

STATE OF CALIFORNIA

EDMUND G. BROWN JR., Governor

OFFICE OF CRIMINAL JUSTICE PLANNING

1 BOWLING DRIVE
SACRAMENTO, CALIFORNIA 95823



July 15, 1976

Fred Becker
633 Indiana Avenue, N.W.
Room 778
Washington, D.C. 20531

Dear Fred:

The attached report is not the type of report I necessarily like to send but due to limited staff, other job functions as well as the loss of numerous records during our "reorganization" last year, it's the best approach I could think of in view of the above.

What I've attempted to do is take you through the development of our past program in a chronological way so you may have a better understanding of our evolution process. Where necessary, I will elaborate on those sections that I feel aren't self-explanatory.

TAB A

Beyond this initial letter, myself and my staff met with approximately 7 of the Regional staff to specifically explain our role, goals, benefits and ask for their assistance. In all cases, the staff of each region was enthusiastic and extremely responsive.

TAB B

Overview of Grant #1948, The Technology Transfer Branch.

You may initially wonder about this section but as you read you'll see how interrelated the different branches were and how our goal was to have a total approach. The only Branch that was not fully operational was the Research and Development Branch.

Of particular significance to my function as well as the T.A. function was the Criminal Justice Research Information Project (CJRI). With this Branch we were able to forward good projects which were subsequently abstracted and microfilmed. One example was a request for information on programs dealing with truancy and vandalism. A search request was made of CJRI and they produced 62 documents.

47988

July 15, 1976

TAB C

The Technology Transfer Program.

This paper was prepared for 2nd year funding under Grant #1948 covered under Tab #2. I believe it is self-explanatory.

TAB D

As you can see our form was patterned after the Exemplary Project Recommendation Form however, we feel a great deal of superfluous material was eliminated and naturally we tailored it to meet our needs as you'll see. No offense!

TAB E

As indicated, this is an example of a synopsis prepared for our screening committee. Following the synopsis is a flow chart showing the procedure used by staff to exclude or select a project for model or exemplary status.

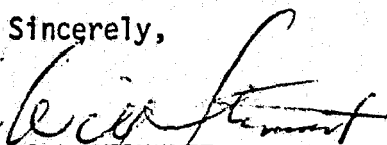
TAB F

Information in this area is extremely limited due to lost material during our "reorganization". I do know John Stettler had a very sophisticated operation. To the best of my knowledge, he had a catalog on vendors, their expertise, as well as their track record. When a T.A. request was received it was checked against the vendor file, referred to the appropriate vendor or submitted to LEAA when their needs couldn't be handled by our office. All T.A. requests were followed up by a form letter to determine the expediency of the request, type of service rendered and to what satisfaction. I know John's process was much more involved but again, due to time and lost materials, I'm afraid I can't elaborate further.

I apologize for this type of report but due to circumstances you're aware of, its the best I can come up with considering the time constraints I have to work with.

I'm sure you'll have questions or want clarification on certain items so feel free to contact me at (916) 445-0317.

Sincerely,



WILL STINNETT

WS:ls

Tab

- | | |
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Memorandum

ALL REGIONAL DIRECTORS
ALL PROFESSIONAL STAFF

Date : August 15, 1974

Subject: "Model" Project Program

From : *Ken Schremp*
Ken Schremp, Chief
Research and Development Division

The Research and Development Division of OCJP has recently created a Technology Transfer Branch, which will in effect closely resemble LEAA's Exemplary Project Program.

The Technology Transfer Branch will be responsible for the identification of effective Crime Control techniques and programs and for assistance to criminal justice agencies in the replication of those successful techniques and programs within other agencies. In order to accomplish this, however, assistance will be needed from all OCJP Professional staff, Regional staff and Boards in identifying those projects they consider to be outstanding and that could be replicated in other areas of the State. It is therefore requested that any project you feel could be identified as a "Model" project be brought to the attention of the Technology Transfer Branch. We would also request any information regarding any outside Technical Assistance provided to the project during its development.

Your cooperation in this matter will be greatly appreciated.

Additional information will be forthcoming in the immediate future; however, if there are any immediate questions or need for further clarification, please contact Will Stinnett at (916) 445-0317.

KS:pb:WS

Approved: *[Signature]*



OVERVIEW OF GRANT #1948 AND THE TECHNOLOGY TRANSFER BRANCH

The Office of Criminal Justice Planning is funded through federal monies provided by the Law Enforcement Assistance Administration and in turn makes most of that money available to local agencies and organizations for projects designed to reduce crime and improve the criminal justice system. In addition to the LEAA funds, other governmental groups also provide money which impacts on local criminal justice efforts. The functions of the Technology Transfer Branch complements the national effort to maximize the impact of the money currently being infused into the criminal justice system to reduce the crime problem.

Part of the charge given to state planning agencies is to improve the utilization of knowledge and technology gained from the projects that are being funded. The 1973 amendments to the Omnibus Crime Control and Safe Streets Act of 1968 emphasized the need for increased information flow on new techniques and approaches. This is in addition to the work of the National Institute of Law Enforcement and Criminal Justice at the federal level.

OCJP has a particular need to review the over 2,000 projects that have been funded in California alone since 1968 and determine those that have had impact within their area and have the potential for replication in other areas. Further, there is a need to look at the large number of other projects that have been attempted without LEAA funding, be it other federal funds, state grants; locally financed, or private foundation supported, that have a direct bearing on the criminal justice system.

In order to supply information to the National Institute with information about California projects that could be considered under their Exemplary Programs and Prescriptive Package efforts, California must mount a concerted and specialized activity. In addition, there is the need to improve the dissemination of information within the state concerning effective crime control techniques.

The message is quite clear: The money that is being spent on crime control must be utilized so that the most benefit can be gained from each dollar spent and we can not afford the luxury of spending precious dollars on projects that do not significantly reduce California's growing crime problem.

Thus is the rationale for the creation of a specialized Branch in the Research and Technical Assistance Division. The Technology Transfer Branch is designed to deal with the specific need to review projects that have been completed to determine their effectiveness and to compile information about proven approaches that can be given

to the decision makers and planners in the over 1,400 criminal justice agencies in California.

The Office of Criminal Justice Planning, following the Exemplary Programs effort of LEAA, has determined that an aggressive program is needed to identify outstanding projects and then publicize them widely. What is needed is to find out those things that work and the ones that don't and then put the more effective programs into the hands of decision makers so that they will find their way into general practice. The Exemplary Program effort has a screening procedure that is designed to identify twelve projects each year. Each of those will be rigorously reviewed and validated. Upon approval, detailed manuals, brochures, and audio-visual aids will be prepared on each one. Dissemination will be done through the National Criminal Justice Reference Service as well as workshops given in each of the ten LEAA regions.

With California receiving about ten percent of the money distributed by LEAA and considering that there are over 2,000 projects funded in California by LEAA money alone, the magnitude of the obligation of California to identify effective programs becomes obvious. Add to that the fact that California is seen as one of the leaders in innovative approaches and new techniques in the field of criminal justice.

In a similar vein, the Prescriptive Package effort by LEAA is designed to put theory, research and actual practice into a single source that will tell local criminal justice officials where information is available, where the ideas have been tried, and how they can be implemented locally. Each package is a composite view of a particular criminal justice issue or program with solid information on a survey of the latest practices, research, bibliographies, and model guidelines. Information on programs that can be considered for Prescriptive Package consideration must be generated by people within the states who are aware of the best that their experiences have to offer.

In order for a state to simply meet the needs of the federal information dissemination efforts, people with a highly refined ability to evaluate, review, and modify LEAA projects are needed.

In addition to the federal activity, Technology Transfer in California is determined to look at all program approaches regardless of funding source and make information available statewide on any approach that has merit and the ability to be replicated. The criteria for consideration includes the extent to which the project reached the stated objectives, the extent to which the philosophical base is transferable, the measures used to determine success, and the efficiency or cost effectiveness.

Looking at the ambitious goal of the Branch, there is an increasing need for staff who can make and maintain effective working relationships with a wide variety of political and managerial people as well as the planners and the implementers. This will be the critical key to the success of the attempt to instill new ideas in the field. If the dissemination was done through the use of impersonal handouts and the like, the personalities of the individuals would be of minor significance. This Branch intends to make or to arrange for personal presentations to each of the 21 regional boards and to criminal justice officials on a monthly basis. It is well known, in our field particularly, that virtually all transfer of information takes place as the result of personal contacts between individuals. The face to face dissemination procedure will spell the success or failure of the whole program and the resulting impact on the improvement of the criminal justice system.

Since the Technology Transfer Branch is only one part of the Divisional effort to answer the charge of the federal legislation, it seems valuable to discuss the other branches in the Division in order to examine the interrelationships.

The Office of Criminal Justice Planning has been awarded a grant (OCJP #1948) to address the need for maximizing the impact of money in planning for increased efficiency in the system. That grant fulfills this responsibility in four substantial ways, Technology Transfer being one of them. The Technical Assistance Branch operates to identify individuals who have proven themselves to be invaluable resources in providing professional consultation to criminal justice agencies in advanced techniques for solving problems that develop in agency operation. The Branch has the ability to determine the location of existing resources within state service that can respond to needs expressed by local agency decision makers and where such skills are not currently available, the identified outside consultants can be secured to provide prompt and quality consultation. In this way, the myriad of problems encountered by program managers can be dealt with at no cost to them rather than having the needs ignored or addressed with marginal success due to the costs, time, or workload pressures involved.

The Criminal Justice Research Information System is set up to be a clearinghouse of all research to be undertaken in California. In addition, it can access information throughout the nation and serves to tie the research community and operational agency personnel together so that research needs can be identified and projects to meet these needs can be developed.

The Analytical Model Branch will create an automated simulation model of the criminal justice system as it operates in the State of California and will be available to all criminal justice agency managers to use in predicting the impact of any approach, crime control, or change in legislation. With this capability, effective planning

can be truly meaningful in reducing crime and improving the efficiency of the criminal justice system. This will involve an initial effort to develop a physical display of data concerning California's crime problem so that planners can more readily conceptualize the trends in crime and identify apparent obstacles to more effective system performance.

All of these approaches to improve crime control technology have never been tried, anywhere, to this extent and never in such a closely coordinated fashion. There is a need then for highly specialized people to immediately become involved in the programs and demonstrate within a short period the practicality of continuing these efforts on a long-range basis. The time factor is even more critical when consideration is given to the fact that the entire grant is currently funded with monies that expire on June 30, 1975. At that time, the Branches will have to reach and maintain a high level of sophistication in order to demonstrate the strengths or weaknesses of each. Without experienced personnel to implement this effort, the Office of Criminal Justice Planning will be unable to fulfill its mission; to effectively plan for crime reduction in California and maximize the impact of its limited financial resources.

32. PROBLEM STATEMENT

The Office of Criminal Justice Planning is the statewide criminal justice planning agency authorized by the Omnibus Crime Control and Safe Streets Act of 1968. Interpretation of this legislation determines the nature, scope and direction of the state criminal justice planning agency's functions and activities. Amendments to the Safe Streets Act in 1973 stressed that one of the purposes of the legislation is to: "encourage research and development directed toward the improvement of law enforcement and criminal justice and the development of new methods for the prevention and reduction of crime and the detection, apprehension, and rehabilitation of criminals." It is this Congressional mandate which lead OCJP in February, 1974, to establish the Research and Technical Assistance Division to improve knowledge of California's crime problem; identify effective crime control techniques and projects, and encourage their replication throughout the State; and to provide data and technical services to planners and criminal justice agency decision makers at the state and local level. One of the purposes of these activities is to increase the effectiveness and efficiency of OCJP's planning decisions for program development to reduce crime and improve the criminal justice system. More importantly however, the activities of the Research and Technical Assistance Division would be service oriented to provide state and local units of government with accurate information to either plan and/or make fundamental decisions of program operation.

OCJP funds constitute one of the few resources available for change in California's criminal justice system. Yet, according to the state plan, these funds comprise only 3 - 4% of the total amount of funds which support California's criminal justice system. Therefore, the Research and Technical Assistance Division is needed to provide for activities which: 1) support objective decision making in the criminal justice community; and 2) maximize utilization of OCJP's funding resources to effectively impact upon the crime problem in California.

Each of the four branches of the Research and Technical Assistance Division carry out specific elements of the state criminal justice planning agency mandate in the Crime Control Act of 1973. Each function is designed to maximize the impact of funding decisions by eliminating duplication of effort; identifying what works and what doesn't; and providing extensive crime and criminal justice data to state and local planners and local agency decision makers.

This will encourage local units of government to make decisions on the basis of objective information rather than upon political influence and subjective guesswork. In this way, the Research and Technical Assistance Division provides direct support to accomplishment of OCJP's mission to reduce crime and improve the criminal justice system. Furthermore, these activities must be carried out by OCJP, since no other agency currently performs these activities at the statewide level.

The Amendments to the Act called for research and development activities, which encompass the Research and Development Branch function and the System Data Services function. Also, portions of Section 401, Articles 5 and 6 of the 1973 Act state that "agencies should produce special workshops for the presentation and dissemination of information resulting from research, demonstrations, and special projects authorized by this Title. In fulfillment of this mandate, the Technology Transfer Branch was established.

Finally, the 1973 amendments require "that the comprehensive plan shall demonstrate the willingness of the State to contribute technical assistance or services for programs and projects contemplated by the state comprehensive plan." In fulfillment of this mandate, the Technical Assistance Branch and the Financial Management Assistance Branch was established. The FMA Branch is funded out of this program, but is not functionally part of the RATA Division.

Further rationale for the development of specific tasks in the Research and Technical Assistance Division are explained below:

Research & Development Branch

The basis for this task is to carry out one of the mandates of the 1973 amendment to the Safe Streets Act. As stated earlier the legislation encouraged research and development to develop new methods for the prevention and reduction of crime.

Very few state agencies, let alone State Criminal Justice Planning Agencies, have the resources and capabilities to conduct research activities on major criminal justice problems.

A goal of a Research and Development Branch is to implement an effective program of research coordination and stimulation, appropriate data assimilation and analysis, and translation of useful new data into criminal justice program management, so that funding decisions will be based upon a foundation of sound and reliable information. Research and development activities are needed to, 1) develop data bases and 2) perform research studies to identify the nature of California's crime problem and determine which crime control techniques and devices have the greatest impact on crime. In this way, research and development maximize the impact of funding decisions. Performance of research studies in the criminal justice area is essential to support decision making based on objective information rather than upon political influence and subjective guesswork. In this way, research and development activities provides direct support to the accomplishment of OCJP's mission. Without a research and development program to provide direction to decision making, criminal justice planning efforts may continue to waste millions of dollars on techniques which are subjectively supported and ineffective in reducing California's crime problem. Furthermore, research and development activities must be carried out by OCJP, since no other agency currently performs these activities at the statewide level. The alternative to research and development activities within OCJP would be the development of research and development units throughout California. This alternative would be costly and would not provide coordination of data analysis and use of research findings at the statewide level.

