o. Food service personnel . . . . .	33
p. Secretaries/cylists/stenographers . . . . .	37
q. Other (please specify) . . . . .	11
r. NO CRITICAL SHORTAGES IN ANY OF THE ABOVE CATEGORIES . . . . .	11

(n=220)

4. During the three years before the current recession (i.e., the years 1971-1974), how serious a problem were voluntary resignations among the following categories of personnel?

	Critical Problem	Serious Problem	Moderate Problem	Slight Problem	No Problem at All	Does Not Apply	
a. Correctional officers (basic and supervisory) . . . . .	10%	21	22	18	25	5	(n=217)
b. Educational personnel . . . . .	2%	2	11	24	50	11	(n=204)
c. Treatment personnel . . . . .	2%	2	19	21	42	8	(n=205)
d. Medical personnel . . . . .	12%	17	17	14	29	11	(n=210)

5. During the three years before the current recession (i.e., the years 1971-1974), did your institution have an adequate supply of qualified applicants in the following personnel categories?

	No	Yes	Does Not Apply	
a. Correctional officers (basic position only) . . . . .	42%	52	6	(n=216)
b. Educational personnel . . . . .	20%	68	12	(n=209)
c. Treatment personnel . . . . .	28%	66	7	(n=209)
d. Medical personnel . . . . .	56%	32	12	(n=210)

6. What was this facility's employment in each of the following categories on June 30, 1975?

- Number of correctional officers (basic and supervisory) . . . . .
- Number of treatment personnel (psychiatrists, social workers, counselors) . . . . .
- Number of educational personnel (vocational, academic) . . . . .
- Number of medical personnel (doctors and nurses) . . . . .
- All other personnel (including clerical, food service, maintenance personnel, and so on) . . . . .

-4-

7. In your judgment, how many employees in each of the following categories would you need to fulfill effectively all the duties and responsibilities with which you are charged in administering your facility?

- a. Total number of correctional officers (basic and supervisory) . . . . .
- b. Total number of treatment personnel (psychiatrists, social workers, counselors) . . . . .
- c. Total number of educational personnel (vocational, academic) . . . . .
- d. Total number of medical personnel (doctors and nurses) . . . . .
- e. Total number of other personnel (including clerical, food service, maintenance personnel and so on) . . . . .

8. How many employees do you actually expect to have on the payroll by June 30, 1976?

- a. Number of correctional personnel (basic and supervisory) . . . . .
- b. Number of treatment personnel (psychiatrists, social workers, counselors) . . . . .
- c. Number of educational personnel (vocational, academic) . . . . .
- d. Number of medical personnel (doctors and nurses) . . . . .
- e. All other personnel (including clerical, food service, maintenance personnel and so on) . . . . .

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-5-

Entry Level Standards

IF YOUR FACILITY IS A NON-SECURED FACILITY, PLEASE SKIP TO Q. 13.  
IF YOUR FACILITY IS A SECURED FACILITY, PLEASE CONTINUE.

9. Based upon your experience as an administrator, what do you think is the minimum education a correctional officer should have prior to joining your correctional force?

- Less than high school diploma . . . . . 2
- High school diploma . . . . . 85
- 1 year of college . . . . . 7
- 2 or 3 years of college . . . . . 5
- Bachelor's degree . . . . . 2
- Education requirement not relevant to the job . . . . . 1

(n=210)

10. What is the minimum education now required of new correctional officers at your facility?

- No minimum required . . . . . 10%
- Less than high school diploma . . . . . 13
- High school diploma . . . . . 77
- 1 year of college . . . . . -
- 2 or 3 years of college . . . . . -
- Bachelor's degree . . . . . -
- Other (please specify:) . . . . . -

(n=213)

11. What is the probability that a higher minimum education standard will be adopted at your facility within the next two years?

- Will almost certainly be adopted . . . . . 2%
- Will probably be adopted . . . . . 6
- Will probably NOT be adopted . . . . . 62
- Will almost certainly NOT be adopted . . . . . 30

(n=213)

**CONTINUED**

**3 OF 6**

12. Physical entry standards have been challenged on the grounds that they discriminate against women and minority groups. Have you had to deal with this issue? If so, have the standards at your facility been affected?

NO, the issue has not come up . . . . . 66%

YES, the issue has come up,

but it has not yet been resolved . . . . . 10

and the physical entry standards have been revised . . . . . 16

but the physical entry standards have NOT been revised . . . . . 5

OTHER (Please specify:) . . . . . 2

(n=205)

**Formal Entry Level Training**

13. How many hours of formal (i.e., other than on-the-job) basic orientation/training are usually provided to new treatment and educational employees? (IF YOU HAVE NO FORMAL ORIENTATION COURSE, PLEASE ENTER "0.")

Hours: \_\_\_\_\_

IF YOUR FACILITY IS A NON-SECURED FACILITY, PLEASE SKIP TO Q. 42.  
IF YOUR FACILITY IS A SECURED FACILITY, PLEASE CONTINUE.

14. How many hours of formal (i.e., other than on-the-job) entry level training do you provide for your new correctional officers? (IF YOU HAVE NO FORMAL TRAINING FOR CORRECTIONAL OFFICERS, PLEASE ENTER "0.")

Hours: \_\_\_\_\_

IF YOU ENTERED "0" IN Q. 14, PLEASE ANSWER Q. 15. OTHERWISE, PLEASE SKIP TO Q. 16.

15. Do you expect to begin providing any formal entry level training for your new correctional officers within the next two years?

Yes, definitely . . . . . 43%

Yes, probably . . . . . 29

Probably not . . . . . 29

Definitely not . . . . . -

Don't know . . . . . -

(n=7)

IF YOU ANSWERED Q. 15,  
PLEASE SKIP TO Q. 22.

16. Is formal entry level training provided to every new correctional officer?

Yes . . . . . 96%

No, not provided to new correctional officers with prior corrections experience . . . . . 2

No, other (please explain:) . . . . . 3

(n=199)

17. Where do your new correctional officers take their formal entry level training? (Please circle all that apply.)

a. Within the facility . . . . . 41%

b. At another correctional facility . . . . . 9

c. At a local educational institution . . . . . 1

d. At a regional training facility . . . . . 12

e. At a state training facility . . . . . 56

f. Other (please specify:) . . . . . 2

(n=220)

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18. Where will your new correctional officers probably take their formal entry level training two years from now? (Please circle all that apply.)

a. Within the facility . . . . .	38%
b. At another correctional facility . . . . .	7
c. At a local educational institution . . . . .	3
d. At a regional training facility . . . . .	12
e. At a state training facility . . . . .	60
f. Other (please specify:) . . . . .	2
	(n=220)

19. Has the length of formal entry level training provided for your new correctional officers changed in the past five years?

No, length unchanged . . . . .	15%
Yes, length increased . . . . .	80
Yes, length decreased . . . . .	5
	(n=197)

201-11A

20. Do you expect that the length of formal entry level training provided for your new correctional officers will be changed during the next two years?

No, no change expected . . . . .	40%
Yes, length expected to increase . . . . .	40
Yes, length expected to decrease . . . . .	-
Don't know . . . . .	20
	(n=199)

21. Which of the following areas are covered in the formal entry level training provided to your new correctional officers? (Please circle all that apply.)

	Percent Yes
a. Departmental policies and procedures . . . . .	89%
b. Report writing and preparation . . . . .	86
c. Correctional law . . . . .	86
d. Principles of corrections . . . . .	82
e. Security and weapons training . . . . .	88
f. Supervision of prisoners . . . . .	88
g. Control and prevention of escapes and disturbances . . . . .	85
h. Physical training and self defense . . . . .	60
i. First aid and emergency medical treatment . . . . .	64
j. Counseling techniques . . . . .	61
k. Vocational counseling . . . . .	16
l. Race relations . . . . .	63
m. Alcohol or drug treatment programs . . . . .	41
n. Other (please specify:) . . . . .	5
	(n=220)

22. How much emphasis in formal entry level training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures . .	85%	15	0	(n=213)
b. Report writing and preparation . . . . .	83%	15	1	(n=215)
c. Correctional law . . . . .	47%	46	7	(n=209)
d. Principles of corrections . . . . .	66%	39	34	(n=212)
e. Security and weapons training . . . . .	75%	22	3	(n=215)
f. Supervision of prisoners . . . . .	95%	5	0	(n=214)
g. Control and prevention of escapes and disturbances . . . . .	83%	16	1	(n=213)
h. Physical training and self defense . . .	39%	53	8	(n=210)
i. First aid and emergency medical treatment . . . . .	45%	51	4	(n=212)
j. Counseling techniques . . . . .	47%	41	11	(n=213)
k. Vocational counseling . . . . .	15%	40	45	(n=197)
l. Race relations . . . . .	63%	29	8	(n=210)
m. Alcohol or drug treatment programs . . .	31%	44	25	(n=203)
n. Other (please specify:) . . . . .	67%	25	8	(n=12)

Formal In-Service Training

23. Is formal in-service training other than roll-call training provided to your experienced correctional officers?

No . . . . . 15%  
 Yes . . . . . 85%  
 (n=214)

IF YOU ANSWERED "YES" TO Q. 23, PLEASE ANSWER Q. 24-27. OTHERWISE, PLEASE SKIP TO Q. 28.

24. Approximately how many of your experienced correctional officers attended formal in-service training during the last fiscal year?

Number: \_\_\_\_\_

25. For those experienced correctional officers who attended formal in-service training during the last fiscal year, approximately what was the average length of training in hours?

Average hours: \_\_\_\_\_

26. Where do your experienced correctional officers take their formal in-service training? (Please circle all that apply.)

a. Within the facility . . . . . 65%  
 b. At another correctional facility . . . . . 14  
 c. At a local educational institution . . . . . 12  
 d. At a regional training facility . . . . . 11  
 e. At a state training facility . . . . . 48  
 f. Other (please specify:) . . . . . 2  
 (n=182)

27. Which of the following areas are covered in formal in-service training? (Please circle all that apply.)

a. Departmental policies and procedures . . . . . 85%  
 b. Report writing and preparation . . . . . 74  
 c. Correctional law . . . . . 64  
 d. Principles of corrections . . . . . 69  
 e. Security and weapons training . . . . . 80  
 f. Supervision of prisoners . . . . . 82  
 g. Control and prevention of disturbances and escapes . . . . . 81  
 h. Physical training and self defense . . . . . 49  
 i. First aid and emergency medical treatment . . . . . 63  
 j. Counseling techniques . . . . . 62  
 k. Vocational counseling . . . . . 15  
 l. Race relations . . . . . 62  
 m. Alcohol or drug treatment programs . . . . . 45  
 n. Other (please specify:) . . . . . 9  
 (n=182)

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28. How much emphasis in formal in-service training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures . . . . .	82%	17	1	(n=207)
b. Report writing and preparation . . . . .	76	22	1	(n=208)
c. Correctional law . . . . .	50	43	7	(n=208)
d. Principles of corrections . . . . .	57	39	4	(n=205)
e. Security and weapons training . . . . .	68	30	3	(n=207)
f. Supervision of prisoners . . . . .	90%	9	3	(n=207)
g. Control and prevention of escapes and disturbances . . . . .	79%	21	0	(n=205)
h. Physical training and self defense . . . . .	34%	59	8	(n=205)
i. First aid and emergency medical treatment . . . . .	40%	54	6	(n=205)
j. Counseling techniques . . . . .	53%	39	8	(n=205)
k. Vocational counseling . . . . .	19%	37	44	(n=188)
l. Race relations . . . . .	59%	33	8	(n=201)
m. Alcohol or drug treatment programs . . . . .	35%	45	20	(n=191)
n. Other (please specify) . . . . .	86%	14	0	(n=7)

29. Within the next two years, do you expect a change in the formal in-service training provided for your experienced correctional officers?

Will begin in-service training . . . . .	6%
Will increase it . . . . .	63
Will leave it unchanged . . . . .	23
Will decrease it . . . . .	1
Will terminate in-service training . . . . .	0
In-service training is not now provided nor will it be begun . . . . .	2
Other (please specify) . . . . .	3
	(n=201)

IF NEITHER FORMAL ENTRY LEVEL NOR FORMAL IN-SERVICE TRAINING IS PROVIDED TO YOUR CORRECTIONAL OFFICERS, PLEASE SKIP TO Q. 32. OTHERWISE, PLEASE CONTINUE.

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30. In your opinion, to what extent is each of the following factors a limitation on the overall effectiveness of training for your facility?

	Serious Limitation	Moderate Limitation	Not a Limitation	
a. Workload frequently prevents release of correctional officers for training . . . . .	69%	19	12	(n=204)
b. Workload frequently prevents release of senior staff to provide training . . . . .	48%	36	17	(n=200)
c. Inadequate training budget . . . . .	56%	30	14	(n=198)
d. Necessary training resources are not available locally . . . . .	75%	35	51	(n=186)
e. Other (please specify) . . . . .	83%	17	0	(n=6)

31. On the whole, how satisfied are you with all aspects of training for your facility?

Extremely satisfied . . . . .	23
Very satisfied . . . . .	30
Satisfied . . . . .	49
Dissatisfied . . . . .	29
Very dissatisfied . . . . .	4
Extremely dissatisfied . . . . .	6
	(n=206)

Continuing Academic Education

32. In your judgment, should your institution encourage correctional officers to pursue a college degree program once they have begun their correctional careers?

Should strongly encourage . . . . .	48%
Should encourage . . . . .	45
Should discourage . . . . .	0
Is not a matter for the institution to take a stand on . . . . .	4
	(n=213)

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33. Please rank the following five policies in order of how effective you think they would be in encouraging correctional officers to continue their academic education.

	Model Rank	Percent Responding Most Effective
a. Adjusting schedules to facilitate class attendance . . . . .	1/4/5	14%
b. Allowing time off to attend class . . . . .	4/5	13
c. Subsidies for books and tuition . . . . .	3	16
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	-	51
e. Using academic education as part of the basis for promotions . . . . .	2	15

34. Which, if any, of the following policies has your institution or facility ever adopted?

	Adopted and Continued	Adopted But Later Terminated	Never Adopted	
a. Adjusting schedules to facilitate class attendance . . . . .	77%	7	16	(n=212)
b. Allowing time off to attend class . . . . .	26%	5	69	(n=203)
c. Subsidies for books and tuition . . . . .	31%	10	59	(n=199)
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	7%	11	82	(n=199)
e. Using academic education as part of the basis for promotions . . . . .	56%	3	42	(n=205)

Promotion Policies

35. In your opinion, what is the minimum academic education that should be required of correctional officers prior to promotion to the first supervisory level?

No minimum requirement . . . . .	3%
Some high school . . . . .	3
High school diploma . . . . .	62
1 year of college . . . . .	17
2 or 3 years of college . . . . .	14
Bachelor's degree . . . . .	1
Other (please specify) . . . . .	
	(n=213)

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36. In your judgment, should correctional officers be required to take a special course in supervisory techniques either prior to being considered for their first promotion or immediately following their first promotion to a supervisory level?

No, should not be required . . . . .	4%
Yes, should be required prior to being considered for promotion . . . . .	57
Yes, should be required immediately following promotion . . . . .	39

37. Do you currently require that a special course for supervisors be completed?

No . . . . .	79%
Yes, prior to being considered for promotion . . . . .	12
Yes, immediately following promotion . . . . .	9

(n=210)

(n=215)

Operations and Manpower Requirements

38. Based upon your experience in corrections, would you support or oppose the training of correctional officers for inmate counseling?

Would strongly support . . . . .	55%
Would support . . . . .	35
Would neither support nor oppose . . . . .	6
Would oppose . . . . .	3
Would strongly oppose . . . . .	1

39. Do you currently assign major counseling responsibilities to correctional officers?

Yes, most correctional officers . . . . .	10%
Yes, to selected correctional officers . . . . .	49
No, to none . . . . .	41

(n=215)

(n=209)

IF YOU ASSIGN MAJOR COUNSELING RESPONSIBILITIES TO ANY CORRECTIONAL OFFICERS, PLEASE ANSWER Q. 40. OTHERWISE, PLEASE SKIP TO Q. 42.

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40. Do your correctional officers receive training for their counseling duties? (Please circle all that apply.)

- a. No, no specialized training is required for correctional officers serving as counselors . . . . . 8%
- b. Yes, part of basic entry level training . . . . . 21
- c. Yes, special in-service training course . . . . . 35
- d. Yes, officers are encouraged to enroll in college programs . . . . . 23
- e. Yes, special course at a regional or state training facility . . . . . 15
- f. Other (please specify): . . . . . 1

(n=220)

IF YOU ANSWERED "YES" TO Q. 40, PLEASE ANSWER Q. 41. OTHERWISE, PLEASE SKIP TO Q. 42.

41. Approximately what percentage of your total number of correctional officers have received specialized training in counseling techniques? . . . . . %

42. Which of the following do you utilize as counselors? (Please circle all that apply.)

- a. Psychiatrists . . . . . 45%
- b. Psychologists . . . . . 67
- c. Social workers . . . . . 65
- d. Case aides or lay counselors . . . . . 46
- e. Vocational teachers . . . . . 49
- f. Academic teachers . . . . . 54
- g. Ex-offenders . . . . . 66
- h. Volunteers . . . . . 56
- i. Correctional counselor . . . . . 34
- j. Chaplin . . . . . 4
- k. Correctional officer . . . . . 5
- l. Other . . . . . 11

(n=220)

43. Correctional facilities' functions vary from jurisdiction to jurisdiction. For each of the following activities, please indicate whether it is performed at your facility, and how you expect it to change in terms of manpower requirements within the next two years. (For each activity, please circle the number which best indicates your expectations.)

		Activity Is Performed and Manpower Will:			Activity Is NOT Performed,	
		Increase	Stay about the Same	Decrease	and probably will NOT be added during the next 2 years	but probably WILL be added during the next 2 years
a. Inmate custody . . . . .	47%	52	1	0	0	(n=218)
b. Inmate classification and evaluation . . . . .	53%	44	0	3	1	(n=213)
c. Medical services . . . . .	49%	50	0	2	0	(n=218)
d. Institutional industries programs . . . . .	27%	36	8	23	6	(n=214)
e. Vocational education . . . . .	47%	41	1	7	4	(n=215)
f. Academic teaching programs . . . . .	39%	53	1	5	2	(n=219)
g. Recreational programs . . . . .	43%	54	1	1	1	(n=217)
h. Alcohol or drug treatment programs . . . . .	41%	47	1	9	3	(n=217)
i. Psychological counseling . . . . .	32%	57	1	6	4	(n=217)
j. Pre-release counseling . . . . .	33%	51	1	12	3	(n=213)
k. Family counseling . . . . .	17%	47	0	29	6	(n=211)
l. Job counseling and job placement . . . . .	35%	48	1	13	3	(n=216)
m. Work release programs . . . . .	33%	34	5	24	4	(n=215)
n. Study release programs . . . . .	25%	34	4	29	8	(n=215)
o. Administration of community-based facilities or halfway houses . . . . .	24%	20	2	47	7	(n=208)
p. Administrative services . . . . .	34%	57	2	5	1	(n=211)
q. Other (please specify): . . . . .	0%	50	0	0	50	(n=2)

44. Do you employ ex-offenders at your facility?

Yes . . . . .	56%
No, due to legal constraints . . . . .	7
No, due to departmental policy . . . . .	15
No, for other reasons (please specify): . . . .	9
None have applied . . . . .	13

(n=216)

IF YOU ANSWERED "YES" TO Q. 44, PLEASE ANSWER Q. 45. OTHERWISE, PLEASE SKIP TO Q. 46.

45. How many ex-offenders do you currently employ?

Numbers \_\_\_\_\_

46. Within the next two years, do you expect to change your employment practices regarding ex-offenders?

No, no change expected . . . . .	89%
Yes, will begin hiring ex-offenders . . . . .	4
Yes, will increase hiring of ex-offenders . . . .	7
Yes, will decrease hiring of ex-offenders . . . .	0

(n=205)

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Work and Study Release Programs

47. During the past five years has any type of work release program been started at your facility?

(The term "work release" refers to any program in which offenders are permitted to leave the correctional facility to work at some form of gainful employment, and return to the facility after work.)

YES, a work release program:

Was started as a pilot project, but was subsequently terminated . . . . .	42
Was started as a pilot project and is still in operation . . .	10
Was started as a regular program, but was subsequently terminated . . . . .	5
Was started as a regular program and is still in operation . .	43

NO, a work release program:

Has <u>NOT</u> been adopted, but we plan to start one within the next two years . . . . .	4
Has <u>NOT</u> been adopted, but we plan to start a pilot project within the next two years . . . . .	1
Has <u>NOT</u> been adopted, and we are <u>NOT</u> planning to start any within the next two years . . . . .	28

(n=216)

IF YOU CURRENTLY RUN A WORK RELEASE PROGRAM, PLEASE ANSWER Q. 48. OTHERWISE, PLEASE SKIP TO Q. 49.

48. Has the adoption of a work release program changed your manpower requirements, either in number of personnel or in types of skills required?

YES, manpower requirements changed:

More personnel were required, with different types of skills . . . . .	40%
More personnel were required, but with the same types of skills . . . . .	12
Only a change in the types of skills was required . . . .	8
Fewer personnel were required . . . . .	1

NO, neither numbers of personnel nor the types of skills required were changed . . . . .	33
--	----

(n=126)

49. During the past five years, has any type of study release program been started at your facility?

(The term "study release" refers to any program in which offenders are permitted to leave the correctional facility during the day to attend school, and return to the facility after school.)

YES, a study release program:

Has started as a pilot project, but was subsequently terminated . . . . .	1%
Was started as a pilot project, and is still in operation . .	14
Has started as a regular program, but was subsequently terminated . . . . .	4
Was started as a regular program, and is still in operation. .	31

NO, a study release program:

Has NOT been adopted, but we plan to start one within the next two years . . . . .	9
Has NOT been adopted, but we plan to start a pilot project within the next two years . . . . .	3
Has NOT been adopted, and we are NOT planning to start any within the next two years . . . . .	35

IF YOU CURRENTLY RUN A STUDY RELEASE PROGRAM, PLEASE ANSWER Q. 50. OTHERWISE, PLEASE SKIP TO Q. 51.

50. Has the adoption of a study release program changed your manpower requirements, either in number of personnel or in types of skills required?

YES, manpower requirements changed:

More personnel were required, with different types of skills . . . . .	21%
More personnel were required, but with the same types of skills . . . . .	11
Only a change in the types of skills was required . . . .	16
Fewer personnel were required . . . . .	0

NO, neither numbers of personnel nor the types of skills required were changed . . . . .	39
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(n=213)

(n=96)

Warden or Superintendent's Position and Background

51. Every warden or superintendent has particular duties and responsibilities which confront him with especially difficult decisions and problems. Based on your personal experience, please select the three areas in which such decisions and problems most often come up, and rank them, starting with "1" for the area in which they come up most often.

a. Managing the day-to-day operations of the facility, such as custody and treatment activities . . . . .	1	72%
b. Budget and fiscal management (preparing budgets, estimating costs, day-to-day fiscal decisions, budget hearings and so on) . . . . .		19
c. Personnel management (discipline, employee and personnel matters, union bargaining) . . . . .		22
d. Planning and evaluation (setting goals and reviewing agency performance against objectives) . . . . .		23
e. Dealing with other criminal justice agencies (judges, prosecutors, defenders, sheriffs, probation and parole officers, police, and so on) . . . . .	2	6
f. Dealing with inmate organizations (inmate councils, associations, and internal activist groups) . . . . .		10
g. Dealing with inmates' families . . . . .	3	6
h. Dealing with the news media (giving information, press conferences, and answering questions for newspapers, radio, and television) . . . . .	14	14
i. Dealing with senior officials at the state and local level . . . . .		30
j. Dealing with outside activist groups . . . . .		17
k. Other duties and responsibilities (please specify): . .		-

(n varies: 6-183)

52. Based upon your experience, what kinds of special courses, workshops, training sessions, or seminars would you recommend as especially useful for your successors to take? (Please circle all that apply.)

a. Correctional administration . . . . .	93%
b. Facility management . . . . .	76
c. Classification/reclassification policies . . . . .	51
d. Personnel management . . . . .	88
e. Labor relations and collective bargaining . . . . .	53
f. Budget management/planning and evaluation . . . . .	84
g. Vocational education program management . . . . .	25
h. Drug abuse/alcohol abuse program management . . . . .	31
i. Juvenile services . . . . .	9
j. Criminal law/correctional law . . . . .	84
k. Applied criminology and criminalistics . . . . .	41
l. Personal/family counseling . . . . .	34
m. Prevention and control of escapes and disturbances . . . . .	68
n. Hostage negotiation . . . . .	48
o. Community resource development . . . . .	60
p. Race/ethnic relations . . . . .	58
q. The use of women in security and custody positions . . . . .	35
r. Other (please specify:) . . . . .	3
s. NONE . . . . .	0

(n=220)

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53. In which of the following areas have you had special courses, workshops, training sessions or seminars? (Please circle all that apply.)

a. Correctional administration . . . . .	84%
b. Facility management . . . . .	51
c. Classification/reclassification policies . . . . .	57
d. Personnel management . . . . .	74
e. Labor relations and collective bargaining . . . . .	41
f. Budget management/planning and evaluation . . . . .	52
g. Vocational education program management . . . . .	23
h. Drug abuse/alcohol abuse program management . . . . .	41
i. Juvenile services . . . . .	21
j. Criminal law/correctional law . . . . .	64
k. Applied criminology and criminalistics . . . . .	46
l. Personal/family counseling . . . . .	43
m. Prevention and control of escapes and disturbances . . . . .	55
n. Hostage negotiation . . . . .	32
o. Community resource development . . . . .	36
p. Race/ethnic relations . . . . .	47
q. The use of women in security and custody positions . . . . .	19
r. Other (please specify:) . . . . .	4
s. NONE . . . . .	2

(n=220)

34. How important do you think each of the following are as goals for your institution or facility? Please rank them, using "1" for the most important, "2" for the next most important, and so on.

	Model Rank	
a. Vocational training . . . . .	4/5	5%
b. Rehabilitation of offenders . . . . .	-	29
c. Inmate maintenance (adequate housing, food, medical care) . . . . .	1	56
d. A low level of conflict in the facility . . . . .	-	9
e. Job placement of released offenders . . . . .	6	3
f. Effective counseling of inmates . . . . .	2/3	9
g. Other (please specify:)	-	

(n varies; 195-209)

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35. How much improvement in crime control and the administration of justice do you think could be achieved through changes in staffing, organization, and policies of correctional facilities/institutions in general (local, county, and state)?

A great deal of improvement . . . . .	33%
Some improvement . . . . .	50
Little or no improvement . . . . .	17

(n=215)

36. What do you consider to be the major obstacle to the proper administration of justice in your jurisdiction?

0.0	22%
1.0	6
2.0	7
3.0	17
4.0	3
6.0	14
9.0	31

(n=220)

Background

37. Please record your:

a. Age: (median) . . . . .	44
b. Sex: (please circle) . . . . .	Male 92% Female 8
c. Color or race:	
White . . . . .	91
Black . . . . .	7
Other (please specify:)	2

(n=218)

38. How were you selected for your current position? (Please circle all that apply to you.)

a. Competitive examination . . . . .	39%
b. Exempt or political appointment . . . . .	16
c. Years in service, next in line for job . . . . .	26
d. Appointed by Commissioner . . . . .	18
e. All other . . . . .	3

(n=220)

39. Did you advance to your current position from within your state correctional system, or were you recruited from outside?

Promoted from within . . . . .	86%
Recruited from outside . . . . .	14

(n=219)

IF YOU WERE RECRUITED FOR YOUR CURRENT POSITION FROM OUTSIDE, PLEASE ANSWER Q. 60. OTHERWISE, PLEASE SKIP TO Q. 61.

60. What kind of organization did you leave to accept your current position?

Adult facility . . . . .	33%
Juvenile facility . . . . .	10
Law enforcement agency . . . . .	10
Probation/parole agency . . . . .	7
Other (please specify:)	40

(n=30)

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61. In which of the following areas have you ever worked? (Please circle all that apply.)

a. Prosecutor's office . . . . .	2%
b. Criminal defense office . . . . .	1
c. Probation agency . . . . .	10
d. Parole agency . . . . .	15
e. Community-based correctional facility . . .	23
f. Law enforcement agency . . . . .	14
g. Military police . . . . .	14
h. NONE OF THE ABOVE . . . . .	48

(n=220)

62. Which of the following positions have you ever held? (Please circle all that apply.)

a. Correctional officer . . . . .	45%
b. Correctional facility treatment or educational worker . . .	49
c. Assistant or deputy correctional administrator for custody . . . . .	47
d. Assistant or deputy correctional administrator for treatment . . . . .	42
e. Correctional warden, supervisor, or administrator at another facility . . . . .	52
f. None of the above . . . . .	5

(n=220)

63. In all, how many years have you worked in corrections? . . . . .

64. How many years have you worked at your present facility? (IF LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . .

65. How many years have you been head of your present facility? (IF LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . .

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66. Did you continue your academic schooling after beginning your corrections career?

No . . . . .	29%
Yes . . . . .	71
	(n=220)

IF YOU ANSWERED "YES" IN Q. 66, PLEASE ANSWER Q. 67. OTHERWISE, PLEASE SKIP TO Q. 68.

67. Did you receive financial assistance to continue your schooling from any of the following sources? (Please circle all that apply.)

a. Law Enforcement Education Program (L.E.E.P.) . . . . .	43%
b. G.I. Bill . . . . .	28
c. Other federal programs . . . . .	8
d. State programs . . . . .	17
e. The agency or institution you were employed by . . .	14
f. Other financial aid . . . . .	4
g. NONE . . . . .	21

(n=156)

68. Please circle the number indicating your current level of academic education.

Less than high school diploma . . . . .	0%
High school graduate . . . . .	14
1 year of college . . . . .	7
2 or 3 years of college . . . . .	16
Bachelor's degree . . . . .	9
Some graduate course work . . . . .	23
Master's degree . . . . .	16
Graduate work beyond the Master's degree . . . . .	12
M.D., J.D. or other law degree . . . . .	1
Ph.D. or other doctorate . . . . .	2

IF YOU HAVE EARNED AT LEAST ONE COLLEGE DEGREE, PLEASE ANSWER Q. 69. OTHERWISE, PLEASE SKIP TO Q. 70.

(n=217)

69. Please record your area of specialization for each college degree you have earned.

a. A.A.: \_\_\_\_\_ 2%

b. B.A. or B.S.: \_\_\_\_\_ 31

c. M.A.: \_\_\_\_\_ 6

d. Ph.D. or Law degree: \_\_\_\_\_ 12

70. Please circle the number indicating the extent of your academic education prior to starting your correctional career.

Less than high school diploma . . . . . 2%

High school graduate . . . . . 31

1 year of college . . . . . 6

2 or 3 years of college . . . . . 12

Bachelor's degree . . . . . 29

Some graduate course work . . . . . 11

Master's degree . . . . . 7

Graduate work beyond the Master's degree . . . . . 2

LL.B., J.D. or other law degree . . . . . 0

Ph.D. or other doctorate . . . . . 1

(n=218)

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

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INSTITUTION/FACILITY FACT SHEET

Personnel Information

71. What was this facility's employment in each of the following categories on June 30, 1975?

NOTE: COUNT EMPLOYEES WORKING 35 HOURS OR MORE PER WEEK AS FULL-TIME, AND EMPLOYEES WORKING LESS THAN 35 HOURS A WEEK AS PART-TIME.

	Full-Time		Part-Time	
	$\bar{x}$	n	$\bar{x}$	n
a. TOTAL EMPLOYMENT . . . . .	219	197	7.2	111
b. Basic correctional officer (guards and other first-line custody or security personnel) . . . . .	106	204	2.7	46
c. Supervisory correctional officers (first-line supervisors of guard, other custody, or security force) . . . . .	16.8	202	1.0	32
d. Middle management (correctional or guard force members above first-line supervisors, but below assistant or deputy administrators) . . . . .	7.2	187	.0	30
e. Correctional administrator and deputy or assistant administrator(s) . . . . .	2.7	198	.1	27
f. Psychiatrists . . . . .	.6	115	1.1	91
g. Medical doctors . . . . .	1.2	133	1.9	98
h. Nurses . . . . .	4.5	181	1.0	44
i. Psychologists . . . . .	1.8	147	1.0	75
j. Social workers . . . . .	3.4	155	.4	36
k. Other counselors . . . . .	9.2	169	.6	32
l. Case aides . . . . .	.7	109	1.0	39
m. Vocational teachers . . . . .	6.5	167	1.1	45
n. Academic teachers . . . . .	7.4	181	3.3	59
o. Physical facilities maintenance personnel . . . . .	11.6	186	.5	39
p. Food service personnel . . . . .	7.1	195	2.9	34
q. Secretaries/typists/stenographers . . . . .	13.4	198	1.3	40
r. All other (please specify:) . . . . .	21.5	86	1.8	31

IF THIS IS A NON-SECURED FACILITY, PLEASE SKIP TO Q. 83.  
IF THIS IS A SECURED FACILITY, PLEASE CONTINUE.

72. How many correctional officers voluntarily resigned from your facility during the 12-month period from June 30, 1973 to June 30, 1974?  $\bar{x}$  = 22.3 n = 172
73. How many correctional officers did your facility hire during the 12-month period from June 30, 1973 to June 30, 1974?  $\bar{x}$  = 35.4 n = 172
74. How many correctional officers were employed at your facility on June 30, 1973?  $\bar{x}$  = 101.9 n = 175
75. How many correctional officers were employed at your facility on June 30, 1974?  $\bar{x}$  = 110.2 n = 180
76. Do you currently accept lateral entrants (i.e., experienced correctional officers from other correctional systems) directly into supervisory ranks, but below the level of warden or superintendent?
- |  |         |
|--|---------|
| Yes  | 50%     |
| No, lateral entrants from other correctional systems are accepted only for the basic line position | 31      |
| No, lateral entrants from other correctional systems are not accepted at all                       | 20      |
|  | (n=199) |
77. Does this institution/facility participate in collective bargaining with a union which represents your correctional officers?
- |     |         |
|-----|---------|
| No  | 71%     |
| Yes | 29      |
|     | (n=206) |
78. Are applicants for correctional officer positions required to take a written examination?
- |  |         |
|--|---------|
| No   | 44%     |
| Yes, solely as a matter of departmental policy | 7       |
| Yes, required by civil or merit service        | 49      |
|  | (n=206) |

79. Does this institution have written job descriptions for basic correctional officers?

No	3%
Yes	97
	(n=206)

80. Is the position of correctional officer regulated by civil service?

No	30%
Yes	70
	(n=206)

81. What are the minimum and maximum salaries of the basic correctional officer position?

a. Minimum:	\$	
b. Maximum:	\$11,036	192

82. How is the length of formal entry level training for correctional officers at your facility determined?

Determined by State correctional department	71%
Determined by administrator of facility	15
Civil Service	2
State Personnel Policy	5
State Law	2
All other	6

Workload and Facilities

(n=197)

83. How many inmates or residents was this facility designed to accommodate?  $\bar{x}$  = 630 n = 204
84. What was the average daily population of this facility during the last fiscal year?  $\bar{x}$  = 633.5 n = 201
85. How many inmates or residents were accommodated in this facility on June 30, 1975?
- |  |     |     |
|--|-----|-----|
| a. Number of adult inmates                                   | 636 | 200 |
| b. Number of juvenile residents (IF NONE, PLEASE ENTER "0.") | 6.3 | 178 |

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86. How many inmates or residents were newly admitted to your facility during the last fiscal year?

$\bar{x}$  =  $\bar{n}$   
Number: 41.9 184

87. How many inmates or residents were discharged from your facility during the last fiscal year?

Number: 686.7 185

88. When was your present physical facility built or converted to use as a correctional institution? (WHEN DATES ARE DIFFERENT, PLEASE RECORD BOTH.)

a. Year built: . . .  
b. Year converted: . . .

89. Sex of inmates/residents:

Male only . . . 80%  
Female only . . . 10  
Both sexes . . . 10

(n=209)

90. Which of the following best describes the extent of security in your facility?

Non-secured . . . 1%  
Minimum security . . . 22  
Medium security . . . 38  
Maximum security . . . 23  
Min/Medium Security . . . 3  
Min/Med and Max Security . . . 9  
Min/Med/Max Security . . . 5

(n=211)

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91. Which of the following best describes the orientation of your facility?

Reception, classification, diagnostic, hospital, or psychiatric center . . . 8%  
Conventional prison facility . . . 74  
Farm . . . 5  
Road camp . . . 2  
Forestry camp . . . 2  
Community correctional center (i.e., a facility which does not regularly hold inmates 24 hours a day, and inmates are allowed to be in contact with the general public) . . . 1  
Other type of facility (please specify: ) . . . 9  
(n=211)

#### Expenditures

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE, PLEASE GIVE YOUR BEST ESTIMATE.

92. Total annual facility expenditures for the last complete fiscal year . . . Could not calculate

93. Annual payroll expenditures for the last complete fiscal year (salaries and fringe benefits) . . . Could not calculate

94. Annual operating expenditures for training for the last complete fiscal year (excluding salary of trainees) . . .  $\bar{x}$  = 974.185  $\bar{n}$  = 436

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APPENDIX

JUVENILE CORRECTIONS

OMB No.: 043-575072  
Approval Expires: July 31, 1976  
LEAA No.: J600-7-  
BSSR No.: 46717

**NOTE:** Because this questionnaire is being sent to directors of both detention and correctional facilities for juveniles throughout the country, the terminology used may not fully agree with that employed in your institution. In particular, institutions vary in the designations given to personnel with direct responsibility for the custody of juvenile residents. Such personnel--"house parents," "group supervisors," "matrons," and so on--have been collectively represented throughout this questionnaire by the single term, "child care worker."

Manpower Issues

1. How serious do you think each of the following manpower problems is in your institution or facility? Please rank them, using "1" for the most serious problem, "2" for the next most serious, and so on.

	Model Rank	Percent Responding Most Serious
a. Inadequate number of authorized positions . . . . .	1	41%
b. Inability to achieve or maintain authorized strength. . . . .	3	13
c. High (excessive) turnover . . . . .	4	16
d. Inadequate training of personnel. . . . .	2	36
e. Inadequate representation of minorities or women on staff . . . . .	5	6
f. Other (please specify:) . . . . .	6	

(n varies: 484-525)

2. What do you feel is the major factor contributing to the manpower problem you ranked "most serious" (i.e., ranked "1") in Q. 1?

General lack of qualified applicants. . . . .	7%
Lack of qualified minority or female applicants . . . . .	3
Inadequate levels of compensation . . . . .	13
Insufficient funds for training . . . . .	19
General budgetary problems. . . . .	43
Limited opportunities for advancement . . . . .	6
Other (please specify:) . . . . .	
No problem . . . . .	2

(n=507)

3. Does your facility currently have a critical manpower shortage in any of the following personnel categories? (Please circle all that apply.)

	Percent Yes	
a. Child care worker (including other child care staff such as houseparents, group supervisors, matrons and other first line custodial staff) . . . . .	33%	(n=190)
b. Staff supervisors (first-line supervisors of child care workers) . . . . .	12	(n=70)
c. Director, assistant directors, assistant superintendents, and so on. . . . .	9	(n=50)
d. Psychiatrists . . . . .	20	(n=115)
e. Medical doctors . . . . .	17	(n=99)
f. Nurses . . . . .	16	(n=92)
g. Psychologists . . . . .	20	(n=116)
h. Social workers . . . . .	14	(n=81)
i. Other counselors . . . . .	12	(n=67)
j. Case aides . . . . .	5	(n=29)
k. Vocational teachers . . . . .	15	(n=87)
l. Academic teachers . . . . .	13	(n=76)
m. Physical facilities maintenance personnel . . . . .	22	(n=130)
n. Food service personnel . . . . .	11	(n=66)
o. Secretaries/typists/stenographers . . . . .	21	(n=120)
p. Other (please specify:) . . . . .	3	(n=18)
q. NO CRITICAL SHORTAGES IN ANY OF THE ABOVE CATEGORIES. . .	33	(n=191)

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4. During the three years before the current recession (i.e., the years 1971-1974), how serious a problem were voluntary resignations among the following categories of personnel?

	Critical Problem	Serious Problem	Moderate Problem	Slight Problem	No Problem at All	Does Not Apply	
a. Child care workers and staff supervisors . . .	7%	13	19	21	32	9	(n=570)
b. Educational personnel . . .	2%	3	7	13	47	29	(n=537)
c. Treatment personnel . . .	4%	7	11	14	35	30	(n=542)
d. Medical personnel . . .	2%	4	5	9	35	45	(n=531)

5. During the three years before the current recession (i.e., the years 1971-1974), did your institution have an adequate supply of qualified applicants in the following personnel categories?

	No	Yes	Does Not Apply	
a. Child care workers and staff supervisors . . . . .	34%	61	5	(n=570)
b. Educational personnel . . .	15%	58	27	(n=549)
c. Treatment personnel . . .	23%	52	25	(n=552)
d. Medical personnel . . . . .	18%	38	44	(n=545)

6. What was this facility's employment in each of the following categories on June 30, 1975?

- Number of child care workers (house parents, group supervisors, matrons, etc.) and staff supervisors . . . . .
- Number of treatment personnel (psychiatrists, social workers, counselors) . . . . .
- Number of educational personnel (vocational, academic) . . . . .
- Number of medical personnel (doctors and nurses) . . . . .
- Number of other personnel (including clerical, food service, maintenance personnel, and so on) . . . . .

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7. In your judgment, how many employees in each of the following categories would you need to fulfill effectively all the duties and responsibilities with which you are charged in administering your facility?

- a. Total number of child care workers (house parents, group supervisors, matrons, etc.) and staff supervisors . . . . .
- b. Total number of treatment personnel (psychiatrists, social workers, counselors) . . . . .
- c. Total number of educational personnel (vocational, academic) . . . . .
- d. Total number of medical personnel (doctors and nurses): . . . . .
- e. Total number of other personnel (including clerical, food service, maintenance personnel, and so on) . . . . .

8. How many employees do you actually expect to have on the payroll by June 30, 1974?

- a. Number of child care workers (house parents, group supervisors, matrons, etc.) and staff supervisors . . . . .
- b. Number of treatment personnel (psychiatrists, social workers, counselors) . . . . .
- c. Number of educational personnel (vocational, academic) . . . . .
- d. Number of medical personnel (doctors and nurses). . . . .
- e. Number of other personnel (including clerical, food service, maintenance personnel, and so on) . . . . .

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Entry Level Standards

9. Based upon your experience as an administrator, what do you think is the minimum education a child care worker should have prior to joining your staff?

Less than high school diploma. . . . .	1%
High school diploma. . . . .	39
1 year of college. . . . .	8
2 or 3 years of college. . . . .	27
Bachelor's degree. . . . .	20
Education requirement not relevant to the job. . . . .	5
	(n=574)

10. What is the minimum education now required of new child care workers at your facility?

No minimum required. . . . .	12%
Less than high school diploma. . . . .	7
High school diploma. . . . .	52
1 year of college. . . . .	3
2 or 3 years of college. . . . .	15
Bachelor's degree. . . . .	11
Other (please specify): . . . . .	0
	(n=576)

11. What is the probability that a higher minimum education standard will be adopted at your facility within the next two years?