Criminal Justice Research Information Project (CJRIS)

Criminal Justice research is being conducted throughout the nation by governmental bodies, educational institutions, private firms and many individuals. Nowhere is there, however, a centralized systematic library of easily retrievable and analyzable data on these research efforts. Such a lack of coordination of the information contributes to the problems of duplicative research efforts, lack of information to determine where research efforts should be directed, lack of knowledge in already researched areas, and lack of coordination in research areas of the same subject matter.

It is essential that an effective planner or researcher utilize the lessons of past experience to refine their efforts. If coordination does not exist no matter how much research is conducted, the projects will tend to be scattered and unrelated and of marginal benefit to society. A review of current literature relevant to their studies is of utmost importance. There is currently no system of storage and retrieval at OCJP that provides this type of service.

The problem appears to call for an approach which will ensure retrieval and analysis of large masses of information.

The CJRIS clearinghouse concept addresses this problem by providing for a statewide coordination of projects and reduction of the duplication of efforts from region to region. It allows for the searching out of problem areas, and the coordination and dissemination of evaluation data on research problems. In addition, it functions as a repository with a powerful retrieval capability and is responsible for the collection of information.

CJRIS also augments the OCJP Grants Management Information System (GMIS) by providing information on the current status of grant projects that GMIS is incapable of providing. Among these are retrieval of information: by subject matter; fiscal data; up-to-date summaries of progress.

Another function of the CJRIS project, that is not currently being accomplished in California, is to develop a collection of relevant documents from Federal, State, local or private programs. The fiscal and programmatic aspects of these studies is of invaluable assistance to the researcher.

Systems Data Services Branch

The need for decisions and decision making is ubiquitous. Making decisions is difficult under ordinary circumstances. Making decisions is proportionately more difficult under circumstances of increasingly scarce resources. Indeed, the more complex society becomes the more the need for rational decision making.

Making effective decisions is generally accepted as a product of the relationships between the timeliness and quality of information, the analytical techniques used, and the leadership exercised. Therefore, it appears that making decisions on the subject of Criminal Justice is heavily dependent upon information and would compel the judicious use of informal and formal analytical techniques of behavioral science, economics, logic, management arts and science, mathematics, and political and social sciences.

The need for such in-depth analytical assistance was partially filled in December 1974 by the organization of the Systems Data Service Branch (SDS). This organization consolidated diverse occupational skills associated with data analysis, computer technology and management science.

Accordingly, the main purpose of this unit is to facilitate decision making by assisting management in defining criminal justice systems problems at jurisdictional levels, determining its data and information requirements, designing a system to capture, analyze and disseminate data, recommending alternative solutions and monitoring effectiveness

Once fully operational, the Systems Data Services Branch will help state and local agencies focus on the problems and solutions of criminal justice facing the citizenry of California. The intent of this approach is to assist responsible leadership in making their decisions. This service is not intended as a substitute for judgement, political wisdom or leadership. No other agency intends to provide or is capable of providing broad, comprehensive and systematic analyses relating operational objectives to resource requirements to responsibility to an evaluation of their use.

Technical Assistance Branch

The options open to local agencies and community-based programs to satisfy their problem-solving needs have primarily been restricted to the use of locally generated resources or through applications to Federally supported programs, such as OCJP. While these have proven satisfactory in many cases, there continues to be a substantial gap between the services needed and those known to be provided.

The need for a Technical Assistance program at OCJP has been pointed out in at least two distinct ways. In June 1974, a survey of SPAs was made by the National Conference of State Criminal Justice Planning Administrations to determine the needs of their technical assistance clients. That survey showed that the needs covered a wide range of service areas within the total scope of planning, program development, and intergovernmental relations. Although resources were seen as available within each SPA and through LEAA contractors, there were gaps in the ability of SPAs to competently respond to their clients. The upshot of that survey was the development of a SPA Mutual Assistance Capabilities Catalogue which was restricted to SPA staff members who would be available to other SPAs on a mutual aid approach.

In May, 1974, the Research and Technical Assistance Division of OCJP conducted a survey of the heads of 1,454 criminal justice agencies to determine their needs in the area of technical assistance. The recommendations resulting from that survey included one "that OCJP should consider development of a Technical Assistance Program which would aid criminal justice agencies in developing effective planning, management, and organizational development skills".

Technical assistance is defined by LEAA as "those activities that are provided to planning and operating agencies to assist them in developing and implementing comprehensive planning and management techniques, in identifying the most effective techniques of controlling specific crime problems, in implementing new programs and techniques, and in assisting citizen and other groups in developing projects to participate in crime reduction and criminal justice improvements". In so doing the more fundamental problems in operational management and planning are addressed.

As stated earlier the mandate for a technical assistance program appears in the Federal Legislation under which OCJP operates. It states, in part: "That the comprehensive plan shall demonstrate the willingness of the State to contribute technical assistance or services for programs and projects contemplated by the statewide comprehensive plan. A technical assistance strategy would not only identify problems but would also identify and target the resources to respond to those problems in a systematic manner".

Although the existence of the problem has been documented several times, very little appears to have been done about it. LEAA has supported the idea strongly and is determined to see the State become responsive to local needs. They (LEAA) do realize that the technical assistance contracts that they maintain will address only a small portion of the whole picture. The state planning agencies have done little if anything to deal with the gaps in existing resources, with their most notable activity being an attempt to provide aid to each other in dealing with state level problems. The resulting Directory of Mutual Aid Capabilities, produced by the National Conference of State Criminal Justice Planning Administrations, was examined by OCJP-TA staff in October, 1974, and inquiries were made to the eleven states that claimed an expertise in Technical Assistance. None of the seven that responded had a program that came even close to what OCJP was attempting even though they all felt that it was the most desirable approach.

Technology Transfer Branch

The Office of Criminal Justice Planning is funded through Federal monies provided by the Law Enforcement Assistance Administration and in turn makes most of that money available to local agencies and organizations for projects designed to reduce crime and improve the criminal justice system. In addition to LEAA funds, other governmental groups also provide money which impacts on local criminal justice efforts. The creation of the Technology Transfer Branch complements the national effort to maximize the impact of the money currently being infused into the criminal justice system to reduce the crime problem.

Part of the charge given to state planning agencies is to improve the utilization of knowledge and technology gained from the projects that are being funded. The 1973 amendments to the Omnibus Crime Control and Safe Streets Act of 1968 emphasized the need for increased information flow on new techniques and approaches. Specifically portions of Section 401, Articles 5 and 6 of the amendment state that "agencies should produce special workshops for the presentation and dissemination of information resulting from research, demonstrations, and special projects authorized by this title"; and should "carry out a program of collection and dissemination of information on public projects under this title, including information relating to new or improved approaches, techniques, systems, equipment, and devices to prevent and reduce crime and delinquency".

The importance of this endeavor is exemplified by the creation of a national program (the National Institute - Exemplary Project) from which the Technology Transfer program received its initial impetus for program development.

OCJP has a particular need to review the over 2,000 projects that have been funded in California alone since 1968 and determine those that have had impact within their area and have the potential for replication in other areas. Further, there is a need to look at the large number of other projects that have been attempted without LEAA funding, be it other Federal funds, state grants, locally financed, or private foundation supported, that have a direct bearing on the criminal justice system.

In order to supply information to the National Institute with information about California projects that could be considered under their Exemplary Programs and Prescriptive Package efforts, California must mount a concerted and specialized activity. In addition, there is the need to improve the dissemination of information within the State concerning effective crime control techniques.

The message is quite clear: The money that is being spent on crime control must be utilized so that the most benefit can be gained from each dollar spent and we cannot afford the luxury of spending precious dollars on projects that do not significantly reduce California's growing crime problem.

With California receiving about ten percent of the money distributed by LEAA and considering that there are over 2,000 projects funded in California by LEAA money alone, the magnitude of the obligation of California to identify effective programs becomes obvious. Add to that the fact that California is seen as one of the leaders in innovative approaches and new techniques in the field of criminal justice.

Thus is the rationale for the creation of a specialized Branch in the Research and Technical Assistance Division. The Technology Transfer Branch is designed to deal with the specific need to review projects that have been completed to determine their effectiveness and to compile information about proven approaches that can be given to the decision makers and planners in the over 1,400 criminal justice agencies in California.

Financial Management Assistance Branch

The Law Enforcement Assistance Administration Guideline Manual Financial Management for Planning and Action Grants (M 7100.1a) specifically lists each State Planning Agency's responsibility for assuring proper Administration of Planning and Action funds. This includes responsibility for the proper conduct of the Financial Affairs of any sub-grantee or contractor. Periodic on-site visits must be made to review sub-grantee financial operations, records, systems and procedures.

In addition, the National Conference of State Criminal Justice Planning Administrators (NCSCJPA) called for on-site fiscal review of sub-grant awards as follows: Each Grant in excess of \$25,000 must be monitored at least once every 6 months; if more than \$100,000 of Federal funds are involved, each project should be monitored once each three months. In addition, it was suggested that each Planning Unit must be visited each month.

The California Department of Finance Audit Report dated March 1973, included a recommendation that the Office of Criminal Justice Planning meet the minimum standards established by the NCSCJPA.

An LEAA Audit Condition Report issued January 1974, calls for the establishment and implementation of a program for providing direct accounting and financial assistance to sub-grantees through regularly scheduled field visits. In implementing this program, LEAA emphasized that financial management and accounting assistance to sub-grantees should be a financial management responsibility.

Thus the rationale for the creation of a distinct service of financial technical assistance has been well documented. The need for this assistance is exemplified by the fiscal problem uncovered by this unit during its first year of operation.

The operation of the FMA Section during the fiscal year 174-75 has shown that over 90% of the technical assistance visits made identified fiscal deficiencies which could result in audit disallowances.

The continued existence of this unit will attempt to improve the fiscal management of sub-grants and to reduce fiscal deficiencies.

WORKLOAD ESTIMATES.

The following estimates have been written for each activity in the Research and Technical Assistance Division. Included are the specific tasks of each endeavor and the estimated man-days necessary to complete the function. Estimates are indicated for the second and third funding year, when feasible.

1. Research and Development Branch

In 1974-75, the top priorities for the Research and Development Branch were necessarily: 1) development and refinement of Branch objectives; 2) supervision of Branch activities; and 3) determination of research priorities. This first year of grant funding coincided with establishment of the Branch. In accordance with the strategy for development of Branch functions, successive emphasis was placed upon establishment of coordinative liaison with the research community and establishment of the Research and Development Advisory Committee. These two activities formed the basis for development of a preliminary research plan, involving development and management of "hard science" research grants to CCTRF and development of a preliminary proposal for research to be funded through the National Institute on Law Enforcement and Criminal Justice as an alternative source of fundings. In addition, significant technical support was provided to development of an interim criminal justice research information system, which was designed to provide information to the research community concerning on-going research projects nationwide (the purpose of the system is to reduce duplication of research efforts and increase the utilization of research findings in Criminal Justice decision making.)

During the second year of funding for the Research and Development Branch, the major priority will be set upon actually conducting research studies to upgrade objective criminal justice decision making. This priority is essential for implementation of OCJP's research plan and to reduce the amount of funds spent on research contracts. Other high priority activities will be liaison with the research community to share information in a manner lending to coordination of research efforts in California. Another major commitment is to do research for OCJP's Advisory Committee on Women and Criminal Justice, since there has been little research and few programs in this area in the past.

During the third year of project funding, the Research and Development Branch's major priorities will correspond to further development of Branch functions and responsibilities. Specifically, major priorities will be performance of research studies; supervision of Branch activities; development and management of research projects for tasks which require expertise unavailable within OCJP; research conducted for the Advisory Committee on Women and Criminal Justice; liaison with the research community; and efforts to obtain funding for the Branch from alternate funding sources, such as the National Institute on Law Enforcement and Criminal Justice.

RESEARCH AND DEVELOPMENT BRANCH
Summary of Workload, 1974-1975, 1975-1976, 1976-1977
(In Man Days)

Tasks	74-75		75-76		76-77	
	Man-Days	Priority Rank	Man-Days	Priority Rank	Man-Days	Priority Rank
1. Develop & refine objectives	90	1	25	3	20	3
2. Survey needs of Criminal Justice Agencies including research needs	30	6	30	8	30	11
3. Develop & manage OCJP #1948	106	4	90	6	85	6
4. Develop & refine research plan						
a. R & D Advisory Committee	29	5	40	8	47	7
b. Liaison with Research Community	44	7	60	5	75	8
c. CCTRF Project develop. & review	80	9	80	10	80	9
d. Research proposals to NILECJ	14	11	26	9	35	10
5. Finalize research plan & implement						
a. Develop research priorities	48	3	60	1	85	1
b. Develop and manage contracts					90	4
c. Conduct research studies	20	10	336	2	410	2
6. Support development of Criminal Justice Research Info. System	76	12	20	11	10	12
7. Advisory Committee on Women and Criminal Justice						
a. perform research	55	9	90	7	120	5
b. attend meetings	18	8	36	7	36	5
8. Supervision of Branch Activities	9	2	24	3	24	3
Man-Days needed	619		917		1147	
Man-Years needed	2.7		4.0		5.0	
Actual Man-Years Budgeted	2.3		3.0		N/A	
Backlog in Man-Years	.4		1.0		N/A	

N.B. There are 227 man-days per year, excluding vacation, sick leave and holidays.

1A. Criminal Justice Research Information System Project

Eight major tasks were essentially accomplished toward the development of CJRIS in 1974-75: an interim service was designed and developed and became operational, efforts to establish the final information retrieval system design was based on determining system objectives, scope, conceptual design, detailed configuration, equipment selection, initiation of data base conversion, and implementation and debugging.

Over 4,000 criminal justice documents have been processed into the interim service retrieval system. Twenty-five hundred pamphlets have been mailed to potential California users to advertise the system. As a result, the service CJRIS can provide is becoming known and search requests have increased to over five per day.

A functional information retrieval system requires a dedicated staff to properly process new information into the system, and to constantly survey the criminal justice community for new sources of information. Abstracts of all incoming documents must be written in a clear and concise manner to properly define methodologies used and the resulting findings. Information retrieval service must be prompt and accurate.

During the second year of funding the demands of CJRIS will increase substantially. Search requests are expected to increase to 100 per week. Documents processed into the system will be restricted to 500 per month. Adequate services to OCJP's Planning and Programs and Evaluation Departments, plus close working arrangements with state regional offices, will require system modification and data base up-dating to maintain a current information system.

Second year workload estimates are based on accomplishing the following major tasks:

1. Determine system scope and input sources and overall requirements utilizing user feedback plus coordinating with the research and planning community.
2. Conduct system cost-effectiveness studies based on interim system performance and the computer system sample data base.
3. Conduct feasibility studies to support the acquisition of electronic data processing equipment.
4. Determine most effective and efficient document conversion method.
5. Determine Quality Control requirements and procedures.
6. Debug final system software and hardware.
7. Incorporate modification, updates and system improvements into the computerized information retrieval software program.

8. Establish procedures for processing documentation into the CJRIS system.
9. Conduct studies and determine requirements to combine the OCJP library function and the CJRIS repository.
10. Establish procedures to train personnel to conduct computer data base searches.
11. Determine criteria for providing special services, including statistical reports, bibliographies, etc.
12. Coordinate CJRIS application and CRT usage expansion to the regional level, and determine scope and objectives necessary for this expansion.

Workload Estimate

(Based on 227 days/yr - 1816 hrs/yr)

Supervision - Project Director - 30%	0.5 man years
Staff Supervisors - 20%	
Search Requests - 100/wk, 15 min/search	0.7 man years
Abstracting - 500 doc/month @ 1 doc/hr	3.3 man years
Key Entry - 500 doc/month @ 6 doc/hr	1.0 man years
Repository Maintenance - 500 hrs. (Library Function)	0.3 man years
Developing new sources of information, ordering, maintain records	0.5 man years
Accounting Service - 20%	0.2 man years
Up-dating Grant Project Files	0.3 man years
Develop computer capability, feasibility studies, equipment selection, coordination with regions, program expansion in support of OCJP, Regions, CCTRF.	1.2 man years
	<hr/>
TOTAL	8.0 man years

THIRD YEAR WORKLOAD ESTIMATES

The number of documents processed into the system will increase to over 800 per month. System design and development efforts should stabilize at about 0.5 man/years for modifications, additions, debugging, etc. The OCJP library is expected to merge with the CJRIS document repository and will become a CJRIS responsibility. Service is expected to expand, search requests will increase, and more coordination with the regional officers will be required.

Project Director	1.0 man years
Search Requests 200/wk @ 10 min. ea.	1.0 man years
Abstracting 800/mo @ 1 doc/hr	5.3 man years
Key entry 800/mo @ 6/hr	1.6 man years
Library and repository function	1.0 man years
Data base development	0.7 man years
Accounting service	0.2 man years
Grant Project summaries	0.3 man years
System development & modifications	0.5 man years

11.6 man years

2. Systems Data Services Branch

Personnel requirements for this task reflect the operational changes that have occurred and are anticipated during the second year project life cycle. During this fiscal year the major task has been to develop, implement and maintain an analytical capability which would expand upon that capability inherent to the parent organization, OCJP. The basic objective of this task is to help decision makers focus on local problems and resolutions of the criminal justice system. During the first year of operation an inordinate amount of effort has been devoted to start up operations. It is anticipated this branch will increase its production of respondent operation analysis during the coming months.

In addition to maintaining the statistical analytical service production upon which this branch was organized, the major project initiated by this branch will be an effort to develop a demographic based composite county profile. The specific activities and workload estimates for this endeavor are fully indicated in the following chart for the second and third year of grant activity.

SYSTEMS DATA SERVICE BRANCH
WORKLOAD ESTIMATES

	FY 75		FY 76	FY 77
	Man-Days 1477 Requirement	908 Capability	Man-Days 1427 Requirement	Man-Days 1427 Requirement
1. Determine/develop branch objectives	6	6	--	--
2. Determine/develop major CJS issues, problems/priorities	10	10	10	10
3. Determine/develop/refine CJS data and information requirements	24	72	10	10
4. Determine/develop/assign analytical measurement values	16	16	19	19
5. Identify, document and catalog sources of available CJS data and information	38	64	19	19
6. Identify, document and catalog sources of available manual and automated systems to assist in building and using analytical models	19	30	5	5
7. Collect data and information required to produce analyses	113	100	113	113
8. Determine/develop/design alternatives to above requirements	113	70	113	113
9. Test operation of proposed CJS analytical methodologies	113	40	113	113
10. Produce initial and respondent CJS analyses	686	360	686	686
11. Develop demographic based composite county profiles or other branch initiated projects	283	96	283	283
12. Administer, educate and supervise branch activities and personnel	<u>56</u>	<u>44</u>	<u>56</u>	<u>56</u>
TOTAL	1,477	908	1,427	1,427

3. Technical Assistance Branch

<u>Activity</u>	<u>74-75</u>	<u>Man-Days 75-76</u>	<u>76-77</u>
General development, supervision and direction of program @ ½ time	70	114	114
Make and maintain close contact with LEAA and Regional offices	40	42	42
Identify OCJP staff specialities	20	10	10
Compile and maintain state agency and cooperating organization records. (Directories of capabilities) @ 1 day each	30	40	50
Process informal requests for information and materials @ 1 day each	40	72	96
Screen, assign, and process formal requests for assistance without on-site visits @ 1.5 days each	120	360	450
Upgrade Master Vendor File and bidders lists	120	227	227
Identify and interview consultants, implement mechanism for their use @ 1.5 days each	30	30	30
Screen, assign, and respond to difficult requests including on-site visits @ 3 days each	-0-	120	150
	<hr/>	<hr/>	<hr/>
TOTAL	470	1,015	1,169
Staff time actually available to spend on Branch activities	360	568	454
Backlog (man-years)	.48	1.97	3.15

The backlog is particularly aggravated by the loss of the LESA professional position due to the termination of the LESA Grant, leaving only one professional position for 1974-75. The projection for 1975-76 assumes the additional loss of a ½ time student assistant which further restricts the ability of the program to reach its objectives.

4. Technology Transfer Branch

This program is the only one of its kind in the United States operating on a statewide basis. The program concept was originally designed after the national LEAA-Exemplary Program which attempts to select projects for national replication. The basis for the emergence of the present Technology Transfer Branch was to provide a direct service to the State of California. Project selection is based on compliance with specific criteria (achievement of objectives, transferability, and cost-efficiency) that were established by this branch.

When this branch was created it was difficult to assess how projects would be selected and presented for replication, thus the Research and Technical Assistance Branch could not factually determine the number of positions that were required to accomplish the proposed tasks. It should be noted that because this is a unique statewide program it was impossible to receive technical assistance from other states on the amount of manpower that was necessary for effective operations.

The only agency that could offer some guidance in preparing a manpower assessment was the Law Enforcement Assistance Administration Institute. However, after repeated attempts for assistance no bonifide recommendations were given.

This program became operational January 2, 1975, when the two positions (CJS 1 and CJS III) allotted for the Technology Transfer Branch were filled. However, since it was initially not known what tasks would be required to complete the goals of this program, it was necessary to become operational a few months before a workload estimate could be developed. By April 1, 1975, the documentation was written and is included in this section. It should be noted the workload estimate does not include time spend for extra duties such as supervisory tasks, requests for information, work on the national exemplary program (which is required) coordination of Grant #1948, and vacation, sick and personal leave taken by the present staff. The calculations were also conservative estimates.

Coordination with the national exemplary program is a newly defined task that was not included in the original tasks of this program when it was initially approved. Recently LEAA requested that all projects designated for exemplary status be channeled through the Technology Transfer Branch. Thus, the review process explained below for model projects (California designation) also is required for exemplary projects. The work required to select these programs is not included on the manpower requirements that are cited below. It is estimated that this task would require 1/2 - 1 full time man for the year.

As stated earlier, one objective of the Technology Transfer Branch is to select 30 model projects. This will enable the Branch to select a minimum number of projects from the various components of the police, courts, corrections and juvenile delinquency/prevention disciplines. For example, the police area has many components (communications, tactical patrol, police-community relations). The project selection process should represent a cross-section of the various

components within each discipline. Since the other disciplines also have many components the selection of 30 projects actually constitutes an absolute minimum requirement.

Based on three months of operations approximately 1/5 of all projects reviewed will be selected by the staff. Thus, it will be necessary to review 150 projects per year. Given this goal and based on the time it has taken to work on specific tasks, the following calculations have been made for the second year of project activity:

- A. (1) Each project received must be researched and have a report written - 1 day work x 150 projects = 150 man days
- (2) To date, 3/5 of all projects warrant a site visit and review - 2 days work x 90 projects = 180 man days
- (3) Another report on each project will then be written - 1/2 day work x 90 projects = 45 man days
- (4) Additional evaluative info will be received & another site visit & review & final report are required on 2/5 of all projects - 3 days work x 60 projects = 180 man days
- (5) Preparation of recommendations to screening committee is required for all 150 projects - 1/2 day x 150 projects = 75 man days

630 man days are required to complete the requirements for this segment of our program

- (6) Since there are 227 working days per year and 630 man days required, then approximately 2.8 persons are required.

- B. (1) 30 presentations in 5 regional areas = 150 presentations per year - 1 1/2 days work x 150 = 225 man days
- (2) The preparation of presentations (arranging a place, coordinating the speakers, writing abstracts and disseminating information) - 1/2 day work for 150 presentations = 75 man days

- (3) A follow-up on all presentations (letters to audience, etc.)

- 1/3 day work x
150 presentations = 50 man days

350 man days are
required to complete
this segment of the
program

- (4) $350 \div 227 =$ approximately 1.5 persons are required.

- C. By combining the two segments of this program: $2.8 + 1.5$; then approximately 4.3 persons are necessary to reach the program's goal.

It should again be emphasized that the 4.3 man-persons required to complete the goals of this program do not include works on tasks such as the LEAA Exemplary Program, information requests, supervisory tasks (such as the coordination of Grant #1948).

Workload Estimates for Year 1976-77

As outlined in the workload formula for Grant Year 1975- 76, it clearly indicates that at least 4.3 man-persons are presently required to complete the goals of this program. Since no new positions have been requested for year 1975-76, and since the workload will undoubtedly remain the same, it is therefore reasonable to project the workload for 1976-77 to remain the same as for 1975-76. It is hoped and anticipated that the two (2) needed positions will be forthcoming in Grant Year 1976-77 to allow for accomplishment of the stated goals.

5. Financial Management Assistance

The following workload estimates will remain consistent in the second and third year of project activity:

<u>Tasks</u>	<u>Man Days</u>
Technical Assistance Visits:	
Department awards approximately 650 grants per year.	
Approximately $\frac{1}{2}$ are awarded as new grants (not continuation grants).	
325 grants @ 16 hours per grant	650
Audit Appeals and Review of Audit Reports:	
Audit appeals on hand	10
Audit appeals received monthly 4x12	48
Total audit appeals	58
Average time to complete	x32 hours/appeal
	232

Review of audit reports and preparation of cover letters for the signature of the MSSD Chief. 4 hr/audit x 360 audits/yr 180

Fiscal Standards:

Review and revise the "FAM" 1/4 of man year (225 days) 56

Prepare and issue Financial Standard Memos and Fiscal Standards review 1/4 of man year (225 days) 56

Supervision: Supervising unit 225

Training of Staff: 75

15 days/staff times 5

Clerical Support: Reports and correspondence typing

Filing

Mail

Supplies

Xeroxing

225

TOTAL

1,699

Number of positions needed 7.5

Number of present positions 6.0

* Man Year = 227 days.

33. APPROACHES CONSIDERED

Two alternatives to the Research and Technical Assistance Division were considered:

- 1) To develop research and development, technical assistance, technology transfer and data base development activities in each of California's 21 regional criminal justice planning boards: This alternative would be costly but more importantly would create barriers to the coordination and sharing of information that the present structure of R.A.T.A. was designed to accomplish.
- 2) To continue OCJP operations without a Research and Technical Assistance Division: This alternative would encourage waste of scarce crime control funds, since this would necessitate a lack of information flow on the issues identified by the current R.A.T.A. program to regional planning boards and local units of government. Thus, decision makers would not become aware of the more effective crime reduction techniques and programs that are available statewide. This situation would compel local agencies to obtain these services by paying for consultant contracts for research and technical assistance requests.

The present Research and Technical Assistance Division program is more cost effective than other alternatives that have been presented, but more importantly research and technical assistance efforts would be more effective in one centralized capacity aimed at serving the community, since it's mere presence at OCJP enables the program to receive a comprehensive overview of the various areas necessary to complete the required tasks. In addition, by placing this program separate from local government endeavors localized interests are minimized thus enabling the program to become service oriented, apart from the communities it serves.

34. Project Goals and Objectives

The goals of the Research and Technical Assistance Division can be determined by emphasizing the major objective of each program (branch) operating within the Division.

1. Research and Development - to assimilate, analyze and translate useful research data into criminal justice program management.
 - a) CJRIS Project - to establish and implement an information storage & retrieval (clearinghouse) system that quickly responds to local requests for research projects available in specific program areas.
2. Systems Data Services - to analyze, designate and develop accurate data bases and data services for planners and local (operational) decision makers.
3. Technical Assistance - to provide local units of government free, short-term technical services on criminal justice managerial and operational problems.
4. Technology Transfer - to identify the best crime control techniques and projects and encourage their replication in jurisdictions that can be benefited.
5. Financial Management Assistance - to provide in-house fiscal technical assistance to recipients of OCJP grants.

Specific objectives of each endeavor are illustrated below:

1. Research and Development
 - A) identify needed research by identifying gaps in knowledge or technology which impede efficient and effective functioning of the criminal justice system;
 - B) perform research to improve knowledge of the nature and extent of California's crime problem and to assess criminal justice system performance;
 - C) develop new methods for analyzing crime and criminal justice data;
 - D) identify new, effective crime control techniques;
 - E) establish coordinative liaison with the criminal justice research community in California, to collect information about on-going research projects and to disseminate this knowledge to criminal justice planners and other researchers;
 - F) put new research findings to work at the operational level in the criminal justice system; and

- G) develop a research plan for the Office of Criminal Justice Planning so that it may perform needed limited research studies and so it may consider funding needed extensive research projects through use of outside consultants.

1A. CJGIS Project

- A) to quickly inform the researcher of information in any criminal justice area;
- B) to eliminate duplicative research efforts;
- C) to assist in directing attention to those areas in need of research;
- D) to coordinate on a state-wide basis those parties interested in similar research efforts; and
- E) to provide the criminal justice community with access to a large storehouse of technical assistance documentation.

2. Data Systems Services Branch

- A) determine the major issues, problems and priorities and other influences which concern individuals responsible for criminal justice management within California.
- B) determine the management data and information required by the aforementioned key decision makers.
- C) determine the utility and availability of computer programs and other methods which can assist in the collection, analysis and dissemination of criminal justice data and information.
- D) develop and implement a criminal justice program management analysis system.
- E) develop demographic profiles of California's 58 counties, and produce narrative reports concerning the nature and extent of California's crime problem.

3. Technical Assistance Branch

- A) to increase the resources available to the criminal justice community through which professional consultation services can be obtained.
- B) to develop a comprehensive master vendor file from which bidders lists can be made and used to disseminate RFP's and RFQ's.

- C) to maintain current information on technical assistance resources that are available, particularly at no cost to the user, to local criminal justice agencies.
- D) to decrease the dissatisfaction (as indicated by previous users) associated with the current (particularly federal) technical assistance programs.
- E) to increase the confidence and satisfaction of operating agencies to the idea of obtaining outside opinions and suggestions.

4. Technology Transfer Branch

- A) to review and screen at least 150 projects to be considered for exemplary and/or model status.
- B) to select at least 30 projects statewide that meet the criteria for model and/or exemplary status.
- C) to make at least five presentations per selected project (30 = 150 presentations) to various regional criminal justice planning boards.
- D) to encourage local regional criminal justice planning areas to implement the successful and timely projects designated for model and/or exemplary status.

5. Financial Management Assistance Branch

- A) Elimination of the confusion over fiscal requirements.
- B) Consistent information communicated.
- C) current updates and corrections of the fiscal standards.
- D) elimination of needless audit findings.
- E) current review of audit appeal for resolution purposes.