Will almost certainly be adopted. . . . .	7%
Will probably be adopted. . . . .	14
Will probably <u>NOT</u> be adopted. . . . .	52
Will almost certainly <u>NOT</u> be adopted. . . . .	28
	(n=576)

**Formal Entry Level Training**

12. How many hours of formal (i.e., other than on-the-job) basic orientation/training are usually provided to your new treatment and educational employees? (IF YOU HAVE NO FORMAL ORIENTATION COURSE, PLEASE ENTER "0.")

Hours: \_\_\_\_\_

13. How many hours of formal (i.e., other than on-the-job) entry level training do you provide for your new child care workers? (IF YOU HAVE NO FORMAL ENTRY-LEVEL TRAINING FOR CHILD CARE WORKERS, PLEASE ENTER "0.")

Hours: \_\_\_\_\_

IF YOUR ENTERED "0" IN Q. 13, PLEASE ANSWER Q. 14.  
OTHERWISE, PLEASE SKIP TO Q. 15.

14. Do you expect to begin providing any formal entry level training for your new child care workers within the next two years?

Yes, definitely. . .	26%
Yes, probably. . .	28
Probably not. . .	34
Definitely not. . .	1
Don't know. . .	12

IF YOU ANSWERED Q. 14,  
PLEASE SKIP TO Q. 21.

(n=269)

15. Is formal entry level training provided to every new child care worker?

Yes. . . . .	92%
No, not provided to new child care workers with prior juvenile corrections experience. . .	5
No, other (please explain): . . . . .	4

(n=275)

16. Where do your new child care workers take their formal entry level training? (Please circle all that apply.)

a. Within the facility. . . . .	38% (n=220)
b. At another correctional facility. . . . .	3 (n=20)
c. At a local educational institution. . . . .	2 (n=10)
d. At a regional training facility. . . . .	7 (n=41)
e. At a state training facility. . . . .	10 (n=56)
f. Other (please specify): . . . . .	4 (n=22)

17. Where will your new child care workers probably take their formal entry level training two years from now? (Please circle all that apply.)

a. Within the facility. . . . .	35% (n=205)
b. At another correctional facility. . . . .	4 (n=22)
c. At a local educational institution. . . . .	4 (n=23)
d. At a regional training facility. . . . .	10 (n=56)
e. At a state training facility. . . . .	12 (n=67)
f. Other (please specify): . . . . .	3 (n=16)

18. Has the length of formal entry level training provided for your new child care workers changed in the past five years?

No, length unchanged. . . . .	24%
Yes, length increased. . . . .	73
Yes, length decreased. . . . .	3

(n=275)

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19. Do you expect that the length of formal entry level training provided to your new child care workers will be changed during the next two years?

No, no change expected. . . . . 35%  
 Yes, length expected to increase. . . . . 51  
 Yes, length expected to decrease. . . . . 1  
 Don't know. . . . . 12

(n=280)

20. Which of the following areas are covered in the formal entry level training provided to your new child care workers? (Please circle all that apply.)

	Percent Yes	
a. Departmental policies and procedures . . . . .	46%	(n=268)
b. Report writing and preparation . . . . .	34	(n=200)
c. Juvenile and family law. . . . .	23	(n=133)
d. Child and adolescent psychology. . . . .	21	(n=121)
e. Supervision of juveniles . . . . .	45	(n=261)
f. Maintenance of discipline. . . . .	40	(n=235)
g. Management of disruptive behavior. . . . .	40	(n=234)
h. Methods of sex education . . . . .	6	(n=32)
i. First aid and emergency medical treatment. . . . .	27	(n=157)
j. Counseling techniques. . . . .	34	(n=197)
k. Vocational counseling. . . . .	5	(n=28)
l. Race relations . . . . .	15	(n=88)
m. Alcohol or drug treatment programs . . . . .	17	(n=101)
n. Other (please specify) . . . . .	5	(n=32)

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21. How much emphasis in formal entry level training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures. . . . .	65%	31	4	(n=575)
b. Report writing and preparation. . . . .	42%	46	13	(n=567)
c. Juvenile and family law . . . . .	28%	53	19	(n=562)
d. Child and adolescent psychology . . . . .	55%	37	8	(n=562)
e. Supervision of juveniles. . . . .	91%	8	1	(n=576)
f. Maintenance of discipline . . . . .	71%	28	2	(n=570)
g. Management of disruptive behavior . . . . .	84%	15	1	(n=563)
h. Methods of sex education. . . . .	10%	47	42	(n=555)
i. First aid and emergency medical treatment . . . . .	53%	41	7	(n=566)
j. Counseling techniques . . . . .	66%	25	9	(n=565)
k. Vocational counseling . . . . .	16%	43	41	(n=546)
l. Race relations. . . . .	30%	49	21	(n=558)
m. Alcohol or drug treatment programs. . . . .	30%	47	23	(n=560)
n. Other (please specify) . . . . .	87%	7	7	(n=61)

**Formal In-Service Training**

22. Is formal in-service training provided to your experienced child care workers?

No . . . 36%  
Yes . . . 64

(n=577)

IF YOU ANSWERED "YES" TO Q. 22, PLEASE ANSWER Q. 23-26.  
OTHERWISE, PLEASE SKIP TO Q. 27.

23. Approximately how many of your experienced child care workers attended formal in-service training during the last fiscal year?

Numbers: \_\_\_\_\_

24. For those experienced child care workers who attended formal in-service training during the last fiscal year, approximately what was the average length of training in hours?

Average hours: \_\_\_\_\_

25. Where do your experienced child care workers take their formal in-service training? (Please circle all that apply.)

- a. Within the facility . . . . . 75%
- b. At another correctional facility. . . . . 16
- c. At a local educational institution. . . . . 27
- d. At a regional training facility . . . . . 31
- e. At a state training facility. . . . . 26
- f. Other (please specify:) . . . . . 9

(n=370)

26. Which of the following areas are covered in formal in-service training? (Please circle all that apply.)

- a. Departmental policies and procedures : . . . . 67%
- b. Report writing and preparation . . . . . 54
- c. Juvenile and family law. . . . . 52
- d. Child and adolescent psychology. . . . . 64
- e. Supervision of juveniles . . . . . 81
- f. Maintenance of discipline. . . . . 71
- g. Management of disruptive behavior. . . . . 78
- h. Methods of sex education . . . . . 23
- i. First aid and emergency medical treatment. . . . . 54
- j. Counseling techniques. . . . . 80
- k. Vocational counseling. . . . . 16
- l. Race relations . . . . . 33
- m. Alcohol or drug treatment programs . . . . . 49
- n. Other (please specify:). . . . . 14

(n=370)

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27. How much emphasis in formal in-service training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Departmental policies and procedures . . . . .	55%	36	9	(n=560)
b. Report writing and preparation . . . . .	41	47	11	(n=559)
c. Juvenile and family law . . . . .	34	51	15	(n=558)
d. Child and adolescent psychology . . . . .	62	33	5	(n=552)
e. Supervision of juveniles . . . . .	86	12	2	(n=568)
f. Maintenance of discipline . . . . .	70	26	3	(n=568)
g. Management of disruptive behavior . . . . .	82	16	2	(n=563)
h. Methods of sex education . . . . .	13	51	37	(n=552)
i. First aid and emergency medical treatment . . . . .	49	43	8	(n=556)
j. Counseling techniques . . . . .	70	22	8	(n=554)
k. Vocational counseling . . . . .	19	44	37	(n=538)
l. Race relations . . . . .	29	47	24	(n=552)
m. Alcohol or drug treatment programs . . . . .	35	46	19	(n=552)
n. Other (please specify: ) . . . . .	5	8	8	(n=52)

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28. Within the next two years, do you expect a change in the formal in-service training provided for your experienced child care workers?

Will begin in-service training . . . . .	15%
Will increase it . . . . .	53
Will leave it unchanged . . . . .	21
Will decrease it . . . . .	1
Will terminate in-service training . . . . .	0
In-service training is not now provided nor will it be begun . . . . .	6
Other (please specify: ) . . . . .	6
	(n=569)

IF NEITHER FORMAL ENTRY-LEVEL NOR FORMAL IN-SERVICE TRAINING IS PROVIDED TO YOUR CHILD CARE WORKERS, PLEASE SKIP TO Q. 31. OTHERWISE, PLEASE CONTINUE.

29. In your opinion, to what extent is each of the following factors a limitation on the overall effectiveness of training for your facility?

	Serious Limitation	Moderate Limitation	Not a Limitation	
a. Workload frequently prevents release of child care workers for training . . . . .	58%	34	8	(n=395)
b. Workload frequently prevents release of senior staff to provide training . . . . .	35%	45	20	(n=383)
c. Inadequate training budget . . . . .	52%	34	14	(n=390)
d. Necessary training resources are not available locally . . . . .	20%	34	46	(n=382)
e. Other (please specify: ) . . . . .	66%	24	10	(n=29)

30. On the whole, how satisfied are you with all aspects of training for your facility?

Extremely satisfied . . . . .	1%
Very satisfied . . . . .	10
Satisfied . . . . .	43
Dissatisfied . . . . .	39
Very dissatisfied . . . . .	4
Extremely dissatisfied . . . . .	3

(n=403)

Continuing Academic Education

31. In your judgment, should your institution encourage child care workers to pursue a college degree program once they have begun their juvenile correctional careers?

Should <u>strongly</u> encourage . . . . .	45%
Should encourage . . . . .	42
Should discourage . . . . .	0
Is not a matter for the institution to take a stand on . . . . .	13

(n=569)

32. Please rank the following five policies in order of how effective you think they would be in encouraging child care workers to continue their academic education.

	Model Rank	Percent Responding Most Effective
a. Adjusting schedules to facilitate class attendance. . . . .	5	15
b. Allowing time off to attend class . . . . .	4	9
c. Subsidies for books and tuition . . . . .	3	18
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	1	49
e. Using academic education as part of the basis for promotions. . . . .	2	15

33. Which, if any, of the following policies has your institution or facility ever adopted?

	Adopted And Continued	Adopted But Later Terminated	Never Adopted	
a. Adjusting schedules to facilitate class attendance. . . . .	72%	8	19	(n=550)
b. Allowing time off to attend class . . . . .	35%	8	57	(n=546)
c. Subsidies for books and tuition . . . . .	32%	8	61	(n=549)
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	17%	2	81	(n=534)
e. Using academic education as part of the basis for promotions . . . . .	43%	2	55	(n=540)

Promotion Policies

34. In your opinion, what is the minimum academic education that should be required of child care workers prior to promotion to the first supervisory level?

No minimum requirement. . . . .	7%
Some high school. . . . .	1
High school diploma . . . . .	22
1 year of college . . . . .	9
2 or 3 years of college . . . . .	25
Bachelor's degree . . . . .	33
Other (please specify): . . . . .	3

(n=571)

35. In your judgment, should child care workers be required to take a special course in supervisory techniques either prior to being considered for their first promotion or immediately following their first promotion to a supervisory level?

No, should not be required. . . . . 15%  
 Yes, should be required prior to being considered for promotion . . . . . 52  
 Yes, should be required immediately following promotion . . . . . 33

(n=563)

36. Do you currently require that a special course for supervisors be completed?

No . . . . . 89%  
 Yes, prior to being considered for promotion . . . . . 4  
 Yes immediately following promotion. . . . . 7

(n=571)

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Operations and Manpower Requirements

37. Juvenile correctional facilities' functions vary from jurisdiction to jurisdiction. For each of the following activities, please indicate whether it is performed at your facility, and how you expect it to change in terms of manpower requirements within the next two years. (For each activity, please circle the number which best indicates your expectations.)

	Activity In Performed and Manpower Will:			Activity In Not Performed.		
	Increase	Stay about the Same	Decrease	and probably will not be added during the next 2 years	but probably will be added during the next 2 years	
a. Juvenile custody. . . . .	30%	57	5	6	1	(n=572)
b. Classification and evaluation of juveniles . . . . .	29%	46	2	18	6	(n=565)
c. Medical services. . . . .	19%	58	1	18	4	(n=573)
d. Vocational education. . . . .	24%	30	2	35	9	(n=567)
e. Academic teaching programs. . . . .	26%	55	3	13	4	(n=563)
f. Recreational programs . . . . .	32%	63	1	2	2	(n=570)
g. Alcohol or drug treatment programs. . . . .	10%	39	2	31	9	(n=563)
h. Psychological counseling. . . . .	24%	48	1	22	5	(n=565)
i. Pre-release counseling. . . . .	27%	51	1	18	3	(n=558)
j. Family counseling . . . . .	28%	39	1	25	7	(n=562)
k. Job counseling and job placement. . . . .	20%	36	1	36	7	(n=566)
l. Work release programs . . . . .	16%	22	1	55	6	(n=556)
m. Study release programs. . . . .	8%	26	1	59	6	(n=553)
n. Administration of community-based facilities or halfway houses. . . . .	27%	18	1	43	12	(n=560)
o. Administrative services . . . . .	25%	65	1	10	1	(n=569)
p. Other (please specify:) . . . . .	40%	20	0	33	7	(n=15)

38. Do you currently assign major counseling responsibilities to child care workers?

Yes, to most child care workers. . . . . 38%  
 Yes, to selected child care workers. . . . . 27  
 No, to none. . . . . 35  
 (n=572)

IF YOU ASSIGN MAJOR COUNSELING RESPONSIBILITIES TO ANY CHILD CARE WORKERS, PLEASE ANSWER Q. 39. OTHERWISE, PLEASE SKIP TO Q. 41.

39. Do your child care workers receive training for their counseling duties? (Please circle all that apply.)

a. No, no specialized training is required for child care workers serving as counselors. . . . . 19%  
 b. Yes, part of basic entry level training. . . . . 37  
 c. Yes, special in-service training course. . . . . 54  
 d. Yes, child care workers are encouraged to enroll in college programs . . . . . 40  
 e. Yes, special course at a state training facility . . . . . 15  
 f. Other (please specify:) . . . . . 6

(n=372)

IF YOU ANSWERED "NO" TO Q. 39, PLEASE SKIP TO Q. 41. OTHERWISE, PLEASE ANSWER Q. 40.

40. Approximately what percentage of your total number of child care workers have received specialized training in counseling techniques? . . . . . %

41. Which of the following do you utilize as counselors? (Please circle all that apply.)

a. Psychiatrists. . . . . 21%  
 b. Psychologists. . . . . 44  
 c. Social workers . . . . . 65  
 d. Case workers or lay counselors . . . . . 39  
 e. Vocational teachers. . . . . 19  
 f. Academic teachers. . . . . 39  
 g. Volunteers . . . . . 30  
 h. Other (please specify:) . . . . . 19  
 i. Counselors, group leaders, etc. . . . . 6  
 j. Probation officer. . . . . 6  
 k. All other. . . . . 7

(n=585)

Work and Study Release Programs

42. During the past five years has any type of work release program been started at your facility?

(The term "work release" refers to any program in which a juvenile is permitted to leave the facility to work at some form of gainful employment, and return to the facility after work.)

YES, a work release program:

Was started as a pilot project, but was subsequently terminated. . . . . 6%  
 Was started as a pilot project and is still in operation: . . . . . 8  
 Was started as a regular program, but was subsequently terminated. . . . . 3  
 Was started as a regular program and is still in operation. . . . . 28

NO, a work release program:

Has NOT been adopted, but we plan to start one within the next two years. . . . . 3  
 Has NOT been adopted, but we plan to start a pilot project within the next two years . . . . . 3  
 Has NOT been adopted, and we are NOT planning to start any within the next two years . . . . . 50

(n=557)

IF YOU CURRENTLY RUN A WORK RELEASE PROGRAM, PLEASE ANSWER Q. 43. OTHERWISE, PLEASE SKIP TO Q. 44.

43. Has the adoption of a work release program changed your manpower requirements, either in number of personnel or in types of skills required?

YES, manpower requirements changed:

More personnel were required, with different types of skills. . . . . 13%  
 More personnel were required, but with the same types of skills. . . . . 8  
 Only a change in the types of skills was required. . . . . 9  
 Fewer personnel were required. . . . . 1

NO, neither numbers of personnel nor the types of skills required was changed. . . . . 70

(n=191)

44. During the past five years, has any type of study release program been started at your facility?

(The term "study release" refers to any program in which juveniles are permitted to leave the correctional facility during the day to attend school, and return to the facility after school).

YES, a study release program:

Was started as a pilot project, but was subsequently terminated. . . . .	4%
Was started as a pilot project, and is still in operation . . .	8
Was started as a regular program, but was subsequently terminated. . . . .	3
Was started as a regular program, and is still in operation . .	30

NO, a study release program:

Has <u>NOT</u> been adopted, but we plan to start one within the next two years. . . . .	3
Has <u>NOT</u> been adopted, but we plan to start a pilot project within the next two years . . . . .	3
Has <u>NOT</u> been adopted, and we are <u>NOT</u> planning to start any within the next two years . . . . .	50

(n=551)

IF YOU CURRENTLY RUN A STUDY RELEASE PROGRAM, PLEASE ANSWER Q. 45.  
OTHERWISE, PLEASE SKIP TO Q. 46.

45. Has the adoption of a study release program changed your manpower requirements, either in number of personnel or in types of skills?

YES, manpower requirements changed:

More personnel were required, with different types of skills. . . . .	9%
More personnel were required, but with the same types of skills. . . . .	4
Only a change in the types of skills was required. . . . .	9
Fewer personnel were required. . . . .	3

NO, neither numbers of personnel nor the types of skills required was changed . . . . .	74
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(n=203)

Superintendent's Position and Background

46. Every superintendent or director has particular duties and responsibilities which confront him with especially difficult decisions and problems. Based on your personal experience, please select the three areas in which such decisions and problems most often come up, and rank them, starting with "1" for the area in which they come up most often.

	Model Rank Three Choices Only	Percent Respond Most Of:
a. Managing the day-to-day operations of the facility, such as custody and treatment activities. . . . .	1	61%
b. Budget and fiscal management (preparing budgets, estimating costs, day-to-day fiscal decisions, budget hearings and so on). . . . .		21
c. Personnel management (discipline, employee and personnel matters, union bargaining). . . . .	2	28
d. Planning and evaluation (setting goals and reviewing agency performance against objectives). . . . .		25
e. Dealing with other criminal justice agencies (judges, prosecutors, defenders, sheriffs, probation and parole officers, police, and so on) . . . . .		25
f. Dealing with senior officials at the state and local level . . . . .		34
g. Dealing with juveniles' families. . . . .	3	18
h. Other duties and responsibilities (please specify): . . . . .	-	33

(n varies:  
66-423)

47. Based upon your experience, what kinds of special courses, workshops, training sessions, or seminars would you recommend as especially useful for your successors to take? (Please circle all that apply.)

a. Correctional administration. . . . .	69%
b. Facility management. . . . .	77
c. Classification/reclassification policies . . . .	20
d. Personnel management . . . . .	85
e. Labor relations and collective bargaining. . . .	32
f. Budget management/planning and evaluation. . . .	79
g. Vocational education program management. . . . .	16
h. Drug abuse/alcohol abuse program management. . .	26
i. Juvenile services. . . . .	60
j. Juvenile and family law. . . . .	64
k. Child and adolescent psychology. . . . .	61
l. Personal/family counseling . . . . .	48
m. Prevention of disturbances and maintenance of discipline. . . . .	64
n. Crisis intervention. . . . .	61
o. Community resource development . . . . .	61
p. Race/ethnic relations. . . . .	39
q. Other (please specify:) . . . . .	5
r. NONE . . . . .	0
(n=585)	

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48. In which of the following areas have you had special courses, workshops, training sessions or seminars? (Please circle all that apply.)

a. Correctional administration. . . . .	52%
b. Facility management. . . . .	48
c. Classification/reclassification policies . . . .	25
d. Personnel management . . . . .	70
e. Labor relations and collective bargaining. . . .	29
f. Budget management/planning and evaluation. . . .	49
g. Vocational education program management. . . . .	14
h. Drug abuse/alcohol abuse program management. . .	40
i. Juvenile services. . . . .	59
j. Juvenile and family law. . . . .	58
k. Child and adolescent psychology. . . . .	75
l. Personal/family counseling . . . . .	59
m. Prevention of disturbances and maintenance of discipline. . . . .	39
n. Crisis intervention. . . . .	46
o. Community resource development . . . . .	39
p. Race/ethnic relations. . . . .	37
q. Other (please specify:) . . . . .	7
r. NONE . . . . .	2
(n=585)	

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49. How important do you think each of the following are as goals for your institution or facility? Please rank them, using "1" for the most important, "2" for the next most important, and so on.

	Modal Rank	Percent Responding Most Important
a. Rehabilitation of juvenile offenders . . . . .	1	47%
b. Vocational training. . . . .	6	2
c. Academic education . . . . .	4/5	3
d. Maintenance of juvenile residents (adequate housing, food, medical care) . . . . .	-	37
e. Maintenance of discipline in the facility. . . . .	-	7
f. Job placement of released juveniles. . . . .	8	1
g. Effective counseling of juveniles. . . . .	2/3/7	16
h. Other (please specify): . . . . .	-	51

(n varies: 43-561)

50. How much improvement in crime control and the administration of justice do you think could be achieved through changes in staffing, organization, and policies of juvenile correctional facilities/institutions in general (local, county, and state)?

A great deal of improvement. . . . .	47%
Some improvement . . . . .	43
Little or no improvement . . . . .	10

(n=568)

51. What do you consider to be the major obstacle to the proper administration of juvenile justice in your jurisdiction?

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Background

52. Please record your:

a. Age: (median) . . . . .	39
b. Sex: (please circle)	Male 87% Female 13 (n=578)
c. Color or race:	
White . . . . .	89%
Black . . . . .	11
Other (please specify): . . . . .	2 (n=572)

53. How were you selected for your current position? (Please circle all that apply.)

a. Competitive examination. . . . .	44%
b. Exempt or political appointment. . . . .	16
c. Other (please specify): . . . . .	2
d. Years of service, next in line, promotion, rose through ranks . . . . .	19
e. Appointed by commissioner, hired by board or by Judge . . . . .	10
f. Applied . . . . .	7 (n=585)

54. Did you advance to your current position from within your state juvenile correctional system, or were you recruited from outside?

From within . . . . .	76%
From outside . . . . .	22 (n=580)

IF YOU WERE RECRUITED FOR YOUR CURRENT POSITION FROM OUTSIDE, PLEASE ANSWER Q. 55. OTHERWISE, PLEASE SKIP TO Q. 56.

55. What kind of organization did you leave to accept your current position?

Adult facility . . . . .	3%
Juvenile facility . . . . .	28
Law enforcement agency. . . . .	9
Probation/parole agency . . . . .	12
Other (please specify) . . . . .	49 (n=121)

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56. In which of the following types of agencies have you ever worked?  
(Please circle all that apply.)

a. Prosecutor's office. . . . .	0%
b. Criminal defense office. . . . .	1
c. Probation agency . . . . .	42
d. Parole agency. . . . .	12
e. Community correctional facility or local corrections agency . . . . .	39
f. Law enforcement agency . . . . .	13
g. Adult correctional facility. . . . .	9
h. NONE OF THE ABOVE, . . . . .	26

(n=585)

57. Which of the following positions have you ever held? (Please circle  
all that apply.)

a. Child care worker . . . . .	48%
b. Juvenile facility treatment or educational worker . .	48
c. Assistant or deputy superintendent or director at another juvenile facility . . . . .	31
d. Superintendent or director at another juvenile facility. . . . .	16
e. None of the above . . . . .	23

58. In all, how many years have you worked in juvenile corrections? . . . . . (n=585)

59. How many years have you worked at your present facility? (IF  
LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . .

60. How many years have you been head of your present facility?  
(IF LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . .

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61. Did you continue your academic schooling after beginning your  
corrections career?

No . . . .	34%
Yes. . . .	66

(n=581)

IF YOU ANSWERED "YES" IN Q. 61, PLEASE ANSWER Q. 62. OTHERWISE,  
PLEASE SKIP TO Q. 63.

62. Did you receive financial assistance to continue your  
schooling from any of the following sources? (Please  
circle all that apply.)

a. L.E.E.P. (Law Enforcement Education Program). . . .	30%
b. G.I. Bill . . . . .	22
c. Other federal programs. . . . .	9
d. State programs. . . . .	16
e. The agency or institution you were employed by. .	24
f. Other financial aid . . . . .	5
g. NONE. . . . .	27

(n=383)

63. Please circle the number indicating your current level of academic education.

Less than high school diploma . . . . .	0%
High school graduate. . . . .	4
1 year of college . . . . .	2
2 or 3 years of college . . . . .	8
Bachelor's degree . . . . .	13
Some graduate course work . . . . .	33
Master's degree . . . . .	23
Graduate work beyond the Master's degree. .	16
LL.B., J.D., or other law degree. . . . .	0
Ph.D. or other doctorate. . . . .	2

(n=582)

IF YOU HAVE EARNED AT LEAST ONE COLLEGE DEGREE, PLEASE ANSWER Q. 64. OTHERWISE, PLEASE SKIP TO Q. 65.

64. Please record your area of specialization for each college degree you have earned.

- a. A.A.: \_\_\_\_\_
- b. B.A. or B.S.: \_\_\_\_\_
- c. M.A.: \_\_\_\_\_
- d. Ph.D. or Law Degree: \_\_\_\_\_

65. Please circle the number indicating the extent of your academic education prior to starting your corrections career.

Less than high school diploma . . . . .	0%
High school graduate. . . . .	8
1 year of college . . . . .	4
2 or 3 years of college . . . . .	15
Bachelor's degree . . . . .	42
Some graduate course work . . . . .	14
Master's degree . . . . .	13
Graduate work beyond the Master's degree. .	4
LL.B., J.D., or other law degree. . . . .	0
Ph.D. or other doctorate. . . . .	1

(n=579)

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

INSTITUTION/FACILITY FACT SHEET

Personnel Information

65. What was this facility's employment in each of the following categories on June 30, 1973?

NOTE: COUNT EMPLOYEES WORKING 35 HOURS OR MORE PER WEEK AS FULL-TIME, AND EMPLOYEES WORKING LESS THAN 35 HOURS A WEEK AS PART-TIME.

	Full-Time		Part-Time	
	$\bar{x}$	n	$\bar{x}$	n
a. TOTAL EMPLOYMENT . . . . .	49.5	526	6.7	396
b. Child care workers (including other child care staff such as houseparents, group supervisors, matrons and other first line custodial staff). . . . .	23.4	547	5.3	248
c. Staff supervisors (first-line supervisors of child care staff, etc.) . . . . .	4.3	473	.5	100
d. Director or superintendent, assistant directors, assistant superintendents, and so on . . . . .	2.1	532	.2	91
e. Psychiatrists . . . . .	.1	211	.8	176
f. Medical doctors . . . . .	.3	209	1.1	231
g. Nurses . . . . .	1.6	314	.7	152
h. Psychologists . . . . .	.8	271	.3	165
i. Social workers . . . . .	2.9	331	.3	109
j. Other counselors . . . . .	3.1	266	1.0	92
k. Case aides . . . . .	1.2	192	.8	91
l. Vocational teachers . . . . .	2.1	276	.2	87
m. Academic teachers . . . . .	6.3	410	1.1	122
n. Physical facilities maintenance personnel . . . . .	5.0	373	.7	113

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	Full-Time		Part-Time	
	$\bar{x}$	n	$\bar{x}$	n
o. Food service personnel . . . . .	4.3	454	1.1	164
p. Secretaries/typists/stenographers . . . . .	3.8	463	.8	131
q. All other (please specify) . . . . .	4.8	185	1.3	77

67. How many child care workers voluntarily resigned from your facility during the 12-month period from June 30, 1973 to June 30, 1974? . . . . .  $\bar{x}$  n  
6.5 497

68. How many child care workers did your facility hire during the 12-month period from June 30, 1973 to June 30, 1974? . . . . . 8.5 488

69. How many child care workers were employed at your facility on June 30, 1973? . . . . . 23.7 496

70. How many child care workers were employed at your facility on June 30, 1974? . . . . . 24.2 514

71. Are applicants for child care worker positions required to take a written examination?

No . . . . .	61%
Yes, solely as a matter of departmental policy . . . . .	4
Yes, required by civil or merit service . . . . .	35
	(n=561)

72. Does this institution or facility have written job descriptions for the basic position of child care worker?

No . . . . .	8%
Yes . . . . .	93
	(n=563)

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73. Is the position of child care worker regulated by civil service?

No . . .	48%
Yes . . .	52
	(n=563)

74. Does this institution/facility participate in collective bargaining with a union which represents your child care workers?

No . . .	69%
Yes . . .	31
	(n=564)

75. What are the minimum and maximum salaries for basic child care worker positions?

a. Minimum: \$	-	-
b. Maximum: \$	10,409	507

76. How is the length of formal entry level training for child care workers at your facility determined?

Determined by State correctional department . . .	19%
Determined by administrator of facility . . . .	58
Other (please specify:) . . . . .	6
Civil service (State or County) . . . . .	5
State personnel standards, policy or county . . .	7
Not determined, no formal training or none . . .	6
	(n=530)

**Workload and Facilities**

77. How many residents was this facility designed to accommodate? . .

$\bar{x}$	n
75	563

78. When was your present physical facility built or converted to use as a correctional institution? (WHEN DATES ARE DIFFERENT, PLEASE RECORD BOTH.)

a. Year built: . . . . .	
b. Year converted. . . . .	

79. What was the average daily population of this facility during the last fiscal year? . . . . .

$\bar{x}$	n
67.2	558

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80. How many residents were accommodated in this facility as of June 30, 1975?

a. Number of juvenile residents. . . . .	$\bar{x}$	n
	250.2	511
b. Number of adult inmates (IF NONE, PLEASE ENTER "0.") . . . . .	1.0	431

81. How many residents were newly admitted to your facility during the last fiscal year?

Number:	734.5	514
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82. How many residents were discharged from your facility during the last fiscal year?

Number:	775.1	508
---------	-------	-----

83. Age of the youngest and the oldest juvenile resident: (median)

a. Youngest: . . . . .	11	(n=563)
b. Oldest: . . . . .	17	(n=565)

84. Sex of residents:

Male only. . . . .	34%
Female only. . . . .	9
Both sexes . . . . .	57
	(n=570)

85. Which of the following best describes the extent of security in your facility?

Non-secured . . . . .	26%
Minimum security. . . . .	30
Medium security . . . . .	28
Maximum security. . . . .	11
Other security (please specify:). . . . .	5
	(n=571)

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4 30. Which of the following best describes your facility?

Detention facility. . . . .	44%
Shelter . . . . .	2
Reception and diagnostic center . . . . .	2
Training school . . . . .	21
Ranch, forestry camp farm . . . . .	11
Halfway house, group home . . . . .	17
Nonresidential community program. . . . .	0
Other type of facility (please specify). . . . .	2
	(n=568)

Expenditures

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE,  
PLEASE GIVE YOUR BEST ESTIMATE.

87. Total annual facility expenditures for the last complete fiscal year . . . . . \$ 627,371 526
88. Annual payroll expenditures for the last complete fiscal year (salaries and fringe benefits) . . . . . \$ 519,735 520
89. Annual operating expenditures for training for the last complete fiscal year (excluding salary of trainees) . . . . \$ 19,282 429

OMB No.: 043-375032  
Approval Expires: July 31, 1978  
LEAA No.: 3600-6  
BSSR No.: 46718

**NOTE:** This questionnaire is being sent to office executives throughout the entire probation and parole community. Therefore, terminology was selected to accommodate variations in the organization of state, county, and local probation and parole offices. For example, the term "probation/parole" refers to offices with either function, as well as to offices with both functions. Similarly, where juvenile offices are concerned, the term "probation/parole officer" should be taken to mean "probation/aftercare counselor."

Manpower Issues

1. How serious do you think each of the following manpower problems is in your office? Please rank them, using "1" for the most serious problem, "2" for the next most serious, and so on.

	Modal Rank	Percent Responding Most Serio
a. Inadequate number of authorized positions . . . . .	1	6%
b. Inability to achieve or maintain authorized strength . . . . .	2	13
c. High (excessive) turnover . . . . .	3	9
d. Inadequate training of personnel . . . . .	4	23
e. Inadequate representation of minorities or women on staff . . . . .	5	6
f. Other (please specify): . . . . .	6	45

(n varies:  
279-1763)

2. What do you feel is the major factor contributing to the manpower problem you ranked "most serious" (i.e., ranked "1") in Q. 1?

General lack of qualified applicants . . . . .	22
Lack of qualified minority or female applicants . . . . .	1
Inadequate levels of compensation . . . . .	11
Insufficient funds for training . . . . .	11
General budgetary problems . . . . .	59
Limited opportunities for advancement . . . . .	4
Other (please specify): . . . . .	7
No problem . . . . .	4

(n=1761)

APPENDIX  
PROBATION AND PAROLE

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1. Does your office have a critical manpower shortage in any of the following personnel categories? (Please circle all that apply.)

- |   | Percent<br>Yes |
|---|----------------|
| a. Probation/parole officers . . . . .  | 45%            |
| b. Probation/parole supervisory officers (first-line supervisors of probation/parole officers) . . . . .                              | 14             |
| c. Probation/parole administrators (probation/parole executives, assistant or deputy directors, and so on) . . . . .                  | 5              |
| d. Paraprofessionals (persons without academic credentials who work as case aides directly involved in servicing offenders) . . . . . | 23             |
| e. Secretaries/typists/stenographers . . . . .  | 35             |
| f. Other (please specify: ) . . . . .   | 4              |

g. NO CRITICAL SHORTAGES IN ANY OF THE ABOVE CATEGORIES . . . . . 30  
(n=2011)

4. During the three years before the current recession (i.e., the years 1971-1974), how serious a problem were voluntary resignations among your probation/parole officers and supervisors?

- |                             |    |
|-----------------------------|----|
| Critical problem . . . . .  | 4% |
| Serious problem . . . . .   | 8  |
| Moderate problem . . . . .  | 15 |
| Slight problem . . . . .    | 18 |
| No problem at all . . . . . | 56 |

(n=1954)

5. During the three years before the current recession (i.e., the years 1971-1974), did your office have an adequate supply of qualified applicants for the position of probation/parole officer?

- |               |     |
|---------------|-----|
| No . . . . .  | 24% |
| Yes . . . . . | 76  |

(n=1941)

6. What was this office's employment in each of the following categories on June 30, 1975?

- Number of probation/parole officers . . . . .
- Number of probation/parole supervisory officers and office management (including all supervisory and management personnel) . . . . .
- Number of paraprofessionals (persons without academic credentials who work as case aides directly involved in servicing offenders) . . . . .
- All other personnel (including clerical personnel) . . . . .

7. In your judgment, how many employees in each of the following categories would you need to fulfill effectively all the duties and responsibilities with which your office is charged?

- Total number of probation/parole officers . . . . .
- Total number of probation/parole supervisory officers and office management (including all supervisory and management personnel) . . . . .
- Total number of paraprofessionals (persons without academic credentials who work as case aides directly involved in servicing offenders) . . . . .
- Total number of other personnel (including clerical personnel) . . . . .

8. How many employees do you actually expect to have on the payroll by June 30, 1976?

- Number of probation/parole officers . . . . .
- Number of probation/parole supervisory officers and office management (including all supervisory and management personnel) . . . . .
- Number of paraprofessionals (persons without academic credentials who work as case aides directly involved in servicing offenders) . . . . .
- All other personnel (including clerical personnel) . . . . .

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# Entry Level Standards

9. Based upon your experience as an administrator, what do you think is the minimum education a probation/parole officer should have prior to joining your office?

High school diploma . . . . .	6%
One year of college . . . . .	1
2 or 3 years of college . . . . .	9
Bachelor's degree with social science concentration . .	60
Bachelor's degree in any field . . . . .	18
M.S.W. . . . .	2
Master's degree in any field . . . . .	1
Other (please specify:) . . . . .	4

(n=1980)

10. What is the minimum education now required of new probation/parole officers by your office?

High school diploma . . . . .	8%
One year of college . . . . .	1
2 or 3 years of college . . . . .	7
Bachelor's degree with social science concentration . .	42
Bachelor's degree in any field . . . . .	39
M.S.W. . . . .	0
Master's degree in any field . . . . .	0
Other (please specify:) . . . . .	3

(n=1973)

11. What is the probability that a higher minimum education standard will be adopted by your office within the next two years?

Will almost certainly be adopted . . . . .	1%
Will probably be adopted . . . . .	11
Will probably <u>NOT</u> be adopted . . . . .	51
Will almost certainly <u>NOT</u> be adopted . . . . .	34

(n=1984)

# Formal Entry Level Training

12. How many hours of formal (i.e., other than on-the-job) entry level training are currently provided to new paraprofessionals? (IF NONE, PLEASE ENTER "0.")

Number of hours: \_\_\_\_\_

13. How many hours of formal (i.e., other than on-the-job) entry level training are currently provided to your new probation/parole officers? (IF NONE, PLEASE ENTER "0.")

Number of hours: \_\_\_\_\_

IF YOU ENTERED "0" IN Q. 13, PLEASE ANSWER Q. 14. OTHERWISE, PLEASE SKIP TO Q. 15.

14. Do you expect to begin providing any formal entry level training for your new probation/parole officers within the next two years?

Yes, definitely . . . . .	10%
Yes, probably . . . . .	24
Probably not . . . . .	43
Definitely not . . . . .	4
Don't know . . . . .	19

(n=718)

IF YOU ANSWERED Q. 14, PLEASE SKIP TO Q. 21.

15. Is formal entry level training provided to every new probation/parole officer?

Yes . . . . .	83%
No, not provided to new probation/parole officers with prior experience . . . . .	12
No, other (please explain:) . . . . .	6

(n=1194)

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16. Where do your new probation/parole officers take their formal entry level training? (Please circle all that apply.)

- a. Within the local office or agency . . . . . 33%
- b. At a local educational institution . . . . . 9
- c. At the state probation/parole office . . . . . 19
- d. Provided by local court(s) . . . . . 5
- e. Other (please specify:) . . . . . 19

(n=2011)

17. Where will your new probation/parole officers probably take their formal entry level training two years from now? (Please circle all that apply.)

- a. Within the local office or agency . . . . . 30%
- b. At a local educational institution . . . . . 11
- c. At the state probation/parole office . . . . . 20
- d. Provided by local court(s) . . . . . 5
- e. Other (please specify:) . . . . . 18

(n=2011)

18. Has the length of formal entry level training provided to your new probation/parole officers changed in the past five years?

- No, length unchanged . . . . . 33%
- Yes, length increased . . . . . 64
- Yes, length decreased . . . . . 4

(n=1199)

19. Do you expect that the length of formal entry level training provided to new probation/parole officers will be changed during the next two years?

- No, no change expected. . . . . 40%
- Yes, length expected to increase . . . . . 41
- Yes, length expected to decrease . . . . . 2
- Don't know . . . . . 17

(n=1218)

20. Which of the following areas are covered in the formal entry level training provided to your new probation/parole officers? (Please circle all that apply.)

- a. Office policies and procedures . . . . . 51%
- b. Case report writing . . . . . 52
- c. Investigation techniques (i.e., pre-trial and pre-sentence) . . . . . 49
- d. Case supervision . . . . . 51
- e. Counseling techniques . . . . . 49
- f. Pre-release planning and counseling . . . . . 25
- g. Vocational counseling . . . . . 19
- h. Race relations . . . . . 14
- i. Crisis intervention . . . . . 27
- j. Criminal law . . . . . 35
- k. Juvenile and family law . . . . . 30
- l. Juvenile intake policies and procedures . . . . . 29
- m. Juvenile aftercare . . . . . 22
- n. Alcohol and drug programs . . . . . 35
- o. Community resource utilization . . . . . 49
- p. Other (please specify:) . . . . . 8

(n=2311)

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21. How much emphasis in formal entry level training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Office policies and procedures . . . . .	50%	42	8	(n=1930)
b. Case report writing . . . . .	68%	29	3	(n=1942)
c. Investigation techniques (i.e., pre-trial and pre-sentence) . . . . .	78%	19	3	(n=1913)
d. Case supervision . . . . .	81%	18	1	(n=1940)
e. Counseling techniques . . . . .	77%	21	2	(n=1935)
f. Pre-release planning and counseling . . . . .	38%	46	16	(n=1792)
g. Vocational counseling . . . . .	25%	56	19	(n=1845)
h. Race relations . . . . .	17%	46	37	(n=1822)
i. Crisis intervention . . . . .	53%	36	11	(n=1854)
j. Criminal law . . . . .	40%	45	16	(n=1872)
k. Juvenile and family law . . . . .	52%	29	20	(n=1719)
l. Juvenile intake policies and procedures . . . . .	49%	26	25	(n=1678)
m. Juvenile aftercare . . . . .	41%	32	26	(n=1648)
n. Alcohol and drug programs . . . . .	49%	44	7	(n=1902)
o. Community resource utilization . . . . .	71%	26	3	(n=1910)
p. Other (please specify:) . . . . .	76%	16	8	(n=151)

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In-Service Training

22. Does your office provide formal in-service training to experienced probation/parole officers?

No . . . . 29%  
Yes . . . . 72%

(n=1989)

IF YOU ANSWERED "YES" TO Q. 22, PLEASE ANSWER Q. 23-26.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 27.

23. Approximately how many of your experienced probation/parole officers attended formal in-service training during the last fiscal year?

Number: \_\_\_\_\_

24. For those experienced probation/parole officers who attended formal in-service training during the last fiscal year, approximately what was the average length of training in hours?

Average hours: \_\_\_\_\_

25. Where do your experienced probation/parole officers take their formal in-service training? (Please circle all that apply.)

- a. Within the local office or agency . . . . 47%
- b. At a local educational institution . . . . 36
- c. At the state probation/parole office . . . 32
- d. Provided by local court(s) . . . . . 8
- e. Other (please specify:) . . . . . 42

(n=1423)

26. Which of the following areas are covered in the formal in-service training provided to your experienced probation/parole officers? (Please circle all that apply.)

- a. Office policies and procedures . . . . . 51%
- b. Case report writing . . . . . 55
- c. Investigation techniques (i.e., pre-trial and pre-sentence) . . . 55
- d. Case supervision . . . . . 69
- e. Counseling techniques . . . . . 81
- f. Pre-release planning and counseling . . . . . 32
- g. Vocational counseling . . . . . 31
- h. Race relations . . . . . 23
- i. Crisis intervention . . . . . 50
- j. Criminal law . . . . . 49
- k. Juvenile and family law . . . . . 44
- l. Juvenile intake policies and procedures . . . . . 34
- m. Juvenile aftercare . . . . . 29
- n. Alcohol and drug programs . . . . . 67
- o. Community resource utilization . . . . . 68
- p. Other (please specify:) . . . . . 14

(n=1423)

27. How much emphasis in formal in-service training do you think each of the following areas should receive?

	Strong Emphasis	Moderate Emphasis	Little Emphasis	
a. Office policies and procedures . . . . .	41%	42	17	(n=1875)
b. Case report writing . . . . .	57%	36	7	(n=1898)
c. Investigation techniques (i.e., pre-trial and pre-sentence) . . . . .	66%	29	5	(n=1879)
d. Case supervision . . . . .	77%	21	2	(n=1900)
e. Counseling techniques . . . . .	78%	20	2	(n=1912)
f. Pre-release planning and counseling . . . . .	36%	47	17	(n=1766)
g. Vocational counseling . . . . .	29%	55	17	(n=1824)
h. Race relations . . . . .	18%	46	37	(n=1765)
i. Crisis intervention . . . . .	56%	32	11	(n=1816)
j. Criminal law . . . . .	42%	42	16	(n=1824)
k. Juvenile and family law . . . . .	52%	28	20	(n=1666)
l. Juvenile intake policies and procedures . . . . .	46%	28	26	(n=1621)
m. Juvenile aftercare . . . . .	41%	31	28	(n=1596)
n. Alcohol and drug programs . . . . .	53%	41	6	(n=1860)
o. Community resource utilization . . . . .	70%	26	4	(n=1866)
p. Other (please specify:) . . . . .	66%	23	11	(n=168)

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28. Within the next two years, do you expect a change in the formal in-service training provided for your experienced probation/parole officers?

Will begin in-service training . . . . .	10%
Will increase it . . . . .	43
Will leave it unchanged . . . . .	32
Will decrease it . . . . .	2
Will terminate in-service training . . . . .	0
In-service training is NOT now provided nor will it be begun . . . . .	8
Other (please specify:) . . . . .	5
	(n=1914)

IF NEITHER FORMAL ENTRY LEVEL NOR FORMAL IN-SERVICE TRAINING IS PROVIDED, PLEASE SKIP TO Q.31. OTHERWISE, PLEASE CONTINUE.

29. In your opinion, to what extent is each of the following factors a limitation on the overall effectiveness of training in your office?

	Serious Limitation	Moderate Limitation	Not a Limitation	
a. Workload frequently prevents release of probation/parole officers for training . . . . .	43%	38	19	(n=14)
b. Workload frequently prevents release of senior staff to provide training . . . . .	35%	38	26	(n=13)
c. Inadequate training budget . . . . .	53%	31	17	(n=13)
d. Necessary training resources are not available locally . . . . .	33%	32	36	(n=13)
e. Other (please specify:) . . . . .	80%	8	11	(n=10)

30. On the whole, how satisfied are you with all aspects of training in your office?

Extremely satisfied . . . . .	3%
Very satisfied . . . . .	13
Satisfied . . . . .	44
Dissatisfied . . . . .	34
Very dissatisfied . . . . .	3
Extremely dissatisfied . . . . .	3

(n=1461)

Continuing Academic Education

31. In your judgment, should your office encourage its probation/parole officers to pursue higher academic degree(s) once they have begun their criminal justice careers?

Should strongly encourage . . . . .	43%
Should encourage . . . . .	45
Should discourage . . . . .	0
Is not a matter for the office to take a stand on . . . . .	12

(n=1979)

32. Please rank the following five policies in order of how effective you think they would be in encouraging probation/parole officers to continue their academic education.

	Model Rank	
a. Adjusting schedules to facilitate class attendance . . . . .	5	13%
b. Allowing time off to attend class . . . . .	4	16
c. Subsidies for books and tuition . . . . .	3	19
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	1	49
e. Using academic education as part of the basis for promotions . . . . .	2	12

33. Which, if any, of the following policies has your office ever adopted?

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	Adopted and Continued	Adopted But Later Terminated	Never Adopted By the Office	
a. Adjusting schedules to facilitate class attendance . . . . .	58%	6	37	(n=1838)
b. Allowing time off to attend class . . . . .	48%	8	44	(n=1839)
c. Subsidies for books and tuition . . . . .	25%	10	65	(n=1782)
d. Increased pay based upon accumulated college credits or academic degree(s) . . . . .	13%	2	65	(n=1755)
e. Using academic education as part of the basis for promotions . . . . .	26%	2	72	(n=1756)

Pay and Promotion Policies

34. Increased pay based on college credit and/or degrees has been challenged as discriminatory against probation/parole officers with comparable assignments but less academic education. Has this become an issue for your office? If so, has the policy at your office been affected?

NO, the issue has not come up . . . . .	89%
YES, the issue has come up,	
but it has not yet been resolved . . . . .	7
and the education-linked pay policy has been revised . . . . .	1
but the education-linked pay policy has <u>NOT</u> been revised . . . . .	3
Other (please specify:) . . . . .	2
	(n=1961)

35. Promotion preference based on college credit and/or degrees has been challenged as discriminatory against probation/parole officers with comparable assignments but less academic education. Has this become an issue for your office? If so, has the policy at your office been affected?

NO, the issue has not come up . . . . .	97%
YES, the issue has come up,	
but it has not yet been resolved . . . . .	2
and the education-linked promotion policy has been revised . . . . .	2
but the education-linked promotion policy has <u>NOT</u> been revised . . . . .	4
Other (please specify:) . . . . .	1
	(n=1948)

36. In your opinion, what is the minimum academic education that should be required of probation/parole officers prior to promotion to the first supervisory level?

High school diploma . . . . .	6%
One year of college . . . . .	1
2 or 3 years of college . . . . .	6
Bachelor's degree with social science concentration . . .	45
Bachelor's degree in any field . . . . .	24
M.S.W. . . . .	4
Master's degree in any field . . . . .	6
Other (please specify:) . . . . .	8
(n=1944)	

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37. In your judgment, should probation/parole officers be required to take a special course in supervisory techniques either prior to being considered for their first promotion or immediately following their first promotion to a supervisory level?

No, should not be required . . . . .	22%
Yes, should be required prior to being considered for promotion . . . . .	38
Yes, should be required immediately following promotion . . . . .	40
(n=1960)	

38. Do you currently require that a special course for supervisors be completed?

No . . . . .	88%
Yes, prior to being considered for promotion . . . . .	4
Yes, immediately following promotion . . . . .	8
(n=1960)	

Operations and Manpower Requirements

39. Probation/parole office responsibilities vary from jurisdiction to jurisdiction. For each of the following activities, please indicate whether it is performed by your office, and how you expect it to change in terms of manpower requirements within the next two years. (For each activity, please circle the number which best indicates your expectations.)

	Activity Is Performed and Manpower Will:			Activity Is NOT Performed:		
	Increase	Stay about the Same	Decrease	and probably will NOT be added during the next 2 years	but probably will be added during the next 2 years	
a. Supervision of adult parolees . . . . .	25%	22	2	49	2	(n=183)
b. Supervision of juveniles in aftercare . . . . .	21%	30	3	43	3	(n=182)
c. Supervision of adult probationers (felons) . . . . .	33%	22	1	42	2	(n=185)
d. Supervision of adult probationers (misdemeanants) . . . . .	30%	24	2	41	3	(n=185)
e. Supervision of juvenile probationers . . . . .	36%	29	1	32	2	(n=184)
f. Pre-trial investigations (e.g., bail or ROR eligibility) . . . . .	29%	23	1	41	7	(n=183)
g. Pre-hearing investigations for juveniles . . . . .	33%	28	1	35	3	(n=183)
h. Pre-sentence investigations . . . . .	49%	30	1	18	2	(n=190)
i. Pre-release investigations . . . . .	32%	33	2	28	4	(n=185)
j. Administration of community based facilities or halfway houses . . . . .	22%	15	2	47	13	(n=185)
k. Juvenile court intake . . . . .	33%	25	2	38	3	(n=183)
l. Juvenile placement services . . . . .	28%	33	2	34	3	(n=183)
m. Job counseling and job placement . . . . .	32%	47	3	14	4	(n=190)
n. Pre-release counseling (i.e., release from correctional facility) . . . . .	21%	26	2	46	5	(n=182)
o. Coordination and development of community services for offenders . . . . .	46%	34	2	13	6	(n=190)
p. Office administrative services . . . . .	41%	51	1	6	1	(n=190)
q. Other (please specify:) . . . . .	56%	21	1	17	4	(n=70)

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40. Do you employ ex-offenders as probation/parole officers?

Yes . . . . . 18%  
 No, due to legal constraints . . . . . 16  
 No, due to office policy . . . . . 27  
 No, for other reasons (please specify) . . . . . 38  
 "2" and "3" . . . . . 1

(n=1935)

41. Do you employ ex-offenders as paraprofessionals (such as investigators or case aides)?

Yes . . . . . 23%  
 No, due to legal constraints . . . . . 9  
 No, due to office policy . . . . . 25  
 No, for other reasons (please specify) . . . . . 42

(n=1915)

42. Do you expect to change within the next two years your employment practices regarding ex-offenders?

No, no change expected . . . . . 92%  
 Yes, will begin hiring ex-offenders . . . . . 4  
 Yes, will increase hiring of ex-offenders . . . . . 3  
 Yes, will decrease hiring of ex-offenders . . . . . 1

(n=1897)

IF YOUR OFFICE DEALS ONLY WITH ADULT PAROLEES, PLEASE SKIP TO Q. 61 OTHERWISE, PLEASE CONTINUE.

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Pre-Trial Diversion Programs FOR ADULTS

IF YOUR OFFICE DEALS ONLY WITH JUVENILES, PLEASE SKIP TO Q. 52. OTHERWISE, PLEASE CONTINUE.

43. Are any pre-trial diversion programs other than deferred prosecution available in your jurisdiction for adults?

No . . . . . 61%  
 Yes . . . . . 34  
 Don't know . . . . . 6

(n=934)

IF YOU ANSWERED "YES" TO Q. 43, PLEASE CONTINUE, WITH Q. 44.  
 IF YOU DID NOT ANSWER "YES," PLEASE SKIP TO Q. 48.

44. How many years have the program(s) in your jurisdiction been operating? (IF LESS THAN 6 MONTHS, PLEASE ENTER "0.")

Number of years: \_\_\_\_\_

45. Which of the following administer pre-trial diversion programs other than deferred prosecution for adults in your jurisdiction? (Please circle all that apply.)

a. This office . . . . . 45%  
 b. Local corrections agency . . . . . 12  
 c. The Court . . . . . 39  
 d. Prosecutor's office . . . . . 32  
 e. Bail agency . . . . . 7  
 f. Private agency . . . . . 17  
 g. Other (please specify) . . . . . 10

(n=318)

46. Approximately how many of your probation/parole officers are assigned primarily to the program(s)? (IF NONE, PLEASE ENTER "0.") . . . . . \_\_\_\_\_

47. Over the next two years, do you expect the number of your probation/parole officers assigned primarily to the program(s) to increase, decrease or remain unchanged?

Increase . . . . .	31%
Decrease . . . . .	2
Remain unchanged . . . .	67
	(n=311)

48. Are deferred prosecution program(s) available in your jurisdiction for felons?

No . . . . .	46%
Yes . . . . .	48
Don't know . . . .	6
	(n=923)

IF YOU ANSWERED "YES" TO Q. 48, PLEASE CONTINUE.  
IF YOU DID NOT ANSWER "YES," PLEASE SKIP TO Q. 52.

49. How many years have the program(s) in your jurisdiction been operating? (IF LESS THAN 6 MONTHS, PLEASE ENTER "0.")

Number of years: \_\_\_\_\_

50. Approximately how many of your probation/parole officers are assigned primarily to the adult deferred prosecution program(s)? (IF NONE, PLEASE ENTER "0.")

51. Over the next two years, do you expect the number of your probation/parole officers assigned primarily to the adult deferred prosecution program(s) to increase, decrease or remain unchanged?

Increase . . . . .	27%
Decrease . . . . .	1
Remain unchanged . . . .	72
	(n=426)

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Diversion Programs for JUVENILES

IF YOUR OFFICE DEALS ONLY WITH ADULTS, PLEASE SKIP TO Q. 61. OTHERWISE, PLEASE CONTINUE.

52. Are formal diversion program(s) for juveniles available in your jurisdiction?

No . . . . .	32%
Yes . . . . .	64
Don't know . . . .	4
	(n=1277)

IF YOU ANSWERED "YES" TO Q. 52, PLEASE CONTINUE, WITH Q. 53.  
IF YOU DID NOT ANSWER "YES," PLEASE SKIP TO Q. 57.

53. How many years have the program(s) in your jurisdiction been operating? (IF LESS THAN 6 MONTHS, PLEASE ENTER "0.")

Number of years: \_\_\_\_\_

54. Which of the following administer the formal diversion program(s) in your jurisdiction? (Please circle all that apply.)

a. This office . . . . .	65%
b. Local corrections agency . . . .	11
c. The Court . . . . .	39
d. Prosecutor's office . . . . .	9
e. Bail agency . . . . .	1
f. Private agency . . . . .	26
g. Other (please specify): . . . .	21
	(n=513)

55. Approximately how many of your probation/aftercare counselors are assigned primarily to the formal juvenile diversion program(s)? (IF NONE, PLEASE ENTER "0.") . . . . .

56. Over the next two years, do you expect the number of your probation/aftercare counselors assigned primarily to the formal juvenile diversion program(s) to increase, decrease or remain unchanged?

Increase . . . . . 35%  
Decrease . . . . . 3  
Remain unchanged . . . . . 63  
(n=786)

57. Are informal probation or consent decree programs or procedures (i.e., the avoidance of formal court proceedings through supervision without court order) available for juveniles in your jurisdiction?

No . . . . . 18%  
Yes . . . . . 79  
Don't know . . . . . 3  
(n=1263)

IF YOU ANSWERED "YES" TO Q. 57, PLEASE CONTINUE WITH Q. 58.  
IF YOU DID NOT ANSWER "YES," PLEASE SKIP TO Q. 61.

58. How many years have the program(s) or procedures in your jurisdiction been operating? (IF LESS THAN 6 MONTHS, PLEASE ENTER "0.")

Number of years: \_\_\_\_\_

59. Approximately how many of your probation/aftercare counselors are assigned primarily to work with informal probation or consent decree cases? (IF NONE, PLEASE ENTER "0.") . . . . .

60. Over the next two years, do you expect the number of probation/aftercare counselors assigned primarily to work with the informal probation or consent decree cases to increase, decrease or remain unchanged?

Increase . . . . . 25%  
Decrease . . . . . 2  
Remain unchanged . . . . . 69  
(n=975)

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Executive's Position

61. Every probation/parole executive has particular duties and responsibilities which confront him with especially difficult decisions and problems. Based on your personal experience, please select the three areas in which such decisions and problems most often come up, and rank them, starting with "1" for the area in which they come up the most often.

	Model Rank Three Choices Only	Per- cent Most 1
a. Supervising staff casework activities . . . . .		41
b. Own case investigation and supervision . . . . .	1	62
c. Budget and fiscal management (preparing budgets, estimating costs, day-to-day fiscal decisions, budget hearings, and so on) . . . . .		33
d. Personnel management (discipline, employee and personnel matters, union bargaining) . . . . .		30
e. Planning and evaluation (setting goals and reviewing agency performance against objectives) . . . . .		28
f. Dealing with other criminal justice agencies (judges, prosecutors, defenders, sheriffs, police, and so on) . . . . .	2	27
g. Dealing with state officials (correspondence and meetings with governor, state commissions, legislators, and so on) . . . . .	3	20
h. Other duties and responsibilities (please specify:)		42

(n varies:  
147-1077)

62. Based upon your experience, what kinds of special courses, workshops, training sessions or seminars would you recommend as especially useful for your successors to take? (Please circle all that apply.)

a. Probation/parole administration . . . . .	75%
b. Personnel management . . . . .	65
c. Budgeting/planning and evaluation . . . . .	53
d. Criminal law and procedures . . . . .	59
e. Correctional law . . . . .	46
f. Juvenile and family law . . . . .	54
g. Applied criminology . . . . .	29
h. Principles of corrections . . . . .	46
i. Principles of social work . . . . .	47
j. Juvenile services . . . . .	50
k. Drug abuse/alcohol abuse programs . . . . .	61
l. Vocational education programs . . . . .	38
m. Counseling techniques . . . . .	70
n. Crisis intervention . . . . .	52
o. Identification and use of community resources . . . . .	72
p. Community relations . . . . .	67
q. Race/ethnic relations . . . . .	32
r. Other (please specify) . . . . .	5
s. NONE . . . . .	0

(n=2011)

63. In which of the following areas have you had special courses, workshops, training sessions or seminars? (Please circle all that apply.)

a. Probation/parole administration . . . . .	61%
b. Personnel management . . . . .	58
c. Budgeting/planning and evaluation . . . . .	32
d. Criminal law and procedures . . . . .	55
e. Correctional law . . . . .	35
f. Juvenile and family law . . . . .	50
g. Applied criminology . . . . .	31
h. Principles of corrections . . . . .	42
i. Principles of social work . . . . .	53
j. Juvenile services . . . . .	43
k. Drug abuse/alcohol abuse programs . . . . .	68
l. Vocational education programs . . . . .	26
m. Counseling techniques . . . . .	76
n. Crisis intervention . . . . .	41
o. Identification and use of community resources . . . . .	56
p. Community relations . . . . .	48
q. Race/ethnic relations . . . . .	28
r. Other (please specify) . . . . .	6
s. NONE . . . . .	2

(n=2011)

64. How important do you think each of the following are as goals for your office? (Please rank them, using "1" for the most important, "2" for the next most important, and so on.)

	Modal Rank	Percent Responding Most Important
a. Low probation/parole violation rates . . . . .	3/4	7%
b. Rehabilitation of offenders . . . . .	1	71
c. Job placement . . . . .	-	8
d. Adherence to probation or parole agreements . . . . .	5	8
e. Low recidivism rate . . . . .	2	15
f. Other (please specify) . . . . .	6	45

(n varies: 130-1953)

65. How much improvement in crime control and the administration of justice do you think could be achieved by changes in staffing, organization, and policies of probation/parole agencies in general (local, county and state)?

A great deal of improvement . . . . .	37%
Some improvement . . . . .	42
Little or no improvement . . . . .	15

(n=1951)

66. What do you consider to be the major obstacle to the proper administration of justice in your jurisdiction?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Background

67. Please record your:

a. Age (median) . . . . .	42
b. Sex (please circle) . . . . .	Male 92% Female 8
c. Color or race: . . . . .	(n=1931)
White . . . . .	96%
Black . . . . .	3
Other (please specify) . . . . .	1

(n=1979)

68. How were you selected for your current position? (Please circle all that apply.)

a. Competitive examination . . . . .	35%
b. Exempt or political appointment . . . . .	5
c. Selected by judge . . . . .	53
d. Other (please specify) . . . . .	13

(n=2311)

69. Did you advance to your current position from within this agency, or were you recruited from outside?

From within . . . . .	61%
From outside . . . . .	39

(n=1937)

IF YOU WERE RECRUITED FOR YOUR CURRENT POSITION FROM OUTSIDE THIS OFFICE, PLEASE ANSWER Q. 70. OTHERWISE, PLEASE SKIP TO Q. 71.

70. What kind of organization did you leave to accept your current position?

Adult probation/parole office . . . . .	10%
Juvenile probation/aftercare office . . . . .	12
Other (please specify) . . . . .	78

(n=709)

71. In which of the following areas have you ever worked?  
(Please circle all that apply.)

- a. Prosecutor's office . . . . . 4%
  - b. Criminal defense office . . . . . 1
  - c. Police or sheriff's department . . . . . 20
  - d. Correctional institution . . . . . 20
  - e. Community-based correctional facility . . . . . 12
  - f. Welfare agency . . . . . 20
  - g. Mental health agency . . . . . 9
  - h. NONE OF THE ABOVE . . . . . 40
- (n=2011)

72. Which of the following positions have you ever held? (Please circle all that apply.)

- a. Adult probation/parole officer . . . . . 54%
  - b. Juvenile probation/aftercare counselor . . . . . 47
  - c. Probation/parole supervisor . . . . . 46
  - d. Assistant or deputy chief probation/parole officer . . . . . 20
  - e. Chief probation/parole officer in another agency . . . . . 11
  - f. NONE OF THE ABOVE . . . . . 14
- (n=2011)

73. In all, how many years have you worked in probation/parole? . . . . .

74. How many years have you worked in this office?  
(IF LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . .

75. How many years have you been head of this office?  
(IF LESS THAN SIX MONTHS, PLEASE ENTER "0.") . . . . .

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76. Did you continue your academic schooling after beginning your probation/parole career?

- No . . . . . 4
  - Yes . . . . . 5
- (n=19)

IF YOU ANSWERED "YES" TO Q. 76, PLEASE ANSWER Q. 77. OTHERWISE, PLEASE SKIP TO Q. 79.

77. Did you receive financial assistance to continue your schooling from any of the following sources? (Please circle all that apply.)

- a. Law Enforcement Education Program (L.E.E.P.) . . . . . 31
  - b. G.I. Bill . . . . . 2
  - c. Other federal programs . . . . . 1
  - d. State programs . . . . . 11
  - e. The agency or institution you were employed by . . . . . 2
  - f. Other financial aid . . . . . 1
  - g. NONE . . . . . 2
- (n=16)

78. Please circle the number indicating your current level of academic education.

- High school graduate . . . . . 6
  - 1 year of college . . . . . 3
  - 2 or 3 years of college . . . . . 10
  - Bachelor's degree . . . . . 20
  - Some graduate course work . . . . . 31
  - Master's degree (other than M.S.W.) . . . . . 11
  - M.S.W. . . . . 8
  - Graduate work beyond Master's degree . . . . . 8
  - J.L.B., J.D. or other law degree . . . . . 3
  - Ph.D. or other doctorate . . . . . 1
- (n=137)

IF YOU HAVE EARNED AT LEAST ONE COLLEGE DEGREE, PLEASE ANSWER Q. 79. OTHERWISE, PLEASE SKIP TO Q. 80.

79. Please record your area of specialization for each college degree you have earned.

- a. A.A.: \_\_\_\_\_
- b. B.A. or B.S.: \_\_\_\_\_
- c. M.A.: \_\_\_\_\_
- d. M.S.W.: \_\_\_\_\_
- e. Ph.D. or Law degree: \_\_\_\_\_

80. Please circle the number indicating the extent of your academic education prior to starting your probation/parole career.

High school graduate . . . . .	10%
1 year of college . . . . .	4
2 or 3 years of college . . . . .	11
Bachelor's degree . . . . .	45
Some graduate course work . . . . .	16
Master's degree (other than M.S.W.) . . . . .	6
M.S.W. . . . .	4
Graduate work beyond the Master's degree . . . . .	3
J.L.B. or J.D. or other law degree . . . . .	1
Ph.D. or other doctorate . . . . .	0

(n=1525)

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

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PROBATION/PAROLE OFFICE FACT SHEET

Personnel Information

81. Which of the following best describes your office?

- An office that renders direct service to parolees or probationers . . . . . 90%
- The highest level state office whose sole area of responsibility is probation and/or parole . . . . . 6
- An administrative office that neither renders direct service to parolees or probationers nor is the highest level state office . . . . . 4

(n=1973)

IF YOU ANSWERED "1" TO Q. 81, PLEASE COMPLETE THE REMAINING QUESTIONS FOR YOUR OFFICE ONLY. FOR EXAMPLE, YOUR FIRST ANSWER TO Q. 82a SHOULD INCLUDE ALL FULL-TIME EMPLOYEES WHO WORK AT OR FROM YOUR GEOGRAPHIC LOCATION.

IF YOU ANSWERED "2" TO Q. 81, PLEASE COMPLETE THE REMAINING QUESTIONS FOR THE ENTIRE DEPARTMENT OR DIVISION INCLUDING ALL STAFF AND LINE FUNCTIONS. FOR EXAMPLE, YOUR FIRST ANSWER TO Q. 82a SHOULD INCLUDE ALL FULL-TIME EMPLOYEES REGARDLESS OF THEIR GEOGRAPHIC LOCATION OR PRECISE FUNCTION IN YOUR DEPARTMENT.

IF YOU ANSWERED "3" TO Q. 81, PLEASE SKIP THE REMAINING QUESTIONS AND RETURN THIS QUESTIONNAIRE. THANK YOU FOR YOUR COOPERATION.

82. What was this office's employment in each of the following categories on June 30, 1975?

NOTE: COURT EMPLOYEES WORKING 35 HOURS OR MORE PER WEEK AS FULL-TIME; AND EMPLOYEES WORKING LESS THAN 35 HOURS A WEEK AS PART-TIME.

	Full-Time		Part-Time	
	$\bar{x}$	n	$\bar{x}$	n
a. TOTAL EMPLOYMENT . . . . .	31.8	1627	3	710
b. Number of basic officers with <u>only</u> probation responsibilities (casework and investigations) . . . . .	11.2	1436	7	476
c. Number of basic officers with <u>only</u> parole responsibilities . . . . .	3.5	1197	1	487
d. Number of basic probation/parole officers with <u>both</u> probation and parole responsibilities . . . . .	7.6	1387	5	486
e. Number of probation/parole supervisory officers and office management (including all supervisory and management personnel) . . . . .	4.9	1598	3	452
f. Number of paraprofessionals (persons without academic credentials who work as case aides directly involved in servicing offenders) . . . . .	3.2	1302	2.5	565
g. All other personnel (including clerical personnel) . . . . .	13.5	1593	1.9	571

83. How many probation/parole officers voluntarily resigned from your office during the 12-month period from June 30, 1973 to June 30, 1974? . . . . .  $\bar{x}$  n  
1.8 1724

84. How many probation/parole officers did your office hire during the 12-month period from June 30, 1973 to June 30, 1974? . . . . .  $\bar{x}$  n  
3.0 1725

85. How many probation/parole officers were employed by your office on June 30, 1973? . . . . .  $\bar{x}$  n  
14.7 1755

86. How many probation/parole officers were employed by your office on June 30, 1974? . . . . .  $\bar{x}$  n  
16.0 1795

87. Do you currently accept lateral entrants (i.e., experienced probation/parole officers from other offices) directly into supervisory ranks but below the level of chief?

Yes . . . . . 42%

No, lateral entrants are accepted only for basic probation/parole officer positions . . . . . 25

No, lateral entrants are not accepted at all . . . . . 19  
(n=1229)

88. Does your office participate in collective bargaining with a union which represents your probation/parole officers?

No . . . . . 82%

Yes . . . . . 14  
(n=1259)

89. Are applicants for probation/parole positions required to take a written examination?

No . . . . . 56%

Yes, solely as a matter of departmental policy . . . . . 7

Yes, required by civil or merit service . . . . . 34  
(n=1839)

90. Does your office have written job descriptions for officers in the basic probation/parole position?

No . . . . . 23%

Yes . . . . . 74  
(n=1839)

91. Is the position of probation/parole officer regulated by civil service?

No . . . . . 62%

Yes . . . . . 35  
(n=1859)

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92. What are the maximum and minimum annual salaries your office is authorized to pay for the following positions? (NOTE: If your office does not have both probation and parole responsibilities, please enter "N/A" where not applicable.)

Basic probation officer positions:  $\bar{x}$  n

a. Minimum: \$ 7,763 1581

b. Maximum: \$10,504 1469

Basic parole officer positions:

c. Minimum: \$ 4,527 1317

d. Maximum: \$ 6,186 1204

#### Office and Caseload Information

93. For which of the following functions is your office responsible? (Please circle all that apply.)

Adult parole . . . . . 33%

Adult probation . . . . . 56

Juvenile parole/aftercare . . . . . 29

Juvenile probation . . . . . 57

(n=1889)

94. Is your office administratively attached directly to a court?

No . . . . . 37%

Yes . . . . . 6

(n=1889)

95. Approximately how many investigations were conducted by your office during the last complete calendar year? (PLEASE ENTER "N/A" FOR TYPES OF CASES NOT HANDLED BY YOUR OFFICE.)

Number of ADULT Investigations:  $\bar{x}$  n

a. Pre-trial (e.g., bail or ROR). . . . . 244.4 1250

b. Pre-sentence . . . . . 409.6 1438

c. Pre-release . . . . . 128.9 1227

d. Other (please specify) . . . . . 247.6 807

Number of JUVENILE Investigations:  $\bar{x}$  n

e. Pre-hearing . . . . . 380.5 1411

f. Pre-release (i.e., pre-aftercare) . . . . . 70.2 1144

g. Other (please specify) . . . . . 165.7 1240

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96. Approximately how large was the office's average monthly caseload during the last calendar year? (PLEASE ENTER "N/A" FOR TYPES OF CASES NOT HANDLED BY YOUR OFFICE.)

Number of probation cases:  $\bar{x}$  n

a. Adult . . . . . 908.4 1530

b. Juvenile . . . . . 290.0 1454

Number of parole or aftercare cases:  $\bar{x}$  n

c. Adult . . . . . 112.9 1330

d. Juvenile . . . . . 162.8 1250

#### Expenditures

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE, PLEASE GIVE YOUR BEST ESTIMATE.

97. Total annual office expenditures for the last complete fiscal year . . . . . \$491,726 1951

98. Annual payroll expenditures for the last complete fiscal year (salaries and fringe benefits) . . . . . \$359,590 1408

99. Annual operating expenditures for training for the last complete fiscal year (excluding salary of trainees) . . . . \$ 6,373 1258

TRIAL COURTS OF GENERAL JURISDICTIONS

OMB No.: 043-S75032  
Approval Expires: July 31, 1976

LEAA No.: 3600-8

BSSR No.: 46719

PLEASE NOTE:

1. Most questions are to be answered by circling the number next to the appropriate response. Only a few questions require written-in answers.
2. "Full-time" is defined for this questionnaire as 35 or more hours per week.
3. THE PHRASE "THIS COURT" IS IMPORTANT. IT MEANS "ONLY THE COURT WHICH IS NAMED ON THE ADDRESS LABEL ON THE OUTSIDE COVER OF THE QUESTIONNAIRE."

1. What is the formal title of the position you currently hold?

Title: \_\_\_\_\_

2. Do you currently serve any court(s) other than this court?

No . . . . . 64%  
Yes . . . . . 36  
(n=1185)

IF YOU ANSWERED "YES" IN Q. 2, PLEASE ANSWER Q. 3.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 4.

3. Please list the exact names of the other court(s) you currently serve.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Is this court an Appellate Court of Last Resort in your State?

No . . . . . 100%  
Yes . . . . . 0  
(n=1197)

IF YOU ANSWERED "NO" IN Q. 4, PLEASE CONTINUE.  
IF YOU ANSWERED "YES," PLEASE SKIP TO Q. 10.

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5. This court is a(n):

Trial Court of Limited or Special Jurisdiction . . . . . 0%  
Trial Court of (Original) General Jurisdiction (also known in some States as "Court of Record") . . . . . 100  
Intermediate Appellate Court . . . . . 0  
(n=1197)

IF THIS COURT IS A TRIAL COURT, PLEASE SKIP TO Q. 29. IF THIS COURT IS AN INTERMEDIATE APPELLATE COURT, PLEASE CONTINUE.

Intermediate Appellate Courts

6. What is the jurisdiction of this court?

Criminal only . . . . .  
Civil only . . . . .  
Both criminal and civil . . . . . (n=0)

7. How are cases usually assigned? (Please circle only one answer.)

Cases are assigned to courtrooms and are heard by panels on a rotating basis . . . . .

Cases are assigned according to subject matter, to panels of judges who specialize in certain types of cases . . . . .

Cases are assigned regardless of subject matter to panels on the basis of who has time in their caseload . . . . .

Some other criterion (please specify:) . . . . .

(n=0)

8. Who usually assigns cases and sets a time for them to be heard?  
(Please circle only one answer.)

- Clerk of the court assigns case to panel and sets time . . . . .
- Chief or Presiding Judge assigns case to panel, and  
Clerk of the court sets time for each case . . . . .
- Chief or Presiding Judge assigns case to panel, and  
panel sets time for case . . . . .
- Clerk of the court assigns case to panel, and panel  
sets time for case . . . . .
- Other method (please specify:) . . . . .

(n=0)

9. Approximately what proportion of cases heard by this court in the  
last fiscal/calendar year were heard en banc? . . . . . (n=0)

All Appellate Courts: Judicial Personnel

10. As of June 30, 1975 what was the number of permanent judgeships  
authorized for this court?

Number: \_\_\_\_\_ (n=0)

11. As of June 30, 1975 how many of those permanent judgeships were  
vacant? (IF NONE, PLEASE ENTER "0.")

Number: \_\_\_\_\_ (n=0)

12. How many trial judges from courts of general jurisdiction were  
temporarily assigned to this court during the 12 months from  
June 30, 1974 to June 30, 1975? (IF NONE, PLEASE ENTER "0.")

Number: \_\_\_\_\_ (n=0)

IF YOU ENTERED "0" IN Q. 12, PLEASE SKIP TO Q. 14.  
OTHERWISE, PLEASE ANSWER Q. 13.

13. Approximately how many judge-days were provided by the  
temporarily assigned general jurisdiction judges during  
the 12 months?

Number of judge-days: \_\_\_\_\_ (n=0)

14. How many retired or "senior" judges heard cases in this court during  
the 12 months from June 30, 1974 to June 30, 1975? (IF NONE,  
PLEASE ENTER "0.")

Number: \_\_\_\_\_ (n=0)

IF YOU ENTERED "0" IN Q. 14, PLEASE SKIP  
TO Q. 16. OTHERWISE, PLEASE ANSWER Q. 15.

15. Approximately how many judge-days were provided for this  
court by the retired or "senior" judges during the 12 months?

Number of judge-days: \_\_\_\_\_ (n=0)

Non-Judicial Personnel

16. How many full-time (35 hours/week or more) and part-time  
non-judicial personnel in each of the following categories  
worked at this court on June 30, 1975? (PLEASE ENTER  
"N/A" FOR ANY CATEGORY NOT APPLICABLE TO THIS COURT.)

	<u>Full- time</u>	<u>Part- time</u>
a. TOTAL . . . . .	_____	_____
b. Clerk of the Court and Deputy Clerk(s) . . . . .	_____	_____
c. Law clerks . . . . .	_____	_____
d. Staff attorneys . . . . .	_____	_____
e. Professional and technical personnel (computer specialists, budget specialists, and so on) . . . . .	_____	_____
f. Clerical and secretarial personnel . . . . .	_____	_____
g. Other personnel (please specify:) . . . . .	_____	_____

(n=0)

17. Of the following categories of personnel who work at this court, which, if any, are covered by a merit- or civil-service system? (Please circle the correct response for each category appropriate to this court.)

	Not Covered by Such a System	Covered By:			No Personnel in This Category
		State System	County System	Other System	
a. Clerk of the Court . . . . .					
b. Deputy Clerk(s) of the Court . . . . .					
c. Professional or technical personnel (e.g., computer or budget specialists) . . . . .					
d. Clerical or secretarial personnel . . . . .					
e. Judges . . . . .					
f. Law clerks . . . . .					
g. Staff attorneys . . . . .					

(n=0)

18. Is any "in-house" (i.e., within this court or other courts of this State) formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . .  
Yes . . . . .  
Don't know . . . . .

(n=0)

19. Is any assistance (such as tuition support or administrative leave) for obtaining formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . .  
Yes . . . . .  
Don't know . . . . .

(n=0)

IF NEITHER IN-HOUSE TRAINING NOR ASSISTANCE FOR TRAINING IS PROVIDED, PLEASE SKIP TO Q. 21. OTHERWISE, PLEASE ANSWER Q. 20.

20. For those personnel who obtained formal training/continuing education during the last fiscal year, approximately what was the average length?

One Day or Less	2 Days to 1 Wk.	More Than 1 Wk.	Don't Know
-----------------------	-----------------------	-----------------------	---------------

a. Clerk of the Court . . . . .  
b. Deputy Clerk(s) of the Court . . . . .  
c. Law Clerks . . . . .  
d. Staff attorneys . . . . .  
e. Professional or technical personnel . . . . .  
f. Clerical or secretarial personnel . . . . .

(n=0)

Caseload Information

PLEASE FILL IN THE FOLLOWING INFORMATION (Q. 21-24) CONCERNING THIS COURT'S CASELOAD DURING FISCAL YEAR 1975 ACCORDING TO THE STATISTICS KEPT BY THIS COURT (IF EXACT FIGURES ARE NOT AVAILABLE, PLEASE USE YOUR BEST ESTIMATE):

21. a. Total number of appeals filed: . . . . .  
b. Total number of appeals decided: . . . . .  
    1) With oral arguments: . . . . .  
    2) With written opinion: . . . . .  
c. Total number of appeals otherwise terminated:  
    1) By counsel . . . . .  
    2) By the Court (either on its own or by motion of a party) . . . . .

IF WITHIN THIS COURT'S JURISDICTION:

22. a. Number of criminal appeals filed: \_\_\_\_\_
- b. Number of criminal appeals decided: \_\_\_\_\_
- 1) With oral arguments: \_\_\_\_\_
- 2) With written opinion: \_\_\_\_\_
- c. Number of criminal appeals otherwise terminated: \_\_\_\_\_
- 1) By counsel: \_\_\_\_\_
- 2) By the Court (either on its own or by motion of a party): \_\_\_\_\_

IF WITHIN THIS COURT'S JURISDICTION:

23. a. Number of non-criminal appeals (including civil appeals arising out of criminal matters) filed: \_\_\_\_\_
- b. Number of non-criminal appeals decided: \_\_\_\_\_
- 1) With oral arguments: \_\_\_\_\_
- 2) With written opinion: \_\_\_\_\_
- c. Number of non-criminal appeals otherwise terminated: \_\_\_\_\_
- 1) By counsel: \_\_\_\_\_
- 2) By the Court (either on its own or by motion of a party): \_\_\_\_\_

24. Approximately what number of pro se petitions for appeal were filed at this court during the last complete fiscal year?

Number: \_\_\_\_\_

IF THIS COURT IS AN APPELLATE COURT OF LAST RESORT, PLEASE CONTINUE. IF NOT, PLEASE SKIP TO Q. 76.

25. How many discretionary criminal appeals (including writs of certiorari) were filed during fiscal year 1975? \_\_\_\_\_

26. How many discretionary criminal appeals (including writs of certiorari) were granted during fiscal year 1975? \_\_\_\_\_

IF THERE IS AN INTERMEDIATE APPELLATE COURT IN YOUR STATE, PLEASE ANSWER Q. 27. OTHERWISE, PLEASE SKIP TO Q. 76.

27. Are there any types of cases which come to this court by direct appeal from the original jurisdiction court?

No . . . . .

Yes . . . . .

(n=0)

IF YOU ANSWERED "NO" IN Q. 27, PLEASE SKIP TO Q. 76. IF YOU ANSWERED "YES," PLEASE ANSWER Q. 28.

28. Please list the types of cases which come to this court by direct appeal, and the number of cases of each type this court had during the last complete fiscal year:

Types of Cases

Number

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(n=0)

PLEASE SKIP TO Q. 76.

Trial Courts

29. Is this trial court one seat of a judicial circuit or district which meets in other locations as well as this one?

No . . . . 29%  
Yes . . . . 71  
(n=1195)

IF YOU ANSWERED "NO" IN Q. 29, PLEASE SKIP TO Q. 34. IF YOU ANSWERED "YES," PLEASE CONTINUE.

30. As of June 30, 1975, what was the number of permanent judgeships authorized for the entire circuit or district of which this court is a part?

Number:  $\bar{x}$  n=  
4.6 797

31. As of June 30, 1975, how many of those permanent judgeships authorized for the entire circuit or district of which this court is a part were vacant? (IF NONE, PLEASE ENTER "0.")

Number:  $\bar{x}$  n=  
.07 789

32. As of June 30, 1975, how many permanent judges filled the permanent judgeships authorized for the entire circuit or district of which this court is a part?

a. Full-time:  $\bar{x}$  n=  
4.36 762  
b. Part-time: .69 141

33. As of June 30, 1975, did this judicial circuit or district (of which this court is a part) have a professional Trial Court Administrator, defined as a "nonelected professional administrator concerned with caseload throughout the court system, personnel management, planning and research, budget drafting, and all other administrative and managerial nonjudicial business of the court or court system"?

No . . . . 81%  
Yes . . . . 19  
(n=794)

34. As of June 30, 1975, what was the number of permanent judgeships authorized for this court?

Number:  $\bar{x}$  n=  
3.44 1157

35. As of June 30, 1975, how many of those permanent judgeships were vacant? (IF NONE, PLEASE ENTER "0.")

Number:  $\bar{x}$  n=  
.07 1155

36. As of June 30, 1975, how many permanent judges filled the permanent judgeships authorized for this court?

a. Full-time:  $\bar{x}$  n=  
3.36 1099  
b. Part-time: 80.2 1197

37. Approximately how many judge-days in the last fiscal year were provided for this court by judges "on loan" from another court?

Judge-days "borrowed":  $\bar{x}$  n=  
14.8 1086

38. Approximately how many judge-days in the last fiscal year were "loaned" to another court by judges of this court?

Judge-days "loaned":  $\bar{x}$  n=  
13.7 963

38a. Please estimate how the judge-time was apportioned in this court over the past 12 months, among the following types of cases:

a. Civil . . . . . 53 1081  
b. Criminal . . . . . 35 1078  
c. Traffic . . . . . 5 1062  
d. Juvenile . . . . . 6 1070

Total: . . . . . 100 %

39. As of June 30, 1975, did this court have a professional Trial Court Administrator, defined as a "nonelected professional administrator concerned with caseload throughout the court system, personnel management, planning and research, budget drafting, and all other administrative and managerial nonjudicial business of the court or court system"?

No . . . . 81%  
Yes . . . . 19  
(n=1138)

40. Which of the following sources provide(s) the funds which pay the salaries of this court's judges? (Please circle all that apply.)

- a. City . . . . . 2% (n=20)
- b. County . . . . . 38 (n=455)
- c. State . . . . . 93 (n=1117)
- d. Federal . . . . . 01 (n=1)

IF YOU CIRCLED MORE THAN ONE SOURCE IN Q. 40, PLEASE ANSWER Q. 41. IF YOU CIRCLED ONLY ONE, PLEASE SKIP TO Q. 42.

41. Do judges at this court each receive one paycheck per pay-period which combines the segments of their salaries, or do they receive a paycheck from each source separately?

- One combined paycheck . . . . . 28%
- Separate paychecks from each source . . . . . 62
- Don't know . . . . . 9
- Other (please specify:) . . . . . 1

(n=407)

Other Personnel

42. How many full-time (35 hours or more/week) and part-time personnel in each of the following categories were working at this court on June 30, 1975? (PLEASE ENTER "N/A" FOR ANY CATEGORY NOT APPLICABLE TO THIS COURT.)