35. METHODOLOGY

Research and Development Branch

The major purpose of this unit is to use research findings to provide accurate information to decision makers on critical issues. To accomplish this goal the Research and Development Branch will first identify all existent research findings to determine their applicability to the OCJP program.

Project staff will also conduct special research studies to increase the knowledge of California's crime problem. This task will involve on-site data collection at a variety of criminal justice agencies and utilization of data from the Bureau of Criminal Statistics. Reports prepared shall be tailored to the needs of criminal justice planners. In so doing, staff will develop new methods for analyzing crime data, including the use of demographic data in planning.

The Research and Development Branch will also have primary responsibility for activities leading to coordination of criminal justice research in California. This task will involve meetings with the criminal justice research community and the provision of staff support to OCJP's Advisory Committee on Research and Development. The product of these efforts will be the identification of gaps in knowledge concerning crime control technology; determination of priority needs for research; and the development of a research plan for OCJP, to be implemented through research conducted by the Research and Development Branch or consultant contracts.

Criminal Justice Research Information System

The primary purpose of CJRIS is the dissemination of information on criminal justice research projects. It is an information storage and retrieval system, essentially a clearinghouse function that will provide up-to-date information on past, present, and planned research. The system will have the capability of searching and retrieving information efficiently from a large comprehensive data base of criminal justice research and technical assistance documentation. This endeavor provides the researcher with a quick and efficient review of literature relevant to his needs.

This program officially operates out of the Research and Development Branch of this grant. However, the CJRIS project functions separately from that Branch.

The approach used by the CJRIS staff to accomplish its objectives included an in-depth survey that was conducted to determine: 1) the true need of such a system and to identify the potential users; 2) the state-of-the-art of criminal justice and other types of information retrieval systems; 3) the sources of criminal justice documentation and the extent of the data base.

To properly scope the system objectives, conceptual design, and equipment selection, an "interim" CJRIS service was developed and implemented in January 1975. The final system design will be based on the evaluation of this service.

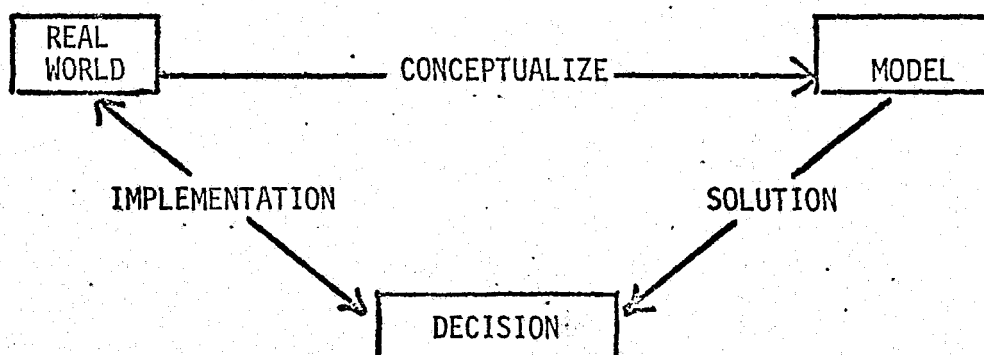
In addition to conducting surveys and implementing an interim service, an in-depth study of potential computer systems that may be adaptable to the final system (the CJRIS application) was conducted. The selection was based primarily on availability, Teale Data Center compatability, search capability and estimated cost.

The methods to be deployed during subsequent funding of this project include: The continued development and maintenance of a repository of research documents; providing for complete clearinghouse functions (that will handle 100 searches per week); the development of sources of information on criminal justice problems; and the assessment of all the activities existent at OCJP, for inclusion into the information system. In addition, feasibility studies will be completed, aimed at rechecking the capabilities of the system that was selected to insure the adequacy and efficiency of the present service.

System Data Services Branch

This unit is responsible for the development of a program that facilitates analysis of composite related criminal justice information, and provides for the selection of data bases to be used to provide decision makers with accurate planning and operational information.

The methods employed by this unit to accomplish this task are best illustrated in the diagram below:



This unit first identifies the problem posed by the local unit of government. For example, how will an increase in police arrests effect an increase in criminal justice expenditures for a local community; then a determination of what information systems should be used to provide the jurisdiction with

alternative solutions to their problem will be made. An analysis of available data would be accomplished and suggestions for the compilation of data into the information system (model) would be supplied. The data collection process would be monitored and a determination of the utility of the data and subsequent information alternatives presented would be analyzed.

This unit will also analyze all appropriate information models available to California, and it is anticipated that analytical models will be made available for specific types of problems.

Assistance will also be provided to planners and decision makers on the appropriateness of gathering specific data elements based on the problems identified. Surveys of the level of sophistication of available data and data needs of communities will also be made in as many jurisdictions as possible. Also, to accomplish the goals of this program, a repository of crime, arrest and demographic data will be completed by the project staff.

Technical Assistance

To accomplish its goal of providing Technical Assistance Services to local criminal justice agencies and local units of government this unit employs many steps.

Step 1 - Upon receipt of a request for technical assistance, the first thing to do is to clarify the exact nature of the need. At times this will require on-site visits to help the applicant determine the core issue. This is important because experience has shown that some requests only address side issues and it takes three or more of those types of requests before the real problem is approached. When that happens, time and resources are wasted.

Step 2 - When the review is completed, an analysis is made of the resources that are capable of providing the needed services. In order of priority, the staff looks for (1) OCJP staff members, (2) Other State agencies, (3) Organizations and associations, or (4) LEAA contracts for Technical Assistance.

Step 3 - If, and only if, the resources in step 2 are unable to respond promptly or adequately the Branch will use an individual consultant on a short-term basis (under 5 days). Any request for longer periods of time will not be addressed by Branch obtained consultants. A vendor file of consultants is maintained indicating their specialties within the 18 areas (Attachment A) in which such services may be rendered. The file is maintained on a rotating basis so the contracts can be given to a variety of consultants and allow the system as a whole to gain the benefit from various approaches to problem solving.

Step 4 - As a condition of the service provided, regardless of the source, the applicant is required to submit a critical review of the services received and the procedure used. The application is not considered closed until a review and critique is accomplished.

Technology Transfer Branch

The Technology Transfer Branch of the Office of Criminal Justice Planning is designed to focus national, state, and local attention on criminal justice programs which have demonstrated a notable degree of success over a period of time and which are suitable for replication. More importantly, however, the goal of this endeavor is to influence the implementation of the best projects in other jurisdictions.

Project Selection

The primary criteria for project selection is its demonstration in the reduction of a specific crime, recidivism, and/or measurable improvement in some aspects in the criminal justice system. Additional criteria include cost effectiveness, suitability for replication, and willingness of the project staff to provide information to other communities.

Projects are designated on two levels; exemplary and model status. Projects selected for exemplary status will be submitted to the National Institute of Law Enforcement for consideration of replication to other areas of the country. These projects should be timely and should demonstrate success in meeting their stated objectives. Model projects are those that have demonstrated success and are replicable to other areas in the State of California. These projects should also be timely and demonstrate a successful evaluation, but need not initially require a sophisticated evaluation.

Validation

The Office of Criminal Justice's Technology Transfer Branch reviews the documentation submitted on potential model and/or exemplary projects, clarify any ambiguities and make preliminary recommendations. On occasion the Technology Transfer Branch may seek input from the Research and Development Advisory Committee.

One to two-day site visits are made to the most promising projects so that the Technology Transfer Branch will have the benefit of an objective outside observer's report. This Branch also seeks the assistance of the OCJP Planning and Programs Staff and Regional Office Staff in providing additional recommendations.

On the basis of the documentation provided, the Technology Transfer Branch recommends those projects which appear to meet all the criteria for a "model" and/or "exemplary" designation to a Screening Committee. Projects will achieve status if approved by the Screening Committee.

To achieve model and/or exemplary status an intricate screening process has been identified. As indicated in the workload estimate, to select 30 projects a year, 150 projects must be reviewed. Three-fifths, or 90 projects will be selected for on-site visits. An analysis is then written and a final report, if feasible is completed on each project.

Documentation and Presentations

An abstract and microfilming of the documents is prepared for each project that receives the model and/or exemplary designation. The abstract is written in a highly readable journalistic style to arouse the interest of the reader to obtain a more detailed description. This endeavor will be tied into the activities of RATA's CJRIS project.

As indicated in the project workload, approximately 150 presentations will be made to select regions (if 30 projects are selected), that can benefit by implementing a model program in their jurisdiction.

At the presentations "model" project staff will explain the operations, procedures, and the benefits and weaknesses of implementing a project in their jurisdictions. The unit is responsible for the various activities that are required in conducting presentations at various regional boards.

Presentations of various projects constitutes a primary activity of this unit. It is hoped that through this endeavor, local units of government can implement the best projects in their jurisdictions.

Fiscal Management Assistance Branch

The primary activity assigned to this program is to provide financial technical assistance to as many grants as possible. All grants that are operational in their third or fourth month will be screened by staff for possible review. The priority for technical assistance will be given to first year projects and to project areas where fiscal management has been determined as weak. Other projects given priority will be those in the second or third year that had not been previously audited. Also, any requests for assistance by OCJP staff and the regions are given immediate attention.

Once projects are identified as in need of fiscal technical assistance contact with all appropriate OCJP and regional staff is made to receive a better perspective on the project.

The project visit entails a major activity of this unit. A review of the subgrantee's compliance with all federal and state fiscal requirements are made and assistance is rendered on all outstanding issues that are uncovered. An "exit conference" is eventually held with the subgrantee to discuss the fiscal deficiencies. The aim of this endeavor is to limit the number of audit exceptions found by the staff auditors at the end of the year.

This unit also conducts reviews of all final audits that are completed. In addition, reviews of all audit appeals are made to determine compliance with the fiscal requirements.

The Financial Management Assistance Branch also prepares and updates OCJP's Fiscal Affairs Manual, which is basically an interpretation of LEAA's fiscal guidelines.

Finally, this unit also provides fiscal compliance training to various local units of government.

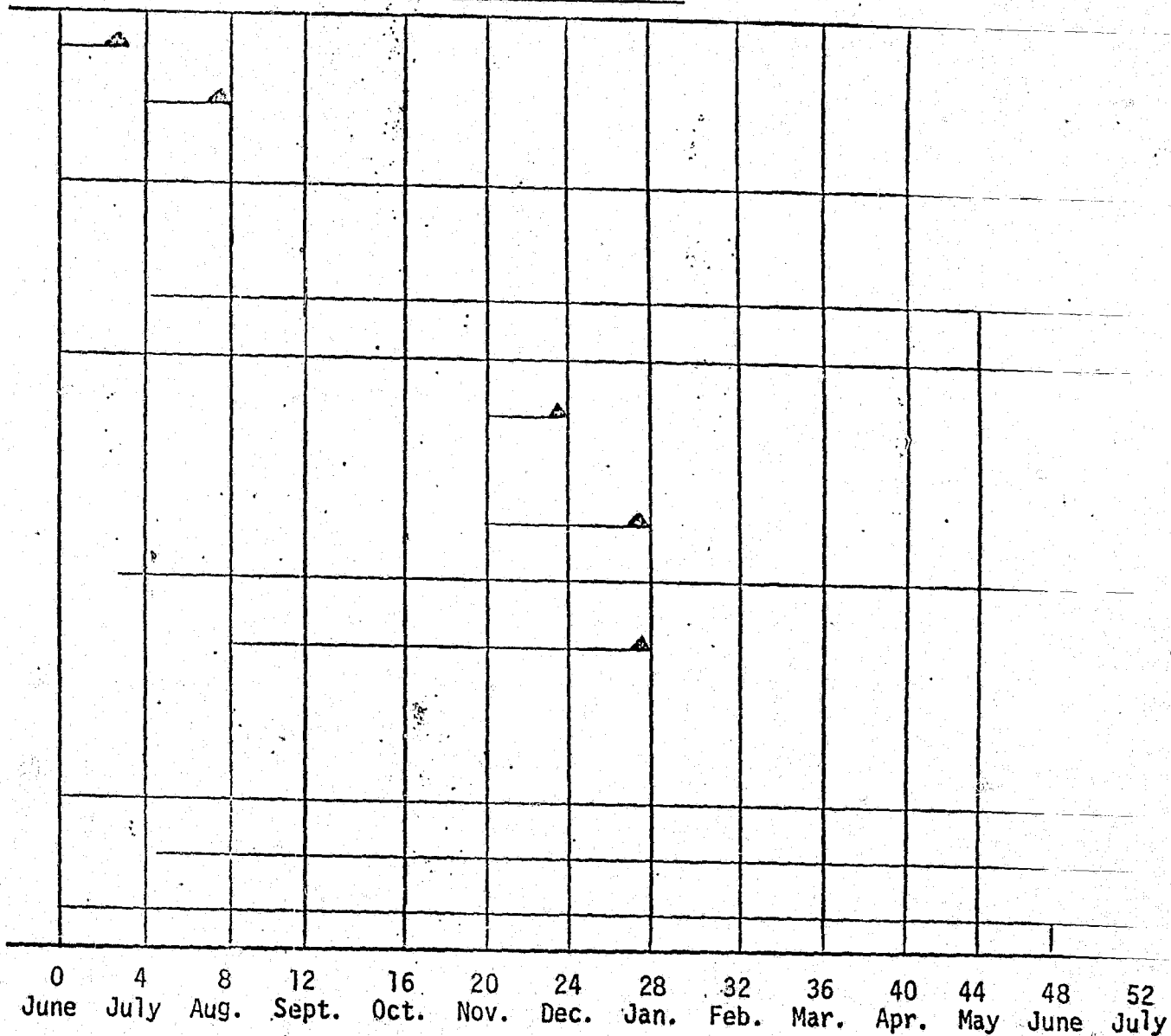
36. WORK SCHEDULE

The following information includes a breakdown of the implementation and completion dates of the tasks (as illustrated in the workload estimates) for each branch of R.A.T.A. Specific schedules (charts) were not written by branches which indicated all activities would be on-going throughout and beyond the grant year. These programs include Technical Assistance, Technology Transfer and Financial Management Assistance.