	Full-time		Part-time	
	<u>X</u>	<u>n=</u>	<u>X</u>	<u>n=</u>
a. TOTAL: . . . . .	41.21	673	19.3	477
b. Clerk of the Court, Deputy Clerk(s) of the Court . . . . .	7	1082	1.5	487
c. Magistrates . . . . .	.94	805	.58	309
d. Justices of the Peace . . . . .	.47	790	.46	289
e. Other officials exercising judicial authority (such as commissioners, masters, referees) . . . . .	.64	740	2.46	342
f. Law clerks . . . . .	.77	776	.32	314
g. Staff attorneys . . . . .	.47	775	.39	300
h. Bailiffs . . . . .	3.9	733	2.02	538
i. Court reporters . . . . .	2.95	953	1.18	374
j. Probation/parole officers . . . . .	6.6	863	.93	346
k. Pre-sentence investigators (other than probation/parole officers) . . . . .	.57	752	.19	311
l. Translators . . . . .	.07	761	.30	320
m. Computer, budget, or fiscal specialists . . . . .	.22	770	.14	293
n. Other professional or technical personnel . . . . .	.87	751	.12	281
o. Clerical or secretarial personnel . . . . .	5.43	840	.58	352
p. Other personnel (please specify:) . . . . .	1.61	651	.45	274

43. Do any of the full-time personnel listed above (in Q. 42) have any job-related duties or responsibilities other than to THIS COURT, or handle any business other than for THIS COURT alone?

No . . . . 54%  
Yes . . . . 46  
(n=1167)

IF YOU ANSWERED "YES," TO Q. 43, PLEASE ANSWER Q. 44.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 45.

44. Please circle the categories of personnel which handle other business or have job-related duties or responsibilities to some organization other than this court:

a. Clerk of the Court . . . . . 32% (n=381)  
b. Deputy Clerk(s) . . . . . 27 (n=324)  
c. Computer, budget, or financial specialists . . . . . 2 (n=29)  
d. Other professional and technical personnel . . . . . 6 (n=68)  
e. Clerical and secretarial personnel . . . . . 10 (n=116)  
f. NONE OF THE ABOVE . . . . . 6 (n=72)

45. Of the following categories of personnel who work at this court, which, if any, are covered by a merit- or civil-service system? (Please circle the correct response for each category appropriate to this court.)

	Not Covered by Such a System	Covered By:				Don't Know	No Personnel in This Category	
		State System	County System	Other System				
a. Clerk of the Court . . . . .	71%	9	8	1	1	10	(n=1100)	
b. Deputy Clerk(s) of the Court . . . . .	64	9	13	1	1	11	(n=1065)	
c. Translators . . . . .	32	1	1	1	2	64	(n=673)	
d. Professional or technical personnel (e.g., computer or budget specialists) . . . . .	31	2	5	1	2	59	(n=680)	
e. Clerical or secretarial personnel . . . . .	51	8	11	1	2	27	(n=840)	
f. Judges . . . . .	63	20	03	1	6	10	(n=997)	
g. Law Clerks . . . . .	38	2	3	1	3	53	(n=696)	
h. Staff attorneys . . . . .	33	2	3	1	4	58	(n=694)	
i. Court reporters . . . . .	59	17	6	1	8	10	(n=986)	
j. Bailiffs . . . . .	64	5	14	1	2	16	(n=928)	

46. Does this court have an Administrative Judge, i.e., a judge whose duties are largely, if not solely, administrative?

No . . . . . 83%  
Yes . . . . . 17  
(n=1139)

47. Is any "in-house" (i.e., within this court or other courts of this State) formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . . 64%  
 Yes . . . . . 29  
 Don't know . . . . . 7  
 (n=1178)

48. Is any assistance (such as tuition support or administrative leave) for obtaining formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . . 66%  
 Yes . . . . . 26  
 Don't know . . . . . 8  
 (n=1169)

IF NEITHER IN-HOUSE TRAINING NOR ASSISTANCE FOR TRAINING IS PROVIDED, PLEASE SKIP TO Q. 50. OTHERWISE, PLEASE ANSWER Q. 49.

49. For those personnel who obtained formal training/continuing education during the last fiscal year, approximately what was the average length?

	One Day or Less	2 Days to 1 Wk.	More Than 1 Wk.	NONE	Don't Know	
a. Clerk of the Court . . . . .	7%	61	10	12	10	(n=355)
b. Deputy Clerk(s) of the Court . . . . .	12	45	6	24	12	(n=311)
c. Law Clerks . . . . .	3	9	6	58	24	(n=172)
d. Staff attorneys . . . . .	2	9	3	53	33	(n=159)
e. Nonjudge officials who exercise judicial authority . . . . .	2	15	7	47	28	(n=175)
f. Pre-sentence investigators . . . . .	2	14	10	30	44	(n=190)
g. Probation/parole officers . . . . .	2	32	20	6	49	(n=293)
h. Professional or technical personnel . . . . .	2	20	10	39	28	(n=180)
i. Clerical or secretarial personnel . . . . .	8	16	9	46	21	(n=230)

50. A new court service position has recently developed, called "pre-trial services agent." The agent performs general pre-trial counseling and bail investigation, and other services not performed by probation officers. Did this court have any pre-trial services agents on June 30, 1975?

No . . . . . 91%  
 Yes . . . . . 6  
 DON'T KNOW . . . . . 4  
 (n=1175)

IF YOU ANSWERED "YES" IN Q. 50, PLEASE ANSWER Q. 51-52. OTHERWISE, PLEASE SKIP TO Q. 55.

51. How many pre-trial services agents were working at this court on June 30, 1975? (If "NONE" in a category, please enter "0.")

a. Full-time:  $\bar{x}$  5.5 n= 51  
 b. Part-time: 4.2 24

52. Does this court provide any training--either entry-level or in-service--to its pre-trial services agents?

No . . . . . 56%  
 Yes . . . . . 36  
 DON'T KNOW . . . . . 8  
 (n=62)

IF YOU ANSWERED "YES" TO Q. 52, PLEASE ANSWER Q. 53-54. OTHERWISE, PLEASE SKIP TO Q. 55.

53. For those pre-trial services agents who received such training during the last fiscal year, approximately what amount of training was provided during the last fiscal year?

1 day or less . . . . . 0%  
 2 days to 1 week . . . . . 33  
 1-2 weeks . . . . . 19  
 More than 2 weeks . . . . . 10  
 DON'T KNOW . . . . . 38  
 (n=21)

54. Where is the formal training usually given?

- a. In-house (i.e., at this court) . . . . . 71%
- b. At another court within this State . . . . . 0
- c. Outside of this State . . . . . 0
- d. Other (please specify:) . . . . . 19
- e. DON'T KNOW . . . . . 10  
(n=21)

Court Operations

55. Which of the following are within the original jurisdiction of this court? (Please circle all that apply.)

- a. Issue warrants (e.g., arrests, search and seizure) . . . . . 73% (n=870)
- b. Bail hearings . . . . . 70 (n=841)
- c. Presentments or first arraignments . . . . . 68 (n=820)
- d. Probable cause hearings . . . . . 55 (n=658)
- e. Arraignments post indictment or information . . . . . 81 (n=973)
- f. Juvenile proceedings (adjudications) . . . . . 56 (n=668)
- g. Civil jurisdiction: family/domestic relations . . . . . 85 (n=1014)
- h. Civil jurisdiction: probate . . . . . 51 (n=614)
- i. Civil jurisdiction other than family/domestic relations or probate . . . . . 90 (n=1075)
- j. Misdemeanor trials (original jurisdiction) . . . . . 46 (n=551)
- k. Misdemeanor appeals: trials de novo . . . . . 55 (n=653)
- l. Misdemeanor appeals: on the record from lower court . . . . . 57 (n=681)
- m. Felony trials (original jurisdiction) . . . . . 89 (n=1061)

56. Which of the following release options are used at this court?  
(Please circle all that apply.)

- a. Pre-trial release investigations to recommend release or detention . . . . . 42% (498)
- b. ROR program (release on recognizance) . . . . . 69 (830)
- c. Third-party custody (release into custody of non-family members) . . . . . 38 (457)
- d. Percent deposit at bail (in which some percentage of bail--often 10 percent--is deposited directly to court by offender, rather than the posting of 100 percent of bail) . . . . . 38 (457)
- e. Other release option used (please specify:) . . . . . 24 (286)
- f. NONE OF THE ABOVE . . . . . 13 (153)

57. Of the following facilities, which are operated by this court, which are available locally for use by this court but are operated by another agency or office, and which are not available locally at all? (IF YOUR COURT DOES NOT HOLD JUVENILE HEARINGS, PLEASE CIRCLE "NOT APPLICABLE" FOR "a" AND "b.")

	Operated by This Court	Available But Not Operated by This Court	Not Available	Not Applicable	
a. Pre-hearing detention facilities for juveniles only . . . . .	18%	22	10	49	(n=1089)
b. Post-adjudication correctional facilities for juveniles only . . . . .	9	28	13	51	(n=1073)
c. Adult correctional facility (workhouse, jail) . . . . .	29	59	12	-	(n=952)
d. Adult half-way house . . . . .	4	32	64	-	(n=823)
e. Detention facility inside the courthouse (i.e., "holding room") . . . . .	20	22	58	-	(n=905)

58. Which of the following policies or procedures are used by this court? (Please circle all that apply.)

- a. Strict continuance policy is followed to reduce the number of cases held over on calendar . . . . . 54% (n=643)
- b. Continuances granted with adjournment to a date certain . . . 62 (n=747)
- c. Court holds regular night sessions . . . . . 1 (n=10)
- d. Court holds regular weekend sessions . . . . . 1 (n=16)
- e. NONE OF THE ABOVE . . . . . 15 (n=181)

IF THIS COURT HAS ORIGINAL JUVENILE JURISDICTION, PLEASE ANSWER Q. 59-61. OTHERWISE, PLEASE SKIP TO Q. 62.

59. For statistical purposes, what is the definition of "juvenile case" at this court? (Please circle only one answer.)

- Each juvenile is counted as a "case" . . . . . 41%
- Each petition is counted as a separate "case" . . . 54
- Other definition (please specify:) . . . . . 5

(n=601)

60. FOR JUVENILE CASES:

(NOTE: Please exclude dependency and neglect cases.)

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .  $\bar{x}$  n= 73.7 439
- b. How many new petitions were filed at this court during the fiscal year 1975? . . . . . 351 478
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . . 71.3 448

61. TERMINATION OF JUVENILE CASES IN FISCAL YEAR 1975:

(NOTE: Please exclude dependency and neglect cases.)

- a. Total number closed . . . . .  $\bar{x}$  n= 389 407
- b. Adjudications to probation . . . . . 89.6 337
- c. Adjudications to juvenile facilities . . . . . 33.9 320
- d. Transfers to adult jurisdiction . . . . . 7.4 279
- e. Findings of non-delinquency . . . . . 35.4 229
- f. Dismissals . . . . . 128 292

IF THIS COURT HAS NON-CRIMINAL JURISDICTION, PLEASE ANSWER Q. 62-65. OTHERWISE, PLEASE SKIP TO Q. 66.

62. For statistical purposes, when is a non-criminal (i.e., civil) case considered to be "filed" at this court? (Please circle all that apply.)

- a. When the first pleading is presented by a party to an official of the court . . . . . 63% (n=749)
- b. When the initial filing fee (if required) is paid . . . . . 52 (n=628)
- c. When the case is "ready for trial" . . . . . 3 (n=37)
- d. Other time (please specify:) . . . . . 3 (n=35)

63. For statistical purposes, what is the definition of "non-criminal case (or 'civil case')" at this court?

- One separate "case" is counted for each separate complaint filed . . . . . 96%
- Other definition (please specify:) . . . . . 4

(n=1106)

64. FOR NON-CRIMINAL CASES (EXCLUDING JUVENILE):

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .  $\bar{x}$  n= 995 843
- b. How many new cases were filed at this court during fiscal year 1975? . . . . . 1573 882
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . . 1096 852

65. TERMINATIONS OF NON-CRIMINAL CASES (EXCLUDING JUVENILE):

- a. Total number closed (fiscal year 1975) . . . . .  $\bar{x}$  n= 1499 751
- b. Dismissals . . . . . 272 552
- c. Transfers to other jurisdictions . . . . . 15.1 460
- d. Settlements before trial . . . . . 314 486
- e. Bench trials . . . . . 300 574
- f. Jury trials . . . . . 29 623
- g. All others . . . . . 250 361

IF THIS COURT HAS CRIMINAL JURISDICTION, PLEASE ANSWER  
Q. 66-75. OTHERWISE, PLEASE SKIP TO Q. 76.

66. How are criminal cases usually assigned?

Cases are assigned to courtrooms and are heard by judges  
on a rotating basis . . . . . 16%

Cases are assigned according to subject matter, to judges  
who specialize in certain types of cases . . . . . 4

Cases are assigned regardless of subject matter to judges  
on the basis of who has time in their caseload . . . . . 21

Other method (please specify:) . . . . . 58  
(n=1037)

67. Who usually assigns criminal cases and sets a time for trial?

Clerk of the court assigns case to judge and sets time . . . . . 7%

Prosecutor, with consent of the defense lawyer, sets time,  
and Clerk of the court assigns case to judge . . . . . 9

Chief or Presiding Judge assigns cases to judges, and  
Clerk of the court sets time for each case . . . . . 4

Chief or Presiding Judge assigns cases to judges, and  
each judge sets time for each case . . . . . 16

Clerk of the court assigns cases to judge, and judge  
sets time . . . . . 15

Other method (please specify:) . . . . . 49  
(n=1046)

68. Which of the following procedures or policies are followed by this  
court in processing criminal cases? (Please circle all that apply.)

a. In calendaring, priority is usually or always given to  
criminal cases over civil cases . . . . . 60% (n=719)

b. In calendaring, priority is given only to "old" criminal  
cases . . . . . 14 (n=170)

c. In calendaring criminal cases, priority is given to  
incarcerated defendants . . . . . 60 (n=713)

d. In calendaring, priority is given to criminal cases, but  
only when the criminal case backlog becomes large . . . . . 5 (n=56)

e. Bail schedule for minor violations or offenses is set by  
court for use at police stations . . . . . 14 (n=170)

f. Pre-trial conferences between prosecutor and defense  
lawyer are required . . . . . 23 (n=278)

g. Omnibus hearings (e.g., pre-trial motions, discovery) are  
required . . . . . 22 (n=268)

h. NONE OF THE ABOVE . . . . . 8 (n=95)

69. For statistical purposes, when is a criminal case considered  
to be "filed" at this court?

When the case is "ready for trial" . . . . . 1%

When the information or indictment is entered . . . . . 76

When the case first comes to the attention of the court  
(e.g., at bail setting, arraignment) . . . . . 14

Other time (please specify:) . . . . . 9  
(n=1074)

70. For statistical purposes, what is the definition of "criminal case" at this court? (Please circle all that apply.)

- a. Each defendant is counted as a separate "case," regardless of whether more than one defendant is joined in the information or indictment . . . . . 35% (n=418)
- b. Each information or indictment is counted as a separate "case" . . . . . 62 (n=743)
- c. Each charge or count of an information or indictment is counted as a separate "case" . . . . . 10 (n=118)
- d. Other definition (please specify:) . . . . . 2 (n=22)

71. FOR MISDEMEANORS (EXCLUDING TRAFFIC VIOLATIONS):

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .  $\bar{x}$  n= 123 538
- b. How many new cases were filed at this court during fiscal year 1975? . . . . . 522 535
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . . 119 535

72. FOR FELONIES:

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .  $\bar{x}$  n= 164 751
- b. How many new cases were filed at this court during the fiscal year 1975? . . . . . 389 769
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . . 191 758

73. TERMINATIONS OF CRIMINAL CASES (EXCLUDING TRAFFIC VIOLATIONS):

(NOTE: Please separate felonies and misdemeanors if possible; fiscal year 1975.)

	Felonies		Misdemeanors		Total	
	$\bar{x}$	n=	$\bar{x}$	n=	$\bar{x}$	n=
a. <u>Total number closed</u> . . . . .	344	515	552	322	571	525
b. Dismissals . . . . .	307	420	133	209	120	378
c. Transfers to other courts or jurisdictions . . . . .	6.7	311	76.3	174	343	298
d. Guilty pleas prior to trial . . . . .	182	428	240	226	611	395
e. Bench trials . . . . .	46.5	358	150	194	102	358
f. Jury trials . . . . .	222	461	5.52	210	35.7	422
g. Found guilty after trial . . . . .	36.3	329	61.3	158	47.8	300
h. Acquittals . . . . .	16.6	321	29.6	151	18.1	301
i. All other terminations . . . . .	162	172	33.8	103	77.8	219

74. Does this court keep statistics concerning specific criminal sentencing dispositions?

No . . . . 75%

Yes . . . . 25 (n=970)

IF YOU ANSWERED "NO" IN Q. 74, PLEASE SKIP TO Q. 76.  
IF YOU ANSWERED "YES," PLEASE ANSWER Q. 75.

75. How many of each of the following criminal sentencing dispositions occurred at this court during fiscal year 1975? (If none, please enter "0.")

	$\bar{x}$	n=
a. Suspended sentence or unconditional discharge . . . . .	25.6	123
b. Probation . . . . .	138	172
c. Incarceration . . . . .	119	158
d. Fine . . . . .	235	143
e. All others . . . . .	2375	632

Office Information

76. Does this court routinely supply a central state repository with disposition information concerning individual cases?

No . . . . 42%  
Yes . . . . 58  
(n=1080)

77. Are computers used in the management and operation of this court?

No . . . . 84%  
Yes . . . . 16  
(n=1140)

IF YOU ANSWERED "YES" TO Q. 77, PLEASE ANSWER Q. 78-79.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 80.

78. Which of the following tasks are computerized? (Please circle all that apply.)

- a. Payroll . . . . . 10% (n=117)
- b. Accounting . . . . . 7 (n=81)
- c. Personnel records . . . . . 4 (n=43)
- d. Equipment inventory . . . . . 4 (n=48)
- e. Court records management . . . . . 5 (n=61)
- f. Calendaring . . . . . 4 (n=44)
- g. Identification of lagging cases . . . . . 6 (n=69)
- h. Disposition statistics . . . . . 7 (n=88)
- i. Jury selection and scheduling (for trial courts only) . . . . . 8 (n=99)
- j. Other (please specify:) . . . . . 1 (n=17)

79. How long have computers been used in the management and operation of this court?

One year or less . . . . . 19%  
Over a year, but less than two years . . . . 15  
Two years or longer . . . . . 66  
VII-234 (n=170)

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE,  
PLEASE GIVE YOUR BEST ESTIMATE.

80. Does the fiscal year for this court operate on a calendar year basis?

No . . . . 38%  
Yes . . . . 62  
(n=1104)

81. Total annual expenditures for this court during the last complete fiscal year: . . . . . \$

82. Annual payroll expenditures (salaries and fringe benefits) for this court during the last complete fiscal year: . . . . . \$

83. Annual operating expenditures for training for this court's staff for the last complete fiscal year (excluding salary of trainees): . . . . . \$

84. Please indicate the sources of funding for this court, giving the approximate percentage derived from each source:

	$\bar{x}$	n=
a. State funds . . . . .	33	737
b. County or city funds . . . . .	62	744
c. Federal funds . . . . .	1	731
d. Other (please specify:) . . . . .	3	708

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

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LEAA No.: 3600-9  
BSSR No.: 46720

COURT ADMINISTRATOR

1. What is the exact title of the position you currently hold?

Title: \_\_\_\_\_

2. Do you serve more than one court?

No . . . . 56%

Yes . . . . 44  
(n=332)

IF YOU ANSWERED "YES" TO Q. 2, PLEASE ANSWER Q. 3.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 4.

3. Please list below the exact name of each court you currently serve.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Were you elected (in a public election) to this administrative position?

No . . . . 100%

Yes . . . . (n=331)

IF YOU ANSWERED "NO" TO Q. 4, PLEASE CONTINUE.  
IF YOU ANSWERED "YES," PLEASE SKIP TO Q. 56.

Court Administrative Responsibilities

5. Which of the following general administrative areas are responsibilities for you in your present position as Court Administrator? (Please circle all that apply.)

- a. Fiscal management (including preparation and defense of the court/court system budget) . . . . . 75% (n=251)
- b. Nonjudicial personnel management (i.e., for all court personnel except judges and their personal staffs) . . . . . 71 (n=238)
- c. Statistical management (including maintenance of a uniform record-keeping system, collection or publication of court-related data, and so on) . . . . . 88 (n=295)
- d. Space and equipment management . . . . . 74 (n=248)
- e. Judicial system evaluation and planning . . . . . 69 (n=230)
- f. Calendar management (including case flow planning, case scheduling, and so on) . . . . . 78 (n=260)
- g. Internal communications and relations (i.e., coordinating with judges, the judicial council/conference, and with other members of the judicial system) . . . . . 90 (n=299)
- h. External information services and liaison activities (i.e., disseminating court information, testifying on impending court-related legislation, and so on) . . . . . 66 (n=222)
- i. Jury management (selection, scheduling, accommodations, and compensation) . . . . . 53 (n=176)
- j. Supervision of specialized court services as they may exist in the court (e.g., diversion programs, probation services, and so on) . . . . . 40 (n=134)
- k. Other general area (please specify:) . . . . . 17 (n=57)

\_\_\_\_\_

6. Since differences exist in the operations and jurisdictions of courts across the county, the broad responsibilities which demand most of an Administrator's time may vary from court to court. Of the following general administrative areas, please select three which demand most of your time, and then rank the three, starting with "1" for the area which is most time consuming.

	Modal Rank	Percent Responding Most Depending
a. Fiscal management (including preparation and defense of the court/court system budget) . . . . .	_____	36%
b. Nonjudicial personnel management (i.e., for all court personnel <u>except</u> judges and their personal staffs) . .	_____	34
c. Statistical management (including maintenance of a uniform record-keeping system, collection or publication of court-related data, and so on) . . . . .	_____	12
d. Space and equipment management . . . . .	<u>3</u>	14
e. Judicial system evaluation and planning . . . . .	_____	25
f. Calendar management (including case flow planning, case scheduling, and so on) . . . . .	<u>1</u>	76
g. Internal communications and relations (i.e., coordinating with judges, the judicial council/conference, and with other members of the judicial system) . . . . .	<u>2</u>	26
h. External information services and liaison activities (i.e., disseminating court information, testifying on impending court-related legislation, and so on) . .	_____	14
i. Jury management (selection, scheduling, accommodations, and compensation) . . . . .	_____	18
j. Supervision of specialized court services as they may exist in the court (e.g., diversion programs, probation services, and so on) . . . . .	_____	20
k. Other general area (please specify:) . . . . .	_____	

(n varies: 25-185)

# Court Operations

7. Which of the following types of trial courts do you administer?

Trial Court(s) of Limited or Special Jurisdiction <u>only</u> . . . . .	15%
Trial Court(s) of General (Original) Jurisdiction <u>only</u> . . . . .	35
<u>Both</u> General and Limited or Special Jurisdiction Courts . . . . .	41
Neither type of Trial Court . . . . .	9

(n=334)

IF YOU CIRCLED "4" IN Q. 7, PLEASE SKIP TO Q. 14.  
OTHERWISE, PLEASE ANSWER Q. 8.

8. In your opinion, how serious a problem is case delay in the trial court(s) for which you are administratively responsible?

Extremely serious . . . . .	4%
Very serious . . . . .	14
Moderately serious . . . . .	29
Is a problem, but is not serious . . . . .	39
Is not a problem at all . . . . .	15

IF YOU CIRCLED "5" IN Q. 8, PLEASE SKIP TO Q. 13. OTHERWISE, PLEASE CONTINUE.

9. What do you think might be the single most serious cause of case delay in the trial courts for which you are administratively responsible?

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10. Which of the following increases in staff time do you think would contribute most to reducing unnecessary delay and achieving the goal of "speedy trials" in the court(s) you administer? Please select three, and then rank the three, starting with "1" for the increase which you think would contribute most.

	Modal Rank	Percent Responding Most Increase
a. Increase in judge-hours on the bench . . . . .	1	57%
b. Increase in judge-hours in chambers . . . . .	2	24
c. Increase in law clerk (or staff attorney) time . . . . .		18
d. Increase in support staff time (court reporters, probation officers, and other court support staff) . . . . .	3	19
e. Increase in clerical or secretarial staff time . . . . .		23
f. Increase in prosecution staff time . . . . .		39
g. Increase in defense staff time . . . . .		24
h. Other increase (please specify: ) . . . . .		65

(n varies: 23-167)

11. Which of the following improvements in court facilities and equipment do you think would contribute most to reducing unnecessary delay and achieving the goal of "speedy trials" in the court(s) you administer? Please select three, and then rank the three, starting with "1" for the improvement which you think would contribute most.

	Modal Rank	Percent Responding Most Improvement
a. Increase in available court(room) space . . . . .	1	68%
b. Modernization of current court(room) space . . . . .	2	17
c. Increase in staff or office space . . . . .		34
d. Increase in/institution of computerization . . . . .		38
e. Improvements in facilities for jurors, witnesses, attorneys, and so on . . . . .	3	14
f. Increased use of modernized audio-visual equipment (such as video-tapes, tape recorders, and so on) . . . . .		28
g. Improvement in court reporting services . . . . .		28
h. Other improvement (please specify: ) . . . . .		50

(n varies: 4-134)

12. Which, if any, of the following procedural policies used to help reduce unnecessary case delay and achieve the goal of "speedy trial" are currently in effect in the court(s) for which you are administratively responsible? (Please circle all that apply.)

a. Revised statutory and regulatory time limits for processing cases . . . . .	36%	(n=120)
b. Strict enforcement of statutory and regulatory time limits for processing cases . . . . .	34	(n=115)
c. Adoption of optional less-than-twelve jury panel system . . . . .	24	(n=85)
d. Revised jury system which is management- and efficiency-oriented . . . . .	28	(n=92)
e. Permitting jury decisions by less than unanimous vote in certain cases . . . . .	17	(n=57)
f. Flexibility in use of judicial manpower . . . . .	44	(n=147)
g. Increased use of pre-trial conferences . . . . .	48	(n=162)
h. Relaxed rules of procedures in appropriate cases . . . . .	16	(n=55)
i. Increased use of administrative proceedings (i.e., removal of certain cases from the formal judicial process) . . . . .	32	(n=107)
j. Program for maximum utilization of available court facilities . . . . .	36	(n=120)
k. Strict policy regarding granting of requests for continuances . . . . .	42	(n=139)
l. Continuances granted with adjournment to a date certain . . . . .	44	(n=147)
m. NONE OF THE ABOVE . . . . .	1	(n=4)

13. Which of the following procedural policies do you think would contribute most to reducing unnecessary delay and achieving the goal of "speedy trials" in the court(s) you administer? Please select four, and then rank the four, starting with "1" for the procedural policy you think would contribute most.

	Modal Rank	Percent Responding Most Delay
a. Revision of statutory and regulatory time limits for processing cases . . . . .	1	49%
b. Strict enforcement of statutory and regulatory time limits for processing cases . . . . .		21
c. Adoption of optional less-than-twelve jury panel system . . . . .		17
d. More efficient use of jury pools and panels . . . . .		11
e. Permitting jury decisions by less than unanimous vote in certain cases . . . . .		11
f. Flexibility in use of judicial manpower . . . . .		28
g. Increased use of pre-trial conferences . . . . .		27
h. Relaxed rules of procedures in appropriate cases . . . . .	3	9
i. Increased use of administrative proceedings (i.e., removal of certain cases from the formal judicial process) . . . . .		22
j. More efficient utilization of available court facilities . . . . .	4	10
k. Strict policy regarding granting of requests for continuances . . . . .		46
l. Continuances granted with adjournment to a date certain . . . . .	2	14
m. Other procedure (please specify:) . . . . .		59

(n varies: 17-202)

14. Which of the following types of Appellate court(s) do you administer?

Intermediate Appellate Court only . . . . .	5%
Appellate Court of Last Resort only . . . . .	9
Both types of Appellate court . . . . .	4
NONE . . . . .	82 (n=332)

IF YOU ANSWERED "NONE" IN Q. 14, PLEASE SKIP TO Q. 18. OTHERWISE, PLEASE ANSWER Q. 15.

15. In your opinion, how serious a problem is case delay in the Appellate court(s) for which you are administratively responsible?

Extremely serious . . . . .	8%
Very serious . . . . .	8
Moderately serious . . . . .	32
Is a problem but is not serious . . . . .	28
Is not a problem at all . . . . .	24 (n=53)

IF YOU CIRCLED "5" IN Q. 15, PLEASE SKIP TO Q. 18. OTHERWISE, PLEASE ANSWER Q. 16-17.

16. What do you think might be the single most serious cause of case delay in the Appellate court(s) for which you are administratively responsible?

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17. Which of the following do you think would contribute most to reducing unnecessary delay in Appellate court(s) like those you administer? Please select three, and then rank the three, starting with "1" for the procedure/policy you think would contribute most.

	Modal Rank	Percent Responding Most Contribution
a. Reduction in delay in preparation of trial record for appeal . . . . .	1	61%
b. Increase in law clerk staff time . . . . .		29
c. Strict policy regarding granting of requests for continuances . . . . .		15
d. Strict policy regarding granting of oral argument requests . . . . .		17
e. Sufficient number of defense attorneys available for appointment as needed . . . . .		0
f. Providing for decision of clear-cut cases without written opinion . . . . .		6
g. Utilization of case screening process . . . . .		24
h. Other procedure or policy (please specify:)		90

(n varies: 2-28)

18. Which, if any, of the following areas of court operation do you personally feel are in need of change in the court(s) you administer? (Please circle all that apply.)

a. Method(s) of calendaring . . . . .	40%	(n=133)
b. Method(s) of assigning judges (i.e., rotation, specialization, or other) . . . . .	24	(n=80)
c. Method(s) of record-keeping . . . . .	44	(n=147)
d. Procedures for reporting court statistics (institute or increase standardization) . . . . .	43	(n=145)
e. Procedures for court reporting . . . . .	28	(n=93)
f. Method of identifying backlog or delayed cases . . . . .	48	(n=162)
g. Other (please specify:)	8	(n=27)

h. NONE . . . . . 13 (n=44)

19. Frequently, more authority is granted on paper to a position than the incumbent is permitted actually to exercise. How would you describe your situation? Would you say you actually exercise more authority than was formally granted to your position, less than was formally granted, or about as much as was formally granted?

Exercise more authority than was formally granted . . . . . 36%

Exercise less authority than was formally granted . . . . . 12

Exercise about as much authority as was formally granted . . . 52  
(n=325)

20a. In your opinion, are there any specific areas in which insufficient authority was granted to your position to effectively administer the courts in your charge?

No . . . . . 70%

Yes (please specify:) . . . . . 30  
(n=317)

20b. Have you found any specific areas in which you are constrained to exercise less authority than was granted to your position?

No . . . . . 83%

Yes (please specify:) . . . . . 17  
(n=309)

21. In your opinion, what is the most serious obstacle facing Court Administrators that affects their ability or opportunity to improve court operations?

22. Does your office use computers in the management or operation of the court(s) for which you are administratively responsible?

No . . . . 43%  
Yes . . . . 57  
(n=332)

IF THE ANSWER TO Q. 22 IS "NO," PLEASE ANSWER Q. 23.  
IF THE ANSWER IS "YES," PLEASE SKIP TO Q. 25.

23. Are there any plans to begin using a computerized system?

Yes, within the next year . . . . . 16%  
Yes, within the next two years . . . . . 10  
Yes, within the next five years . . . . . 4  
No, there are no such plans at this time . . . 47  
Plans are indefinite at this time . . . . . 20  
Don't know . . . . . 2  
(n=138)

IF YOU ANSWERED "YES" IN Q. 23, PLEASE  
ANSWER Q. 24. OTHERWISE, PLEASE SKIP TO Q. 29.

24. Which of the following tasks do you expect to be computerized? (Please circle all that apply.)

a. Payroll . . . . . 5% (n=17)  
b. Accounting . . . . . 4 (n=12)  
c. Personnel records . . . . . 2 (n=8)  
d. Equipment inventory . . . . . 1 (n=4)  
e. Court records (e.g., case files, and so on) . . . . . 9 (n=29)  
f. Calendaring (including notice to parties, counsel, and so on) . . . . . 7 (n=23)  
g. Identification of lagging cases . . . . . 7 (n=24)  
h. Disposition statistics . . . . . 10 (n=33)  
i. Jury selection and scheduling . . . . . 6 (n=21)  
j. Other (please specify:) . . . . . 1 (n=4)  
k. DON'T KNOW . . . . . 0 (n=0)

25. How long has your office used computers in the management or operation of this court?

One year or less . . . . . 12%  
Over a year, but less than two years . . . 17  
Two years or longer . . . . . 71  
(n=174)

26. Please indicate which of the following tasks are presently computerized for your court(s), and whether or not you expect the remaining tasks to become computerized for your court(s) within two (2) years.

	Do Not Expect To Become Computerized Within 2 Years	Expect To Become Computerized Within 2 Years	Presently Computerized	
a. Payroll . . . . .	8%	5	88	(n=170)
b. Accounting . . . . .	14	15	72	(n=156)
c. Personnel records . . . . .	31	17	52	(n=145)
d. Equipment inventory . . . . .	35	16	49	(n=144)
e. Court records (e.g., case files and so on) . . . . .	18	24	59	(n=166)
f. Calendaring (including notice to parties, counsel and so on) . . . . .	25	33	42	(n=158)
g. Identification of lagging cases . . . . .	15	32	53	(n=163)
h. Disposition statistics . . . . .	9	24	67	(n=175)
i. Jury selection and scheduling . . . . .	14	14	72	(n=156)
j. Other (please specify:) . . . . .	-	26	74	(n=27)

27. Is any special computer orientation or training provided to the judicial personnel (including law clerks) of the courts you serve?

No . . . . 58%  
Yes . . . . 42  
(n=149)

28. In your opinion, which, if any, of the following have directly resulted from using computers in managing or operating the courts for which you are administratively responsible? (Please circle all that apply.)

- a. More effective calendaring (or "docketing") of cases . . . . . 23% (n=76)
- b. More effective monitoring of backlog . . . . . 30 (n=99)
- c. Improved tracking of case dispositions and sentencing . . . . . 27 (n=91)
- d. Increased accuracy in record-keeping . . . . . 30 (n=99)
- e. Reduction in case delay . . . . . 16 (n=53)
- f. More efficient use of available court space and equipment . . . . 8 (n=28)
- g. Improved jury management . . . . . 27 (n=89)
- h. Increased efficiency in utilization of available judge-time . . 12 (n=40)
- i. Increased efficiency in utilization of available nonjudge-time . . . . . 14 (n=45)
- j. Other (please specify:) . . . . . 4 (n=15)
- \_\_\_\_\_
- \_\_\_\_\_
- k. NONE OF THE ABOVE . . . . . 5 (n=18)

Manpower Issues: Your Administrative Office

29. In your judgment, how many employees in your immediate administrative office would you need to fulfill all the duties and responsibilities with which you are charged? (If none, please enter "0.")  $\bar{x}$  n=

- a. Total number of budget or fiscal specialists . . . . . 1.0 260
- b. Total number of computer specialists . . . . . 1.5 247
- c. Total number of other professional or technical personnel . . . . . 4.8 259
- d. Total number of secretarial or clerical personnel . . . . . 5.3 303
- e. Total number of other personnel . . . . . 2.1 242

30. How many employees in each of the following categories did your immediate administrative office have on June 30, 1975? (If none, please enter "0.")  $\bar{x}$  n=

- a. Number of budget or fiscal specialists . . . . . .62 271
- b. Number of computer specialists . . . . . .65 259
- c. Number of other professional or technical personnel . . . . 4.1 285
- d. Number of secretarial or clerical personnel . . . . . 5.3 314
- e. Number of other personnel . . . . . 1.6 259

31. How many employees in each of the following categories do you expect to have in your immediate administrative office on June 30, 1976? (If none, please enter "0.")  $\bar{x}$  n=

- a. Number of budget or fiscal specialists . . . . . .65 272
- b. Number of computer specialists . . . . . .73 261
- c. Number of other professional or technical personnel . . . . 4.3 284
- d. Number of secretarial or clerical personnel . . . . . 5.5 315
- e. Number of other personnel . . . . . 1.3 257

32. Does your immediate administrative office have any critical manpower shortages in any of the following categories? (Please circle all that apply.)

- a. Budget, fiscal, or computer specialists . . . . . 20% (n=66)
- b. Other professional or technical personnel (please specify:) . . . . . 23 (n=77)
- c. Clerical or secretarial personnel . . . . . 29 (n=98)
- d. Other (please specify:) . . . . . 6 (n=19)
- e. NO CRITICAL SHORTAGES . . . . . 50 (n=168)

IF YOU ANSWERED "NO CRITICAL SHORTAGES" IN Q. 32, PLEASE SKIP TO Q. 34. OTHERWISE, PLEASE ANSWER Q. 33.

33. What do you feel is the major problem contributing to the critical manpower shortage(s)? (Please circle only one answer.)

- Lack of qualified applicants . . . . . 1%
- Inadequate levels of compensation . . . . . 6
- Inadequate number of authorized positions . . . . . 62
- Other (please specify:) . . . . . 31

(n=151)

34. Is assistance (through administrative leave, tuition support, or other means) for continuing education provided to any of the following categories of personnel at your immediate administrative office?

	Is Routinely Provided	Is Provided Occasionally	Is Not Provided	N/A (Office Does Not Have)	
a. Court Administrator . . . . .	32%	41	26	1	(n=317)
b. Deputy Court Administrator . . . . .	16	21	22	42	(n=260)
c. Professional or technical personnel . . . . .	12	26	27	35	(n=255)
d. Clerical or secretarial personnel . . . . .	4	25	55	16	(n=286)

Manpower Issues: Courts

IF YOU ADMINISTER ANY TRIAL COURT(S), PLEASE ANSWER Q. 35. OTHERWISE, PLEASE SKIP TO Q. 36.

35. In your opinion, do the trial court(s) you administer have any critical manpower shortages in any of the following categories? (Please circle all that apply.)

- a. Judges . . . . . 36% (n=121)
- b. Magistrates . . . . . 5 (n=18)
- c. Other officials exercising judicial authority (such as commissioners, masters, referees) . . . . . 14 (n=45)
- d. Law clerks . . . . . 25 (n=85)
- e. Court security personnel . . . . . 19 (n=62)
- f. Court reporters . . . . . 18 (n=60)
- g. Probation officers . . . . . 25 (n=82)
- h. Pre-sentence investigators (as separate from probation officers) . . . . . 23 (n=77)
- i. Clerical or secretarial personnel . . . . . 32 (n=108)
- j. Professional or technical personnel (please specify:) . . . 15 (n=50)
- k. NO CRITICAL SHORTAGES . . . . . 17 (n=58)

IF YOU ADMINISTER ANY APPELLATE COURT(S), PLEASE  
ANSWER Q. 36. IF NOT, PLEASE SKIP TO Q. 37.

36. In your opinion, do the appellate court(s) you administer have any critical manpower shortages in any of the following categories? (Please circle all that apply.)

- |   |    |        |
|---|----|--------|
| a. Judges . . . . .   | 3% | (n=10) |
| b. Law clerks and/or staff attorneys . . . . .                        | 6  | (n=19) |
| c. Clerical or secretarial personnel . . . . .                        | 4  | (n=13) |
| d. Professional or technical personnel<br>(please specify:) . . . . . | 2  | (n=5)  |
| <hr/>   |    |        |
| e. NO CRITICAL SHORTAGES . . . . .                                    | 7  | (n=23) |

Court Administrator's Experience and Background

37. Have you ever worked in any of the following types of organizations? (Please circle all that apply.)

- |   |     |         |
|---|-----|---------|
| a. Prosecutor's office . . . . .        | 14% | (n=48)  |
| b. Criminal defense office . . . . .    | 8   | (n=28)  |
| c. Probation or parole office . . . . . | 7   | (n=24)  |
| d. Law enforcement agency . . . . .     | 14  | (n=47)  |
| e. Correctional department . . . . .    | 3   | (n=11)  |
| f. NONE OF THE ABOVE . . . . .          | 66  | (n=221) |

38. When was your position as Court Administrator established?

- |                                   |         |
|-----------------------------------|---------|
| Less than two years ago . . . . . | 23%     |
| Two to five years ago . . . . .   | 42      |
| Six to ten years ago . . . . .    | 17      |
| More than ten years ago . . . . . | 18      |
|                                   | (n=326) |

39. How was your position as Court Administrator established?  
(Please circle all that apply.)

- |  |     |         |
|--|-----|---------|
| a. By statute . . . . .                          | 33% | (n=110) |
| b. By court rule . . . . .                       | 27  | (n=90)  |
| c. By order of the chief judge/justice . . . . . | 25  | (n=82)  |
| d. By the judicial conference/council . . . . .  | 11  | (n=37)  |
| e. Other (please specify:) . . . . .             | 18  | (n=61)  |

40. How were you selected for your present administrative position?  
(Please circle all that apply.)

- |  |    |         |
|--|----|---------|
| a. Appointed by the State Court Administrator . . . . .                                  | 8% | (n=25)  |
| b. Appointed by the Chief Justice of the Court of<br>Last Resort in your state . . . . . | 9  | (n=31)  |
| c. Appointed by the chief judge of your court . . . . .                                  | 37 | (n=123) |
| d. Appointed by an executive committee of judges . . . . .                               | 6  | (n=19)  |
| e. Appointed by the judges of your court <u>en banc</u> . . . . .                        | 48 | (n=161) |
| f. Other (please specify): . . . . .   | 7  | (n=22)  |

41. How many years have you served in your present position as  
Court Administrator? (If less than six months, please  
enter "0.") . . . . .  $\bar{x}$  n=  
3.9 332

42. Are you employed as Court Administrator on a full-time (35 hours/  
week or more) or on a part-time basis?

Full-time . . . . .	96%
Part-time . . . . .	4
	(n=331)

43. In all, how many years have you worked in court administration  
in any position? (If less than six months, please  
enter "0.") . . . . .  $\bar{x}$  n=  
8 332

44. Which of the following positions had you ever held, up until the  
time you assumed your present position as Court Administrator?  
(Please circle all that apply.)

- |   |    |         |
|---|----|---------|
| a. Judge . . . . .  | 5% | (n=18)  |
| b. Magistrate . . . . .   | 2  | (n=5)   |
| c. Other official exercising judicial authority (such as<br>commissioner, master, or referee) . . . . . | 5  | (n=18)  |
| d. Clerk of the Court, or Deputy Clerk . . . . .  | 32 | (n=108) |
| e. Court Reporter . . . . .   | 2  | (n=8)   |
| f. Court security personnel or bailiff . . . . .  | 5  | (n=17)  |
| g. Deputy or Assistant Court Administrator <u>for this court</u> . . . . .                              | 11 | (n=37)  |
| h. Deputy or Assistant Court Administrator <u>for another court</u> . . . . .                           | 7  | (n=24)  |
| i. Court Administrator . . . . .  | 8  | (n=28)  |
| Attorney in:  |    |         |
| j. Private practice . . . . .   | 21 | (n=71)  |
| k. Government practice . . . . .  | 14 | (n=47)  |
| Management position in:   |    |         |
| l. Government . . . . .   | 32 | (n=108) |
| m. Education, nonprofit organization . . . . .  | 5  | (n=17)  |
| n. Business, other commercial organization . . . . .  | 20 | (n=66)  |
| o. Law clerk . . . . .  | 10 | (n=32)  |
| p. College or university teacher . . . . .  | 8  | (n=27)  |
| q. Other elective position not mentioned above . . . . .  | 4  | (n=13)  |
| r. NONE OF THE ABOVE . . . . .  | 10 | (n=35)  |

45. What position did you hold immediately prior to your current position as Court Administrator? (Please circle only one answer.)

Judge . . . . .	3%
Magistrate . . . . .	1
Other official exercising judicial authority (such as commissioner, master, or referee) . . . . .	1
Clerk of the Court, or Deputy Clerk . . . . .	22
Court Reporter . . . . .	1
Court security personnel, or bailiff . . . . .	1
Deputy or Assistant Court Administrator <u>for this court</u> . . . . .	9
Deputy or Assistant Court Administrator <u>for another court</u> . . . . .	5
Court Administrator . . . . .	5
Attorney in:	
Private practice . . . . .	6
Government practice . . . . .	5
Management position in:	
Government . . . . .	16
Education, nonprofit organization . . . . .	1
Business, other commercial organization . . . . .	7
Law clerk . . . . .	3
College or university teacher . . . . .	0
Other elective position not mentioned above . . . . .	3
Other position (please specify:) . . . . .	14

(n=322)

46. Did you complete a special program of study in judicial administration at any of the following institutes before entering the position of Court Administrator? (Please circle all that apply.)

a. Institute for Court Management (Denver) . . . . .	11%	(n=37)
b. Institute for Judicial Administration, Inc. (New York City) . . . . .	1	(n=2)
c. University-sponsored judicial administration program . . . . .	9	(n=29)
Please specify university: _____		
d. Other institute or organization (please specify:) . . . . .	5	(n=17)
_____		
e. NONE OF THE ABOVE . . . . .	71	(n=238)

47. Have you attended any workshops or other special training sessions in court administration since entering the field of court administration?

No . . . . 21%  
Yes - . . .

IF YOU ANSWERED "YES" IN Q. 47, PLEASE ANSWER Q. 48 AND 49.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 50.

48. Which of the following organizations or institutes sponsored the workshops or training sessions? (Please circle all that apply.)

a. State Judicial Conference . . . . .	22%	(n=73)
b. State Court Administrator's office . . . . .	33	(n=109)
c. Institute for Court Management . . . . .	43	(n=143)
d. Institute for Judicial Administration, Inc. . . . .	4	(n=14)
e. University-related centers for continuing education . . . . .	19	(n=64)
f. National Association of Trial Court Administrators . . . . .	22	(n=72)
g. Other (please specify:) . . . . .	22	(n=75)

49. Which of the following sources of funds financed your attending the workshops or training sessions? (Please circle all that apply.)

- a. LEAA (including block grants) . . . . 60% (n=200)
- b. Employer (i.e., court or judge) . . . 37 (n=124)
- c. Private foundation . . . . . 2 (n=5)
- d. Own funds . . . . . 13 (n=42)
- e. Other financial aid (please specify:) 5 (n=17)
- f. NONE OF THE ABOVE . . . . . 1 (n=3)

50. Based upon your experience as a Court Administrator, what kinds of special courses, workshops, training sessions, or seminars would you recommend as especially useful for your successors to take? (Please circle all that apply.)

- a. Personnel administration (i.e., for court employees other than judges and their personal staff) . . . . 70% (n=232)
- b. Labor relations/collective bargaining . . . . . 25 (n=83)
- c. Budget and fiscal management . . . . . 69 (n=229)
- d. Case flow management . . . . . 85 (n=283)
- e. Court information systems and record-keeping . . . . 82 (n=273)
- f. Methods of evaluating and planning programs . . . . 67 (n=224)
- g. Computer applications for courts . . . . . 61 (n=205)
- h. Other area (please specify:) . . . . . 17 (n=56)
- i. Other area (please specify:) . . . . . 7 (n=22)
- j. NONE . . . . . 2 (n=5)

51. Based on your experience as a Court Administrator, what do you think is the best academic background an individual can have for the position of Court Administrator? (Please circle no more than three.)

- a. Law . . . . . 53% (n=177)
- b. Business administration . . . . . 42 (n=140)
- c. Public administration . . . . . 49 (n=164)
- d. Accounting . . . . . 9 (n=29)
- e. Management . . . . . 61 (n=205)
- f. Criminal justice . . . . . 25 (n=82)
- g. Computer science . . . . . 10 (n=35)
- h. Other (please specify:) . . . . . 2 (n=10)
- i. SPECIFIC ACADEMIC BACKGROUND NOT IMPORTANT . . . . 4 (n=13)

52. Please circle the number indicating your current level of academic education.

- Less than high school diploma . . . . . 0%
- High school graduate . . . . . 10
- 1 to 2 years of college . . . . . 12
- 2-year college degree . . . . . 2
- 3 to 4 years of college . . . . . 9
- 4-year college degree . . . . . 8
- Some graduate course work . . . . . 15
- Master's degree . . . . . 9
- Graduate work beyond the Master's degree . . . . . 4
- Passed bar exam (licensed to practice law) but without formal law degree . . . . . 3
- LL.B., J.D., or other law degree . . . . . 30
- Other doctorate . . . . . 6

**IF YOU HAVE EARNED A COLLEGE DEGREE, PLEASE ANSWER Q. 53. OTHERWISE, PLEASE SKIP TO Q. 54.**

53. Please record the academic area of specialization for each college degree you have earned:

a. A.A.: \_\_\_\_\_

b. B.S.:

c. M.A. or M.S.: \_\_\_\_\_

d. F.H.D.:

54. Please circle the number indicating the extent of your academic education prior to starting your career in court administration.

Less than high school diploma . . . . . 0%

High school graduate . . . . . 12

1 to 2 years of college . . . . .	13
-----------------------------------	----

2-year college degree . . . . . 2

3 to 4 years of college . . . . . 8<sup>b</sup>

4-year college degree . . . . . 12

Some graduate course work . . . . . 11

Master's degree . . . . . 9

**Graduate work beyond the Master's degree . . . . . 2**

Passed bar exam (licensed to practice law) but  
without formal law degree . . . . . 3

LL.B., J.D., or other law degree . . . . . 29

Ph.D. or other doctorate . . . . .	3
------------------------------------	---

(n=331)

55. Please record your:

a. Age: . . . . .  $\bar{X}$   $n=$   
43.7 325

b. Sex: . . . . . Male . . . . 80%

Female . . . 20

c. Color or race: (n=331)

White . . . . . 98%

Black . . . . . 1

Other (please specify:) . . . 1  
(n=324)

Court Administrator's Fact Sheet

56. Total annual expenditures for all courts under your  
administration for last complete fiscal year  
(excluding budget for your immediate Court  
Administrator's office) . . . . .

57. Total expenditures for your immediate Court Administrator's office for last complete fiscal year

58. Total personnel expenditures (salaries and fringe benefits) for your immediate Court Administrator's office for last complete fiscal year . . . . .

59. Total training expenditures for the staff of your immediate Court Administrator's office for last complete fiscal year . . . . .

60. Please indicate the sources of funding for the budget of the Court Administrator's office, giving the percentage derived from each source.

	$\bar{x}$	n=
a. State funds . . . . .	36	280
b. County or city funds . . . . .	41	280
c. Federal funds . . . . .	25	280
d. Other (please specify:) . . . . .	.5	276

61. Do the court(s) you administer routinely supply a central state repository with disposition information concerning individual cases?

No . . . . .	32%
Yes . . . . .	68
	(n=320)

IF YOU ANSWERED "NO" IN Q. 61, PLEASE ANSWER Q. 62.

IF YOU ANSWERED "YES" YOU HAVE COMPLETED THIS QUESTIONNAIRE.  
THANK YOU FOR YOUR COOPERATION!

62. For which of the following reasons do the court(s) you administer NOT routinely supply such disposition information? (Please circle all that apply.)

a. Lack of manpower . . . . .	7%	(n=24)
b. Insufficient funds . . . . .	5	(n=17)
c. Not required at this time by any state office or agency . . . . .	20	(n=67)
d. Information not supplied as a matter of office policy . . . . .	3	(n=9)
e. Other (please specify:) . . . . .	4	(n=12)

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

INTERMEDIATE APPELLATE COURTS

OMB No.: 043-S75032  
Approval Expires: July 31, 1976  
LEAA No.: 3600-8  
BSSR No.: 46719

PLEASE NOTE:

1. Most questions are to be answered by circling the number next to the appropriate response. Only a few questions require written-in answers.
2. "Full-time" is defined for this questionnaire as 35 or more hours per week.
3. THE PHRASE "THIS COURT" IS IMPORTANT. IT MEANS "ONLY THE COURT WHICH IS NAMED ON THE ADDRESS LABEL ON THE OUTSIDE COVER OF THE QUESTIONNAIRE."

1. What is the formal title of the position you currently hold?

Title: \_\_\_\_\_

2. Do you currently serve any court(s) other than this court?

No . . . . .	73%
Yes . . . . .	27
	(n=59)

IF YOU ANSWERED "YES" IN Q. 2, PLEASE ANSWER Q. 3.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 4.

3. Please list the exact names of the other court(s) you currently serve.

4. Is this court an Appellate Court of Last Resort in your State?

No . . . . .	100%
Yes . . . . .	

IF YOU ANSWERED "NO" IN Q. 4, PLEASE CONTINUE.  
IF YOU ANSWERED "YES," PLEASE SKIP TO Q. 10.

5. This court is a(n):

Trial Court of Limited or Special Jurisdiction . . . . .

Trial Court of (Original) General Jurisdiction (also known  
in some States as "Court of Record") . . . . .

Intermediate Appellate Court . . . . . 100%  
(n=59)

IF THIS COURT IS A TRIAL COURT, PLEASE SKIP TO Q. 29. IF THIS  
COURT IS AN INTERMEDIATE APPELLATE COURT, PLEASE CONTINUE.

Intermediate Appellate Courts

6. What is the jurisdiction of this court?

Criminal only . . . . . 3%

Civil only . . . . . 25

Both criminal and civil . . . . . 71  
(n=59)

7. How are cases usually assigned? (Please circle only one answer.)

Cases are assigned to courtrooms and are heard by  
panels on a rotating basis . . . . . 39%

Cases are assigned according to subject matter, to panels  
of judges who specialize in certain types of cases . . . . . 2

Cases are assigned regardless of subject matter to panels  
on the basis of who has time in their caseload . . . . . 14

Some other criterion (please specify:) . . . . . 46

(n=57)

8. Who usually assigns cases and sets a time for them to be heard?  
(Please circle only one answer.)

Clerk of the court assigns case to panel and sets time . . . 26%

Chief or Presiding Judge assigns case to panel, and  
Clerk of the court sets time for each case . . . . . 14

Chief or Presiding Judge assigns case to panel, and  
panel sets time for case . . . . . 7

Clerk of the court assigns case to panel, and panel  
sets time for case . . . . . 12

Other method (please specify:) . . . . . 41

(n=58)

9. Approximately what proportion of cases heard by this court in the  
last fiscal/calendar year were heard en banc? . . . . .  $\bar{x}$  n=  
46 51

All Appellate Courts: Judicial Personnel

10. As of June 30, 1975 what was the number of permanent judgeships  
authorized for this court?

$\bar{x}$  n=  
Number: 4.9 59

11. As of June 30, 1975 how many of those permanent judgeships were  
vacant? (IF NONE, PLEASE ENTER "0.")

$\bar{x}$  n=  
Number: .07 59

12. How many trial judges from courts of general jurisdiction were  
temporarily assigned to this court during the 12 months from  
June 30, 1974 to June 30, 1975? (IF NONE, PLEASE ENTER "0.")  $\bar{x}$  n=  
Number: 1.7 57

IF YOU ENTERED "0" IN Q. 12, PLEASE SKIP TO Q. 14.  
OTHERWISE, PLEASE ANSWER Q. 13.

13. Approximately how many judge-days were provided by the  
temporarily assigned general jurisdiction judges during  
the 12 months?

$\bar{x}$  n=  
Number of judge-days: 33.1 17

14. How many retired or "senior" judges heard cases in this court during the 12 months from June 30, 1974 to June 30, 1975? (IF NONE, PLEASE ENTER "0.")

Number:  $\bar{x}$  n=  
.53 58

IF YOU ENTERED "0" IN Q. 14, PLEASE SKIP TO Q. 16. OTHERWISE, PLEASE ANSWER Q. 15.

15. Approximately how many judge-days were provided for this court by the retired or "senior" judges during the 12 months?

Number of judge-days:  $\bar{x}$  n=  
62 14

# Non-Judicial Personnel

16. How many full-time (35 hours/week or more) and part-time non-judicial personnel in each of the following categories worked at this court on June 30, 1975? (PLEASE ENTER "N/A" FOR ANY CATEGORY NOT APPLICABLE TO THIS COURT.)

	Full-time		Part-time	
	$\bar{x}$	n=	$\bar{x}$	n=
a. TOTAL	21	44	2.1	19
b. Clerk of the Court and Deputy Clerk(s)	3.1	54	2	9
c. Law clerks	5.9	50	.8	10
d. Staff attorneys	2.6	43	.2	10
e. Professional and technical personnel (computer specialists, budget specialists, and so on)	16	38	0	9
f. Clerical and secretarial personnel	7.7	55	.7	10
g. Other personnel (please specify:)	1.5	35	1.4	14

17. Of the following categories of personnel who work at this court, which, if any, are covered by a merit- or civil-service system? (Please circle the correct response for each category appropriate to this court.)

	Not Covered by Such a System	Covered By:			No Personnel in This Category	
		State System	County System	Other System		
a. Clerk of the Court	68%	12	4	0	16	(n=50)
b. Deputy Clerk(s) of the Court	58	18	6	0	18	(n=50)
c. Professional or technical personnel (e.g., computer or budget specialists)	19	8	0	3	70	(n=37)
d. Clerical or secretarial personnel	49	24	4	6	16	(n=49)
e. Judges	76	5	0	2	17	(n=42)
f. Law clerks	54	9	2	7	28	(n=43)
g. Staff attorneys	42	8	0	5	45	(n=38)

18. Is any "in-house" (i.e., within this court or other courts of this State) formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . . 68%  
Yes . . . . . 25  
Don't know . . . 7

19. Is any assistance (such as tuition support or administrative leave) for obtaining formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . . 56%  
Yes . . . . . 39  
Don't know . . . 5  
(n=57)

IF NEITHER IN-HOUSE TRAINING NOR ASSISTANCE FOR TRAINING IS PROVIDED, PLEASE SKIP TO Q. 21. OTHERWISE, PLEASE ANSWER Q. 20.

20. For those personnel who obtained formal training/continuing education during the last fiscal year, approximately what was the average length?

	One Day or Less	2 Days to 1 Wk.	More Than 1 Wk.	None	Don't Know	
a. Clerk of the Court . . . . .	15%	30	0	40	15	(n=20)
b. Deputy Clerk(s) of the Court . . . . .	16	16	0	58	10	(n=19)
c. Law Clerks . . . . .	6	61	0	22	11	(n=18)
d. Staff attorneys . . . . .	15	31	0	38	15	(n=13)
e. Professional or technical personnel . . . . .	0	0	9	91	0	(n=11)
f. Clerical or secretarial personnel . . . . .	12	19	6	62	0	(n=16)

Caseload Information

PLEASE FILL IN THE FOLLOWING INFORMATION (Q. 21-24) CONCERNING THIS COURT'S CASELOAD DURING FISCAL YEAR 1975 ACCORDING TO THE STATISTICS KEPT BY THIS COURT (IF EXACT FIGURES ARE NOT AVAILABLE, PLEASE USE YOUR BEST ESTIMATE):

	$\bar{x}$	n=
21. a. Total number of appeals filed: . . . . .	656	58
b. Total number of appeals decided: . . . . .	496	57
1) With oral arguments: . . . . .	307	43
2) With written opinion: . . . . .	374	51
c. Total number of appeals otherwise terminated:		
1) By counsel . . . . .	62	29
2) By the Court (either on its own or by motion of a party) . . . . .	129	47

IF WITHIN THIS COURT'S JURISDICTION:

	$\bar{x}$	n=
22. a. Number of criminal appeals filed: . . . . .	301	45
b. Number of criminal appeals decided: . . . . .	274	39
1) With oral arguments: . . . . .	167	26
2) With written opinion: . . . . .	234	34
c. Number of criminal appeals otherwise terminated: . . . . .	56	31
1) By counsel: . . . . .	18	17
2) By the Court (either on its own or by motion of a party) . . . . .	40	26

IF WITHIN THIS COURT'S JURISDICTION:

	$\bar{x}$	n=
23. a. Number of non-criminal appeals (including civil appeals arising out of criminal matters) filed: . . . . .	320	43
b. Number of non-criminal appeals decided: . . . . .	263	42
1) With oral arguments: . . . . .	149	31
2) With written opinion: . . . . .	186	39
c. Number of non-criminal appeals otherwise terminated: . . . . .	149	28
1) By counsel: . . . . .	18	21
2) By the Court (either on its own or by motion of a party): . . . . .	109	31

24. Approximately what number of pro se petitions for appeal were filed at this court during the last complete fiscal year?

	$\bar{x}$	n=
Number: . . . . .	65	38

IF THIS COURT IS AN APPELLATE COURT OF LAST RESORT, PLEASE CONTINUE.  
IF NOT, PLEASE SKIP TO Q. 76.

25. How many discretionary criminal appeals (including writs of certiorari) were filed during fiscal year 1975? . . . . .

26. How many discretionary criminal appeals (including writs of certiorari) were granted during fiscal year 1975? . . . . .

IF THERE IS AN INTERMEDIATE APPELLATE COURT IN YOUR STATE, PLEASE ANSWER Q. 27. OTHERWISE, PLEASE SKIP TO Q. 76.

27. Are there any types of cases which come to this court by direct appeal from the original jurisdiction court?

No . . . . .  
Yes . . . . . (n=0)

IF YOU ANSWERED "NO" IN Q. 27, PLEASE SKIP TO Q. 76.  
IF YOU ANSWERED "YES," PLEASE ANSWER Q. 28.

28. Please list the types of cases which come to this court by direct appeal, and the number of cases of each type this court had during the last complete fiscal year:

<u>Types of Cases</u>	<u>Number</u>
_____	_____
_____	_____ (n=0)
_____	_____

PLEASE SKIP TO Q. 76.

Trial Courts

29. Is this trial court one seat of a judicial circuit or district which meets in other locations as well as this one?

No . . . . .  
Yes . . . . . (n=0)

IF YOU ANSWERED "NO" IN Q. 29, PLEASE SKIP TO Q. 34. IF YOU ANSWERED "YES," PLEASE CONTINUE.

30. As of June 30, 1975, what was the number of permanent judgeships authorized for the entire circuit or district of which this court is a part?

Number: n=0

31. As of June 30, 1975, how many of those permanent judgeships authorized for the entire circuit or district of which this court is a part were vacant? (IF NONE, PLEASE ENTER "0.")

Number: n=0

32. As of June 30, 1975, how many permanent judges filled the permanent judgeships authorized for the entire circuit or district of which this court is a part?

a. Full-time: n=0  
b. Part-time: n=0

33. As of June 30, 1975, did this judicial circuit or district (of which this court is a part) have a professional Trial Court Administrator, defined as a "nonelected professional administrator concerned with caseload throughout the court system, personnel management, planning and research, budget drafting, and all other administrative and managerial nonjudicial business of the court or court system"?

No . . . . .  
Yes . . . . . (n=0)

34. As of June 30, 1975, what was the number of permanent judgeships authorized for this court?

Number: n=0

35. As of June 30, 1975, how many of those permanent judgeships were vacant? (IF NONE, PLEASE ENTER "0.")

Number: n=0

36. As of June 30, 1975, how many permanent judges filled the permanent judgeships authorized for this court?

a. Full-time: n=0

b. Part-time: n=0

37. Approximately how many judge-days in the last fiscal year were provided for this court by judges "on loan" from another court?

Judge-days "borrowed": n=0

38. Approximately how many judge-days in the last fiscal year were "loaned" to another court by judges of this court?

Judge-days "loaned": n=0

38a. Please estimate how the judge-time was apportioned in this court over the past 12 months, among the following types of cases:

a. Civil . . . . .        (n=0)

b. Criminal . . . . .        (n=0)

c. Traffic . . . . .        (n=0)

d. Juvenile . . . . .        (n=0)

Total: . . . . . 100 %

39. As of June 30, 1975, did this court have a professional Trial Court Administrator, defined as a "nonelected professional administrator concerned with caseflow throughout the court system, personnel management, planning and research, budget drafting, and all other administrative and managerial nonjudicial business of the court or court system"?

No . . . . .

Yes . . . . . (n=0)

40. Which of the following sources provide(s) the funds which pay the salaries of this court's judges? (Please circle all that apply.)

a. City . . . . . (n=0)

b. County . . . . . (n=0)

c. State . . . . . (n=0)

d. Federal . . . . . (n=0)

IF YOU CIRCLED MORE THAN ONE SOURCE IN Q. 40, PLEASE ANSWER Q. 41. IF YOU CIRCLED ONLY ONE, PLEASE SKIP TO Q. 42.

41. Do judges at this court each receive one paycheck, per pay-period which combines the segments of their salaries, or do they receive a paycheck from each source separately?

One combined paycheck . . . . .

Separate paychecks from each source . . . . .

Don't know . . . . .

Other (please specify:) . . . . . (n=0)

Other Personnel

42. How many full-time (35 hours or more/week) and part-time personnel in each of the following categories were working at this court on June 30, 1975? (PLEASE ENTER "N/A" FOR ANY CATEGORY NOT APPLICABLE TO THIS COURT.)

- a. TOTAL: . . . . .
- b. Clerk of the Court, Deputy Clerk(s) of the Court . . . . .
- c. Magistrates . . . . .
- d. Justices of the Peace . . . . .
- e. Other officials exercising judicial authority (such as commissioners, masters, referees) . . . . .
- f. Law clerks . . . . .
- g. Staff attorneys . . . . .
- h. Bailiffs . . . . .
- i. Court reporters . . . . .
- j. Probation/parole officers . . . . .
- k. Pre-sentence investigators (other than probation/parole officers) . . . . .
- l. Translators . . . . .
- m. Computer, budget, or fiscal specialists . . . . .
- n. Other professional or technical personnel . . . . .
- o. Clerical or secretarial personnel . . . . .
- p. Other personnel (please specify:) . . . . .

(n=0)

43. Do any of the full-time personnel listed above (in Q. 42) have any job-related duties or responsibilities other than to THIS COURT, or handle any business other than for THIS COURT alone?

No . . . . .

Yes . . . . . (n=0)

IF YOU ANSWERED "YES," TO Q. 43, PLEASE ANSWER Q. 44.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 45.

44. Please circle the categories of personnel which handle other business or have job-related duties or responsibilities to some organization other than this court:

- a. Clerk of the Court . . . . .
- b. Deputy Clerk(s) . . . . .
- c. Computer, budget, or financial specialists . . . . .
- d. Other professional and technical personnel . . . . .
- e. Clerical and secretarial personnel . . . . .
- f. NONE OF THE ABOVE . . . . . (n=0)

45. Of the following categories of personnel who work at this court, which, if any, are covered by a merit- or civil-service system? (Please circle the correct response for each category appropriate to this court.)

	Not Covered by Such a System	Covered By:				No Personnel in This Category
		State System	County System	Other System	Don't Know	
a. Clerk of the Court . . . .						
b. Deputy Clerk(s) of the Court . . . . .						
c. Translators . . . . .						
d. Professional or technical personnel (e.g., computer or budget specialists) . .						
e. Clerical or secretarial personnel . . . . .						
f. Judges . . . . .						
g. Law Clerks . . . . .						
h. Staff attorneys . . . . .						
i. Court reporters . . . . .						
j. Bailiffs . . . . .						

(n=0)

46. Does this court have an Administrative Judge, i.e., a judge whose duties are largely, if not solely, administrative?

No . . . .  
Yes . . . . (n=0)

47. Is any "in-house" (i.e., within this court or other courts of this State) formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . .  
Yes . . . . .  
Don't know . . . . (n=0)

48. Is any assistance (such as tuition support or administrative leave) for obtaining formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . .  
Yes . . . . .  
Don't know . . . . (n=0)

IF NEITHER IN-HOUSE TRAINING NOR ASSISTANCE FOR TRAINING IS PROVIDED, PLEASE SKIP TO Q. 50. OTHERWISE, PLEASE ANSWER Q. 49.

49. For those personnel who obtained formal training/continuing education during the last fiscal year, approximately what was the average length?

One 2 Days More  
Day or to Than Don't  
Less 1 Wk. 1 Wk. NONE Know

- a. Clerk of the Court . . . . .
- b. Deputy Clerk(s) of the Court . . . .
- c. Law Clerks . . . . .
- d. Staff attorneys . . . . .
- e. Nonjudge officials who exercise  
judicial authority . . . . .
- f. Pre-sentence investigators . . . . .
- g. Probation/parole officers . . . . .
- h. Professional or technical  
personnel . . . . .
- i. Clerical or secretarial personnel . .

(n=0)

50. A new court service position has recently developed, called "pre-trial services agent." The agent performs general pre-trial counseling and bail investigation, and other services not performed by probation officers. Did this court have any pre-trial services agents on June 30, 1975?

No . . . . .

Yes . . . . .

DON'T KNOW . . . . .

(n=0)

IF YOU ANSWERED "YES" IN Q. 50, PLEASE ANSWER Q. 51-52. OTHERWISE, PLEASE SKIP TO Q. 55.

51. How many pre-trial services agents were working at this court on June 30, 1975? (If "NONE" in a category, please enter "0.")

a. Full-time: \_\_\_\_\_

b. Part-time: \_\_\_\_\_

(n=0)

52. Does this court provide any training--either entry-level or in-service--to its pre-trial services agents?

No . . . . .

Yes . . . . .

DON'T KNOW . . . . .

(n=0)

IF YOU ANSWERED "YES" TO Q. 52, PLEASE ANSWER Q. 53-54. OTHERWISE, PLEASE SKIP TO Q. 55.

53. For those pre-trial services agents who received such training during the last fiscal year, approximately what amount of training was provided during the last fiscal year?

1 day or less . . . . .

2 days to 1 week . . . . .

1-2 weeks . . . . .

More than 2 weeks . . . . .

DON'T KNOW . . . . .

(n=0)

54. Where is the formal training usually given?

a. In-house (i.e., at this court) . . . . .

b. At another court within this State . . . . .

c. Outside of this State . . . . .

d. Other (please specify: ) . . . . .

e. DON'T KNOW . . . . .

(n=0)

Court Operations

55. Which of the following are within the original jurisdiction of this court? (Please circle all that apply.)

a. Issue warrants (e.g., arrests, search and seizure) . . . . .

b. Bail hearings . . . . .

c. Presentments or first arraignments . . . . .

d. Probable cause hearings . . . . .

e. Arraignments post indictment or information . . . . .

f. Juvenile proceedings (adjudications) . . . . .

g. Civil jurisdiction: family/domestic relations . . . . .

h. Civil jurisdiction: probate . . . . .

i. Civil jurisdiction other than family/domestic relations or probate . . . . .

j. Misdemeanor trials (original jurisdiction) . . . . .

k. Misdemeanor appeals: trials de novo . . . . .

l. Misdemeanor appeals: on the record from lower court . . . . .

m. Felony trials (original jurisdiction) . . . . .

(n=0)

56. Which of the following release options are used at this court?  
(Please circle all that apply.)

- a. Pre-trial release investigations to recommend release or detention . . . . .
- b. ROR program (release on recognizance) . . . . .
- c. Third-party custody (release into custody of non-family members) . . . . .
- d. Percent deposit at bail (in which some percentage of bail--often 10 percent--is deposited directly to court by offender, rather than the posting of 100 percent of bail) . . . . .
- e. Other release option used (please specify:) . . . . .

f. NONE OF THE ABOVE . . . . . (n=0)

57. Of the following facilities, which are operated by this court, which are available locally for use by this court but are operated by another agency or office, and which are not available locally at all? (IF YOUR COURT DOES NOT HOLD JUVENILE HEARINGS, PLEASE CIRCLE "NOT APPLICABLE" FOR "a" AND "b.")

	Available			
	Operated	But Not		
	by This	Operated by	Not	Not
	Court	This Court	Available	Applicable
a. Pre-hearing detention facilities for juveniles only . . . . .				
b. Post-adjudication correctional facilities for juveniles only . . . . .				
c. Adult correctional facility (workhouse, jail) . . . . .				
d. Adult half-way house . . . . .				
e. Detention facility inside the courthouse (i.e., "holding room") . . . . .				

(n=0)

58. Which of the following policies or procedures are used by this court? (Please circle all that apply.)

- a. Strict continuance policy is followed to reduce the number of cases held over on calendar . . . . .
- b. Continuances granted with adjournment to a date certain . . . . .
- c. Court holds regular night sessions . . . . .
- d. Court holds regular weekend sessions . . . . .
- e. NONE OF THE ABOVE . . . . . (n=0)

IF THIS COURT HAS ORIGINAL JUVENILE JURISDICTION, PLEASE ANSWER Q. 59-61. OTHERWISE, PLEASE SKIP TO Q. 62.

59. For statistical purposes, what is the definition of "juvenile case" at this court? (Please circle only one answer.)

Each juvenile is counted as a "case" . . . . .

Each petition is counted as a separate "case" . . . . .

Other definition (please specify:) . . . . .

(n=0)

60. FOR JUVENILE CASES:

(NOTE: Please exclude dependency and neglect cases.)

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .
- b. How many new petitions were filed at this court during the fiscal year 1975? . . . . .
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . .

61. TERMINATION OF JUVENILE CASES IN FISCAL YEAR 1975:  
(NOTE: Please exclude dependency and neglect cases.)

- a. Total number closed . . . . .
- b. Adjudications to probation . . . . .
- c. Adjudications to juvenile facilities . . . . .
- d. Transfers to adult jurisdiction . . . . .
- e. Findings of non-delinquency . . . . .
- f. Dismissals . . . . .

IF THIS COURT HAS NON-CRIMINAL JURISDICTION, PLEASE  
ANSWER Q. 62-65. OTHERWISE, PLEASE SKIP TO Q. 66.

62. For statistical purposes, when is a non-criminal (i.e., civil) case considered to be "filed" at this court? (Please circle all that apply.)

- a. When the first pleading is presented by a party to an official of the court . . . . .
- b. When the initial filing fee (if required) is paid . . . . .
- c. When the case is "ready for trial" . . . . .
- d. Other time (please specify:) . . . . .

(n=0)

63. For statistical purposes, what is the definition of "non-criminal case (or 'civil case')" at this court?

One separate "case" is counted for each separate complaint filed . . . . .

Other definition (please specify:) . . . . .

(n=0)

64. FOR NON-CRIMINAL CASES (EXCLUDING JUVENILE):

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .
- b. How many new cases were filed at this court during fiscal year 1975? . . . . .
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . .

65. TERMINATIONS OF NON-CRIMINAL CASES (EXCLUDING JUVENILE):

- a. Total number closed (fiscal year 1975) . . . . .
- b. Dismissals . . . . .
- c. Transfers to other jurisdictions . . . . .
- d. Settlements before trial . . . . .
- e. Bench trials . . . . .
- f. Jury trials . . . . .
- g. All others . . . . .

IF THIS COURT HAS CRIMINAL JURISDICTION, PLEASE ANSWER  
Q. 66-75. OTHERWISE, PLEASE SKIP TO Q. 76.

66. How are criminal cases usually assigned?

Cases are assigned to courtrooms and are heard by judges on a rotating basis . . . . .

Cases are assigned according to subject matter, to judges who specialize in certain types of cases . . . . .

Cases are assigned regardless of subject matter to judges on the basis of who has time in their caseload . . . . .

Other method (please specify:) . . . . .

(n=0)

67. Who usually assigns criminal cases and sets a time for trial?

Clerk of the court assigns case to judge and sets time . . . . .

Prosecutor, with consent of the defense lawyer, sets time, and Clerk of the court assigns case to judge . . . . .

Chief or Presiding Judge assigns cases to judges, and Clerk of the court sets time for each case . . . . .

Chief or Presiding Judge assigns cases to judges, and each judge sets time for each case . . . . .

Clerk of the court assigns cases to judge, and judge sets time . . . . .

Other method (please specify:) . . . . .

(n=0)

68. Which of the following procedures or policies are followed by this court in processing criminal cases? (Please circle all that apply.)

- a. In calendaring, priority is usually or always given to criminal cases over civil cases . . . . .
- b. In calendaring, priority is given only to "old" criminal cases . . . . .
- c. In calendaring criminal cases, priority is given to incarcerated defendants . . . . .
- d. In calendaring, priority is given to criminal cases, but only when the criminal case backlog becomes large . . . . .
- e. Bail schedule for minor violations or offenses is set by court for use at police stations . . . . .
- f. Pre-trial conferences between prosecutor and defense lawyer are required . . . . .
- g. Omnibus hearings (e.g., pre-trial motions, discovery) are required . . . . .
- h. NONE OF THE ABOVE . . . . .

(n=0)

69. For statistical purposes, when is a criminal case considered to be "filed" at this court?

- When the case is "ready for trial" . . . . .
- When the information or indictment is entered . . . . .
- When the case first comes to the attention of the court (e.g., at bail setting, arraignment) . . . . .
- Other time (please specify:) . . . . .

(n=0)

70. For statistical purposes, what is the definition of "criminal case" at this court? (Please circle all that apply.)

- a. Each defendant is counted as a separate "case," regardless of whether more than one defendant is joined in the information or indictment . . . . .
- b. Each information or indictment is counted as a separate "case" . . . . .
- c. Each charge or count of an information or indictment is counted as a separate "case" . . . . .
- d. Other definition (please specify:) . . . . .

(n=0)

71. FOR MISDEMEANORS (EXCLUDING TRAFFIC VIOLATIONS):

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .
- b. How many new cases were filed at this court during fiscal year 1975? . . . . .
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . .

72. FOR FELONIES:

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .
- b. How many new cases were filed at this court during the fiscal year 1975? . . . . .
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . .

73. TERMINATIONS OF CRIMINAL CASES (EXCLUDING TRAFFIC VIOLATIONS):

(NOTE: Please separate felonies and misdemeanors if possible; fiscal year 1975.)

	Felonies	Misde- meanors	or	Total
a. Total number closed				
b. Dismissals				
c. Transfers to other courts or jurisdictions				
d. Guilty pleas prior to trial				
e. Bench trials				
f. Jury trials				
g. Found guilty after trial				
h. Acquittals				
i. All other terminations				

74. Does this court keep statistics concerning specific criminal sentencing dispositions?

No . . . . .

Yes . . . . . (n=0)

IF YOU ANSWERED "NO" IN Q. 74, PLEASE SKIP TO Q. 76.  
IF YOU ANSWERED "YES," PLEASE ANSWER Q. 75.

75. How many of each of the following criminal sentencing dispositions occurred at this court during fiscal year 1975? (If none, please enter "0.")

a. Suspended sentence or unconditional discharge	
b. Probation	
c. Incarceration	
d. Fine	
e. All others	

Office Information

76. Does this court routinely supply a central state repository with disposition information concerning individual cases?

No . . . . . 33%

Yes . . . . . 67  
(n=51)

77. Are computers used in the management and operation of this court?

No . . . . . 82%

Yes . . . . . 18  
(n=51)

IF YOU ANSWERED "YES" TO Q. 77, PLEASE ANSWER Q. 78-79.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 80.

78. Which of the following tasks are computerized? (Please circle all that apply.)

a. Payroll	12%	(n=7)
b. Accounting	7	(n=4)
c. Personnel records	7	(n=4)
d. Equipment inventory	2	(n=1)
e. Court records management	3	(n=2)
f. Calendaring	5	(n=3)
g. Identification of lagging cases	3	(n=2)
h. Disposition statistics	5	(n=3)
i. Jury selection and scheduling (for trial courts only)	0	(n=0)
j. Other (please specify:)	0	(n=0)

79. How long have computers been used in the management and operation of this court?

One year or less . . . . . 14%

Over a year, but less than two years . . . 29

Two years or longer . . . . . 57  
(n=7)

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE,  
PLEASE GIVE YOUR BEST ESTIMATE.

80. Does the fiscal year for this court operate on a calendar year basis?

No . . . . 70%  
Yes . . . . 30  
(n=56)

81. Total annual expenditures for this court during the last complete fiscal year: . . . . \$ \_\_\_\_\_

82. Annual payroll expenditures (salaries and fringe benefits) for this court during the last complete fiscal year: . . . . \$ \_\_\_\_\_

83. Annual operating expenditures for training for this court's staff for the last complete fiscal year (excluding salary of trainees): . . . . \$ 371 45

84. Please indicate the sources of funding for this court, giving the approximate percentage derived from each source:

	$\bar{x}$	n=
a. State funds . . . . .	84	43
b. County or city funds . . . . .	14	45
c. Federal funds . . . . .	3	44
d. Other (please specify:) . . . .	0	41

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

APPELLATE COURTS OF LAST RESORT

OMB No.: 043-575032  
Approval Expires: July 31, 1976  
LEAA No.: 3600-8  
BSSR No.: 46719

PLEASE NOTE:

- Most questions are to be answered by circling the number next to the appropriate response. Only a few questions require written-in answers.
- "Full-time" is defined for this questionnaire as 35 or more hours per week.
- THE PHRASE "THIS COURT" IS IMPORTANT. IT MEANS "ONLY THE COURT WHICH IS NAMED ON THE ADDRESS LABEL ON THE OUTSIDE COVER OF THE QUESTIONNAIRE."

1. What is the formal title of the position you currently hold?

Title: \_\_\_\_\_

2. Do you currently serve any court(s) other than this court?

No . . . . 52%  
Yes . . . . 48  
(n=40)

IF YOU ANSWERED "YES" IN Q. 2, PLEASE ANSWER Q. 3.  
IF YOU ANSWERED "NO" PLEASE SKIP TO Q. 4.

3. Please list the exact names of the other court(s) you currently serve.


4. Is this court an Appellate Court of Last Resort in your State?

No . . . . 0%  
Yes . . . . 100  
(n=40)

IF YOU ANSWERED "NO" IN Q. 4, PLEASE CONTINUE.  
IF YOU ANSWERED "YES," PLEASE SKIP TO Q. 10.

5. This court is a(n):

Trial Court of Limited or Special Jurisdiction . . . . .

Trial Court of (Original) General Jurisdiction (also known in some States as "Court of Record") . . . . .

Intermediate Appellate Court . . . . .

IF THIS COURT IS A TRIAL COURT, PLEASE SKIP TO Q. 29. IF THIS COURT IS AN INTERMEDIATE APPELLATE COURT, PLEASE CONTINUE.

Intermediate Appellate Courts

6. What is the jurisdiction of this court?

Criminal only . . . . .

Civil only . . . . .

Both criminal and civil . . . . . (n=0)

7. How are cases usually assigned? (Please circle only one answer.)

Cases are assigned to courtrooms and are heard by panels on a rotating basis . . . . .

Cases are assigned according to subject matter, to panels of judges who specialize in certain types of cases . . . . .

Cases are assigned regardless of subject matter to panels on the basis of who has time in their caseload . . . . .

Some other criterion (please specify:) . . . . .

(n=0)

8. Who usually assigns cases and sets a time for them to be heard? (Please circle only one answer.)

Clerk of the court assigns case to panel and sets time . . . . .

Chief or Presiding Judge assigns case to panel, and Clerk of the court sets time for each case . . . . .

Chief or Presiding Judge assigns case to panel, and panel sets time for case . . . . .

Clerk of the court assigns case to panel, and panel sets time for case . . . . .

Other method (please specify:) . . . . .

(n=0)

9. Approximately what proportion of cases heard by this court in the last fiscal/calendar year were heard en banc? . . . . .

(n=0)

All Appellate Courts: Judicial Personnel

10. As of June 30, 1975 what was the number of permanent judgeships authorized for this court?

Number:  $\bar{x}$  7.4 n= 40

11. As of June 30, 1975 how many of the permanent judgeships were vacant? (IF NONE, PLEASE ENTER "0".)

Number:  $\bar{x}$  .15 n= 40

12. How many trial judges from courts of general jurisdiction were temporarily assigned to this court during the 12 months from June 30, 1974 to June 30, 1975? (IF NONE, PLEASE ENTER "0".)

Number:  $\bar{x}$  3.4 n= 39

IF YOU ENTERED "0" IN Q. 12, PLEASE SKIP TO Q. 14. OTHERWISE, PLEASE ANSWER Q. 13.

13. Approximately how many judge-days were provided by the temporarily assigned general jurisdiction judges during the 12 months?

Number of judge-days:  $\bar{x}$  35.18 n= 16

14. How many retired or "senior" judges heard cases in this court during the 12 months from June 30, 1974 to June 30, 1975? (IF NONE, PLEASE ENTER "0.")

Number:  $\bar{X}$  = .65 n = 40

IF YOU ENTERED "0" IN Q. 14, PLEASE SKIP TO Q. 16. OTHERWISE, PLEASE ANSWER Q. 15.

15. Approximately how many judge-days were provided for this court by the retired or "senior" judges during the 12 months?

Number of judge-days:  $\bar{X}$  = 33.08 n = 12

#### Non-Judicial Personnel

16. How many full-time (35 hours/week or more) and part-time non-judicial personnel in each of the following categories worked at this court on June 30, 1975? (PLEASE ENTER "N/A" FOR ANY CATEGORY NOT APPLICABLE TO THIS COURT.)

	Full-time		Part-time	
	$\bar{X}$	n	$\bar{X}$	n
a. TOTAL	28.4	30	2.8	17
b. Clerk of the Court and Deputy Clerk(s)	3.2	39	1.4	9
c. Law clerks	8.6	38	1.14	7
d. Staff attorneys	2.15	32	.33	6
e. Professional and technical personnel (computer specialists, budget specialists, and so on)	4.2	29	.0	7
f. Clerical and secretarial personnel	13	39	.81	11
g. Other personnel (please specify:)	3.35	26	1.6	11

17. Of the following categories of personnel who work at this court, which, if any, are covered by a merit- or civil-service system? (Please circle the correct response for each category appropriate to this court.)

	Not Covered by Such a System	Covered By:			No Personnel in This Category	
		State System	County System	Other System		
a. Clerk of the Court	64%	13	0	3	20	(n=39)
b. Deputy Clerk(s) of the Court	64	10	0	3	23	(n=39)
c. Professional or technical personnel (e.g., computer or budget specialists)	47	10	0	0	44	(n=32)
d. Clerical or secretarial personnel	60	16	0	3	21	(n=38)
e. Judges	76	3	0	0	22	(n=37)
f. Law clerks	63	10	0	3	24	(n=38)
g. Staff attorneys	59	6	0	0	35	(n=34)

18. Is any "in-house" (i.e., within this court or other courts of this State) formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . . 72%  
Yes . . . . . 26  
Don't know . . . . . 4  
(n=39)

19. Is any assistance (such as tuition support or administrative leave) for obtaining formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . . 44%  
Yes . . . . . 54  
Don't know . . . . . 3  
(n=39)

IF NEITHER IN-HOUSE TRAINING NOR ASSISTANCE FOR TRAINING IS PROVIDED, PLEASE SKIP TO Q. 21. OTHERWISE, PLEASE ANSWER Q. 20.