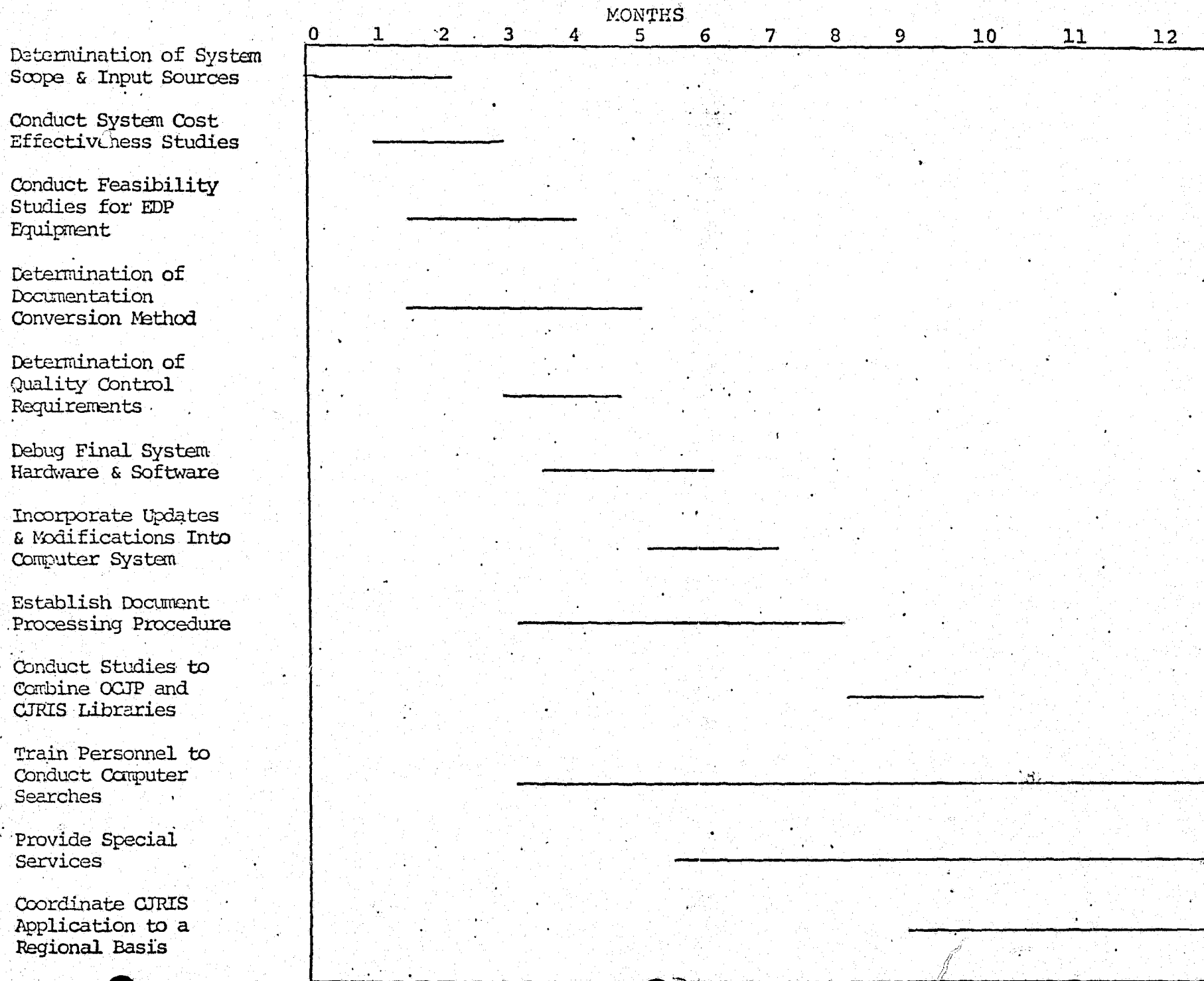
The Research and Development Branch - including the CJRIS Project - and the Systems Data Services Branch have formulated different work schedules throughout their program and are included in the following charts:

RESEARCH AND DEVELOPMENT BRANCH WORK PLAN 7/1/75 - 6/30/76

1. Determine and Refine Branch Objectives
 - Survey needs of Criminal Justice Agencies including research needs
2. Develop and manage OCJP #1948
3. Develop and Refine Research Plan
 - a. R & D Advisory Committee
 - b. Liaison with Research Community
 - c. Research proposals to NILECJ
5. Finalize Research plan and implement
 - a. Determine research priorities
 - b. Conduct research studies
6. Support Development of Criminal Justice Research
7. Advisory Committee on Women and Criminal Justice
 - a. Perform research
 - b. Attend meetings
8. Supervision of Branch activities



CJRS SECOND YEAR WORK PLAN



SYSTEMS DATA SERVICES BRANCH

	FY 75	FY 76	FY 77
Maintain Analytical Production (1)			
Expand Analytical Production			
New Branch Start Up Activities			
Demographic Profiles & Other Projects			

(1) Develop analytical bases for OCJP comprehensive plan; develop statistical analysis of 20 highest crime areas in the state.

37. MANAGEMENT RECORDS

Each function within RATA keeps records pertinent to their specific operations. The following information summarizes the types of records:

- Research and Development: (1) copies of national research endeavors; (2) types of research services provided to government agencies; and (3) an analysis of research findings and their effectiveness on operational decisions.

- Criminal Justice Research Information System: (1) monthly progress reports; (2) accounting control; (3) completion log of all searches (includes response time); and (4) control sheet - to document the stage of each task.

- Systems Data Services Branch: (1) projects file; (2) grant allocation formulas; (3) lists of statistical data that have been published; (4) lists of available systems available; and (5) project case files.

- Technical Assistance: (1) Procedure Manual; (2) Technical Assistance Request Log; (3) card file - cross referenced on available consultants; (4) follow-up assistance (evaluation of consultant's work) form; (5) filing system of all Technical Assistance requests; (6) monitoring check list of all requests to determine how decisions were reached; and (7) card file for all assistance given, by region and subject category.

- Technology Transfer: (1) control sheet - to monitor stage of development of all considered projects; (2) exemplary and model projects index, by alphabetical sequence and project subject; (3) master file of all requests for review; and (4) national exemplary awards file (5) model award file.

- Financial Management Assistance: (1) Technical Assistance on-site visit log; (2) Technical Assistance evaluation report list; and (3) audit appeals list.

38. Project Evaluation Design; Measurement of Objectives

The Research and Technical Assistance Division and its output will be evaluated by the Division Chief of the Research and Technical Assistance Division, the Director of OCJP, the Department of Finance and the Office of the Governor.

Specific measures for the success of the Division's tasks are provided below:

1. Research and Development Branch

- a) whether the Branch has developed a means for collecting information regarding on-going criminal justice research projects and has developed a means to disseminate this information to the research community;
- b) whether the Branch has effectively established liaison with the research community at large, and in particular, with the directors of research agencies;
- c) whether the Branch has developed a research plan which identifies priority needs for research studies;
- d) whether the research conducted by the Branch increases knowledge of the nature and extent of California's crime problem;
- e) whether the Branch has identified new, effective crime control techniques;
- f) whether the Branch has put research findings to work at the operational level in the criminal justice system.

1A. CJRIS Project

- a) number of inquiries (requests for searches)
- b) reason for inquiries
- c) effectiveness of system response in terms of users needs
- d) response time
- f) validity and timeliness of input data

2. Systems Data Services Branch

- a) whether the Branch has determined the data needs of planners and decision makers in the criminal justice system in California

- b) whether the Branch has effectively assessed the applicability of existing analytical models of the criminal justice system for use by OCJP
- c) whether the Branch has developed and tested an analytical model of California's criminal justice system which is capable of measuring performance of the various components of the system
- d) whether the Branch has developed demographic profiles of California's 58 counties
- e) whether the Branch has produced narrative reports on the nature and extent of California's crime problem; and whether these reports have been useful to planners
- f) have Branch activities improved the quality and output of criminal justice planning efforts

3. Technical Assistance Branch

- a) 1. the number of consultants available for use by local agencies for short-term consultation .
2. the number of requests for assistance forwarded to LEAA for the reason that no resources exist at the local and state levels
- b) the extent to which a functional Master Vendor File is maintained and bidders lists are provided when requested
- c) the extent to which directories of cooperating resources are kept, updated, and expanded
- d) the evaluation of the service provided by the Branch as evidenced by the response given by each applicant at the conclusion of each request
- e) the number of requests for services actually received
- f) the extent to which regions are able to increase the number of requests they are able to satisfy, without referral to OCJP, and
- g) the extent to which agencies use problem solving techniques in routine operations. This should be reflected in comments by state planning staff.

4. Technology Transfer Branch

- a) Completing a workload estimate on the number of man-hours required to comply with objectives A & B. This in turn will determine the adequacy of choosing 30 projects as the stated goal.

- b) (If objectives A & B are attainable,) the number of projects reviewed (screened) and the number of projects selected for model and/or exemplary status
- c) The total number of presentations and the number of presentations per project, that are selected for model and/or exemplary status
- d) The number of new projects implemented by regions as a direct result of the presentations made by project staff. (NOTE: the appropriateness of this measure as an indicator of project success will probably constitute a long-term concern of this program. Consequently it is improbable that this can significantly be measured during the first year's operation of this program.)

5. Financial Management Assistance

- a) Provide technical assistance on the fiscal administration of all on-going grants.
- b) Provide technical assistance visits to 325 grants.
- c) Provide OCJP Management with a third party review of appeals resulting from audits done by OCJP.
- d) Provide OCJP Management with a review of Action Grant audit reports prepared for the Department and prepare cover letter for the signature of the MSSD Chief for issuance to the subgrantee.
- e) Review, revise, and develop fiscal standards which govern the fiscal administration of grants awarded.

39. APPENDIX

A. Accomplishments to Date

1. Research and Development Branch - Although the Research and Development Branch was established in February 1974, it was not until March and April that the Branch became fully staffed. In October 1974, the Branch lost one of its staff members and by December of that year, all professional positions became vacant due to staff turnover. During the 8 - 9 month period when the Research and Development Branch was fully staffed by three individuals, several tasks were accomplished:
 - a. During April through June 1974, the Branch established its objectives.
 - b. In May of 1974, the Branch surveyed 1,452 criminal justice agencies to determine their perceived needs for technical assistance and technological developments. The survey was conducted to assist in the Division's efforts to develop a Technical Assistance Branch and to collect information to serve as the foundation of efforts to develop new crime control techniques and devices. Responses were assessed, categorized, tabulated, and a report was written.
 - c. From May 15, through July 1974, the Branch organized OCJP's Advisory Committee on Research and Development. This Committee met three times in 1974. Before each meeting, Branch personnel prepared materials for the Committee's consideration at meetings. The purpose of the Committee is to assist Branch staff in identifying priority research areas and developing a research plan.
 - d. During May to August 1974, Branch personnel reviewed six grant applications from California's Crime Technological Research Foundation. One staff member was assigned to process and manage these six grants.
 - e. During July through October 1974, all Branch personnel collected and assessed research reports to identify possible research areas for grant applications to the National Institute on Law Enforcement and Criminal Justice (the research community). The purpose of this task was to bring funds into California to support needed research projects. At the same time, all staff members initiated and attended meetings with agency researchers and research consultants to establish liaison with the research community and identify needed research projects.
 - f. During June through December 1974, Branch staff assisted staff of Task #2 within OCJP #1948 to develop the design for development of an interim criminal justice research information system which would be a repository for micro-filmed abstracts of research reports with a search and retrieval capability. The research information system was designed as an information service to the research community,

to reduce duplication of research efforts in California. During this period staff reviewed information on 1600 research projects to determine whether abstracts of these research reports should be included in the research information system.

- g. In December of 1974, the Branch organized and established OCJP's first Advisory Committee on Women and Criminal Justice. The Committee of 18 women was established to advise OCJP on issues and needed program development concerning women and criminal justice. The Committee has held three meetings since December 1974. Branch staff conducted extensive research to obtain extensive data and materials for the Committee.

- 1A. CJRIS Project - The development of CJRIS was conducted in two phases. (See work plan.) First, an "interim service" was designed and implemented that is essentially a manual document retrieval system utilizing keyword indexing, subject cross-index cards, and a microfilm reader/printer for easy retrieval. Documents entering the system are abstracted (about 200 words each) and keywords are extracted to identify the document. These keywords are placed on appropriate cross-indexing cards to provide subject retrieval of information. Over 3,500 documents have been processed into the interim system and it is growing at about 500 documents per month.

The second phase, a computerized information retrieval system, (identified as Q/L at the Teale Data Center) is in the final stages of development. It will be an interactive on-line information system capable of searching full-text files of millions of words rapidly and inexpensively. As in the interim service (which will be phased out when the data base is converted to the computerized system), abstracts are prepared to describe the document content and highlight pertinent information including statistical data and methodology. The full abstract is then key entered into the computer system data base. A search can be made on any word in the data base to rapidly identify all documents by subject matter. For example, a search request for all documentation concerned with "criminal statistics" and "crime prediction" was conducted using a sample data base and in less than one minute over thirty documents were identified that dealt with the combination of these subjects. When the search was narrowed down by requesting those dated in 1970 or later, 19 documents were found. Basically the one-day service (response time) to users has been demonstrated.

An extensive source of criminal justice documentation is being developed, in addition to the OCJP grant project files, documents are being received from the Smithsonian Institute, National Technical Information System, National Council on Crime and Delinquency, National Criminal Justice Reference Service, various abstract services and research centers around the State and Nation, periodicals, newsletters, universities, state agencies, etc.

2. System Data Services Branch - From October 1974, through February 1, 1975, the Branch was staffed by two professionals. Since February

1975, the Branch has been staffed by three professionals, two of which are funded by Grant #1948.

Since October 1974, several tasks have been accomplished by Branch staff:

- a. During October 1974, the Branch established its objectives.
 - b. From October through early November, Branch staff collected and examined literature concerning planning technology and the state-of-the-art in computer modeling of the criminal justice system.
 - c. In November 1974, Branch staff began a study to determine the scope of data readily available to OCJP and an inventory of data stored in OCJP's computer terminal. That study was completed in February 1975.
 - d. In January, Branch staff prepared data for a demonstration of DOTSIM, a computer model of California's criminal justice system at the county level. The demonstration was held and assessment of the applicability of DOTSIM throughout California was made.
 - e. In February 1975, the Branch staff developed a model for demographic profile of California's 58 counties. Demographic profiles of all counties are currently being prepared.
 - f. Since November 1974, Branch staff have responded to 14 requests from local criminal justice agencies for data on specific problems. In addition, staff continuously prepare and disseminate planning data for OCJP planners and planners of each of California's 21 regional criminal justice planning boards.
3. Technical Assistance Branch - Objective 1 - Increase resources through consultants: The mechanism for the identification and utilization of outside consultants has been developed. They are intended to be used as a last resort and only on assignments where service is required for five days or less. Of course, consultants are to be used only in those areas where they possess and have demonstrated useable skills. The procedure for identifying the resource to be used to satisfy each request for technical assistance service is reflected in the Branch Procedural Manual. That manual lists the order in which resources will be explored when filling any requests. That order is:
- a. OCJP staff members
 - b. Other state agencies
 - c. Cooperating organizations
 - d. LEAA contracted consultant firms, and as a last resort
 - e. OCJP contracted consultants

During December 1974, and January 1975, a mailing was made to the 500 vendors listed in the vendor files in OCJP. This was the first step in building a Master Vendor File. Also included was a section for people and firms to indicate their interest in being active in the technical assistance program. From those responses 30 individuals were identified as being potentially usable in the program. Possible inclusion in the program is open to any vendor and all newly located vendors are offered the opportunity of being considered for it. Consultants actually used, however, are totally dependent on the determination of a lack of suitable resources in each of the 18 categories in which technical assistance may be requested. (Attachment "A")

Objective 2 - Master Vendor File: The file presently contains current information on 150 vendors. An additional 350 firms are responding with updated information. Four hundred firms not in OCJP files have been identified and are responding with their capabilities. The search for other firms is a continual process. The intention is to make up bidders lists from a wide number of firms, let them decide which RFP/RFQ they choose to respond to, and let the agency requesting the proposals do the selection of the most qualified firm. That approach has met the approval of the agencies who have received bidder's lists from the Branch.

Objective 3 - Information on Current Resources: The Branch has developed directories containing up-to-date information on (1) 13 state agencies capable of providing service, (2) 17 cooperating agencies with similar abilities, (3) LEAA contracted resources, (4) SPA Mutual Assistance Capabilities, and (5) the Federal Assistance Directory.

Objective 4 - Decrease Dissatisfaction: There is no hard data to support the contention that the objective has been met. Measurement of this will take place at the end of the fiscal year. Informal contacts with regional offices does indicate that agencies are pleased with the system as it is now implemented.

Objective 5 - Confidence in Outside Opinions: Year-end review will show data that will indicate the extent to which the use of outside opinions is increasing. There has been, however, a noted increase in the use of the National Clearinghouse for Criminal Justice and Architecture and the National District Attorney's Association which is an indication of the acceptance of professional services.

4. Technology Transfer Branch

Since the program became fully operational on January 2, 1975, all accomplishments to date were accumulated during the three month period, January to March.

During this period, all necessary administrative functions have been completed such as: (1) establishment of monitoring and control procedures for all projects reviewed; (2) writing a paper on the Technology Transfer concept, procedures and project criteria (see Attachment B); (3) establishment of a screening committee to vote on all recommendations that are presented by staff; and (4) the preparation of literature and transparencies to be used at regional presentations.

In addition, project staff has conducted fifteen (15) comprehensive reviews of projects. This resulted in eleven (11) site visits, and at this date the selection of one model project. During the next two months, it is conceivable that five (5) additional projects will be selected by the screening committee for model and/or exemplary status.

Also, presentations on the purpose of this program have been made to six (6) regional criminal justice planning staffs. A presentation to the LEAA Region 9 staff in Burlingame, California, will soon be conducted.

The Technology Transfer staff has recently completed a special assignment for the Law Enforcement Assistance Administration to select 25 promising concepts and/or projects funded in the State of California. The 25 selected projects constitute the primary projects that will be reviewed for model and/or exemplary status by LEAA and this program. The Technology Transfer program was one of the projects submitted to LEAA.

Another task performed by the Technology Transfer staff, which is difficult to measure, is the coordination of Grant #1948. Grant #1948 (from OCJP) funds most of the positions and all the programs contained in the Research and Technical Assistance Division. The current Technology Transfer Branch Chief is also the project director of Grant #1948 and is thus responsible for all of administrative duties associated with this task.

All work completed by the staff of this program is in direct compliance with the stated objectives. The ability to meet the objectives is hampered somewhat, by inadequate manpower. As Section 4 of this report details, a full-time staff of four, not two, will be necessary to achieve the objectives and the overall project goal. Nevertheless, the current staff will greatly impact on the program's objectives. The amount of impact should be measured in January 1976, after the first full year of operation.

5. Financial Management Assistance - To date the following major accomplishments have been determined:
 - a. 176 Technical Assistance visits have been made. Over 90% of the visits uncovered current and potential fiscal problems that would have effected audit disallowances.

- b. This Section has participated in at least 10 training sessions for new and old subgrantees put on by OCJP, the Regions, and State Agencies.
- c. Eleven audit appeals have been reviewed and processed since that function was taken over by this Section in January.
- d. The Fiscal Affairs Manual has been revised and distributed. Financial Standard Memos are being written for clarification of fiscal standards and new fiscal standards to govern the fiscal administration of on-going grants.

"ATTACHMENT A"

<u>TITLE</u>	<u>DEFINITION</u>
Agency coordination	Intelligence, region-wide intelligence, D.A./ Court liason, police legal advisors, criminal justice coordinators.
Communication	Communication systems; planning, development, and application.
Community based programs	Drug abuse, alternatives to detention, alternatives to incarceration, sentencing alternatives, street workers.
Community relations/education	Community relations programs, public education, public information techniques.
Crime control	Crimes specific; juvenile delinquency; narcotics; traffic enforcement; white collar, organized, and sex crimes; vandalism.
Crime prevention	Delinquency prevention, crime reduction programs, citizen participation programs.
Data/records	Data retrieval, information systems, wants/ warrants, criminal history, offender tracking, reporting and record keeping, caseflow analysis.
Equipment	Crime lab and criminalistics, helicopter and air patrol, weapons, polygraph, video-tape, surveillance devices, communication, information.
Facilities	Police, court, corrections facilities planning; regional centers, consolidation, juvenile hall and jail facility planning for programming.
Intervention/diversion	Family crisis intervention, police diversion, O.R. programs, defendant counseling.
Office management	Staffing, word processing techniques, traffic flow analysis.
Operations management	Organization analysis, team policing, court calendar techniques, command/control systems, pre-trial services, management techniques and practices.
Personnel/manpower	Manpower allocation, manpower analysis, personnel development, recruitment.
Research	Research findings, methods, statistical analysis.

Planning

Planning methods, evaluation, problem identification, funding, social indicators.

Programs for victims

Victim compensation, victim rights.

Training/education

Staff training, education programs, staff development, internships, in-service and OJT approaches.

Treatment programs

Non-institutional supervision, "resource manager", subsidy, family treatment.

B. Benefit of RATA's Tasks to the State of California

1. Research and Development Branch - Accomplishment of the objectives documented earlier in this application will provide the State of California with valid and detailed information on the nature and extent of California's crime problem, to assist OCJP in its planning efforts to reduce crime and improve the criminal justice system. In the past, OCJP's planners had to rely on crime and criminal justice data from the Bureau of Criminal Statistics. These data are given to OCJP in summary form (as lists of numbers) without analysis and narrative reporting. The Research and Development branch was established to collect detailed crime data, analyze it, and produce narrative reports tailored to the needs of criminal justice planners and decision makers.

In addition, the Research and Development Branch's efforts to establish liaison with the research community and to disseminate information regarding on-going research projects is necessary to reduce duplication of research efforts and, thus, to save thousands of scarce criminal justice research dollars. More importantly, dissemination of research findings contributes to the application of these findings at the operational level in the criminal justice system through the development of new crime control techniques and devices.

Utilization of OCJP staff to perform on-going basic research for limited studies saves the State thousands of dollars in expensive research contracts performed by outside contractors. Also, on-going review and analysis of the effectiveness of various crime control techniques assists OCJP in limiting its funding to projects which have the most potential for impact upon the crime problem.

- 1A. CJRIS Project - The development of a Criminal Justice Research Information System will for the first time provide the California criminal justice community with a single comprehensive source of information. There is only one automated criminal justice information system in existence today (the National Criminal Justice Reference System) and this system is severely limited in the service it can provide due to its rather narrow source of documentation (no on-going research) and the lack of a satisfactory retrieval capability.

CJRIS will provide an up-to-date accounting of all OCJP grant projects. It will conduct searches of the data base to assist the planner in reducing duplicate efforts or to direct him in areas in need of research concentration. The regional planner and researcher will be readily appraised of all research efforts being conducted in the areas of his interest.

The system proved very valuable to the OCJP Planning and Programs Division by assisting them in their research efforts to develop a 1975 comprehensive criminal justice state plan.

The CJRIS information retrieval system differs significantly from the National Criminal Justice Reference Service (NCJRS). The difference stems primarily from the type of documentation within each data base, and each system's respective retrieval capabilities. NCJRS provides abstracts of documents in the criminal justice field, but the type of information is highly selective (only completed research is considered) with a strong world-wide emphasis. Abstracts are sent to the researcher on a selective interest profile basis, while special searches for specific subjects are impossible.

CJRIS on the other hand is designed to store and retrieve not only completed criminal justice research documentation, but also on-going efforts such as grant projects within the state, region or nation-wide. Sources of documentation include periodicals, newsletters, journals, books, abstracts from NCCD, NTIS, Smithsonian Institute, NCJRS, etc., and research and technical assistance documentation from publishing companies and educational institutions. CJRIS will have the capability of searching its complete data base by specific subject matter to provide all documents pertaining to the search request.

2. Systems Data Services Branch - Accomplishment of the aforementioned objectives will help expand institutional analytical capability and assist decision makers in focusing on criminal justice systems programs and their recommended resolution.

This assistance includes generated and respondent analytical service, data display and narrative statements covering social, economic, political, managerial and other demographic aspects of our environment. As such, this project is a significant and systematic effort to help improve the level and sophistication of knowledge for decision making in California.

3. Technical Assistance Branch - Although it is impossible to show that a reduction in the total cost in the criminal justice system can be achieved as a result of the continuation of the Technical Assistance Branch, there is a significant feature that can be considered.

Programs to date have almost exclusively focused on the utilization of grant-funded activities as the primary resource to local agencies. Support efforts have similarly tended to address the problems encountered in the operation of such funded programs.

The Technical Assistance Branch focused primarily on the non-grant funded, routine operational problems encountered by local agencies

and community organizations. The secondary emphasis is on grant-related problems with a particular sensitivity to those experienced by the community-based programs. With the budget of the Branch being such a minor proportion of the total Criminal Justice System expenditures, it appears reasonable to put the impact where needs exist and no other resources are prepared to have such a primary emphasis. Thus, the Branch serves in an area where there is little similarity with other programs and due to the procedures adopted there virtually is no chance of overlapping services actually provided. Where two or more resources are possible, the element of timeliness becomes important since requests may come in with very narrow time limits. Planning practices at the local agency level are improving, leading to longer lead times; but the time crunch is still an operational reality.

There are several services in OCJP which are related but are compatible rather than duplicative. Such as:

Technology Transfer is equipped to identify program approaches or concepts that have been shown to be valuable. Technical Assistance uses the information gained by Technology Transfer to assist specific agencies in implementing the findings within their jurisdictions.

Criminal Justice Research Information serves to compile information on research activities in criminal justice. Along with the information gained from Technology Transfer, the Technical Assistance Branch is able to take "state of the art" approaches into the field for direct application to each individual agency, considering their unique strength and constraints.

Evaluation Technical Assistance is only one small part of the areas where services are needed and are provided by the Evaluation Branch of OCJP. There are established procedures to keep close communication between the Branches so that no overlap occurs and the applicants see the delivery system as efficient and uncomplicated. The Technical Assistance Branch does not attempt to provide service in the area of evaluation unless specifically requested to do so by the Evaluation Branch.

The key advantage to the State is in having a service that offers assistance at the local level in a way not previously done. The efficiency of the system as a whole is improved and the tax money used to support the multiple local agencies will be used to make a greater impact on the objectives of each agency.

Inherent in the program is the ability to coordinate the use of existing State and cooperating agencies to insure that they are used at an optimum level without excessive overlappings or fragmentation.

4. Technology Transfer

As stated earlier, the State of California receives about 60 million dollars a year or about 10% of the annual LEAA allocation of crime-control funds. To date, over 2,000 projects have been funded by the California SPA since the Omnibus Crime Control Act was signed in 1968. The magnitude of this investment at the minimum, constitutes the need to identify effective programs in California so that these projects can be replicated to other areas in the State. Also, in view of the economic crisis presently overwhelming the State of California and the rest of the United States the amount of expenditures for criminal justice programs are not as readily available as in previous years. This necessitates a prioritization of funding concepts or programs that are eligible for LEAA expenditures. The establishment of a program that identifies and makes presentations to various areas in the State on the best projects and concepts thus becomes more important. This information will provide managers with better decision-making capabilities.

The Technology Transfer program is designed for this purpose and is, therefore, beneficial to the State of California. Specifically the Technology Transfer Branch of the Office of Criminal Justice Planning is designed to focus national, state and local attention on criminal justice programs which have demonstrated a notable degree of success over a period of time and which are suitable for replication.

This program is the only one of its kind in the United States operating on a statewide basis. The concept was originally designed after the national LEAA-Exemplary program which attempts to select projects for national replication. The basis for the emergence of the present Technology Transfer Branch was to provide a direct service to the State of California. Project selection is based on compliance with specific criteria (achievement of objectives, transferability, and cost-efficiency) that were established by this Branch.

It should also be noted that the LEAA program is intrinsically different from the California endeavor. While LEAA contracts out all evaluative tasks to a consultant to provide information enabling LEAA to recommend projects for national recognition, the Technology Transfer Branch utilizes staff persons, both within the branch and outside the branch, to other components, e.g., Evaluation Branch, of OCJP. The net result of this activity will be a product that will double the national selection of projects (30 to 15) and is at least one-fifth (1/5) the national cost (based on approximate LEAA figures).

It is also important to note that the assessment (evaluation) of programs by the Technology Transfer Branch comprises a small activity of the unit and should not be confused with the goals of the Evaluation of OCJP. While the Evaluation Branch's purpose

is to determine which programs have proven to be effective, the Technology Transfer Branch will use this knowledge to promote (through presentations) the implementation of successful projects from one area to another that would benefit certain jurisdictions. Also, a project does not have to be absolutely successful for selection by Technology Transfer. One objective is to determine if a concept or program would work better in other areas if certain improvements were made. The Technology Transfer Branch would recommend, when feasible, changes in programs that would appear to enable good concepts to become successful projects in other jurisdictions.

In conclusion, the Technology Transfer endeavor provides a direct service to the State of California by identifying the better projects funded by OCJP, by publicizing its findings, and by encouraging other jurisdictions (through presentations) to implement the successful projects in their respective jurisdictions.

The Technology Transfer program is unique (the only one of its kind in the U. S.), it is timely (due to a decrease in future expenditures), and it is designated as an important function (as stated in the LEAA Act). Finally, it is also consistent with the national LEAA-Exemplary Program that operates in Washington, D.C.

5. Financial Management Assistance - OCJP has ultimate responsibility for assuring proper administration and accounting of Planning and Action Funds. The FMA Section provides a means to insure that each subgrantee will govern its affairs so that it and the State of California can properly discharge the public trust which accompanies the authority to expend public funds.
 1. Reduces the dollar amount of audit recoveries
 2. Provides timely technical assistance for the on-going fiscal administration of subgrants
 3. Meets LEAA requirements

The Technology Transfer Program

1. Objectives of Program:

Project Goal: The establishment of a screening and information dissemination system which will increase the exposure of concepts and programs that are proven successful, cost effective and transferable to other areas in California and the rest of the United States.

- Objectives:**
- (A) To review and screen at least 150 projects to be considered for exemplary and/or model status.
 - (B) To select at least 30 projects statewide that meet the criteria for model and/or exemplary status.
 - (C) To make at least 5 presentations per selected project (30 = 150 presentations) to various regional criminal justice planning boards.
 - (D) To encourage local regional criminal justice planning areas to implement the successful and timely projects designated for model and/or exemplary status.

2. Measurement of the Objectives

In order to determine the effectiveness of this program, the success in meeting the objectives of the program can be measured by:

- (A) Completing a workload estimate on the number of man-hours required to comply with objectives A & B. This in turn will determine the adequacy of choosing 30 projects as the stated goal.
- (B) (If objectives A & B are attainable,) the number of projects reviewed (screened) and the number of projects selected for model and/or exemplary status.
- (C) The total number of presentations and the number of presentations per project, that are selected for model and/or exemplary status.
- (D) The number of new projects implemented by regions as a direct result of the presentations made by project staff. (NOTE: the appropriateness of this measure as an indicator of project success will probably constitute a long-term concern of this program. Consequently it is improbable that this can significantly be measured during the first year's operation of this program.)