20. For those personnel who obtained formal training/continuing education during the last fiscal year, approximately what was the average length?

	One Day or Less	2 Days to 1 Wk.	More Than 1 Wk.	None	Don't Know	
a. Clerk of the Court . . . . .	0%	60	33	0	7	(n=15)
b. Deputy Clerk(s) of the Court . . . . .	6	39	11	39	6	(n=18)
c. Law Clerks . . . . .	27	33	0	27	13	(n=15)
d. Staff attorneys . . . . .	21	14	7	43	14	(n=14)
e. Professional or technical personnel . . . . .	7	43	14	29	7	(n=14)
f. Clerical or secretarial personnel . . . . .	29	7	14	50	0	(n=14)

Caseload Information

PLEASE FILL IN THE FOLLOWING INFORMATION (Q. 21-24) CONCERNING THIS COURT'S CASELOAD DURING FISCAL YEAR 1975 ACCORDING TO THE STATISTICS KEPT BY THIS COURT (IF EXACT FIGURES ARE NOT AVAILABLE, PLEASE USE YOUR BEST ESTIMATE):

21. a. Total number of appeals filed: . . . . .	$\bar{x}$ 599	n= 39
b. Total number of appeals decided: . . . . .	414	36
1) With oral arguments: . . . . .	217	33
2) With written opinion: . . . . .	320	36
c. Total number of appeals otherwise terminated: . . . . .		
1) By counsel . . . . .	24	23
2) By the Court (either on its own or by motion of a party) . . . . .	104	28

IF WITHIN THIS COURT'S JURISDICTION:

22. a. Number of criminal appeals filed: . . . . .		n= 32
b. Number of criminal appeals decided: . . . . .	220	28
1) With oral arguments: . . . . .	104	23
2) With written opinion: . . . . .	156	27
c. Number of criminal appeals otherwise terminated: . . . . .	27	21
1) By counsel: . . . . .	5	14
2) By the Court (either on its own or by motion of a party) . . . . .	32	21

IF WITHIN THIS COURT'S JURISDICTION:

23. a. Number of non-criminal appeals (including civil appeals arising out of criminal matters) filed: . . . . .	$\bar{x}$ 291	n= 27
b. Number of non-criminal appeals decided: . . . . .	210	25
1) With oral arguments: . . . . .	132	18
2) With written opinion: . . . . .	142	23
c. Number of non-criminal appeals otherwise terminated: . . . . .	70	20
1) By counsel: . . . . .	13	13
2) By the Court (either on its own or by motion of a party): . . . . .	65	19

24. Approximately what number of pro se petitions for appeal were filed at this court during the last complete fiscal year?

Number: $\bar{x}$ 36	n= 23
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IF THIS COURT IS AN APPELLATE COURT OF LAST RESORT, PLEASE CONTINUE. IF NOT, PLEASE SKIP TO Q. 76.

25. How many discretionary criminal appeals (including writs of certiorari) were filed during fiscal year 1975?  $\bar{x}$  237 n=25
26. How many discretionary criminal appeals (including writs of certiorari) were granted during fiscal year 1975?  $\bar{x}$  39 n=25

IF THERE IS AN INTERMEDIATE APPELLATE COURT IN YOUR STATE, PLEASE ANSWER Q. 27. OTHERWISE, PLEASE SKIP TO Q. 76.

27. Are there any types of cases which come to this court by direct appeal from the original jurisdiction court?

No . . . . 10%  
Yes . . . . 90  
(n=21)

IF YOU ANSWERED "NO" IN Q. 27, PLEASE SKIP TO Q. 76.  
IF YOU ANSWERED "YES," PLEASE ANSWER Q. 28.

28. Please list the types of cases which come to this court by direct appeal, and the number of cases of each type this court had during the last complete fiscal year:

<u>Types of Cases</u>	<u>Number</u>
_____	_____
_____	_____
_____	_____

PLEASE SKIP TO Q. 76.

Trial Courts

29. Is this trial court one seat of a judicial circuit or district which meets in other locations as well as this one?

No . . . .

Yes . . . .

(n=0)

IF YOU ANSWERED "NO" IN Q. 29, PLEASE SKIP TO Q. 34. IF YOU ANSWERED "YES," PLEASE CONTINUE.

30. As of June 30, 1975, what was the number of permanent judgeships authorized for the entire circuit or district of which this court is a part?

Number: \_\_\_\_\_ (n=0)

31. As of June 30, 1975, how many of those permanent judgeships authorized for the entire circuit or district of which this court is a part were vacant? (IF NONE, PLEASE ENTER "0.")

Number: \_\_\_\_\_ (n=0)

32. As of June 30, 1975, how many permanent judges filled the permanent judgeships authorized for the entire circuit or district of which this court is a part?

a. Full-time: \_\_\_\_\_ (n=0)

b. Part-time: \_\_\_\_\_ (n=0)

33. As of June 30, 1975, did this judicial circuit or district (of which this court is a part) have a professional Trial Court Administrator, defined as a "nonelected professional administrator concerned with caseload throughout the court system, personnel management, planning and research, budget drafting, and all other administrative and managerial nonjudicial business of the court or court system"?

No . . . .

Yes . . . . (n=0)

34. As of June 30, 1975, what was the number of permanent judgeships authorized for this court?

Number: \_\_\_\_\_ (n=0)

35. As of June 30, 1975, how many of those permanent judgeships were vacant? (IF NONE, PLEASE ENTER "0.")

Number: \_\_\_\_\_ (n=0)

36. As of June 30, 1975, how many permanent judges filled the permanent judgeships authorized for this court?

a. Full-time: \_\_\_\_\_ (n=0)

b. Part-time: \_\_\_\_\_ (n=0)

37. Approximately how many judge-days in the last fiscal year were provided for this court by judges "on loan" from another court?

Judge-days "borrowed": \_\_\_\_\_ (n=0)

38. Approximately how many judge-days in the last fiscal year were "loaned" to another court by judges of this court?

Judge-days "loaned": \_\_\_\_\_ (n=0)

38a. Please estimate how the judge-time was apportioned in this court over the past 12 months, among the following types of cases:

a. Civil . . . . . \_\_\_\_\_ (n=0)

b. Criminal . . . . . \_\_\_\_\_ (n=0)

c. Traffic . . . . . \_\_\_\_\_ (n=0)

d. Juvenile . . . . . \_\_\_\_\_ (n=0)

Total: . . . . . 100 %

39. As of June 30, 1975, did this court have a professional Trial Court Administrator, defined as a "nonelected professional administrator concerned with caseflow throughout the court system, personnel management, planning and research, budget drafting, and all other administrative and managerial nonjudicial business of the court or court system"?

No . . . . .

Yes . . . . . (n=0)

40. Which of the following sources provide(s) the funds which pay the salaries of this court's judges? (Please circle all that apply.)

a. City . . . . . (n=0)

b. County . . . . . (n=0)

c. State . . . . . (n=0)

d. Federal . . . . . (n=0)

IF YOU CIRCLED MORE THAN ONE SOURCE IN Q. 40, PLEASE ANSWER Q. 41. IF YOU CIRCLED ONLY ONE, PLEASE SKIP TO Q. 42.

41. Do judges at this court each receive one paycheck per pay-period which combines the segments of their salaries, or do they receive a paycheck from each source separately?

One combined paycheck . . . . .

Separate paychecks from each source . . . . .

Don't know . . . . .

Other (please specify:) . . . . .

(n=0)

Other Personnel

42. How many full-time (35 hours or more/week) and part-time personnel in each of the following categories were working at this court on June 30, 1975? (PLEASE ENTER "N/A" FOR ANY CATEGORY NOT APPLICABLE TO THIS COURT.)

	Full-Time	Part-Time
a. TOTAL: . . . . .	_____	_____
b. Clerk of the Court, Deputy Clerk(s) of the Court . . . . .	_____	_____
c. Magistrates . . . . .	_____	_____
d. Justices of the Peace . . . . .	_____	_____
e. Other officials exercising judicial authority (such as commissioners, masters, referees) . . . . .	_____	_____
f. Law clerks . . . . .	_____	_____
g. Staff attorneys . . . . .	_____	_____
h. Bailiffs . . . . .	_____	_____
i. Court reporters . . . . .	_____	_____
j. Probation/parole officers . . . . .	_____	_____
k. Pre-sentence investigators (other than probation/parole officers) . . . . .	_____	_____
l. Translators . . . . .	_____	_____
m. Computer, budget, or fiscal specialists . . . . .	_____	_____
n. Other professional or technical personnel . . . . .	_____	_____
o. Clerical or secretarial personnel . . . . .	_____	_____
p. Other personnel (please specify:) . . . . .	_____	_____

(n=0)

43. Do any of the full-time personnel listed above (in Q. 42) have any job-related duties or responsibilities other than to THIS COURT, or handle any business other than for THIS COURT alone?

No . . . . .  
Yes . . . . . (n=0)

IF YOU ANSWERED "YES," TO Q. 43, PLEASE ANSWER Q. 44.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 45.

44. Please circle the categories of personnel which handle other business or have job-related duties or responsibilities to some organization other than this court:

- a. Clerk of the Court . . . . .
- b. Deputy Clerk(s) . . . . .
- c. Computer, budget, or financial specialists . . . . .
- d. Other professional and technical personnel . . . . .
- e. Clerical and secretarial personnel . . . . .
- f. NONE OF THE ABOVE . . . . .

(n=0)

45. Of the following categories of personnel who work at this court, which, if any, are covered by a merit- or civil-service system? (Please circle the correct response for each category appropriate to this court.)

	Not Covered by Such a System	Covered By:			Don't Know	No Personnel in This Category
		State System	County System	Other System		
a. Clerk of the Court . . . . .						
b. Deputy Clerk(s) of the Court . . . . .						
c. Translators . . . . .						
d. Professional or technical personnel (e.g., computer or budget specialists) . . . . .						
e. Clerical or secretarial personnel . . . . .						
f. Judges . . . . .						
g. Law Clerks . . . . .						
h. Staff attorneys . . . . .						
i. Court reporters . . . . .						
j. Bailiffs . . . . .						

(n=0)

46. Does this court have an Administrative Judge, i.e., a judge whose duties are largely, if not solely, administrative?

No . . . . .

Yes . . . . .

(n=0)

47. Is any "in-house" (i.e., within this court or other courts of this State) formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . .

Yes . . . . .

Don't know . . . . .

(n=0)

48. Is any assistance (such as tuition support or administrative leave) for obtaining formal training or continuing education provided for any of the non-judicial personnel who work at this court?

No . . . . .

Yes . . . . .

Don't know . . . . .

(n=0)

IF NEITHER IN-HOUSE TRAINING NOR ASSISTANCE FOR TRAINING IS PROVIDED, PLEASE SKIP TO Q. 50. OTHERWISE, PLEASE ANSWER Q. 49.

49. For those personnel who obtained formal training/continuing education during the last fiscal year, approximately what was the average length?

One Day or Less    2 Days to 1 Wk.    More Than 1 Wk.    NONE    Don't Know

- a. Clerk of the Court . . . . .
- b. Deputy Clerk(s) of the Court . . . . .
- c. Law Clerks . . . . .
- d. Staff attorneys . . . . .
- e. Nonjudge officials who exercise judicial authority . . . . .
- f. Pre-sentence investigators . . . . .
- g. Probation/parole officers . . . . .
- h. Professional or technical personnel . . . . .
- i. Clerical or secretarial personnel . . . . .

(n=0)

50. A new court service position has recently developed, called "pre-trial services agent." The agent performs general pre-trial counseling and bail investigation, and other services not performed by probation officers. Did this court have any pre-trial services agents on June 30, 1975?

No . . . . .  
 Yes . . . . .  
 DON'T KNOW . . . . . (n=0)

IF YOU ANSWERED "YES" IN Q. 50, PLEASE ANSWER Q. 51-52. OTHERWISE, PLEASE SKIP TO Q. 55.

51. How many pre-trial services agents were working at this court on June 30, 1975? (If "NONE" in a category, please enter "0.")

a. Full-time: \_\_\_\_\_ (n=0)  
 b. Part-time: \_\_\_\_\_ (n=0)

52. Does this court provide any training--either entry-level or in-service--to its pre-trial services agents?

No . . . . .  
 Yes . . . . .  
 DON'T KNOW . . . . . (n=0)

IF YOU ANSWERED "YES" TO Q. 52, PLEASE ANSWER Q. 53-54. OTHERWISE, PLEASE SKIP TO Q. 55.

53. For those pre-trial services agents who received such training during the last fiscal year, approximately what amount of training was provided during the last fiscal year?

1 day or less . . . . .  
 2 days to 1 week . . . . .  
 1-2 weeks . . . . .  
 More than 2 weeks . . . . .  
 DON'T KNOW . . . . . (n=0)

54. Where is the formal training usually given?

a. In-house (i.e., at this court) . . . . .  
 b. At another court within this State . . . . .  
 c. Outside of this State . . . . .  
 d. Other (please specify:) . . . . .  
 e. DON'T KNOW . . . . . (n=0)

Court Operations

55. Which of the following are within the original jurisdiction of this court? (Please circle all that apply.)

a. Issue warrants (e.g., arrests, search and seizure) . . . . .  
 b. Bail hearings . . . . .  
 c. Presentments or first arraignments . . . . .  
 d. Probable cause hearings . . . . .  
 e. Arraignments post indictment or information . . . . .  
 f. Juvenile proceedings (adjudications) . . . . .  
 g. Civil jurisdiction: family/domestic relations . . . . .  
 h. Civil jurisdiction: probate . . . . .  
 i. Civil jurisdiction other than family/domestic relations or probate . . . . .  
 j. Misdemeanor trials (original jurisdiction) . . . . .  
 k. Misdemeanor appeals: trials de novo . . . . .  
 l. Misdemeanor appeals: on the record from lower court . . . . .  
 m. Felony trials (original jurisdiction) . . . . . (n=0)

**CONTINUED**

**5 OF 6**

56. Which of the following release options are used at this court?  
(Please circle all that apply.)

- a. Pre-trial release investigations to recommend release or detention . . . . .
- b. ROR program (release on recognizance) . . . . .
- c. Third-party custody (release into custody of non-family members) . . . . .
- d. Percent deposit at bail (in which some percentage of bail--often 10 percent--is deposited directly to court by offender, rather than the posting of 100 percent of bail) . . . . .
- e. Other release option used (please specify:) . . . . .

f. NONE OF THE ABOVE . . . . . (n=0)

57. Of the following facilities, which are operated by this court, which are available locally for use by this court but are operated by another agency or office, and which are not available locally at all? (IF YOUR COURT DOES NOT HOLD JUVENILE HEARINGS, PLEASE CIRCLE "NOT APPLICABLE" FOR "a" AND "b.")

	Available			
	Operated by This Court	But Not Operated by This Court	Not Available	Not Applicable
a. Pre-hearing detention facilities for juveniles only . . . . .				
b. Post-adjudication correctional facilities for juveniles only . . . . .				
c. Adult correctional facility (workhouse, jail) . . . . .				
d. Adult half-way house . . . . .				
e. Detention facility inside the courthouse (i.e., "holding room") . . . . .				

(n=0)

58. Which of the following policies or procedures are used by this court? (Please circle all that apply.)

- a. Strict continuance policy is followed to reduce the number of cases held over on calendar . . . . .
- b. Continuances granted with adjournment to a date certain . . . . .
- c. Court holds regular night sessions . . . . .
- d. Court holds regular weekend sessions . . . . .
- e. NONE OF THE ABOVE . . . . . (n=0)

IF THIS COURT HAS ORIGINAL JUVENILE JURISDICTION, PLEASE ANSWER Q. 59-61. OTHERWISE, PLEASE SKIP TO Q. 62.

59. For statistical purposes, what is the definition of "juvenile case" at this court? (Please circle only one answer.)

Each juvenile is counted as a "case" . . . . .

Each petition is counted as a separate "case" . . . . .

Other definition (please specify:) . . . . .

(n=0)

60. FOR JUVENILE CASES:

(NOTE: Please exclude dependency and neglect cases.)

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .
- b. How many new petitions were filed at this court during the fiscal year 1975? . . . . .
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . .

61. TERMINATION OF JUVENILE CASES IN FISCAL YEAR 1975:

(NOTE: Please exclude dependency and neglect cases.)

- a. Total number closed . . . . .
- b. Adjudications to probation . . . . .
- c. Adjudications to juvenile facilities . . . . .
- d. Transfers to adult jurisdiction . . . . .
- e. Findings of non-delinquency . . . . .
- f. Dismissals . . . . .

IF THIS COURT HAS NON-CRIMINAL JURISDICTION, PLEASE  
ANSWER Q. 62-65. OTHERWISE, PLEASE SKIP TO Q. 66.

62. For statistical purposes, when is a non-criminal (i.e., civil) case considered to be "filed" at this court? (Please circle all that apply:)

- a. When the first pleading is presented by a party to an official of the court
- b. When the initial filing fee (if required) is paid
- c. When the case is "ready for trial"
- d. Other time (please specify:)

(n=0)

63. For statistical purposes, what is the definition of "non-criminal case (or 'civil case')" at this court?

One separate "case" is counted for each separate complaint filed

Other definition (please specify:)

(n=0)

64. FOR NON-CRIMINAL CASES (EXCLUDING JUVENILE):

- a. How many cases were pending at this court at the beginning of fiscal year 1975?
- b. How many new cases were filed at this court during fiscal year 1975?
- c. How many cases were pending at this court at the end of fiscal year 1975?

65. TERMINATIONS OF NON-CRIMINAL CASES (EXCLUDING JUVENILE):

- a. Total number closed (fiscal year 1975)
- b. Dismissals
- c. Transfers to other jurisdictions
- d. Settlements before trial
- e. Bench trials
- f. Jury trials
- g. All others

IF THIS COURT HAS CRIMINAL JURISDICTION, PLEASE ANSWER  
Q. 66-75. OTHERWISE, PLEASE SKIP TO Q. 76.

66. How are criminal cases usually assigned?

Cases are assigned to courtrooms and are heard by judges on a rotating basis

Cases are assigned according to subject matter, to judges who specialize in certain types of cases

Cases are assigned regardless of subject matter to judges on the basis of who has time in their caseload

Other method (please specify:)

(n=0)

67. Who usually assigns criminal cases and sets a time for trial?

Clerk of the court assigns case to judge and sets time

Prosecutor, with consent of the defense lawyer, sets time, and Clerk of the court assigns case to judge

Chief or Presiding Judge assigns cases to judges, and Clerk of the court sets time for each case

Chief or Presiding Judge assigns cases to judges, and each judge sets time for each case

Clerk of the court assigns cases to judge, and judge sets time

Other method (please specify:)

(n=0)

68. Which of the following procedures or policies are followed by this court in processing criminal cases? (Please circle all that apply.)

- a. In calendaring, priority is usually or always given to criminal cases over civil cases . . . . .
- b. In calendaring, priority is given only to "old" criminal cases . . . . .
- c. In calendaring criminal cases, priority is given to incarcerated defendants . . . . .
- d. In calendaring, priority is given to criminal cases, but only when the criminal case backlog becomes large . . . . .
- e. Bail schedule for minor violations or offenses is set by court for use at police stations . . . . .
- f. Pre-trial conferences between prosecutor and defense lawyer are required . . . . .
- g. Omnibus hearings (e.g., pre-trial motions, discovery) are required . . . . .
- h. NONE OF THE ABOVE . . . . .

(n=0)

69. For statistical purposes, when is a criminal case considered to be "filed" at this court?

When the case is "ready for trial" . . . . .

When the information or indictment is entered . . . . .

When the case first comes to the attention of the court (e.g., at bail setting, arraignment) . . . . .

Other time (please specify:) . . . . .

(n=0)

70. For statistical purposes, what is the definition of "criminal case" at this court? (Please circle all that apply.)

- a. Each defendant is counted as a separate "case," regardless of whether more than one defendant is joined in the information or indictment . . . . .
- b. Each information or indictment is counted as a separate "case" . . . . .
- c. Each charge or count of an information or indictment is counted as a separate "case" . . . . .
- d. Other definition (please specify:) . . . . .

(n=0)

71. FOR MISDEMEANORS (EXCLUDING TRAFFIC VIOLATIONS):

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .
- b. How many new cases were filed at this court during fiscal year 1975? . . . . .
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . .

72. FOR FELONIES:

- a. How many cases were pending at this court at the beginning of fiscal year 1975? . . . . .
- b. How many new cases were filed at this court during the fiscal year 1975? . . . . .
- c. How many cases were pending at this court at the end of fiscal year 1975? . . . . .

73. TERMINATIONS OF CRIMINAL CASES (EXCLUDING TRAFFIC VIOLATIONS):

(NOTE: Please separate felonies and misdemeanors if possible; fiscal year 1975.)

	Felonies	Misde- meanors	or	Total
a. Total number closed				
b. Dismissals				
c. Transfers to other courts or jurisdictions				
d. Guilty pleas prior to trial				
e. Bench trials				
f. Jury trials				
g. Found guilty after trial				
h. Acquittals				
i. All other terminations				

74. Does this court keep statistics concerning specific criminal sentencing dispositions?

No . . . .

Yes . . . .

(n=0)

IF YOU ANSWERED "NO" IN Q. 74, PLEASE SKIP TO Q. 76.  
IF YOU ANSWERED "YES," PLEASE ANSWER Q. 75.

75. How many of each of the following criminal sentencing dispositions occurred at this court during fiscal year 1975? (If none, please enter "0.")

- a. Suspended sentence or unconditional discharge . . . . .
- b. Probation . . . . .
- c. Incarceration . . . . .
- d. Fine . . . . .
- e. All others . . . . .

Office Information

76. Does this court routinely supply a central state repository with disposition information concerning individual cases?

No . . . . . 58%

Yes . . . . . 32

(n=36)

77. Are computers used in the management and operation of this court?

No . . . . . 67%

Yes . . . . . 33%

(n=36)

IF YOU ANSWERED "YES" TO Q. 77, PLEASE ANSWER Q. 78-79.  
IF YOU ANSWERED "NO," PLEASE SKIP TO Q. 80.

78. Which of the following tasks are computerized? (Please circle all that apply.)

- a. Payroll . . . . . 30% (n=12)
- b. Accounting . . . . . 28 (n=11)
- c. Personnel records . . . . . 10 (n=4)
- d. Equipment inventory . . . . . 8 (n=3)
- e. Court records management . . . . . 5 (n=2)
- f. Calendaring . . . . . 5 (n=2)
- g. Identification of lagging cases . . . . . 10 (n=4)
- h. Disposition statistics . . . . . 15 (n=6)
- i. Jury selection and scheduling (for trial courts only) . . . . . 2 (n=1)
- j. Other (please specify:) . . . . . 2 (n=1)

79. How long have computers been used in the management and operation of this court?

One year or less . . . . . 0%

Over a year, but less than two years . . . . . 0

Two years or longer . . . . . 28 (n=11)

NOTE: IF PRECISE FIGURES ARE NOT AVAILABLE,  
PLEASE GIVE YOUR BEST ESTIMATE.

80. Does the fiscal year for this court operate on a calendar year basis?

No . . . . . 95%  
Yes . . . . . 5  
(n=37)

81. Total annual expenditures for this court during the last complete fiscal year: . . . . . \$ \_\_\_\_\_

82. Annual payroll expenditures (salaries and fringe benefits) for this court during the last complete fiscal year: . . . . . \$ \_\_\_\_\_

83. Annual operating expenditures for training for this court's staff for the last complete fiscal year (excluding salary of trainees): . . . . .  $\bar{x}$  n= \$4,814 27

84. Please indicate the sources of funding for this court, giving the approximate percentage derived from each source:

a. State funds . . . . .	91%	(n=36)
b. County or city funds . . . . .	0	(n=36)
c. Federal funds . . . . .	8	(n=36)
d. Other (please specify:) . . . . .	5	(n=34)

\_\_\_\_\_

\_\_\_\_\_

Thank you for your cooperation. Any comments you care to make concerning the topics covered in this questionnaire would be most appreciated.

STANDARD CODES FOR "OPEN-ENDED" QUESTIONS

STANDARD CODES FOR THE "Major Obstacle"  
Question: All Executive Questionnaires

	Code
NO PROBLEMS or NO MAJOR OBSTACLES: nothing wrong with administration of justice in this jurisdiction . . . . .	00
WITHIN-OFFICE INSUFFICIENCIES	
Insufficient within-office FUNDS (mentions this only): . . . . .	01
Insufficient within-office MANPOWER (mentions this only): . . . . .	02
Insufficient within-office EXPERIENCE or TRAINING (mentions this only): . . . . .	03
Combination of insufficient within-office FUNDS and/or MANPOWER and/or EXPERIENCE (training) . . . . .	04
Other within-office insufficiency not covered above . . . . .	09
PROBLEMS RELATED TO LACK OF AGENCY ORGANIZATION, BUREAUCRACY, OR POLITICS	
R's office does not have autonomy: office budget is regulated and supervised by another office or agency; lack of independence from (other) related offices higher up in the hierarchy; too much control from above . . . . .	10
State-wide lack of coordination within the agency as a whole: the top executives for this agency (or department) do not plan; lack of coordination of services provided (especially typical of corrections comments); lack of inter-office/intra-agency planning or coordination . . . . .	11
R's office (or agency) receives proportionately less than its "fair share" of funds or resources: (especially typical of defenders and small police comments) . . . . .	12
Failure of local government to support R's office properly: especially typical are indictments against the local county boards; county board won't appropriate enough funds to operate office . . . . .	13
Other problems related to lack of agency organization, bureaucracy, or politics not covered above . . . . .	19

SYSTEM-WIDE PROBLEMS, COVERING ENTIRE CRIMINAL JUSTICE SYSTEM

System-wide manpower and resources shortage: SPECIFICALLY INCLUDES MENTION OF SHORTAGE WITHIN OWN OFFICE. Shortage of manpower or resources in two or more areas, e.g., not enough "judges, prosecutors, and police"; "the serious lack of resources and money makes my office compete with other agencies for funding" . . . . .	20
System-wide manpower and resources shortage: DOES NOT SPECIFICALLY INCLUDE MENTION OF SHORTAGE WITHIN OWN OFFICE. (Otherwise, same as "20," immediately above.) . . . . .	21
Pervasive lack of structure throughout entire criminal justice "non-system": cites the "fragmentation of justice" throughout the CJ system; indictment of entire disorganization of system . . . . .	22
System-wide AGENCY-oriented lack of coordination or communication among CJ agencies: lack of cooperative atmosphere among law enforcement, prosecution, and judicial officers (but not funding related) . . . . .	23
JUVENILE Justice System Problems: lack of definition in JUVENILE justice and juvenile law; juvenile court judges have no training in juvenile justice; police not familiar with the methods and procedures for handling juveniles; Juvenile Code doesn't recognize violations which are really serious; comments focusing on problems stemming from lack of attention to Juvenile Justice. (Note: lack of juvenile judges is coded under 30.) . . . . .	24
Other system-wide problems not covered above . . . . .	29

COURT or LEGAL SYSTEM PROBLEMS

<u>Court system manpower shortage: not enough juvenile judges; not enough judicial personnel; not enough regular judges . . .</u>	30
<u>Court system resources or facilities shortage . . . . .</u>	31
<u>Court system process failure: crowded dockets; delay in due process; specific complaints about court process . . . . .</u>	32
<u>General indictment of "The Courts," but no details given . . . .</u>	33
<u>Plea Bargaining: specifically mentioned as an undesirable procedure which ought to be eliminated, if possible . . . . .</u>	34
<u>Discrepancies in Sentences: due to lack of standards in sentencing; (note: comments citing improper judge performance or intentional unfairness or misconduct do not belong in this category, but rather in "indictment of judicial personnel performance" --see code 43; also 45) . . . .</u>	35
<u>Legislated Leniency: liberal Supreme Court decisions have restricted the ability to prosecute; Miranda; too much legislative concern for the rights of the defendant (criminal), and not enough concern for rights of victim . . .</u>	36
<u>Other court or legal system problems not covered above . . . .</u>	39

INDICTMENTS OF PERFORMANCE OF CRIMINAL JUSTICE SYSTEM PERSONNEL

<u>Indictment of performance of Law Enforcement personnel: negative attitude of police officers; law enforcement personnel are poorly trained; inadequate performance in arrests or investigative or evidence procedures . . . . .</u>	40
<u>Indictment of performance of prosecutor: overcharging; prosecutor files charges improperly; other complaints . . . .</u>	41
<u>Indictment of performance of defense attorney: alleged sneaky or dilatory defense tactics; inadequate defense; other complaints . . . . .</u>	42
<u>Indictment of performance of judges: poor exercise of judicial responsibility; judges "don't care" about justice; judges don't show up regularly to hold court; COMPLAINTS ABOUT IMPROPER OR "OUT OF LINE" PERFORMANCE . . . . .</u>	43
<u>JUDGES: need legal training; need to be licensed attorneys: (not implying improper or "out of line" performance) . . . .</u>	44
<u>Judicial Leniency: sentences are too short and too "easy"; too much probation is allowed; too much parole allowed; not enough incarceration; parole is too soon and too easy to get; reluctance to be hard on repeat offenders . . . . .</u>	45
<u>Indictment of both Law Enforcement and Judicial Leniency: (i.e., combination of "40" and "45") . . . . .</u>	46
<u>Indictment of both Prosecution and Judicial Leniency: (i.e., combination of both "41" and "45") . . . . .</u>	47
<u>Indictment of both Law Enforcement and Prosecution: (i.e., combination of both "40" and "41") . . . . .</u>	48
(NB: "49" is not a code.)	
<u>Indictment of performance of probation/parole officers . . . .</u>	50
<u>Indictment of performance of corrections officers . . . . .</u>	51
<u>Indictments of CJ system personnel performance not covered above . . . . .</u>	59

Code

FACILITIES AND PROGRAMS PROBLEMS

Lack of rehabilitative programs or alternatives to probation:  
lack of adequate resources for placement, medical treatment,  
or counselling; lack of corrections or diversion programs;  
lack of alternatives to prison or jail sentences; lack of  
adequate resources for rehabilitative programs or facilities . . . 60

Lack of jail or prison or other conventional confinement  
facilities . . . . . 61

Other facilities or programs problems not covered above . . . . 69

MISCELLANEOUS

Lack of public or community comprehension of or interest in  
problems of the Criminal Justice system: general public  
apathy; lack of interest by the people; lack of awareness;  
no public support; lack of community sense of responsibility;  
no clear mission or public support for our operation . . . . . 90

Conflicting philosophies about criminal justice and/or  
about corrections: variables in values, philosophy, and  
standards of agencies and the community; political and  
budgetary philosophy; criminal justice philosophy . . . . . 91

News Media: pre-trial publicity . . . . . 92

Informality of the area (rural, especially) makes efficient  
operation of the agency or office difficult . . . . . 93

UNCLASSIFIABLE OTHERS . . . . . 98

\*\*\* NO ANSWER: "Major Obstacle" question entirely skipped by R . . . 99 \*\*\*

Prosecutors: Open Ended Codes for Q. 50

Card 05

Col(s):

1 - 5

6 - 9

10

BSSR No.: 46714

Questionnaire ID number: (4 digit number)

Q. 50: Major Obstacle: FIRST MENTION

Codes:

No problems or no major obstacles: nothing wrong  
with administration of justice in this jurisdiction;  
other similar responses. . . . . 0

Insufficient prosecutorial manpower or supportive  
services (such as investigation). May or may not  
be result from insufficient budget; prosecutor should  
be full-time; excessive workload/caseload. . . . . 1

Indictment of performance of law enforcement personnel:  
inadequate performance in arrests or investigative or  
evidence procedures; inadequately or poorly trained. . . . 2

Indictment of performance of judicial personnel (judges):  
lack of training of judges; need judges with law  
degrees; poor exercise of judicial responsibility; other  
indictment relating to judicial personnel. . . . . 3

Indictment of criminal justice system: lack of manpower  
to staff courts; crowded dockets; poor court admini-  
stration; not enough courts or court facilities; not  
enough law enforcement manpower; criticism of lack of  
organization all throughout CJ system; mention of need  
for improved prosecutor system (organization of). . . . . 4

Lack of public or community awareness about, or inter-  
est in, CJ system problems: includes results  
of such lack of awareness, e.g., "local gov't doesn't  
care about this office and won't fund it." . . . . . 5

Prosecutors: Open Ended Codes, Q. 50

Card 05, (cont'd)

Col(s):

10 (cont'd)

Over-advocacy on behalf of the defendant: too much concern for defendant's rights; liberal Supreme Court decisions restricting the ability to prosecute; sneaky or dilatory defense tactics; general permissive attitude about defendants. . . . . 6

Rehabilitation-Incarceration-Sentencing controversy: sentencing too lenient; too much probation; parole too easy; not enough incarceration; need more use of prison facilities. . . . . 7

Publicity problems or related problems arising from informality of the jurisdiction: informal norms and "word of mouth" make prosecution difficult; also includes more formal news media problems. . . . . 8

Other: Any first mention not falling into one of the above categories. . . . . 9

NOTE: TWO OR MORE "OTHER" COMMENTS MUST BE CODED AS "90". THE CODE "99" IS RESERVED FOR USE ONLY AS "NO ANSWER GIVEN." (Cols. 10 and 11)

Major Obstacle: SECOND MENTION  
Codes:

No Problem or no second mention. . . . . . 0

Insufficient prosecutorial manpower or supportive services (such as investigation). May or may not result from insufficient budget. Prosecutor should be full-time; excessive workload/caseload. . . . . 1

Indictment of performance of law enforcement personnel: inadequate performance in arrests or investigative or evidence procedures; inadequately or poorly trained. . . . 2

VII-322

Prosecutors: Open Ended Codes, Q. 50

Card 05, cont'd

Col(s):

11 (cont'd)

Indictment of performance of judicial personnel (judges): lack of training of judges; need judges with law degrees; poor exercise of judicial responsibility; other indictment relating to judicial personnel. . . . . 3

Indictment of criminal justice system: lack of manpower to staff courts; crowded dockets; poor court administration; not enough courts or court facilities; not enough law enforcement manpower; criticism of lack of organization all throughout criminal justice system; mention of need for improved prosecutor system (org. of). . . . . 4

Lack of public or community awareness about, or interest in, CJ system problems: includes results of such lack of awareness, e.g., "local gov't doesn't care about this office and won't fund it." . . . . . 5

Over-advocacy on behalf of the defendant: too much concern for defendant's rights; liberal Supreme Court decisions restricting the ability to prosecute; sneaky or dilatory defense tactics; general permissive attitude about defendants. . . . . 6

Rehabilitation-Incarceration-Sentencing controversy: sentencing too lenient; too much probation; parole too easy; not enough incarceration; need more use of prison facilities. . . . . 7

Publicity problems or related problems arising from informality of the jurisdiction: informal norms and "word of mouth" make prosecution difficult; also includes more formal news media problems. . . . . 8

Other: Any second mention not falling into one of the above categories. . . . . 9

NOTE: THE CODE "99" IS RESERVED FOR USE ONLY AS THE "NO ANSWER GIVEN" CODE. (Cols 10 and 11)  
TWO OR MORE "OTHER" COMMENTS MUST BE CODED AS "90." ("9" in Col. 10 and "0" in Col. 11.)

\*\*\* No Answer Given: (no answer at all to Q. 50). . . . . 9 9  
VII-323

Probation/Parole: Open Ended Codes for Q. 66

BSSR No.: 46718

Questionnaire ID number: (4 digit number)

Q. 61 - 65 (pre-coded in questionnaire)

Q. 66: Major Obstacle: FIRST MENTION

Codes:

No problems or no major obstacles: nothing wrong with administration of justice in this jurisdiction; other similar responses. . . . . 00

Insufficient probation/parole manpower (numbers of bodies) or insufficient funds, producing insufficient manpower: also too heavy caseload or workload; insufficient p/p resources. . . . . 01

Inadequate training of probation/parole officers: not enough training of p/p officers. . . . . 02

Indictment of performance of law enforcement personnel: ("Negative attitude of police officers"; "law enforcement officers are poorly trained"); similar comments about law enforcement personnel performance. . . . . 03

Indictment of attorney (either prosecution or defense, or both) performance: "improper filing charges"; "weak prosecution"; similar comments. . . . . 04

Problems specific to COURTS:  
Judicial system manpower shortages: not enough judges; not enough juvenile judges; similar comments. . . . . 05

Court system process failure: "discrepancies in sentencing"; delay; crowded dockets; "inconsistent court practices"; "judicial system"; "courts". . . . . 06

Plea bargaining: (specific mention). . . . . 07

Legal leniency: "leniency of court with repeated offenders"; apathy among judges; lack of strong judicial decisions; liberal Supreme Court decisions; over-emphasis on "rights of defendant". . . . . 08

Card 05

Col(s):

1 - 5

6 - 9

10 - 62

63 - 64

Probation/Parole: Open-Ended Codes for Q. 66: p. 2

Card 05 (cont'd)

Col(s):

63 - 64 (cont'd)

Q. 66: Major Obstacle: FIRST MENTION (cont'd)

Problems stemming from bureaucracy or state or local politics: "lack of coordination within dept. of corrections"; too much control from above; lack of unified probation/parole services; "the top executives of criminal justice (in this state) do not plan"; other similar comments. . . . . 09

Lack of community-based resources or facilities: "lack of adequate resources--public and private-- for placement, medical treatment, counselling"; "money-- for corrections and diversion programs"; lack of coordination and use of community resources. . . . . 10

General public ignorance of the CJ system or public apathy: "lack of interest of the people"; "lack of community awareness of the problem"; lack of community responsibility; no clear mission or public support for our operation. . . . . 11

Problems which are SYSTEM-WIDE (entire CJ system):  
System-wide lack of knowledge about juvenile justice: "juvenile court judges have no training in juvenile justice"; "police are not familiar with the methods and procedures for handling juveniles"; "the Juvenile/Children's Code doesn't recognize violations which are really serious". . . . . 12

System-wide lack of manpower and resources: "not enough judges, prosecutors, probation personnel, and police"; lack of prosecutors; "serious lack of resources--agencies are competitive for funding"; LACK OF CJ PERSONNEL IN SEVERAL CATEGORIES. . . . . 13

System-wide lack of coordination among CJ agencies: "a lack of communication among criminal justice components"; fragmentation of justice for juveniles and adults at all levels; Lack of cooperative atmosphere among enforcement, prosecution, and judicial offices. . . . . 14

Card 05 (cont'd)

Col(s):

Q. 66: Major Obstacle: FIRST MENTION (cont'd)

63-64 (cont'd)

Conflicting philosophies about criminal justice and/or about corrections: "political and budgetary philosophy--criminal justice philosophy"; "variables in values, philosophy, and standards of agencies and the community"; other similar responses. . . . . 15

Unclassifiable Others: any comments not covered by one of the above categories. . . . . 16

Q. 66: Major Obstacle: SECOND MENTION: to be coded, codes to be entered in right-hand margin on p. 25, immediately above black diamond (between black diamond and "74/4"). Thus:

Major Obstacle, Second Mention;  
Codes:

75 - 76

-----same as for First Mention-----

NOTE: "no second mention" to be coded "00" (same as for Major Obstacle coding on Prosecutors Questionnaires).

\*\*\*\*\*NOTE: "No Answer Given" MUST be coded "9999", i.e., "99" as residual in columns 63-64, and "99" written in for columns 75-76.

APPENDIX B  
INITIAL AND FOLLOW-UP LETTERS

UNITED STATES DEPARTMENT OF JUSTICE  
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION  
WASHINGTON, D. C. 20531



OFFICE OF THE ADMINISTRATOR

To Criminal Justice Agency Administrators

Dear Colleague:

Our Nation relies heavily on the competence of the hundreds of thousands of men and women who staff state and local law enforcement and criminal justice agencies, such as yours, in its efforts to prevent and control crime. One of the important aims of the Law Enforcement Assistance Administration is to assist in upgrading the skills and knowledge of the people who most directly confront the problems of reducing crime.

The Crime Control Act of 1973 requires that the LEAA survey the personnel needs of the nation's law enforcement and criminal justice agencies and "specifically determine the effectiveness and sufficiency of training and academic assistance programs" carried out under the legislation. The law further requires that the results be used in establishing guidelines for allocation of future resources to these programs. This is now being done under contract as part of the National Manpower Survey of the Criminal Justice System.

As an executive of a criminal justice agency, you will shortly receive a questionnaire from the National Manpower Survey. This questionnaire will seek your personal assessments of the manpower, education and training needs of your agency. Your completion and return of the questionnaire is vital to the success of this very important survey.

I hope you will be able to devote your personal attention to this matter. Your cooperation will be greatly appreciated.

Sincerely,

Richard W. Velde  
Administrator



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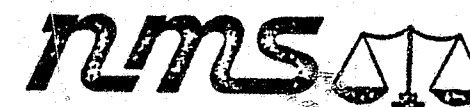
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MANDATED BY PUBLIC LAW 93-93

NATIONAL MANPOWER SURVEY - CRIMINAL JUSTICE SYSTEM  
Bureau of Social Science Research, Inc. • 1990 M Street, N.W. • Washington, D.C. 20036  
(202) 223-4300

Dear Chief:

A few weeks ago, we sent you a questionnaire for the National Manpower Survey of manpower, training and related issues. We are quite concerned that we have not as yet received yours. Having worked with police departments across the country, we know that you probably need a fifty-hour workday just to meet all the demands currently made upon you. If the National Manpower Survey were not so important both to the United States Congress and to your individual department, I would not so urgently request your personal cooperation.

For Congress even to begin thorough consideration of manpower and training issues requires more than routine statistical information. It requires expert judgment. There is no other source of expertise that begins to compare with that based upon your professional experience. Your personal cooperation is necessary if the Congress is to receive an accurate portrayal and evaluation of police manpower and training as compared with the other types of criminal justice agencies participating in the study.

In case the original questionnaire went astray, another copy is being sent to you under separate cover. Won't you please take the necessary time to participate in this important inquiry? To save your time, all routine statistical matters have been concentrated in the final section of the questionnaire. You might wish to have a staff member complete this section. The earlier parts of the questionnaire require expert judgment, and we urge you to complete these sections personally. If you find that we have omitted any issues you believe to be particularly important, please note them in the space provided, on the inside of the back cover, or by attaching additional pages.

If you have any questions regarding the study or the questionnaire, please call me collect at (202) 223-4308.

Sincerely,

James M. Kretz, Director  
Survey Operations Division

P.S.: If you have returned your questionnaire within the past five days, please ignore the duplicate copy that will reach you shortly.

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MGWSHT HSA  
1-157172U157007 06/05/76  
ICS WA11167  
00104 MLTN VA 06/04/76



Mailgram



JAMES M KRETZ  
BUREAU OF SOCIAL SCIENCE RESEARCH  
1990 M ST, NW(700)  
WASHINGTON, DC 20036

DEAR SIR OR MADAM:

WE UNDERSTAND, ALTHOUGH WE VERY MUCH REGRET, YOUR APPARENT DECISION NOT TO TAKE PART IN THE NATIONAL MANPOWER SURVEY'S STUDY OF PROFESSIONAL COURT ADMINISTRATORS.

IN THE NMS FINAL REPORT TO CONGRESS, WE MUST ENSURE THAT THE PERSPECTIVES AND INTERESTS OF COURTS ACROSS THE NATION-- OFTEN A NEGLECTED PART OF THE CRIMINAL JUSTICE SYSTEM-- ARE FULLY REPRESENTED. THERE IS NO BETTER SOURCE OF EXPERT OPINION ABOUT MANPOWER AND TRAINING NEEDS OF TODAY'S COURTS, AND ABOUT THE DEVELOPING ROLE OF THE COURT ADMINISTRATOR, THAN YOU, THE ADMINISTRATOR. NO OTHER COURT OFFICIAL CAN PROVIDE US WITH THE EVALUATIONS AND JUDGMENTS ABOUT COURT PROBLEMS FROM A PROFESSIONAL ADMINISTRATOR'S POINT OF VIEW.

WE SHALL BE VERY MUCH IN YOUR DEBT IF YOU WILL RECONSIDER, AND COMPLETE AND RETURN THE GREY BOOKLET (THE PROFESSIONAL COURT ADMINISTRATOR'S QUESTIONNAIRE) WHICH WILL ARRIVE SHORTLY, UNDER SEPARATE COVER. IF YOU HAVE ANY QUESTIONS ABOUT THE COURT ADMINISTRATOR STUDY, OR ABOUT THE NMS AS A WHOLE, PLEASE DO NOT HESITATE TO CALL ME OR CAROL SOSDIAN COLLECT AT (202) 223-4308. WE LOOK FORWARD TO HEARING FROM YOU.

SINCERELY,  
JAMES M. KRETZ, DIRECTOR  
SURVEY OPERATIONS DIVISION  
NATIONAL MANPOWER SURVEY OF THE  
CRIMINAL JUSTICE SYSTEM  
BUREAU OF SOCIAL SCIENCE RESEARCH  
1990 M STREET, N.W. (SUITE 700)  
WASHINGTON, D.C. 20036

9000  
01:42 EST

MGWSHT HSA

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REPLY BY MAILGRAM - SEE REVERSE SIDE FOR WESTERN UNION'S TOLL - FREE PHONE NUMBERS

APPENDIX C

NMS OCCUPATION CODING INSTRUCTIONS

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BSSR: 467  
May, 1975

Bureau of Social Science Research, Inc.  
1990 M Street, N.W., Washington, D.C. 20036  
(202) 223-4300

NMS OCCUPATIONAL CODE FOR  
CENSUS EMPLOYEE CHARACTERISTICS SURVEY

PART I

Background Concepts Essential to Understanding and Applying the Code

a. Criminal Justice System Structure and Functions: Basically the NMS Code relies upon a functional analysis of the criminal justice system, in rather general use, in terms of which the system is divided into three main sectors forming a logical and chronological sequence. These are:

- i) Law Enforcement: The "policing" function, which covers everything from responsibility for keeping the peace, through answering citizens' calls for assistance, patrolling streets and highways, and investigation of crimes. The law enforcement function terminates with the arrest of a suspect and a decision to hold the suspect answerable for a crime.
- ii) Judicial Process: This is the "adjudicative" function of determining the legal innocence or guilt of the detained suspect and the penalties to be imposed in the latter case. The adjudicative function begins when the prosecutorial machinery takes over from the police, with decisions to seek or not seek an indictment, or screening for a decision to prosecute or not; it continues with such matters as admission or nonadmission to bail or release on own recognizance, development of the prosecutor's and--for indigents--the public defender's case, including plea bargaining, actual trial, etc. It terminates whenever the accused is either dismissed from the criminal justice system--i.e., not prosecuted or found not guilty--or convicted and sentenced to some penalty.
- iii) Corrections: This sector refers to all post-conviction and/or post-sentencing restrictions imposed upon the offender until he is fully discharged from the system. The exact form will vary with the court's sentence, including probation and supervision, imprisonment, contingent release and parole.

Unfortunately, the structure--that is, the administrative organization--of the criminal justice system does not always follow these functional lines so neatly. Although particular classes of agencies are usually assigned to one of the three main functional headings above, in practice the

activities carried out by specific agencies may be classifiable into more than one functional area or may even fall outside the functional criminal justice system entirely. Part of the NMS code is intended to make the more structural agency code, incorporated into the \_\_\_\_th digit of the Census Schedule ID Number, convertible into the NMS functional classification of agencies, to the extent that this classification can be inferred for the agency from the functional job descriptions given by individual employees.

The more common types of agencies and their usual structural classification, along with those frequent activities that would be functionally misclassified if the structural classification alone were used, may be summarized as:

i) LAW ENFORCEMENT

- a) Police Departments: Sometimes operate jails (which are classified as corrections, which see), but should not be confused with (temporary) lockups, which are part of the general policing function (that is, briefly holding suspects until a decision as to their disposition).

Sometimes operate police courts, which are functionally part of the courts segment of the judicial process sector.

- b) Sheriff's Departments: Frequently (sometimes solely) operate jails (which are classified as corrections, which see).

Sometimes perform auxiliary court functions such as bailiff, guard, jury sequestration, process serving, etc. (which are functionally part of the courts segment of the judicial process sector).

ii) JUDICIAL PROCESS

- a) Prosecutor's Offices: At State level, may be organized in the model of the Federal Department of Justice or as an Attorney General's Department. In such cases may contain a "Bureau of Investigation (ala FBI), which is a law enforcement agency or police department, and which can frequently be distinguished by the use of FBI-like title for employees--e.g., Agent, Special Agent, Agent-in-Charge, etc.

At all levels--state, county, city--these offices provide legal services other than or in addition to prosecution of criminals to their political jurisdictions. These may be divided roughly into adjudicative (representing the government in civil suits) and nonadjudicative (regulatory and administrative legal activities). Basically, these activities do not belong functionally within the criminal justice system, but are so intertwined with the rest of judicial process that they are included, though distinguished when possible.

- b) Public Defenders: The only instance where structure and function completely correspond.
- c) Courts: Frequently have administrative responsibility for probation agencies or workers (which are functionally classified as corrections).

Almost always include non-criminal justice activities in somewhat the same fashion as prosecutor's offices: that is, either adjudication of civil suits or nonadjudicative administration of such public legal regulations as birth, death, marriage, real estate, registrations, etc. These are, as with prosecutor's offices, functionally distinguished when possible, though not eliminated from the judicial process sector.

### III) CORRECTIONS

- a) Jails: Since jail populations are a mixture of those whose cases have not yet been adjudicated and those who are serving sentences, no classification of jails is entirely satisfactory. As a means of assuring the court appearance of accused offenders, jails are as much a part of judicial process as bail or other release arrangements. Since little distinction is made in practice in the treatment given pre-adjudicatory and post-sentencing residents, their prison-like character results in their classification here. Much the same can be said of detention centers, which were originally established to house juvenile offenders pre-disposition, but now have a mixed population.
- b) Prisons: Usually combine the two primary functions of corrections into one agency; namely the secure custody of offenders and the rehabilitation of offenders.
- c) Parole (and probation) agencies: Part of the rehabilitative function of corrections, these may, nevertheless, be structurally administered almost anywhere in the criminal justice system.
- d) Other rehabilitative services: As with parole and probation, these correctional functions may be separate agencies, subsidiary facilities of prisons (e.g., work release), or administered outside the criminal justice system (welfare, social service, departments).

- b. Operations and Support in Classifying CJ Agencies and Occupations: The second general element on which the NMS code is based is the "line-staff" distinction. The intent is to classify occupations and positions within the criminal justice system in terms of their relationship to the primary function(s) of their sector. Underlying the specific code categories is a fundamental three-way division into:

- 1) PRIMARY OPERATING POSITIONS: The basic "point-of-contact" position(s) in which the primary function(s) of the agency or its CJ sector are performed. In simplified form, they may be thought of as the sequence of positions through which the law enforcement/criminal justice process is carried out in an idealized case. The primary CJ functions and the basic line positions through which they are performed are presented and defined in more detail in Chart 1; for present purposes the key line positions will simply be listed:

Police Patrol Officer  
Criminal Investigator/Detective  
Prosecutor  
Defender  
Judge  
Correctional officer  
Parole Agent/Probation Supervisor  
Counselor/Caseworker

It should be noted that there is only one basic line position for each agency-function subdivision in the NMS code, although each position may be identified by a variety of job titles. By convention, however, the positions which constitute the direct hierarchy of supervision and management above the basic, primary line position are also classified as primary operating positions.

ii) DIRECT OPERATIONAL SUPPORT POSITIONS: Positions whose function in direct support of the line activity. Typical direct operational support positions are listed in Chart 2.

iii) INDIRECT SUPPORT/GENERAL SERVICE POSITIONS: Positions whose functions contribute only indirectly to the performance of the primary position, no matter how essential the service performed. These are usually regarded as "staff" (in contrast to "line") functions and may vary all the way from actually training employees for the basic line position, through agency planning, down to the quite general services (e.g., building maintenance, clerical duties) required by all enterprises whatever their functions.

Basically, the NMS code is intended to preserve greater occupational detail than the Census Occupational Code permits only for positions in the first two categories above; that is, primary operating positions and direct operational support positions. Indirect support or general service positions are handled quite summarily, for the most part.

Primary Criminal Justice System Functions and Associated Basic Operating Positions

PRIMARY FUNCTION	BASIC OPERATING POSITION
A. <u>Peacekeeping, Law Enforcement, PATROL:</u> Protection of public safety; traffic or highway patrol; walking a beat; riding a patrol vehicle; answering citizens' calls; crowd control; maintenance of order at public events; "policing"	Police (Patrol) Officer
B. <u>Investigation of reported or suspected crimes, CRIMINAL INVESTIGATION:</u> Followup investigation of patrol reports; location of suspects; interview of witnesses; Interrogation of suspects	Investigator/Detective
C. <u>Legal representation of state or local governmental unit, PROSECUTION:</u> Development and presentation of government's case in civil and criminal matters; monitoring of compliance with administrative regulations; development of regulatory procedures required by laws	Staff Attorney/Prosecutor
D. <u>Legal representation of indigent offenders, INDIGENT DEFENSE:</u> Representation of indigent offenders at all stages of judicial process	Staff Attorney/Defender
E. <u>Definitive adjudication of legal disputes, COURTS</u>	Judge
F. <u>Secure custody of suspected and convicted offenders, CORRECTIONAL CUSTODY:</u> housing and supervision of offenders; maintenance of secure arrangements; "guarding"	Correctional Officer/Guard
G. <u>Supervision of released or non-incarcerated offenders, PROBATION &amp; PAROLE</u>	Probation Supervisor/Parole Agent
H. <u>Other rehabilitation of offenders (institutional and non-institutional), CORRECTIONAL TREATMENT:</u> preparation of offenders for return to society; development of alternatives to criminal activities; detoxification	Counselor/Case worker

CHART 2

Typical Job Titles for Operating Positions in the Criminal Justice System

PRIMARY CJ FUNCTION	TYPICAL JOB TITLES	
	BASIC OPERATING POSITION	DIRECT OPERATIONAL SUPPORT POSITION
A. Patrol	Patrol Officer Highway Patrolman Trooper Deputy Sheriff	Booking Officer Communications Officer Dispatcher Lockup Supervisor
B. Criminal Investigation	Detective Agent Special Agent	Crime Scene Technician Evidence Technician Fingerprint Technician Forensic Scientist Medical Examiner
C. Prosecution	Asst. State's Attorney Asst. District Attorney County Attorney Staff Attorney	Investigator Interviewer Legal Research Assistant
D. Indigent Defense	Asst. Public Defender Staff Attorney	Investigator Interviewer Legal Research Assistant
E. Courts	Judge Justice of the Peace	Commissioner of Juries Court Guard, Bailiff Pre-Sentence Investigator Social Worker Subpoena Server
F. Correctional Custody	Correctional Officer Guard Houseparent Deputy Sheriff	Mail Censor Classification Officer
G. Probation & Parole	Parole Agent Probation Supervisor	Psychologist Vocational Specialist
H. Correctional Treatment	Counselor Caseworker	Academic Teacher Chaplain Psychiatrist Recreation Specialist Vocational Teacher

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One possible source of confusion in applying the NMS code is that it is quite possible to apply the above three-way classification to agencies as well as to individual positions within an agency. Thus, for example, in the law enforcement sector, a police department is an operating agency; a medical examiner's office or a criminalistics laboratory is a direct operational support agency; and a commission on police standards and training or a training academy is a staff or indirect support agency. Obviously, not every position in an operating agency is a primary operating position; it is also true, however, that a support agency does not have direct operating positions. The relationship between agency and positions can be stated as: Every agency has positions at and below its own level of relationship to operations, but positions at a particular level of relationship to operations can occur only in agencies at or above the position's level. With X's used to indicate combinations of agency and position class which can occur, the relationship may be diagrammed as:

	<u>Operating Agencies</u>	<u>Direct Support Agencies</u>	<u>Indirect Support Agencies</u>
Operating positions	X		
Direct support positions	X	X	
Indirect support positions	X	X	X
General service positions	X	X	X

Fundamentally, it is the position, not the agency, which the NMS code is classifying, but some familiarity with the latter may assist in determining the former.

c. Clarifying the Concept of "Agency": Generally speaking, an "agency" is an independent administrative unit, most easily exemplified by a city police department of a county district attorney's office. In such cases, the agency includes all branch offices or subsidiary activities within the single agency; that is, for example, for a city police department, the agency consists of central headquarters, any district offices it may maintain, the police academy operated by the police department and any other such supporting service offshoots which are a part of the agency.

In the case of multifunction organizations, however (most easily typified by a State Department of \_\_\_\_\_), the largest subdivision charged with a particular, distinct criminal justice function is considered to be the "agency". For example, within the Federal Department of Justice, the FBI is counted as a separate law enforcement agency; the Anti-Trust Division is a separate prosecution and legal services agency; LEAA is a separate system-wide support agency, etc. Similarly, a county sheriff's department which has two separate divisions--one for law enforcement and one for corrections (jail operation) is classified here as two separate agencies.

This definition of "agency" has to be understood in order to determine whether a given position is, for example, staff or line, and, if line, what the basic line position is. Even more directly, however, the definition of the agency determines the agency management hierarchy and the level at which an individual executive or manager should be classified in that hierarchy. Again, with a simple (single-function) agency, classification presents few problems: there is an unambiguous agency head variously titled "chief",

"sheriff", "director", etc.; responsible heads of any agency divisions, sections or departments--e.g. "Director of training", "District director", etc.--are classified into lower levels of the management hierarchy. With a multiple-function agency, however, if a department, division, or section is defined as a separate agency, then the head of that part is classified as the agency's head. The head of the multifunction agency is also counted as an agency head, but he is the head of the cross-sector "agency" (e.g., Office of the Attorney General) which would be classified as a staff (nonline) system support agency.

Complex single-function agencies are treated in the same fashion as multi-function agencies. If, for example, all of a state's correctional facilities head up in a State Department of Corrections, then each major facility (including any subfacilities it administers, like halfway houses) is treated as a separate agency; the central office of the Department of Corrections is, then, another separate agency, classified as a non-line correctional agency.

While all of the detailed knowledge of the organization of an agency or of a State's criminal justice system implied in the above discussion is not available when coding an individual respondent, there will, nevertheless, usually be sufficient information in executives' answers to Q. 11 to permit reasonable inferences to be made. For example, in the pretest, one respondent described himself as the Attorney General of a state and stated his work activities as: "Chief Law Enforcer, State of ----: prosecution for serious felonies and direct control of police in the state." From this description, the individual is obviously head of an agency with cross-sector responsibilities.

## PART II

### Codes and Code Categories for the NMS Occupational Code

The NMS Code's structure is presented in this section and constitutes a code-book from which trained coders can work. No attempt should be made to work from this code, however, until the procedural directions, which are presented in Part III below, have been thoroughly reviewed.

The NMS code consists of four digits, each of which is separately coded, although the choices of appropriate codes must be made in relation to each other. The first two digits of the code are coded uniformly for all questionnaires; the third digit is coded from a set of quite different codes, with the coding of the first two digits determining which of the third-digit codes is used; the final digit derives from a single code for all questionnaires, but is automatically coded into the "inapplicable" category, except for selected categories of the second-digit code.

To summarize the set of codes briefly:

- First Digit:** NMS FUNCTIONAL CLASSIFICATION OF OCCUPATION. Sections b and c of Part I provide clarification of the concepts used in this code.
- Second Digit:** NMS SECTOR/AGENCY CLASSIFICATION. Section a of Part I discusses this classification scheme.
- Third Digit:** STRUCTURAL/FUNCTIONAL DETAIL FOR SELECTED OCCUPATIONAL AND/OR AGENCY CLASSES. This code varies with the coding of the first and/or second digit(s).
- Fourth Digit:** RANK (POSITION) IN PARAMILITARY STRUCTURE. This code depends upon the coding of the second digit.

Examples of correct coding classification are shown in Chart 3, which appears immediately after the detailed presentation of codes and categories, on page 26.

### a. First Digit: NMS FUNCTIONAL CLASSIFICATION OF OCCUPATION

#### PRIMARY OPERATING POSITIONS

- 1 . . . "Agency" direction, management, command
- 2 . . . Direct supervision of basic line position
- 3 . . . Basic line position for "agency's" primary CJ function
- 4 . . . Sub-"professional" position (i.e., temporary performance of part of the usual work activities of the basic line position by way of training for it)
- 5 . . . Para-"professional" position (i.e., permanent performance of part, but not all, of the usual work activities of the basic line position)
- 6 . . . Indigenous "non-professional" position (performance of part of basic line position or closely related work activities by "people from the ranks of those who are to be helped" or dealt with; that is, positions filled by persons whose primary qualification is relevant life experience)

#### DIRECT OPERATING SUPPORT POSITIONS

- 7 . . . Professional and managerial level position (to be further subdivided in third digit)
- 8 . . . Technical level position (to be further subdivided in third digit)

#### INDIRECT SUPPORT/GENERAL SERVICE POSITIONS

- 9 . . . Any occupational level (to be subdivided in third digit)

#### MISSING INFORMATION

- 0 . . . No answer to any part of Q. 11. CAN ONLY BE USED IF ENTIRE FOUR-DIGIT CODING IS 0000.

#### NOTES TO CODE

I) Coding "no answer": Notice that, if any part of the question is answered, the first digit must be coded 1-9. A category like "Unclassifiable on this digit, but codable on other dimensions" is not logically possible and is, therefore, not provided. Code 0 only if the entire coding is 0000.

II) Coding categories 7 and 8: These code categories are directly related to the standard Census Occupational Code. Once a position has been classified as "direct operating support", the choice between categories 7 and 8 can largely be made by referring to the standard Census Occupational Code which

has already been entered. Correspondences between the Census and the NMS Codes are as follows:

FOR DIRECT OPERATING SUPPORT POSITIONS ONLY:

If Census Code Is	NMS Code Will Be
001-002 006-076 086-145 174-195 201-245	7
003-005 080-085 150-173	8
962-965	CODED FROM ACTUAL WORK ACTIVITIES

Since Census Occupational Codes 962-965 are based on considerations of status (e.g., police officer) rather than on actual work being performed in that status, the choice between categories 7 and 8 must be independently determined from the type of direct operating support activity described. If there is no difficulty in deciding whether that work is "professional and managerial" or "technical," the appropriate code can be entered immediately. In case of doubt, however, a two-step process is required. First, determine what the Census Occupational Code would have been, if the case being coded had not been a police officer, deputy sheriff, correctional guard, etc; then, use the table above to determine what the NMS code category should be. For example, the Census code for "police communications officer" is 964, but a civilian working for the police as a "communications technician" would have been coded 153. Consequently, as determined from the table above, the NMS first-digit code should be 8.

b. Second Digit: NMS SECTOR/AGENCY CLASSIFICATION

NMS LAW ENFORCEMENT SECTOR

- 1 . . . Police Department other than Sheriff's Department, including police staff agencies with Census Agency Code of "Other" or criminal investigation bureaus with Census Agency Code of "Prosecution and Legal Services."
- 2 . . . (Law Enforcement Division of) Sheriff's Department, including sheriff's LE staff agencies with Census Agency Code of "Other" (e.g., Sheriff's Department Training Academy) or sheriff's LE divisions or functions even with Census Agency Code of "Corrections." If Census Agency Code is "Law Enforcement," then sheriff's divisions or functions providing services to the courts are classified here; otherwise, see code 7.

NMS JUDICIAL PROCESS SECTOR

- 3 . . . Agencies or agency divisions with responsibility for criminal adjudication, solely or in combination with other functions. May include agencies with Census Agency Code of "Prosecution & Legal Services," "Indigent Defense" and would include Courts, as well. Also includes relevant staff agencies with Census Agency Code of "Other."
- 4 . . . Divisions which include civil proceedings, but no criminal proceedings, including any relevant staff agencies with Census Agency Code of "Other." Generally will include only agencies with Census Agency Code of "Prosecution & Legal Services;" some courts would be classifiable here as well.
- 5 . . . Divisions with non-adjudicative (regulatory, administrative) legal functions only, including any relevant staff agencies with Census Agency Code of "Other"

NMS CORRECTIONS SECTOR

- 6 . . . Probation and/or Parole Agencies, Divisions, Sections, including any relevant staff agencies with Census Agency Code of "Other." Generally will derive from agencies with Census Agency Code of "Corrections," but can also include any administered by "Prosecution & Legal Services" or by the Courts segment.
- 7 . . . Jails operated by Sheriff's Departments, including any relevant staff agencies with Census Agency Code of "Other." These may be derived from agencies with Census Agency Code of "Corrections" or of "Law Enforcement." Sheriff's divisions or functions providing services to the courts are classified here, if the Census Agency Code is "Corrections;" otherwise, see code 2.
- 8 . . . All other correctional facilities, including any relevant agencies with Census Agency Code of "Other" (e.g., drug rehabilitation, youth services, etc.)

NMS CROSS-SECTOR

- 9 . . . System-wide or cross-sector (staff) agencies with any Census Agency Code

NMS INDETERMINABLE

- 0 . . . Any agency with Census Agency Code of 1-5, not classifiable above

NOTES TO NMS SECTOR/AGENCY CLASSIFICATION CODE

i) Coding "Indeterminable" (Code category 0): With positions that have been classified as "indirect support/general service" (that is, first digit code of 9), there will often be no references to the employing agency other than the Census Agency Code, itself. These should, in general, be coded 0 here. With other code 9's, reasonable inferences about the agency can be drawn, so that the case can be coded 1-9 in the second digit, but undue stretching should be avoided. As a rule, if the answer contains a reference to paramilitary rank (so that the fourth digit can be coded), then the second digit should be coded away from 0, into 1, 2, 7 or 8. For example, if the Census Agency Code is "Law Enforcement" and the person describes himself as a file clerk, but also mentions that he is a sergeant, this is sufficient evidence to justify a second-digit code of 1.

ii) Linking to Census Agency Code: Since the NMS second-digit code simply revises the Census Agency Code in order to bring the classification closer to the conceptualized scheme presented in Part 1, Section a, above, it is easier to code it, in actual practice, by beginning with the Census Agency Code and continuing on from there. The second-digit code is, therefore, restated on the following pages, in a format adapted to the coding operation.

CENSUS  
AGENCY  
CODE

NMS  
AGENCY  
CODE

1 (= LAW ENFORCEMENT) and:

- a) Agency identifiable as Sheriff's Department, with:
  - i) Position identifiable with law enforcement function or division (including court security) . . . . . 2
  - ii) Position identifiable with correctional, jail-keeping function or division . . . . . 7
  - iii) Unspecified and noninferred function . . . . . 2
- b) Police or law enforcement agency other than sheriff . . . . . 1
- c) Type of law enforcement agency unspecified and not inferable . . . . . 6

2 (= PROSECUTION AND LEGAL SERVICES) and:

- a) Position identifiable with law enforcement function or division, administratively included in larger agency (e.g., State Bureau of Investigation under Attorney General's Office) . . . . . 1
- b) Position or division identifiable with prosecution of criminal cases (with or without additional functions) . . . . . 3
- c) Probation and parole administered by prosecution and legal services . . . . . 6
- d) Position or division limited to adjudication of non-criminal cases (civil) . . . . . 4
- e) Position or division with non-adjudicative function only (regulatory and administrative law only) . . . . . 5
- f) Position or division unspecified and not inferable . . . . . 3

3 (= INDIGENT DEFENSE) . . . . . 3

NO CODE (= COURTS) and:

- a) Courts (and related operational support) with some criminal jurisdiction . . . . . 3
- b) Courts (and related operational support) with civil jurisdiction only . . . . . 4
- c) Probation and Parole administered by courts . . . . . 6
- d) Other non-adjudicative functions only, administered by courts (e.g., license bureau) . . . . . 5
- e) Position or division unspecified and not inferable . . . . . 5

CENSUS  
AGENCY  
CODE

NMS  
AGENCY  
CODE

4 (= CORRECTIONS) and:

- a) Agency identifiable as Sheriff's Department, with:
  - i) Position identifiable with law enforcement function or division . . . . . 2
  - ii) Position identifiable with correctional, jail-keeping function (including court functions) . . . . . 7
  - iii) Unspecified and noninferable function . . . . . 7
- b) Probation and Parole . . . . . 6
- c) Other Correctional Facilities (e.g. Dept. of Corrections, Prison, Detention Center, Halfway House, etc.) . . . . . 8
- d) Type of correctional agency unspecified and not inferable *8*

5 (= OTHER) and:

- a) Staff agencies servicing one NMS agency type, which is:
  - i) Police or law enforcement agency other than sheriff . . . 1
  - ii) Law enforcement functions or divisions of sheriff's department . . . . . 2
  - iii) Law enforcement agency not classifiable above . . . . . 1
  - iv) Criminal law functions of judicial process agencies (prosecution and legal services, indigent defense, courts) . . . . . 3
  - v) Adjudicative civil law functions of judicial process agencies . . . . . 4
  - vi) Non-adjudicative legal functions of judicial process agencies . . . . . 5
  - vii) Judicial process agencies not classifiable above . . . . . 3
  - viii) Correctional functions or divisions of sheriff's department . . . . . 7
  - ix) Other correctional agencies, include drug, alcohol, rehabilitation; youth services, etc. . . . . 8
  - x) Correctional agencies not classifiable above . . . . . *9*
- b) Staff agencies servicing entire CJ system or more than one NMS sector (e.g., State Planning Agency) . . . . . 9
- c) Type of "other" agency unspecified and not inferable . . . *9*

c. Third Digit: STRUCTURAL/FUNCTIONAL DETAIL FOR SELECTED OCCUPATIONAL AND/OR AGENCY CLASSES

The nature of this code varies with what has been coded in the first two digits. Needed explanations appear when the codes are presented in full or in the procedural notes in Part III. At this point, however, an overview of the set of codes and which is used when will provide a useful introduction to the details. To begin with, then, there are six separate codes for the third digit, which are numbered c-i through c-vi. Brief descriptive titles for each (sub)code and the contingencies under which each is used may be summarized as:

	Coded When First Two Digits Are
i) Management Hierarchy and Structural/Functional Discrepancy . . .	11-18
ii) Law Enforcement Functional Detail . . . . .	21-22 31-32
iii) Correctional Functional Detail . . . . .	27-28 37-38 47-48 57-58 67-68 77-78 87-88
iv) Specific Professional & Managerial Direct Support Occupations .	71-76
v) Specific Technical Direct Support Occupations . . . . .	81-86
vi) Further Detail on Indirect Support/General Service Occupations	90-99

It will be noted that the summary above does not account for all two-digit code numbers from 00 through 99. Of these hundred code categories, only those which require meaningful coding of the third digit have been shown. In addition, however, there are twenty-five two-digit code categories that should not logically occur and, therefore, represent coding errors to be corrected. Another twenty-seven of the two-digit codes can occur, , but require no meaningful coding of the third digit; in all such cases, a code of 0 should be entered.

For ease of reference, every two-digit combination is presented in sequential order below, together with the third-digit procedure called for by each combination:

First Two Digits Coded Classified by Third Digit Procedure							
Coding Error	Unused Code 0	Code c-i	Code c-ii	Code c-iii	Code c-iv	Code c-v	Code c-vi
01-09 10	00						
19-20		11-18					
	23-26		21-22				
29-30				27-28			
	33-36		31-32				
39-40				37-38			
	41-46			47-48			
49-50				57-58			
59-60	51-56						
	61-66			67-68			
69-70				77-78	71-76		
79-80				87-88		81-86	
89							90-99

1) Third Digit Following 11-18: MANAGEMENT HIERARCHY AND STRUCTURAL/ FUNCTIONAL DISCREPANCY

TOP MANAGEMENT, COMMAND POSITION

- 1 . . . With reported activities appropriate to position or unspecified
- 2 . . . With reported activities of basic line position

"SECOND-IN-COMMAND" POSITION

- 3 . . . With reported activities appropriate to position or unspecified
- 4 . . . With reported activities of basic line position

OTHER DIRECT COMMAND, MANAGEMENT POSITION

- 5 . . . With reported activities appropriate to position or unspecified
- 6 . . . With reported activities of basic line position

THIRD DIGIT INAPPLICABLE

- 0 . . . None of codes c-i through c-vi applies to this case.

NOTES TO CODE c-i

\*) Coding activities: If reported activities do not fit the choices given in the code, the first digit has been incorrectly coded and should have been categories 7, 8 or 9.

\*\*) Coding discrepancies: See Part III, below, for discussion of the coding of inconsistent answers.

II) Third Digit Following 21-22, 31-32: LAW ENFORCEMENT FUNCTIONAL DETAIL

PATROL

- 1 . . . Traffic and/or highway patrol ONLY. (Includes accident investigation.)
- 2 . . . (Primarily) general police patrol. (Includes unspecified patrol.)

CRIMINAL INVESTIGATION

- 3 . . . (Primarily) general criminal investigation. (Includes unspecified criminal investigation.)
- 4 . . . Specialized criminal investigation; i.e., assignment to specified type of crime--Vice Squad, Homicide Detail, Burglary Team, etc.

THIRD DIGIT INAPPLICABLE

- 0 . . . None of codes c-i through c-vi applies to this case

NOTES TO CODE c-ii

\*) Coding activities: If reported activities do not fit the choices given in the code, the first digit has been incorrectly coded and should have been categories 7, 8 or 9.

III) Third Digit Following 27-28, 37-38, 47-48, 57-58, 67-68, 77-78, 87-88: CORRECTIONAL FUNCTIONAL DETAIL

CUSTODIAL

- 1 . . . Activities primarily related to maintenance of secure custody of prisoners and associated housekeeping (food, clothing, etc.)

REHABILITATIVE

- 2 . . . Activities primarily related to treatment and/or reform of prisoners, preparation for noncriminal life on release, etc.

THIRD DIGIT INAPPLICABLE

- 0 . . . None of codes c-i through c-vi applies to this case

NOTES TO CODE c-iii

\*) Coding activities: If reported activities do not fit the choices given in the code, the first digit has been incorrectly coded and should have been category 9.

IV) Third Digit Following 71-76: SPECIFIC PROFESSIONAL AND MANAGERIAL DIRECT SUPPORT OCCUPATIONS

MEDICO-FORENSIC GROUP

- 1 . . . Coroner
- 2 . . . Medical Examiner
- 3 . . . Pathologist, forensic pathologist
- 4 . . . Forensic scientist not specified above
- 5 . . . Psychiatrist, psychoanalyst

OTHER SPECIALIZATIONS

- 6 . . . Clerk of the Court
- 7 . . . Court Administrator
- 8 . . . Parole Board Member
- 9 . . .
- 0 . . . All other professional and managerial direct support positions, not specified above

THIRD DIGIT INAPPLICABLE

- 0 . . . None of codes c-i through c-vi applies to this case.

V) Third Digit Following 81-86: SPECIFIC TECHNICAL DIRECT SUPPORT OCCUPATIONS

LAW ENFORCEMENT PATROL GROUP

- 1 . . . Communications technician, dispatcher
- 2 . . . Any other technical direct support to LE patrol, peacekeeping, security, custody of suspects

INVESTIGATORY GROUP

- 3 . . . Crime scene analyst or technician, Criminalist
- 4 . . . Evidence technician
- 5 . . . Fingerprint expert or technician
- 6 . . . Handwriting and/or questioned documents expert or technician
- 7 . . . Investigator, interviewer
- 8 . . . Lie detector and/or polygraph expert or technician
- 9 . . . Any other technical direct support to investigation

ALL OTHER TECHNICAL DIRECT SUPPORT POSITIONS

- 0 . . . Any not specified above

THIRD DIGIT INAPPLICABLE

- 0 . . . None of codes c-i through c-vi applies to this case.

VI) Third Digit Following 90-99: FURTHER DETAIL ON INDIRECT SUPPORT/  
GENERAL SERVICE OCCUPATIONS

**SPECIFIC OCCUPATIONS**

- 1 . . . Legal advisor, attorney or unspecified (Defined as one who advises agency on legal implications of its procedures and policies; not to be used for attorney who represents agency in court)
- 2 . . . Legal advisor, when clearly not an attorney
- 3 . . . Professional planner (Defined as one who assists agency and/or agency head in setting goals, objectives and long-range plans; evaluating policies and procedures; conducting analyses; interpreting and utilizing research)

**OCCUPATIONAL STRATA, EXCLUDING ABOVE**

- 4 . . . (Other) professional workers = Census codes 001, 002, 006-076, 086-145, 174-195
- 5 . . . (Other) managerial and administrative workers = Census codes 201-245
- 6 . . . Technical workers = Census codes 003-005, 080-085, 150-173
- 7 . . . Clerical workers = Census codes 260-395
- 8 . . . Other craft and service workers = Census codes of 401 and above, EXCEPT codes 962-965

**THIRD DIGIT INAPPLICABLE**

- 0 . . . None of codes c-i through c-vi applies to this case

**NOTES TO CODE c-vi**

\*) Coding supervisors: Supervisors of indirect support/general service occupations should be coded into the same occupational stratum as the workers they supervise.

\*\*) Coding categories 4-8: Except for the rare occupations singled out in categories 1-3, once a position has been classified as "indirect support/general service" (that is, first digit of 9), this third digit code may be immediately determined from the standard Census Occupational Code

which has already been coded on the questionnaire. Aside from categories 1-3, which cannot be equated with exact Census code categories, the correspondence between Census codes and the correct third-digit code category are as follows:

**FOR INDIRECT SUPPORT/GENERAL SERVICE POSITIONS ONLY:**

If Census Code Is                      Third Digit Will Be

001-002 . . . . .	4
003-005 . . . . .	6
006-076 . . . . .	4
080-085 . . . . .	6
086-145 . . . . .	4
150-173 . . . . .	6
174-195 . . . . .	4
201-245 . . . . .	5
260-395 . . . . .	7
401-961 . . . . .	8

962-965 . . . . . CODED FROM ACTUAL  
WORK ACTIVITIES

980-985 . . . . . 8

To recode Census codes of 962-965, determine the standard Census code that would have been coded, if the employee had not been a police officer, deputy sheriff, correctional guard, etc.; then determine the third-digit code for that alternative Census code from the table above. For example, a basic police officer who described his job as primarily one of receiving, sorting, and distributing the agency's mail might well be coded 964 in terms of the standard Census Occupational Code, while the same work done by a civilian would be coded 332. The appropriate third-digit code for the NMS would, therefore, be 7. For the first three digits of the NMS Occupational Code, this example would appear as 917-- the "9" indicating the general service nature of the job; the "1", that the job is within a police department; and the "7", that the work is clerical. The fact that the example is a member of a paramilitary force (and his rank within that force) is coded in the fourth and final digit.

d. Fourth Digit: RANK (POSITION) IN PARAMILITARY STRUCTURE

NOTES TO CODE

1) Coding paramilitary structure/rank: The fourth digit of the NMS Code is coded meaningfully only for employees of police departments, sheriff's departments and correctional institutions--that is, cases where the second-digit code category is 1, 2, 7 or 8. For agencies in these code categories, job titles like "officer", "guard", "deputy", "sheriff", "agent" are sufficient evidence of the existence of a paramilitary force; and these titles--as well as more clearly militarily-linked rank titles like "sergeant", "lieutenant", etc.--are simultaneously interpreted as ranks within the paramilitary force. In practice, coding does not proceed from the second digit alone; that is, it is not sufficient to say that the fourth digit must be meaningfully coded, if the second digit is 1, 2, 7 or 8. While that statement is true, it is also true that the second digit must never be coded 0. If the answer contains any material to permit the inference of a paramilitary force and/or a rank therein. (See also the notes on coding "indeterminable" to the Sector/Agency Classification Code on page 15, above.)

POLICE RANKS (Second digit = 1)

- 1 . . . Police officer with rank of lieutenant or above: captain, inspector, deputy chief, agent-in-charge, etc.
- 2 . . . Police officer with rank of sergeant or equivalent: supervising agent, detective-sergeant, etc.
- 3 . . . Police officer with rank below sergeant, basic rank, or rank unspecified

SHERIFF RANKS (Second digit = 2 or 7)

- 4 . . . (Deputy) Sheriff above basic rank: undersheriff, chief deputy, etc.
- 5 . . . Deputy Sheriff with basic rank or rank unspecified

OTHER CORRECTIONAL FORCE RANKS (Second digit = 7 or 8)

- 6 . . . Other correctional officer above basic rank: sergeant of the guards, assistant warden, etc.
- 7 . . . Other correctional officer with basic rank or rank unspecified

ALL OTHER POSITIONS IN POLICE, SHERIFF'S OR CORRECTIONAL AGENCIES

- 0 . . . Civilian employee or no indication of membership in paramilitary force

FOURTH DIGIT INAPPLICABLE

- 0 . . . Second-digit code is 3, 4, 5, 6, 9, or 0

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By way of summary of the NMS code, the table below indicates the coding status of the third and fourth digits for each possible first-two-digit code. With much the same format, Chart 3 on the next page provides some illustrations of how particular instances would be coded; only limited examples are provided, however, since job titles alone do not provide an adequate basis for coding in most cases.

Coding of Third and Fourth Digits, Classified by First-Two-Digit Code\*

FIRST DIGIT	SECOND DIGIT									
	1	2	3	4	5	6	7	8	9	0
1	i/d	i/d	i/o	i/o	i/o	i/o	i/d	i/d	X	X
2	ii/d	ii/d	o/o	o/o	o/o	o/o	iii/d	iii/d	X	X
3	ii/d	ii/d	o/o	o/o	o/o	o/o	iii/d	iii/d	X	X
4	o/d	o/d	o/o	o/o	o/o	o/o	iii/d	iii/d	X	X
5	o/d	o/d	o/o	o/o	o/o	o/o	iii/d	iii/d	X	X
6	o/d	o/d	o/o	o/o	o/o	o/o	iii/d	iii/d	X	X
7	iv/d	iv/d	iv/o	iv/o	iv/o	iv/o	iii/d	iii/d	X	X
8	v/d	v/d	v/o	v/o	v/o	v/o	iii/d	iii/d	X	X
9	vi/d	vi/d	vi/o	vi/o	vi/o	vi/o	vi/d	vi/d	vi/o	vi/o
0	X	X	X	X	X	X	X	X	X	X

\*Third digit is shown to the left of the slash; fourth digit, to the right. The symbols used are defined as follows:

- X . . . No such first-two-digit code possible.
- 0 . . . Digit not used meaningfully; code 0 automatically.
- i-vi . . . Use the third-digit code so numbered.
- d . . . Code the fourth digit.

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CHART 1

SOME ILLUSTRATIVE OCCUPATIONS CLASSIFIED BY FIRST TWO DIGITS OF NMS CODE\*

CJ SECTION (Census Agency Code)	1 LAW ENFORCEMENT		2 PROSECUTION AND LEGAL SERVICES			3 IND. DEFENSE	4 COURTS			5 CORRECTIONS		6 OTHER
	1 POLICE	2 SHERIFFS	3-CRIMINAL ADJUDICATION	4-CIVIL ADJUDICATION	5-NON-ADJUDICATION	3-CRIMINAL ADJUDICATION	3-CRIMINAL ADJUDICATION	4-CIVIL ADJUDICATION	5-NON-ADJUDICATION	6-PROBATION AND PAROLE	7-SHERIFF'S JAILS	8 ALL OTHER
POSITION (Last Five Digits) PRIMARY OPERATING Agency Director Top position	Chief of Police Commissioner Director Sheriff Superintendent		State's Attorney District Attorney County Attorney Corporation Counsel			Chief Defender Public Defender	Chief Judge Administrative Judge Presiding Judge	Clerk of the Court County Clerk	Chief Probation Officer Director of Parole	Commissioner Director Warden Superintendent Sheriff		
Second position	Deputy Chief Asst. Director Undersheriff									Deputy Commissioner Deputy Warden Assistant Superintendent		
Other command, management position	Patrol Captain Detective-Lieutenant District Commander						Court Administrator			Guard Commander Program Director		
2-line supervision	Patrol Patrol Sergeant Team Leader Desk Supervisor Investigator Detective-Sergeant		First Assistant State's Attorney			First Asst. Defender				Custodial Senior Correctional Officer Supervisor of Guards Shift Leader Treatment Supervisor of Counsellors		
3-basic line position	Patrol Patrol Officer Highway Patrolman Trooper Deputy Sheriff Investigator Detective Agent Investigator		Assistant District Attorney Assistant State's Attorney Staff Attorney			Asst. Defender Asst. Public Defender Staff Attorney	Circuit Court Judge County Judge Justice Magistrate Police Judge		Parole Agent Parole Officer Probation Worker Probation Supervisor	Custodial Correctional Officer Guard Houseparent Deputy Sheriff Treatment Counsellor Case Worker		
4-high "Professional" position	Recruit Cadet Trainee Student Policeman Probationary		Law Student Interns			Law Student Interns				Recruit Trainee		
5-para "Professional" position	Notarial Police Aide		Prosecution Management Specialist			Defense Mgmt Specialist	Referee Commissioner Master					
6-technical non "Professional" position	School Crossing Guard					Community Aide				Case Aide	Aide (ex-offender)	
DIRECT SUPPORT: 7-Professional level	Forensic Scientist Medical Examiner		Social Worker			Social Worker	Jury Commissioner Legal Research Assistant Presentence Investigator				Classification Specialist Chaplain Psychiatrist	
8-Technical level	Crime Scene Technician Dispatcher Evidence Technician Communications Officer		Investigator Interviewer			Investigator Interviewer	Bailiff Subpoena Server Court Guard				Mail Censor	
5-INDIRECT SUPPORT: Professional level			Legal Advisor, Training Director, Planner, Behavioral Scientist, etc.									
Managerial & admin.			Administrative Assistant, Fiscal Director, etc.									
Technical level			Computer Technician, etc.									
Clerical level			Clerk, Secretary, Typist, etc.									
Other crafts & services			Mechanic, Electrician, Carpenter, Janitor, Cook, etc.									