3. The Rationale for the Development of the Technology Transfer Program

The Office of Criminal Justice Planning is funded through Federal monies provided by the Law Enforcement Assistance Administration and in turn makes most of that money available to local agencies and organizations for projects designed to reduce crime and improve the criminal justice system. In addition to LEAA funds, other governmental groups also provide money which impacts on local criminal justice efforts. The creation of the Technology Transfer Branch complements the national effort to maximize the impact of the money currently being infused into the criminal justice system to reduce the crime problem.

Part of the charge given to state planning agencies is to improve the utilization of knowledge and technology gained from the projects that are being funded. The 1973 amendments to the Omnibus Crime Control and Safe Streets Act of 1968 emphasized the need for increased information flow on new techniques and approaches. Specifically portions of Section 401, Articles 5 and 6 of the amendment state that "agencies should produce special workshops for the presentation and dissemination of information resulting from research, demonstrations, and special projects authorized by this title"; and should "carry out a program of collection and dissemination of information on public projects under this title, including information relating to new or improved approaches, techniques, systems, equipment, and devices to prevent and reduce crime and delinquency".

The importance of this endeavor is exemplified by the creation of a national program (the National Institute - Exemplary Project) from which the Technology Transfer program received its initial impetus for program development.

OCJP has a particular need to review the over 2,000 projects that have been funded in California alone since 1968 and determine those that have had impact within their area and have the potential for replication in other areas. Further, there is a need to look at the large number of other projects that have been attempted without LEAA funding, be it other Federal funds, state grants, locally financed, or private foundation supported, that have a direct bearing on the criminal justice system.

In order to supply information to the National Institute with information about California projects that could be considered under their Exemplary Programs and Prescriptive Package efforts, California must mount a concerted and specialized activity. In addition, there is the need to improve the dissemination of information within the State concerning effective crime control techniques.

The message is quite clear: The money that is being spent on crime control must be utilized so that the most benefit can be gained from each dollar spent and we can not afford the luxury of spending precious dollars on projects that do not significantly reduce California's growing crime problem.

With California receiving about ten percent of the money distributed by LEAA and considering that there are over 2,000 projects funded in California by LEAA money alone, the magnitude of the obligation of California to identify effective programs becomes obvious. Add to that the fact that California is seen as one of the leaders in innovative approaches and new techniques in the field of criminal justice.

Thus is the rationale for the creation of a specialized Branch in the Research and Technical Assistance Division. The Technology Transfer Branch is designed to deal with the specific need to review projects that have been completed to determine their effectiveness and to compile information about proven approaches that can be given to the decision makers and planners in the over 1,400 criminal justice agencies in California.

4. Technology Transfer Branch Workload

This program is the only one of its kind in the United States operating on a statewide basis. The program concept was originally designed after the national LEAA-Exemplary Program which attempts to select projects for national replication. The basis for the emergence of the present Technology Transfer Branch was to provide a direct service to the State of California. Project selection is based on compliance with specific criteria (achievement of objectives, transferability, and cost-efficiency, see Attachment B) that were established by this Branch.

When this branch was created it was difficult to assess how projects would be selected and presented for replication, thus the Research and Technical Assistance Branch could not factually determine the number of positions that were required to accomplish the proposed tasks. It should be noted that because this is a unique statewide program it was impossible to receive technical assistance from other states on the amount of manpower that was necessary for effective operations.

The only agency that could offer some guidance in preparing a manpower assessment was the Law Enforcement Assistance Administration Institute. However, after repeated attempts for assistance no bonifide recommendations were given.

This program became operational January 2, 1975, when the two positions (CJS I and CJS III) allotted for the Technology Transfer Branch were filled. However, since it was initially not known what tasks would be required to complete the goals of this program, it was necessary to become operational a few months before a workload estimate could be developed. By April 1, 1975, the documentation was written and is included in this section. It should be noted, the workload estimate does not include time spent for extra duties such as supervisory tasks, requests for information, work on the national exemplary program (which is required) coordination of Grant #1943 (see section 7 of this report) and vacation, sick and personal leave taken by the present staff. The calculations are also conservative estimates.

Coordination with the national exemplary program is a newly defined task that was not included in the original tasks of this program when it was initially approved. Recently LEAA requested that all projects designated for exemplary status be channeled through the Technology Transfer Branch. Thus, the review process explained below for model projects (California designation) also is required for exemplary projects. The work required to select these programs is not included on the manpower requirements that are cited below. It is estimated that this task would require 1/2 - 1 full-time man for the year.

As stated earlier, one objective of the Technology Transfer Branch is to select 30 model projects. This will enable the Branch to select a minimum number of projects from the various components of the police, courts, corrections and juvenile delinquency/prevention disciplines. For example, the police area has many components (communications, tactical patrol, police-community relations). The project selection process should represent a cross-section of the various components within each discipline. Since the other disciplines also have many components the selection of 30 projects actually constitutes an absolute minimum requirement.

Based on three months of operations approximately 1/5 of all projects reviewed will be selected by the staff. Thus, it will be necessary to review 150 projects per year. Given this goal and based on the time it has taken to work on specific tasks, the following calculations have been made:

- | | | | |
|--------|--|------------------------------|----------------|
| A. (1) | Each project received must be researched and have a report written | = 1 day work x 150 projects | = 150 man days |
| (2) | To date, 3/5 of all projects-warrants a site visit and review | = 2 days work x 90 projects | = 180 man days |
| (3) | Another report on each project will then be written | = 1/2 day work x 90 projects | = 45 man days |
| (4) | Additional evaluative info will be received & another site visit & review & final report are required on 2/5 of all projects | = 3 days work x 60 projects | = 180 man days |
| (5) | Preparation of recommendations to screening committee is required for all 150 projects | = 1/2 day x 150 projects | = 75 man days |

630 man days are required to complete the requirements for this segment of our program

- (6) Since there are 261 working days per year and 630 man days required, then approximately 2.4 persons are required.

B. (1) 30 presentations in 5 regional areas = 150 presentations per year - 1 1/2 days work x 150 = 225 man days

(2) The preparation of presentations (arranging a place, coordinating the speakers, writing abstracts and disseminating information) - 1/2 day work for 150 presentations = 75 man days

(3) A follow-up on all presentations (letters to audience, etc.) - 1/3 day work x 150 presentations = 50 man days

350 man days are required to complete this segment of the program

- (4) $261 \div 630 =$ approximately 1.3 persons are required.

C. By combining the two segments of this program: $2.4 + 1.3$, then approximately 4 persons are necessary to reach the program's goal.

It should again be emphasized that the 3.7 man-persons required to complete the goals of this program does not include works on tasks such as the LEAA Exemplary Program, information requests, supervisory tasks (such as the coordination of grant #1948) and time taken for vacation, sick and personal leave for all employees.

Thus, based on these figures the continued employment of two (2) full-time professionals in this program is justified. In fact the workload estimate indicates a need for expansion of this program when additional funds become available.

5. Justification of Specific Positions and the Description of Duties of the Technology Transfer Branch

At present a CJS I and CJS III occupy the positions allotted for this program. The CJS I position is filled by a Special Consultant and was warranted and approved based on the justification submitted to the Personnel Board in

December, 1974, (See Attachment A). Basically the CJS I position was inserted into the program to have a qualified person (also see attachment) to assist the Branch Chief in the operations of the Technology Transfer endeavor. The duty statement for this position is included below.

(A) Duty Statement - CJS I (Special Consultant)

Under the direction of the Chief of the Technology Transfer Branch, the Criminal Justice Specialist I is responsible for assistance in the identification of effective crime control techniques and programs for assistance to criminal justice agencies in the replication of these successful techniques and programs within these agencies.

Functions performed by the Criminal Justice Specialist I include:

1. Assistance in the review and analysis of at least 150 OCJP funded projects to determine their effectiveness and their potential for replication in other geographical locations.
2. Assistance in the establishment of a repository of information on projects deserving replication and for dissemination of this information.
3. Conduction of monthly presentations on identified model projects to each of California's 21 regional criminal justice planning boards.
4. Assistance to the Branch Chief in conducting workshops, training sessions and presentations to assist local agencies in the transfer of new, proven crime control technology.
5. Assistance in the establishment of a cadre of highly skilled consultants to assist in transfer of crime control technology.

The rationale for an existing CJS III position within OCJP is exemplified by types of duties the Branch Chief is required to complete. Under the direction of the Chief, Research and Technical Assistance Division, the Technology Transfer Branch Chief supervises a unit of the Office of Criminal Justice Planning devoted to identifying effective crime control techniques and programs and for assistance to criminal justice agencies in the replication of these successful techniques and programs within other agencies. The incumbent supervises a Criminal Justice Specialist I, one Graduate Student Assistant and one-half Stenographer II to complete specific tasks. The management of this project will also entail the supervision of numerous high-level consultants and specialists in the criminal justice field. Since this task requires a high degree of knowledge in the criminal justice discipline and the ability to strategically meet with high level officials, a person of this caliber is required for this position. Such a person currently fills the position. The duty statement for this position is listed below:

(B) Duty Statement - Branch Chief, CJS III

Functions performed by the Branch Chief include:

1. Technical and management support to staff and to 21 regional criminal justice planning boards in the identification of projects proven to be effective.

2. Ultimately responsible for the review and analysis of at least 150 OCJP funded projects per year to determine their effectiveness and their potential replication in other geographical locations.
3. Establish a screening committee to review and approve selected projects for replication.
4. Establish a repository of information on projects deserving of replication and for the dissemination of this information.
5. Conduct workshops, training sessions and make presentations to assist local agencies in the transfer of new, proven technology concerning effective crime control techniques.
6. Conduct monthly presentations on identified proven projects to each of California's 21 regional criminal justice planning boards.
7. Establish and maintain a cadre of highly skilled specialists (consultants) whose knowledge and expertise can be brought to bear on state and local problems.

In addition it is reasonably certain that the Technical Assistance Branch of the Research and Technical Assistance Division will be absorbed by the Technology Transfer Branch in June, 1975. Thus the current Chief of Technology Transfer will also become the supervisor of that Branch. This situation will add three full-time persons under the supervision of the Technology Transfer Branch Chief. Thus a minimum of five full-time persons will be under the Chief's direction.

6. The Benefit of the Technology Transfer endeavor to the State of California

As stated earlier the State of California receives about 60 million dollars a year or about 10% of the annual LEAA allocation of crime control funds. To date over 2,000 projects have been funded by the California S.P.A. since the Omnibus Crime Control Act was signed in 1968. The magnitude of this investment at the minimum, constitutes the need to identify effective programs in California so that these projects can be replicated to other areas in the State. Also, in view of the economic crisis presently overwhelming the State of California and the rest of the United States the amount of expenditures for criminal justice programs are not as readily available as in previous years. This necessitates a prioritization of funding concepts or programs that are eligible for LEAA expenditures. The establishment of a program that identifies and makes presentations to various areas in the State on the best projects and concepts thus becomes more important. This information will provide managers with better decision making capabilities.

As stated earlier, the Technology Transfer program is designed for this purpose and is, therefore, beneficial to the State of California. Specifically the Technology Transfer Branch of the Office of Criminal Justice Planning

is designed to focus national, state, and local attention on criminal justice programs which have demonstrated a notable degree of success over a period of time and which are suitable for replication.

This program is the only one of its kind in the United States operating on a statewide basis. The concept was originally designed after the national LEAA-Exemplary program which attempts to select projects for national replication. The basis for the emergence of the present Technology Transfer Branch was to provide a direct service to the State of California. Project selection is based on compliance with specific criteria (achievement of objectives, transferability, and cost-efficiency) that were established by this Branch.

It should also be noted that the LEAA program is intrinsically different from the California endeavor. While LEAA contracts out all evaluative tasks to a consultant to provide information enabling LEAA to recommend projects for national recognition, the Technology Transfer Branch utilizes staff persons, both within the branch and outside the branch, to other components, e.g., Evaluation Branch of OCJP. The net result of this activity will be a product that will double the national selection of projects (30 to 15) and is at least one-fifth (1/5) the national cost (based on approximate LEAA figures).

It is also important to note that the assessment (evaluation) of programs by the Technology Transfer Branch comprises a small activity of the unit and should not be confused with the goals of the Evaluation Branch of OCJP. While the Evaluation Branch's purpose is to determine which programs have proven to be effective, the Technology Transfer Branch will use this knowledge to promote (through presentations) the implementation of successful projects from one area to another that would benefit certain jurisdictions. Also, a project does not have to be absolutely successful for selection by Technology Transfer. One objective is to determine if a concept or program would work better in other areas if certain improvements were made. The Technology Transfer Branch would recommend, when feasible, changes in programs that would appear to enable good concepts to become successful projects in other jurisdictions.

In conclusion, the Technology Transfer endeavor provides a direct service to the State of California by identifying the better projects funded by OCJP, by publicizing its findings, and by encouraging other jurisdictions (through presentations) to implement the successful projects in their respective jurisdictions.

The Technology Transfer program is unique (the only one of its kind in the U. S.) is timely (due to a decrease in future expenditures) and it is designated as an important function (as stated in the LEAA Act). Finally, it is also consistent with the national LEAA-Exemplary Program that operates in Washington, D. C.

7. Accomplishments to Date

Since the program became fully operational on January 2, 1975, all accomplishments to date were accumulated during the three month period, January to March.

During this period, all necessary administrative functions have been completed such as: (1) establishment of monitoring and control procedures for all projects reviewed; (2) writing a paper on the Technology Transfer concept, procedures and project criteria (see Attachment B); (3) establishment of a screening committee to vote on all recommendations that are presented by staff; and (4) the preparation of literature and transparencies to be used at regional presentations.

In addition, project staff has conducted fifteen (15) comprehensive reviews of projects. This resulted in eleven (11) site visits, and at this date the selection of one model project. During the next two months, it is conceivable that five (5) additional projects will be selected by the screening committee for model and/or exemplary status.

Also, presentations on the purpose of this program have been made to six (6) regional criminal justice planning staffs. A presentation to the LEAA Region 9 staff in Burlingame, California, will soon be conducted.

The Technology Transfer staff has recently completed a special assignment for the Law Enforcement Assistance Administration to select 25 promising concepts and/or projects funded in the State of California. The 25 selected projects constitute the primary projects that will be reviewed for model and/or exemplary status by LEAA and this program. The Technology Transfer program was one of the projects submitted to LEAA.

Another task performed by the Technology Transfer staff, which is difficult to measure, is the coordination of Grant #1943. Grant #1943 (from OCJP) funds most of the positions and all the programs contained in the Research and Technical Assistance Division. The current Technology Transfer Branch Chief, is also the project director of Grant #1943 and is thus responsible for all of administrative duties associated with this task.