\*NOTES: a) Subdivisions distinguished by dotted lines are distinctions made by the third digit of the code. Not all of the distinctions incorporated into the third digit are shown in this chart. Fourth digit omitted.  
b) Blank cells are simply instances where no good illustrations are at hand. They may, in principle, occur and can be coded.

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NO

L NE

FUNCTION

PART III

Coding Procedures for the NMS Occupational Code

a. Format: The material that BSSR is coding is just one question, with three parts--

11a, b, c--on page 3 of the LEAA/Census Criminal Justice Employee Characteristics Questionnaire. A blank copy of this questionnaire page appears on the next page and is followed by a copy of a completed page, after the respondent, the Census coders and the BSSR coders have finished with it. We are receiving Xeroxed copies of page 3 only, after Census coding is completed. Key items to note on this form are:

--Questionnaire Identification Number: a six-digit number written into the upper left hand corner of the page. This number is the only means of communicating with Census about any legibility problems we may have, as well as the only means of linking the NMS code back to the rest of the questionnaire.

--Census Agency Code: The single digit written into the upper right hand corner of the page is the Census classification of agencies referred to in coding the second digit of the NMS code. It is interpreted as follows:

- 1 . . . Law enforcement
- 2 . . . Prosecution and legal services
- 3 . . . Indigent defense
- 4 . . . Corrections
- 5 . . . Other

--Census Occupational Code: The standard three-digit Census code for occupations appears in the coding space identified as Record Position 021 (number enclosed in circle), opposite item 11a. Reference is made to this code in coding NMS first and third digits.

--NMS Coding Space: A three-digit coding space, identified as Record Position 022, opposite item 11c, has been left for coding the NMS code. Since we are using four digits, the fourth digit will be written immediately to the right of the last coding box in the set, as is done in the example on page 30.

To distinguish our entries from all the other writings on the page, ALL CODING IS TO BE DONE IN RED PENCIL ONLY.

## Blank Census Questionnaire Page

## Part II - EMPLOYMENT

9. On October 31, 1974, were you employed at the agency identified on your address label on page 1 of this questionnaire?

(019) 1 ☐ Yes - Continue on to item 10  
2 ☐ No, I started working there after October 31, 1974 - SKIP to item 71, page 12  
3 ☐ No, I stopped working there before October 31, 1974 - SKIP to item 72, page 12

0. When were you first employed at this agency?

(020) Month (01-12) Year 19\_\_

1a. What kind of work were you doing at this agency on October 31, 1974?  
(For example: guard, secretary, policeman, attorney, etc.)

(021) [ ] [ ] [ ]

b. What were your most important activities or duties at that time?  
(Examples: patrolling, reviewing contracts, typing, counseling inmates, etc.)

c. What was your job title (and rank, if applicable)?

(022) [ ] [ ] [ ]

2. Did these duties bring you into DIRECT CONTACT with persons passing through the criminal justice system, such as people being held for a crime, sentenced prisoners, or those on probation or parole?

(023) 1 ☐ Yes - Specify  
2 ☐ Adults  
3 ☐ Juveniles  
4 ☐ Both  
5 ☐ No

3a. In the performance of these duties, did you have either full or limited power to arrest (regardless of whether you used this power)?

(024) 1 ☐ Yes  
2 ☐ No

b. Were you authorized to carry a gun in the performance of these duties?

(025) 1 ☐ Yes  
2 ☐ No

4. Have you ever received a promotion in this agency?

(026) 1 ☐ Yes - Continue on to item 15  
2 ☐ No - SKIP to item 17a

5. How long has it been since your last promotion in this agency?

(027) \_\_\_\_ Years  
(028) \_\_\_\_ Months

6. Did you receive a pay raise with your last promotion?

(029) 1 ☐ Yes  
2 ☐ No

7a. How many hours did you work at this job during the WEEK which included October 31, 1974? Include the hours for which you were on leave with pay.  
(If the exact number is not known, give your best estimate.)

(030) \_\_\_\_ Hours

b. Did you receive a higher rate of pay, such as time-and-one-half or double-time, for any of these hours?

(031) 1 ☐ Yes - Continue on to item 17c  
2 ☐ No - SKIP to item 18a

c. For how many hours did you receive this higher rate of pay?

(032) \_\_\_\_ Hours

## Completed Census Questionnaire Page

23456

## Part II - EMPLOYMENT

9. On October 31, 1974, were you employed at the agency identified on your address label on page 1 of this questionnaire?

(019) 1 ☒ Yes - Continue on to item 10  
2 ☐ No, I started working there after October 31, 1974 - SKIP to item 71, page 12  
3 ☐ No, I stopped working there before October 31, 1974 - SKIP to item 72, page 12

0. When were you first employed at this agency?

Month (01-12) Year 19\_\_

April, 1973 (020) 04 19 73

1a. What kind of work were you doing at this agency on October 31, 1974?  
(For example: guard, secretary, policeman, attorney, etc.)

(021) 9 6 4  
Policeman

b. What were your most important activities or duties at that time?  
(Examples: patrolling, reviewing contracts, typing, counseling inmates, etc.)

Patrolling

c. What was your job title (and rank, if applicable)?

(022) 3 1 2 3  
Police Officer, II

12. Did these duties bring you into DIRECT CONTACT with persons passing through the criminal justice system, such as people being held for a crime, sentenced prisoners, or those on probation or parole?

(023) 1 ☒ Yes - Specify  
2 ☒ Adults  
3 ☒ Juveniles  
4 ☐ Both  
5 ☐ No

13a. In the performance of these duties, did you have either full or limited power to arrest (regardless of whether you used this power)?

(024) 1 ☒ Yes  
2 ☐ No

b. Were you authorized to carry a gun in the performance of these duties?

(025) 1 ☒ Yes  
2 ☐ No

14. Have you ever received a promotion in this agency?

(026) 1 ☒ Yes - Continue on to item 15  
2 ☐ No - SKIP to item 17a

15. How long has it been since your last promotion in this agency?

(027) 0 Years  
(028) 6 Months

16. Did you receive a pay raise with your last promotion?

(029) 1 ☒ Yes  
2 ☐ No

17a. How many hours did you work at this job during the WEEK which included October 31, 1974? Include the hours for which you were on leave with pay.  
(If the exact number is not known, give your best estimate.)

(030) 40 Hours

b. Did you receive a higher rate of pay, such as time-and-one-half or double-time, for any of these hours?

(031) 1 ☐ Yes - Continue on to item 17c  
2 ☒ No - SKIP to item 18a

c. For how many hours did you receive this higher rate of pay?

(032) \_\_\_\_ Hours

b. Administrative Procedures: Census will be sending us the material for coding on a flow basis, in batches, as questionnaires move through the Census coding routine. Each batch we receive will consist of some exact multiple of 100, with questionnaires divided into sets of 100 each. Each set of 100 is referred to by Census as a "Work Unit" and is given a Work Unit Number from 001 on, consecutively. Within each Work Unit, the one hundred cases are arranged in no particular order, since they were grouped in the order returned by respondents, whereas the Questionnaire Identification Number was assigned consecutively prior to mailing. Although the questionnaires are in no particular order within the Work Unit, IT IS ABSOLUTELY ESSENTIAL TO MAINTAIN THEM IN WHATEVER ORDER THEY WERE WHEN RECEIVED FROM CENSUS. Consequently, care must be taken to keep the questionnaires in order as you code. Moreover, NEVER, UNDER ANY CIRCUMSTANCES, SHOULD A QUESTIONNAIRE BE PULLED FROM ITS WORK UNIT.

The reasons for the above directions are not arbitrary and are detailed here so that everyone working with the questionnaires will understand their urgency. First of all, matching back the item we code to the rest of the questionnaire it belongs to will be based on the assumption that the two files are in exactly the same order; any deviation from this assumption will so complicate the matching--and the time and costs involved--that it is not even certain that it could be completed within our contract deadlines. Even more urgently, we have found, from a preliminary trial, that a certain percentage of respondents manage to fill out the questionnaire with some sort of ink that does not xerox legibly. These cases will have to be queried to Census, and the only way of locating each case, without having to search through one hundred cases each time, is to be able to tell Census both the Work Unit Number and the position of the case within that Work Unit, as determined by counting down. For instance, a typical query would ask about Questionnaire ID Number \_\_\_\_\_, which is the forty-seventh (or whatever) case in Work Unit \_\_\_\_\_.

For that matter, legibility is not the only query we may wish to make of Census: there may be instances where knowing the answer to another question on some page we do not have would help resolve a coding problem.

As a result, all cases with coding problems will have to be flagged and left in position within their Work Units, instead of being pulled for further attention. To keep the procedure simple, just place a paper clip at the top of the problem case, and enter the Questionnaire ID Number (upper left hand corner) of the case in question on the Work Unit Sheet in front of each Work Unit. (A hypothetical instance of a completed Work Unit Sheet is reproduced on page 35)

This is a very large coding job, under very tight time restrictions. We will be coding something between 45,000 and 50,000 questionnaires. In order not to interfere unduly with the Census time schedule (and until our codes are returned to them and added in; a final data tape cannot be produced), we have guaranteed to have the job completed and returned to them within five working days of receiving the last batch from Census. Administrative procedures are, therefore, based on keeping accurate records which will permit us to know precisely where we stand at any given time. These are:

i. As batches of questionnaires are received from Census, the Work Units contained will be logged in, by date of receipt, in the first column of the EC Coding Control Record. At the same time, a Work Unit Sheet, with appropriate Work Unit Number inserted, will be attached to the unit.

ii. When the Work Unit is assigned to a coder, the coder's initials and the date on which he received the unit are entered on the control records. As coding proceeds, problem cases are recorded by Questionnaire ID Number on the Work Unit Sheet. When coding of that Work Unit is completed (except for the problem cases to be resolved), that is signaled by recording the date on the Control Record, along with information about whether problem cases are open and whether Census's help will be needed to resolve the problem cases, and by check-

ing the appropriate line on the Work Unit Sheet.

III. The Coding Control Record then provides for keeping track of the clean-up of problem cases and the readiness of the Work Unit for any check coding to be done; check coding records duplicate the entries for the original coding; the record ends with the date on which the completed Work Unit was actually sent back to Census.

To illustrate the above procedures, a page of the Coding Control Record, with some typical (though hypothetical) entries for Work Units at different stages of progress through BSSR coding, is reproduced as page 34. A hypothetical Work Unit Sheet for one of the Work Units covered by the illustrative Coding Control Record appears as page 35.

WORK UNIT #	Date - CODING -				Query to Census?		CHECK		CODING		Date	
	Rec'd	Coder	Date Out	Date In	Cases Open?	Need?	Query Date	Reply Date	Ready	Chker	Date Out	Date In
030	6/7	ACG	6/7	6/8	Y	Y	6/9	6/10	✓	SAS	6/10	6/11
1	6/7	CGA	6/7	6/8	Y	N						
2	6/7	GAC	6/7	6/8	N				✓			
3	6/7											
4	6/7											
5	6/7											
6	6/7											
7	6/7											
8	6/11											
9	6/11											
040	6/11											
1	6/11											
2												
3												
4												
5												
6												
7												
8												
9												
0												
1												
2												
3												
4												
5												
6												
7												
8												
9												

LEAA/CENSUS EC WORK UNIT SHEET

WORK UNIT # 030

NEVER REMOVE ANY CASE FROM ITS WORK UNIT; KEEP ALL CASES IN ORIGINAL ORDER IN UNIT.

IF THERE ARE ANY QUESTIONS OR PROBLEMS IN CODING THIS WORK UNIT:

A. Paper-clip the questionnaire with the problem.

B. Write the Questionnaire Identification Number on the lines below.

1 2 3 4 5 6

2 3 4 5 6 1 - Illegible

3 4 5 6 1 2 - Illegible

4 5 6 1 2 3

CHECK THE APPROPRIATE LINES BELOW, AS OPERATIONS ARE COMPLETED.

☒ First coding completed

☒ All problems and questions resolved

☒ Check coding completed

DATE RETURNED TO CENSUS: 6/11

c. Substantive Coding Procedures, General: In this section, the NMS Occupational Code is presented in terms of the usual series of operations an individual coder goes through in coding a single questionnaire. Rules for handling inconsistencies and ambiguities in the answers being coded appear in the next section.

1. Check the Census Agency Code (single digit in upper right hand corner), in order to determine the general classification of the agency by which the respondent is employed, if that is not already clear in the responses to

Q. 11 a, b, c. The meaning of these code numbers appears on page 28, above.

This step is important because positions with identical job descriptions may require different functional occupational codes, depending on the sector of the LE/CJ system in which the job is performed. For example, a detective-investigator is performing one of the basic line functions when employed by a law enforcement agency, but is providing technical operational support when employed by a prosecutor's office. Or, similarly, a social worker employed by an indigent defender's office is in a direct operational support position (professional), but the same social worker employed as a parole or probation officer is in one of the basic line positions of corrections.

11. Read the answer to Q. 11, considering all the information as a whole, regardless of which subquestions (a, b, c) elicited it. Primary attention should be given to statements descriptive of what the person does rather than to those which name his job or indicate its position within a structural hierarchy, although the latter elements will enter into the secondary details of the code.

iii. Classify what the person does in terms of its relationship to the primary function of the agency (or division of a complex agency) into one of the three broad groupings--primary operations, direct operational support, indirect support/general services. In the latter case, this classification is sufficient to determine the first digit of the code; in the former instances, further classification as to the level of the position must be made, as indicated in the code.

iv. For primary operations and direct operational support positions, the primary function of the agency has been classified simultaneously with the functional relationship of the position to the agency; this sector/agency classification is coded as the second digit.

For indirect support/general service positions, review the set of answers to Q. 11 for any evidence that will permit you to code sector/agency. For example, any evidence (usually in the job title) that the person is a member of a paramilitary structure--that is, police, sheriffs, correctional officers--is sufficient to code this second digit. Similarly, a report of any occupation and/or function which is unique to one agency/sector is sufficient; for instance, "I handle the files for closed felony cases", along with a Census Agency Code of 2, permits the coding of 93, as the first two digits. In the more typical instance of civilian employees in indirect support/general service positions, it will not be possible to draw any inferences beyond the Census Agency Code, and the second NMS digit is, therefore, coded "0".

v. The third digit of the code, which depends upon what has been coded in the first, or the first two, digit position, can now be determined. In brief,

what this code requires is:

For all primary operational managerial positions--managerial level  
and any discrepancy between formal title and actual functions.

For law enforcement first-line supervisors and basic line position--  
a further subdivision of primary function.

For correctional primary operations positions, other than managerial,  
and direct operational support positions--a further subdivision  
of primary function.

For all direct operational support positions except corrections--a  
further specification of the nature of the occupation.

For all indirect support/general service positions--further specifi-  
cation of the occupation, usually into broad Census occupational  
strata.

For all other instances--the third digit is automatically coded "0",  
since no meaningful coding is called for.

vi. The fourth digit of the code calls for the rank of those respondents who are members of paramilitary organizations, defined here as limited to police, sheriffs, and the correctional force. This code is, therefore, meaningfully coded only for cases whose second digit is 1, 2, 7 or 8. All other instances are automatically coded "0".

d. Resolving Problematic Answers: Problems in coding will arise when answers are incomplete, when answers contain inconsistent or contradictory elements, and when answers have consistent but multiple elements which seem to call for different codes for each part. The rules below will resolve most of these difficulties; any problems not clearly handled by them should, of course, be referred to your supervisor.

i. Incomplete answers: The major problem here is the possible absence of any material relating to the actual activities of the person, since these are the key data for a functional code. Despite the wording of the subquestions, you will sometimes find that a particular respondent has answered entirely in terms of job titles, names of positions, or location within an occupational structure. In the absence of any more functional data (but ONLY in that case), you should assume that the job duties and activities are those usually associated with the job title, as--for example--a Dictionary of Occupational Titles provides a "standard" activities description for each job title. By this rule, if you knew only that the respondent was a correctional officer in a prison, for instance, you would conclude that his work was custodial rather than treatment. Since job titles are notoriously variable and inexact, this procedure should NOT be followed where better information is available; it is merely the most convenient device for supplying missing data.

ii. Inconsistent and contradictory answers: The most frequent difficulty here is apparent inconsistency between title and function. Generally speaking, job titles are so non-descriptive and the emphasis of this code so functional that seeming contradictions between the reported job title and the description of work and activities should be resolved in favor of the activities description. There are, however, two major exceptions, where considerable

weight must be given to the more formal job titles and/or type of work parts of the answer:

--At the primary operating level of paramilitary organizations like the police, persons with ranks of lieutenant or above are assumed to be in managerial positions, and the third digit of the code is used to signal the rank-functional discrepancy. Note, however, that function still takes highest priority in the sense that the position must first have been classifiable as primary operations; if the position is classed as direct or indirect support, no inferences are drawn from the rank of the officer.

--When the entire answer or, more particularly, the "activities and duties" part of the answer consists of nothing but repetition of one or another of the illustrations printed in the question, it should be given less weight than instances where the respondent used his own words. If the respondent appears to be selecting from among the possibilities presented by the question, code the emphasis of the combined set of answers, even though this procedure seems to favor job title over function. Here, for example, is a pretest case that should be coded 3817 (custodial) rather than 3827 (treatment):

- Q. 11a: Prison guard
- b: Counselling inmates
- c. Correctional Officer I

iii. Mixed and compound answers: When an answer includes a listing of two or more functional activities that cannot all be represented by the same code, follow these principles:

a) If the answer gives adequate indication, code usual, more frequent, or major activities in preference to occasional, rare, minor activities.

b) If functions can be classified into more than one of the three main functional categories--that is, primary operations, direct operational support, indirect support/general service, code the first applicable category in the order just listed, which is, of course, in the order of relevance to the agency's primary CJ function. In short, MAXIMIZE CJ RELEVANCE. For example, with an answer like "patrol and typing", code the primary operation of patrol in preference to the general service (typing); or an answer like "dispatcher and patrol" calls for coding of the primary operation (patrol) rather than the operational support of dispatching; and so on.

c) If functions fall at several levels within a main functional category, code the lower level or, in short DOWNGRADE STATUS. For instance, with an answer like "Sometimes I'm on patrol, but sometimes I supervise the beat", code as basic line position rather than as line supervisor.

d) If two or more functions at the same level within a main functional category are cited and the code is making a distinction among them, make these arbitrary choices:

--Police patrol is coded in preference to criminal investigation.

--Criminal practice is coded in preference to civil or nonadjudicative practice.

--Custodial activities are coded in preference to treatment or rehabilitation.

iv. And, when in doubt, consult your supervisor, who will rule on new problems as they arise.

BSSR:67  
June, 1975

## NMS OCCUPATIONAL CODE

## Brief Reminder

## a. First Digit: NMS Functional Occ. Class.

## PRIMARY OPERATING POSITIONS

- 1 . . Management
- 2 . . Direct supervision
- 3 . . Basic line position
- 4 . . Subprofessional
- 5 . . Paraprofessional
- 6 . . Indigenous nonprof.

## DIRECT OPERATING SUPPORT POSITIONS

- 7 . . Professional & Managerial
- 8 . . Technical

## INDIRECT SUPPORT/GENERAL SERVICE

- 9 . . All levels

## MISSING DATA

- 0 . . No answer at all

## b. Second Digit: NMS Sector/Agency Class.

## LAW ENFORCEMENT SECTOR

- 1 . . Police Dept other than code 2
- 2 . . Sheriff's Dept.

## JUDICIAL PROCESS SECTOR

- 3 . . Criminal adjudication included
- 4 . . Civil adjudication only
- 5 . . Nonadjudicative only

## CORRECTIONS SECTOR

- 6 . . Probation & Parole
- 7 . . Sheriffs' Jails
- 8 . . All other correctional facilities

## CROSS-SECTOR

- 9 . . System-wide or Cross-sector

## INDETERMINABLE

- 0 . . Any not classifiable above

## d. Fourth Digit: Paramilitary Rank

## POLICE RANKS

- 1 . . Lt. or above
- 2 . . Sgt.
- 3 . . Basic rank (officer)

## SHERIFF RANKS

- 4 . . Above basic rank
- 5 . . Basic rank (deputy)

## CORRECTIONAL FORCE RANKS

- 6 . . Above basic rank
- 7 . . Basic rank (cor. officer)

## c. Third Digit

## i. IF 11-18:

## TOP MANAGEMENT

- 1 . . Appropriate Activities
- 2 . . Inappropriate

## SECOND-IN-COMMAND

- 3 . . Appropriate Activities
- 4 . . Inappropriate

## OTHER DIRECT MANAGEMENT

- 5 . . Appropriate Activities
- 6 . . Inappropriate

## ii. IF 21-22, 31-32:

- 1 . . Traffic a/o highway patrol
- 2 . . General police patrol
- 3 . . General investigation
- 4 . . Special investigation

## iii. IF p7-p8, p = 2-8:

- 1 . . Custodial
- 2 . . Rehabilitative

## iv. IF 71-76:

- 1 . . Coroner
- 2 . . Medical examiner
- 3 . . (Forensic) pathologist
- 4 . . (Other) forensic scientist
- 5 . . Psychiatrist, psychoanalyst
- 6 . . Clerk of the Court
- 7 . . Court Administrator
- 8 . . Parole Board Member
- 0 . . All other

## v. IF 81-86:

- 1 . . Communications, dispatcher
- 2 . . Other "patrol" support
- 3 . . Crime scene analyst, criminalist
- 4 . . Evidence technician
- 5 . . Fingerprint expert
- 6 . . Handwriting, documents, expert
- 7 . . Investigator, interviewer
- 8 . . Lie detector, polygraph expert
- 9 . . Other "investigation" support
- 0 . . All other

## vi. IF 90-99:

- 1 . . Legal advisor (attorney)
- 2 . . Legal advisor (clearly not atty)
- 3 . . Planner
- 4 . . (Other) professionals
- 5 . . (Other) managerial & adminis.
- 6 . . Technical
- 7 . . Clerical
- 8 . . Other crafts and services

# POLICE OCCUPATIONS PROVIDED BY BSSR

## Total

Sworn - Total  
Management  
Supervision  
Patrol  
Investigation

Line  
Patrol - including traffic  
Investigation

Direct Support - Total  
Professional and Managerial - Total  
Medico-Forensic group  
Technical - Total  
Communications Technicians/dispatchers  
Evidence Technicians

Indirect Support - Total  
Professional/managerial - Total  
Technical - Total

Other Sworn (detail not reported)

Nonsworn  
Direct Support - Total  
Professional/managerial - Total  
Medico-Forensic group  
Technical - Total  
Communications Technicians/dispatchers  
Evidence Technician  
Indirect Support - Total  
Professional/managerial - Total  
Planners and Statisticians  
Technical - Total  
Programmers and Analysts

Other Nonsworn

# CORRECTIONS OCCUPATIONS LIST

## Corrections (excluding probation/parole)

Management  
Supervision  
Custody  
Treatment  
Line  
Custody  
Treatment  
Indigenous Nonprofessional  
Direct Support  
Professional & Management  
Custody  
Treatment  
Technical  
Custody  
Treatment  
Indirect Support  
Professional & Management  
Custody  
Treatment  
Other

## Probation/Parole

Line Management  
Line Supervision  
Probation/Parole Officers  
Case Aides  
Support  
Professional & Managerial &  
Technical  
Other

M-1 EMPLOYMENT IN STATE AND LOCAL CRIMINAL JUSTICE AGENCIES BY OCCUPATION AND SECTOR, UNITED STATES, OCTOBER, 1974  
 ("R149" REFERS TO THE THIRD DIGIT OF THE NMS OCCUPATION CODE)

BT

	FUNCTION OF AGENCY							
	TOTAL	STATE	LOCAL	POLICE PROTECTION	LEGAL SERVICES AND PROSECUTION	INDIGENT DEFENSE	CORRECTIONS	OTHER
TOTAL.....	832,919	203,256	629,623	600,144	39,722	5,573	187,205	255
LAW ENFORCEMENT OTHER THAN SHERIFFS MANAGEMENT								
R149=1.....	8,602	582	8,020	8,586	8	-	-	9
R149=2.....	3,648	-	3,648	3,640	8	-	-	-
R149=3.....	2,146	195	1,950	2,146	-	-	-	-
R149=4.....	1,073	-	1,073	1,073	-	-	-	-
R149=5.....	18,868	2,755	16,074	18,857	-	-	11	-
R149=6.....	4,660	493	4,167	4,660	-	-	-	-
DIRECT SUPERVISION								
R149=1.....	1,810	1,272	538	1,810	-	-	-	-
R149=2.....	20,046	3,320	16,726	20,046	-	-	-	-
R149=3.....	1,761	315	1,446	1,761	-	-	-	-
R149=4.....	1,332	126	1,207	1,326	6	-	-	-
LINE								
R149=1.....	17,051	9,150	7,901	17,040	-	-	-	11
R149=2.....	245,999	27,323	218,676	245,651	-	-	342	6
R149=3.....	27,379	2,859	24,520	27,345	32	-	21	-
R149=4.....	18,502	2,608	15,894	18,482	17	-	3	-
SUBPROFESSIONAL								
R149=10.....	8,608	1,323	7,285	8,584	-	-	24	-
PARAPROFESSIONAL								
R149=10.....	3,439	183	3,256	3,439	-	-	-	-
INDIGENOUS NON-PROFESSIONAL								
R149=10.....	24,955	545	24,410	24,955	-	-	-	-
DIRECT SUPPORT PROFESSIONAL AND MANAGERIAL								
R149=1.....	1,809	-	1,809	1,807	2	-	-	-
R149=2.....	473	108	365	473	-	-	-	-
R149=3.....	97	72	25	97	-	-	-	-
R149=4.....	768	432	336	762	6	-	-	-
R149=5.....	24	-	24	24	-	-	-	-
R149=10.....	673	132	541	617	-	-	4	52
DIRECT SUPPORT TECHNICAL								
R149=1.....	23,558	4,225	19,373	23,431	36	-	131	-
R149=2.....	13,467	3,159	10,307	13,129	6	-	328	4
R149=3.....	1,265	206	1,059	1,259	-	-	6	-
R149=4.....	653	87	566	653	-	-	-	-
R149=5.....	843	243	599	790	-	-	-	53
R149=6.....	323	293	30	317	6	-	-	-
R149=7.....	14	14	-	14	-	-	-	-
R149=8.....	297	61	236	297	-	-	-	-
R149=9.....	536	277	659	912	19	-	5	-



## M-1 EMPLOYMENT IN STATE AND LOCAL CRIMINAL JUSTICE AGENCIES BY OCCUPATION AND SECTOR, UNITED STATES, OCTOBER, 1974

WT - CONTINUED

		FUNCTION OF AGENCY							
		TOTAL	STATE	LOCAL	POLICE PROTECTION	LEGAL SERVICES AND PROSECUTION	INDIGENT DEFENSE	CORRECTIONS	OTHER
LAW ENFORCEMENT OTHER THAN SHERIFFS									
INDIRECT SUPPORT									
R149=1.....		143	23	121	143	-	-	-	-
R149=3.....		621	31	590	621	-	-	-	-
R149=4.....		3,516	524	2,990	3,516	-	-	-	-
R149=5.....		3,339	740	2,599	3,339	-	-	-	-
R149=6.....		6,228	1,183	5,045	6,228	-	-	-	-
R149=7.....		10,844	955	9,889	10,741	-	-	4	100
R149=8.....		1,734	602	1,131	1,734	-	-	-	-
LAW ENFORCEMENT SHERIFFS									
MANAGEMENT									
R149=1.....		1,888	2	1,886	1,741	9	-	139	-
R149=2.....		210	-	210	187	-	-	23	-
R149=3.....		645	-	645	606	-	-	39	-
R149=4.....		119	-	119	119	-	-	-	-
R149=5.....		2,810	-	2,810	2,651	-	-	159	-
R149=6.....		728	-	728	684	-	-	44	-
DIRECT SUPERVISION									
R149=1.....		17	-	17	17	-	-	-	-
R149=2.....		1,428	2	1,426	1,382	2	-	44	-
R149=3.....		112	-	112	112	-	-	-	-
R149=4.....		95	-	95	95	-	-	-	-
R149=5.....		16	-	16	16	-	-	-	-
LINE									
R149=1.....		1,041	-	1,041	911	-	-	130	-
R149=2.....		34,747	13	34,734	33,007	28	-	1,713	-
R149=3.....		5,105	-	5,105	4,758	15	-	332	-
R149=4.....		2,145	-	2,145	2,060	-	-	85	-
SUBPROFESSIONAL									
R149=10.....		810	-	810	630	-	-	180	-
PARAPROFESSIONAL									
R149=2.....		31	-	31	31	-	-	-	-
R149=10.....		76	-	76	76	-	-	-	-
INDIGENOUS NON-PROFESSIONAL									
R149=10.....		535	-	535	535	-	-	-	-
DIRECT SUPPORT PROFESSIONAL AND MANAGERIAL									
R149=1.....		9	-	9	9	-	-	-	-
R149=10.....		229	-	229	229	-	-	-	-
DIRECT SUPPORT TECHNICAL									
R149=1.....		4,081	-	4,081	3,712	4	-	365	-
R149=2.....		5,167	-	5,167	3,980	-	-	1,188	-
R149=3.....		110	-	110	110	-	-	-	-

**N-1 EMPLOYMENT IN STATE AND LOCAL CRIMINAL JUSTICE AGENCIES BY OCCUPATION AND SECTOR, UNITED STATES, OCTOBER, 1974**

WT - CONTINUED

	TOTAL	STATE	LOCAL	FUNCTION OF AGENCY				
				POLICE PROTECTION	LEGAL SERVICES AND PROSECUTION	INDIGENT DEFENSE	CORRECTIONS	OTHER
<b>LAW ENFORCEMENT SHERIFFS</b>								
<b>DIRECT SUPPORT TECHNICAL</b>								
R149=5.....	290	-	290	266	-	-	25	-
R149=8.....	65	-	65	62	-	-	2	-
R149=9.....	228	-	228	196	-	-	32	-
<b>INDIRECT SUPPORT</b>								
R149=1.....	21	-	21	21	-	-	-	-
R149=2.....	13	-	13	13	-	-	-	-
R149=3.....	21	-	21	21	-	-	-	-
R149=4.....	99	-	99	99	-	-	-	-
R149=5.....	404	-	404	384	-	-	20	-
R149=6.....	466	-	466	443	-	-	23	-
R149=7.....	3,076	-	3,076	2,968	-	-	108	-
R149=8.....	95	-	95	88	-	-	7	-
<b>CRIMINAL ADJUDICATION INCLUDED</b>								
<b>MANAGEMENT</b>								
R149=1.....	664	78	585	-	636	28	-	-
R149=2.....	486	90	396	-	475	12	-	-
R149=3.....	38	25	13	-	25	13	-	-
R149=4.....	50	39	11	-	25	25	-	-
R149=5.....	299	123	176	-	276	23	-	-
R149=6.....	92	53	39	-	70	22	-	-
<b>DIRECT SUPERVISION</b>								
R149=10.....	801	90	712	-	603	198	-	-
<b>LINE</b>								
R149=10.....	16,682	3,734	12,949	-	13,972	2,711	-	-
<b>SUBPROFESSIONAL</b>								
R149=10.....	370	226	145	-	333	38	-	-
<b>PARAPROFESSIONAL</b>								
R149=10.....	196	61	135	-	139	57	-	-
<b>DIRECT SUPPORT PROFESSIONAL AND MANAGERIAL</b>								
R149=1.....	4	-	4	-	4	-	-	-
R149=4.....	42	24	18	-	42	-	-	-
R149=7.....	8	8	-	-	8	-	-	-
R149=10.....	756	291	506	-	608	188	-	-
<b>DIRECT SUPPORT TECHNICAL</b>								
R149=2.....	-	5	33	-	39	-	-	-
R149=4.....	-	-	12	-	18	-	-	-
R149=5.....	-	2	-	-	2	-	-	-
R149=7.....	4,415	1,155	3,260	-	3,521	894	-	-
R149=8.....	41	19	22	-	36	4	-	-
R149=9.....	111	92	19	-	111	-	-	-

M-1 EMPLOYMENT IN STATE AND LOCAL CRIMINAL JUSTICE AGENCIES BY OCCUPATION AND SECTOR, UNITED STATES, OCTOBER, 1974

MT - CONTINUED

	FUNCTION OF AGENCY							
	TOTAL	STATE	LOCAL	POLICE PROTECTION	LEGAL SERVICES AND PROSECUTION	INDIGENT DEFENSE	CORRECTIONS	OTHER
<b>CRIMINAL ADJUDICATION INCLUDED</b>								
DIRECT SUPPORT TECHNICAL								
R149=10.....	31	5	26	-	31	-	-	-
INDIRECT SUPPORT								
R149=3.....	2	2	-	-	2	-	-	-
R149=4.....	9	9	-	-	9	-	-	-
R149=5.....	193	54	139	-	175	18	-	-
R149=6.....	75	-	75	-	75	-	-	-
R149=7.....	1,903	482	1,420	-	1,450	453	-	-
<b>CIVIL ADJUDICATION ONLY</b>								
MANAGEMENT								
R149=1.....	8	-	8	-	8	-	-	-
R149=2.....	15	-	15	-	15	-	-	-
R149=4.....	54	-	54	-	54	-	-	-
R149=5.....	28	28	-	-	28	-	-	-
R149=6.....	3	3	-	-	3	-	-	-
DIRECT SUPERVISION								
R149=10.....	25	13	12	-	25	-	-	-
<b>LINE</b>	<b>2,535</b>	<b>969</b>	<b>1,566</b>	<b>-</b>	<b>2,535</b>	<b>-</b>	<b>-</b>	<b>-</b>
PARAPROFESSIONAL								
R149=10.....	6	6	-	-	6	-	-	-
DIRECT SUPPORT PROFESSIONAL AND MANAGERIAL								
R149=10.....	63	54	9	-	63	-	-	-
DIRECT SUPPORT TECHNICAL								
R149=7.....	73	52	21	-	73	-	-	-
R149=9.....	20	20	-	-	20	-	-	-
INDIRECT SUPPORT								
R149=7.....	229	37	192	-	229	-	-	-
<b>NON-ADJUDICATIVE</b>								
MANAGEMENT								
R149=1.....	2	-	2	-	2	-	-	-
R149=3.....	8	-	8	-	8	-	-	-
R149=5.....	7	3	4	-	7	-	-	-
R149=6.....	12	12	-	-	12	-	-	-
DIRECT SUPERVISION								
R149=10.....	2	2	-	-	2	-	-	-
<b>LINE</b>	<b>1,103</b>	<b>395</b>	<b>709</b>	<b>-</b>	<b>1,103</b>	<b>-</b>	<b>-</b>	<b>-</b>
DIRECT SUPPORT PROFESSIONAL AND MANAGERIAL								
R149=10.....	92	67	25	-	92	-	-	-

VII-383

# M-1 EMPLOYMENT IN STATE AND LOCAL CRIMINAL JUSTICE AGENCIES BY OCCUPATION AND SECTOR, UNITED STATES, OCTOBER, 1974

WT - CONTINUED

		FUNCTION OF AGENCY							
		TOTAL	STATE	LOCAL	POLICE PROTECTION	LEGAL SERVICES AND PROSECUTION	INDIGENT DEFENSE	CORRECTIONS	OTHER
NON-ADJUDICATIVE									
DIRECT SUPPORT TECHNICAL									
R149=7.....	113	21	92	-	113	-	-	-	-
INDIRECT SUPPORT									
R149=4.....	26	18	8	-	26	-	-	-	-
R149=5.....	15	-	15	-	15	-	-	-	-
R149=7.....	80	41	39	-	80	-	-	-	-
PROBATION AND PAROLE MANAGEMENT									
R149=1.....	427	101	326	-	-	-	-	427	-
R149=2.....	47	8	39	-	-	-	-	47	-
R149=3.....	265	35	226	-	-	-	-	265	-
R149=4.....	59	-	59	-	-	-	-	59	-
R149=5.....	491	290	201	-	-	-	-	491	-
R149=6.....	16	11	4	-	-	-	-	16	-
DIRECT SUPERVISION									
R149=2.....	13	13	-	-	-	-	-	13	-
R149=10.....	2,838	1,079	1,759	-	-	-	-	2,838	-
LINE									
R149=2.....	9	9	-	-	-	-	-	9	-
R149=10.....	22,055	9,151	12,903	-	-	-	-	22,055	-
INDIGENOUS NON-PROFESSIONAL									
R149=10.....	185	34	151	-	-	-	-	185	-
DIRECT SUPPORT PROFESSIONAL AND MANAGERIAL									
R149=2.....	9	-	9	-	-	-	-	9	-
R149=5.....	7	-	7	-	-	-	-	7	-
R149=6.....	6	6	-	-	-	-	-	6	-
R149=7.....	36	6	29	-	-	-	-	36	-
R149=8.....	151	144	7	-	-	-	-	151	-
R149=10.....	1,406	538	867	-	-	-	-	1,406	-
DIRECT SUPPORT TECHNICAL									
R149=1.....	17	17	-	-	-	-	-	17	-
R149=2.....	61	-	61	-	-	-	-	61	-
R149=7.....	394	108	286	-	-	-	-	394	-
R149=9.....	24	10	14	-	-	-	-	24	-
R149=10.....	8	-	8	-	-	-	-	8	-
INDIRECT SUPPORT									
R149=3.....	4	-	4	-	-	-	-	4	-
R149=4.....	164	3	161	-	-	-	-	164	-
R149=5.....	58	42	15	-	-	-	-	58	-
R149=6.....	120	94	26	-	-	-	-	120	-
R149=7.....	572	167	405	-	-	-	-	572	-

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N-1 EMPLOYMENT IN STATE AND LOCAL CRIMINAL JUSTICE AGENCIES BY OCCUPATION AND SECTOR, UNITED STATES, OCTOBER, 1974

MT - CONTINUED

	TOTAL	STATE	LOCAL	FUNCTION OF AGENCY				
				POLICE PROTECTION	LEGAL SERVICES AND PROSECUTION	INDIGENT DEFENSE	CORRECTIONS	OTHER
PROBATION AND PAROLE								
INDIRECT SUPPORT								
R149=8.....	4	-	4	-	-	-	4	-
SHERIFFS JAILS								
MANAGEMENT								
R149=1.....	65	-	65	17	-	-	48	-
R149=3.....	33	-	33	-	-	-	33	-
R149=5.....	893	-	893	370	-	-	523	-
R149=6.....	35	-	35	-	-	-	35	-
DIRECT SUPERVISION								
R149=1.....	799	-	799	201	-	-	598	-
LINE								
R149=1.....	14,512	-	14,512	5,311	-	-	9,201	-
R149=2.....	301	-	301	81	-	-	220	-
SUBPROFESSIONAL								
R149=1.....	61	-	61	-	-	-	61	-
R149=10.....	64	-	64	-	-	-	64	-
INDIGENOUS NON-PROFESSIONAL								
R149=1.....	8	-	8	-	-	-	8	-
R149=2.....	8	-	8	-	-	-	8	-
DIRECT SUPPORT PROFESSIONAL AND MANAGERIAL								
R149=1.....	379	-	379	197	-	-	182	-
R149=2.....	211	-	211	11	-	-	201	-
DIRECT SUPPORT TECHNICAL								
R149=1.....	697	-	697	152	-	-	545	-
R149=3.....	64	-	64	-	64	-	-	-
INDIRECT SUPPORT								
R149=4.....	34	-	34	-	-	-	34	-
R149=5.....	57	-	57	-	-	-	57	-
R149=6.....	56	20	36	-	-	-	56	-
R149=7.....	874	-	874	76	-	-	798	-
R149=8.....	146	-	146	-	-	-	146	-
ALL OTHER CORRECTIONS								
MANAGEMENT								
R149=1.....	1,209	660	549	-	-	-	1,209	-
R149=2.....	22	9	14	-	-	-	22	-
R149=3.....	742	470	272	-	-	-	742	-
R149=4.....	84	17	68	-	-	-	84	-
R149=5.....	2,733	1,940	793	31	-	-	2,699	3
R149=6.....	84	68	16	-	-	-	84	-
DIRECT SUPERVISION								
R149=1.....	3,720	2,769	951	24	-	-	3,696	-

M-1 EMPLOYMENT IN STATE AND LOCAL CRIMINAL JUSTICE AGENCIES BY OCCUPATION AND SECTOR, UNITED STATES, OCTOBER, 1974

MT - CONTINUED

	FUNCTION OF AGENCY							
	TOTAL	STATE	LOCAL	POLICE PROTECTION	LEGAL SERVICES AND PROSECUTION	INDIGENT DEFENSE	CORRECTIONS	OTHER
ALL OTHER CORRECTIONS								
DIRECT SUPERVISION								
R149=2.....	906	500	406	-	-	-	903	3
LINE								
R149=1.....	57,424	40,780	16,645	422	-	-	57,002	
R149=2.....	9,139	6,608	2,531	16	-	-	9,107	16
SUBPROFESSIONAL								
R149=1.....	448	384	63	-	-	-	448	-
R149=2.....	115	98	17	-	-	-	115	-
PARAPROFESSIONAL								
R149=1.....	16	6	10	-	-	-	16	-
R149=2.....	15	15	-	-	-	-	15	-
INDIGENOUS NON-PROFESSIONAL								
R149=1.....	61	37	24	-	-	-	61	-
R149=2.....	110	98	12	-	-	-	110	-
DIRECT SUPPORT PROFESSIONAL AND MANAGERIAL								
R149=1.....	3,259	2,661	598	-	-	-	3,259	-
R149=2.....	8,869	7,916	953	-	-	-	8,869	-
DIRECT SUPPORT TECHNICAL								
R149=1.....	2,635	1,972	663	-	-	-	2,635	-
R149=2.....	815	705	110	16	-	-	799	-
INDIRECT SUPPORT								
R149=1.....	22	22	-	-	-	-	22	-
R149=3.....	39	38	-	-	-	-	38	-
R149=4.....	280	271	9	-	-	-	280	-
R149=5.....	1,284	1,066	218	-	-	-	1,284	-
R149=6.....	196	184	12	-	-	-	196	-
R149=7.....	2,258	1,439	819	24	-	-	2,234	-
R149=8.....	2,041	1,493	548	-	-	-	2,041	-
NOT CLASSIFIABLE ABOVE								
INDIRECT SUPPORT								
R149=1.....	25	25	-	16	-	-	6	-
R149=3.....	174	90	83	108	-	-	66	-
R149=4.....	3,542	2,387	1,155	1,770	177	-	1,595	-
R149=5.....	4,150	2,568	1,583	1,702	328	21	2,099	-
R149=6.....	1,691	943	748	1,197	49	-	445	-
R149=7.....	74,569	27,273	47,296	38,315	11,595	868	23,791	-
R149=8.....	21,192	11,011	10,181	7,584	101	-	13,507	-

- DATA NOT AVAILABLE.

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