All work completed by the staff of this program is in direct compliance with the stated objectives. The ability to meet the objectives is hampered somewhat, by inadequate manpower. As Section 4 of this report details, a full-time staff of four, not two, will be necessary to achieve the objectives and the overall project goal. Nevertheless, the current staff will greatly impact on the program's objectives. The amount of impact should be measured in January, 1976, after the first full year of operation.

DUTY STATEMENT

Chief, Technology Transfer Branch

Under the direction of the Chief, Research and Technical Assistance Division, the Technology Transfer Branch Chief supervises a unit of the Office of Criminal Justice Planning devoted to identifying effective crime control techniques and programs and for assistance to criminal justice agencies in the replication of these successful techniques and programs within other agencies. The incumbent supervises a Criminal Justice Specialist I, one Graduate Student Assistant and one-half Stenographer II to complete specific tasks. The management of this project will also entail the supervision of numerous high-level consultants and specialists in the criminal justice field.

Functions performed by the Branch Chief include:

1. Technical and management support to staff and to 21 regional criminal justice planning boards in the identification of projects proven to be effective.
2. Ultimately responsible for the review and analysis of at least 200 OCJP funded projects per year to determine their effectiveness and their potential replication in other geographical locations.
3. Establish a screening committee to review and approve selected projects for replication.
4. Establish a repository of information on projects deserving of replication and for the dissemination of this information.
5. Conduct workshops, training sessions and make presentations to assist local agencies in the transfer of new, proven technology concerning effective crime control techniques.
6. Conduct monthly presentations on identified proven projects to each of California's 21 regional criminal justice planning boards.
7. Establish and maintain a cadre of highly skilled specialists (consultants) whose knowledge and expertise can be brought to bear on state and local problems.

10/22/74

MODEL PROJECT RECOMMENDATION FORM

Model Project recommendations may originate with Regional Criminal Justice Planning Boards, State Agencies, units of local government and/or any private agency whose project has demonstrated an impact upon the criminal justice system. Information on those identified projects should be submitted to the Research and Technical Assistance Division of the Office of Criminal Justice Planning, 7171 Bowling Drive, Sacramento, California 95823. A standard format is attached. Each recommendation emanating from a local or private agency must have the endorsement of the appropriate Regional Criminal Justice Planning Board.

Attachment

MODEL PROJECTS

I. General Program Description

The Technology Transfer Branch of the Office of Criminal Justice Planning is designed to focus state and local attention on criminal justice programs which have demonstrated a notable degree of success over a period of time and which are suitable for replication. This program will respond to the need frequently expressed by criminal justice agencies in California for systematic methods of sharing information and experience on successful projects within California.

The primary criterion is significant achievement in the reduction of a specific crime and measurable improvement in some aspect of the criminal justice system. Additional criteria involve cost effectiveness, suitability for replication in other jurisdictions and willingness of the project staff to provide information to other communities.

Model Projects may be operating at the State, county or local level and need not involve LEAA funding to be considered. Projects may be proposed for consideration by the LEAA regional office, Office of Criminal Justice Planning, Regional Planning Boards, local units of government, operating agencies or other persons with an interest in criminal justice.

II. Screening Criteria

The criteria detailed below have been developed to identify potential model projects. Each criterion is followed by questions which apply the criterion in a practical fashion to projects under consideration.

A. Reaching Objectives. The project must demonstrate overall effectiveness in the achievement of significant criminal justice objectives.

1. Has the project been instrumental in the reduction of a specific crime or crimes, or produced measurable improvement in some aspect of the criminal justice system?
2. Has the project been notably more successful than other projects which address the same problem?

B. Transferability. The project must be generally applicable and adaptable to jurisdictions other than the one in which it is operating.

1. Is the problem addressed by the project likely to be a problem in other communities?
2. Does adequate documentation exist to permit a general understanding of the project's methodology and operations?
3. What, if any, special features contributed to the success of the project?

4. What are the restrictions, if any, on size and type of community (e.g., urban vs. rural) for which the program would be appropriate?

C. Measures of Success. The achievements of the project must be capable of being objectively measured.

1. Does the program have a built-in evaluation component; and if so, how comprehensive is it?
2. Is there objective evidence that the program's goals and objectives are being achieved? If so, what is the evidence?
3. Is the project still in operation and has it been operating continuously for a long enough time to test its utility?

D. Efficiency. The costs of the project must be reasonable.

1. Did the benefits derived from the project justify the expenditures of time, money, and manpower that went into it?
2. Were other (cheaper, more expensive) projects considered as ways of addressing the problem?
3. Is it reasonably certain that the project will continue to exist so that evaluators may collect data; the project can be written up; and the project can be visited by those who learn of it through the model program?

III. Validation

The OCJP's Technology Transfer Branch will review the documentation submitted on potential model projects, clarify any ambiguities and make preliminary recommendations. On occasion the Technology Transfer Division may seek input from the Research and Development Advisory Committee.

The extent of pre-screening performed by the Technology Transfer Branch will be determined by the volume of projects submitted for consideration. Ideally one to two-day site visits will be made to the most promising projects so that the Technology Transfer Branch will have the benefit of an objective outside observer's report. This Branch will seek the assistance of Regional Office staff in providing this type of first-hand observation. Contractor assistance may also be used in the pre-screening efforts.

On the basis of the documentation provided, the Technology Transfer Branch will select those projects which appear to meet all the criteria for a "model" designation. It is envisioned that projects selected by the Screening Committee will fall into two broad classes: The first group will be those which already have comprehensive evaluation results. For these projects, no further validation efforts will be necessary; and the documentation described in Section IV will be prepared.

The second group of projects will be those which have all the appearances of being successful but are lacking a formal evaluation. For these projects, OCJP staff person or contractor will do a short term study to substantiate the project's achievements.

IV. Documentation

An abstract and microfilming of the documents will be prepared for each project that receives the model designation. The abstract will be written in a highly readable journalistic style to arouse the interest of the reader to obtain a more detailed description.

In the case where a significant number of requests are expected, a detailed project description will be prepared to provide the criminal justice administrator with guidelines for establishing, operating and evaluating a similar program. It will include considerable detail on such matters as costs, staffing, training requirements, potential problem areas and measures of effectiveness. Ideally the detailed project description will present the experience of a particular community in such a way that it provides helpful guidance but does not rule out flexibility and experimentation by a potential imitator.

Those aspects of a project which appear to be basic to its success in any locale will be distinguished from those characteristics which are peculiar to the milieu in which it is currently operating.

V. Project Recommendations

All projects recommended should be sent to the Technology Transfer Branch of the Office of Criminal Justice Planning. The enclosed "Format for Submission of Model Project Recommendations" must be used.

Enclosure

Model Project Consideration

<u>Project Title:</u>	The Court Referral Project
<u>Implementing Agency:</u>	Volunteer Bureau of Alameda County
<u>Criminal Justice Region:</u>	Alameda - I
<u>Project Director:</u>	Jane Thomson - Coordinator
<u>Project Costs:</u>	1. To Date: \$193,618 Per Year: \$ 70,000 approximately

I. Project Summary

This project represents an attempt to provide the Alameda County Courts with dispositional alternatives to incarceration or fines for offenders who either cannot afford to pay or for whom jail sentences are not appropriate.

The project acts as a referral and monitoring agent for cases where the courts have offered convicted misdemeanants the option of performing a stipulated number of hours of community service in lieu of a fine or incarceration. Such individuals are interviewed and placed by the Court Referral Program, as volunteers in public and private non-profit agencies.

Upon completion of their work assignments, offenders are released by the courts. If offenders do not complete their assignment, their cases are then turned back to the court for further disposition.

This project has been in operation since 1970. It has been funded, however, by the Office of Criminal Justice Planning since 1972.

II. Analysis

The project's goal is to divert selected offenders (those with minor sentences) from the criminal justice system into service to the community. To achieve this goal, the project enacted 5 objectives:

1. To provide the court with disposition alternatives to incarceration or fines;
2. To have 80% of all persons who are placed in community service assignments complete their assignments;
3. To reduce the cost of convicted offenders to the criminal justice system;
4. To place 200 offenders a month into community service activities;
5. To write a model of the program to enable other jurisdictions to replicate this concept.

The project has apparently been successful in achieving its stated objectives. Two evaluative reports: Second Year Evaluation Report of the Court Referral Program, by the Alameda Criminal Justice Planning Board; and Cluster Evaluation of Volunteers in Corrections Projects, by the Bay Area Social Planning Council, have documented these results.

Although objective 3, to reduce the cost to the criminal justice system, was not addressed by a cost-benefit study, the project staff has tentatively demonstrated its cost-effectiveness.

The project evaluations also documented support for this program by the community agencies utilizing the services of the offenders. In a survey conducted by the Bay Area Social Planning Council only 4.4 percent of all the agencies viewed this program as a failure. Approximately 80% believed the program was successful. Also, 87% thought the program was beneficial to the offenders. See Table 1 for additional details:

Since the project was federally funded (1972) over 6,000 individuals have been placed into volunteer work. More than half the participants were of an ethnic minority background, with two-thirds having low income. Most of the referrals (about 95%) have been from the Municipal Courts of Oakland, Berkeley, Hayward and Fremont. It was the intention of this program to encourage the courts to place both juvenile and adult, misdemeanants and felons. Unfortunately, based on the evaluation conducted the courts have been reluctant to place juveniles and felons into this program. The judges' rationale has been that felons cause too much risk and juveniles would be too difficult to monitor. In fact the majority of offenders placed into this program

were for vehicle violations and not violations of the penal code.
(For an example of this analysis, see Table 2 below.)

Table 2. Nature of Offense of Court
Referral Participants

Violations	Number and Percentage of Infractions			
	FY 1972	%	FY 1973	%
Vehicle Code	1172	61.4	1732	66.7
Penal Code	697	36.5	753	29.0
Other Offenses	39	2.0	110	4.2
Total	1908*	99.9+	2595*	99.9+
*Totals exceed number of referrals due to multiple charges in some instances. †Does not equal 100.0% due to rounding.				

Source: Court Referral Quarterly Progress Reports

Most of the work performed by the offenders were for maintenance and clerical duties. However, a significant proportion of the volunteers performed professional and other public services. Table 3 below documents this activity.

Table 3. Types of Work Performed by
Court Referral Participants

Category	Volunteers Referred			
	FY 1972	%	FY 1973	%
Maintenance	406	22.0	767	30.7
Clerical	486	26.3	751	30.0
Professional	226	12.1	228	9.1
Recreation	181	9.8	221	8.8
Child Care	68	3.7	147	5.9
Para-Medical	101	5.5	135	5.4
Artistic Work	67	3.6	75	3.0
Tutors	40	2.2	91	3.6
Aide to Handicapped	42	2.3	55	2.2
Other	231	12.5	31	1.2
Total	1848	100.1*	2501	99.9*
* Does not equal 100% due to rounding.				

Source: Court Referral Quarterly Progress Reports

To be eligible for model consideration, all projects should impact on three criteria that were established by the Technology Transfer Branch. The three criteria are: achievement of the objectives established for the program; project transferability; and project efficiency. The success this project had on the "model" criteria are as follows:

1. Achievement of the Project's Objectives

As expressed earlier in this report, two evaluations have documented the project's success in meeting the primary objectives of this program.

2. Transferability

The need for sentencing alternatives in judicial districts throughout the state is unquestionable. In some areas the overcrowding of local jails is a serious problem. In other areas large numbers of criminal justice clients find it difficult to pay fines. When either of these circumstances exists, a community could benefit from this program.

The project and regional staff have indicated that this project could be replicable almost anywhere in the State. To date, over 100 inquiries have been received from judicial districts throughout the State of California about the operation of this program. In compliance with one of the objectives of this program; a written document entitled, "A Model Court-Ordered Work Program" was prepared to assist other jurisdiction in implementing this program. This project has already been replicated in other jurisdictions in the San Francisco Bay Area.

This project is also financially attractive to other jurisdictions simply because it provides agencies with free manpower to conduct various tasks that were previously not affordable. As demonstrated by the results of the survey in Table 1, agencies receiving these services were generally appreciative of the program. They also felt the work experience was beneficial to the volunteer. In fact, the project staff cited examples where many persons continue to volunteer after their prescribed time expired. Also, a few persons have even found paying jobs as a result of their volunteer experience.

3. Efficiency

Although a cost-benefit analysis has not been completed on this project as yet, preliminary cost analysis of this project documents that the program, at least, pays for itself. For example during fiscal year 1973-1974, the total cost of this program was \$76,793. During this same period 2501 persons were interviewed by the project staff and performed 99,837 hours of community service. Multiplying the number of hours by a (conservative) minimum wage figure of \$2.00 per hour, the benefit to the community was nearly \$200,000. This figure should probably be higher since many jobs procured would normally pay a salary in excess of the minimum wage. Thus, by subtracting the cost of this program (\$76,793) from the cost-benefit to the community (\$200,000), a net savings of over \$120,000 has been computed.

A cost-benefit analysis, when completed, will hopefully determine the cost savings incurred by operating this project, in lieu of having convicted offender proceed further in the judicial and correctional system.

In the interim, a study was undertaken to determine the costs of this program per court-referred individual. Since February 1972, 6221 individuals were processed by the project staff. Total project cost for the same period was \$193,618. Cost per client was therefore \$31.12. In addition, the cost per case has decreased as the project continued. This is illustrated in Table 4 below:

Table 4. Cost Per Volunteer

Grant Period	Cost Per Grant Period	Number of Clients Interviewed	Cost Per Client
2/72 - 6/72	\$24,691	514	\$48.04
7/72 - 6/73	\$63,005	1,848	\$34.09
7/73 - 6/74	\$76,793	2,501	\$30.70
7/74 - 12/74	\$29,129	1,358	\$21.45

The cost per client of this program seems inexpensive especially when considering the costs incurred for each person that would normally be processed through the courts and correctional system.

In summary, this program has apparently met the criteria selected by the Technology Transfer Branch for model projects. This concept provides the courts with a viable alternative for the sentencing of convicted persons.

The project appears to be cost-effective; it provides the community with unlimited resources to conduct various tasks, and it provides the courts with an alternative method in sentencing offenders. This program also enables the offender to provide a service to the community and perhaps even secure a job based on his/her volunteer experience.

The Court Referral Program also has some deficiencies. It is unfortunate that the majority of volunteers are only adult misdemeanants committing traffic offenses. There is little evidence to support the denial of felons into this program. It has been documented that most judges are hesitant to place these individuals into this program for fear of the risk involved. For some felons this is probably an accurate statement, but for the countless number of non-aggravated/non-felonious offenses committed this practice is highly questionable.

Another weakness of this program was the lack of follow-up of terminated cases. It would be important to determine if there was any causal link between the type of work performed and the recidivism rate of the individuals. A complete analysis could then be completed on the usefulness of this program as a crime reducing tool. Unfortunately, a lack of manpower was noted as a factor for this deficiency.

Table 1

Evaluation of the Court Work Program: Community Agencies
Utilizing Court Referrals, Alameda County, May 1974

Evaluation of Court Work Program by Community Agencies	Alameda County	
	Number	Percent
<u>Total</u>	<u>92</u>	<u>100.0</u>
Agency Evaluation of the Current Court Work Program		
An unqualified success	13	14.1
A qualified success	60	65.2
A failure, but salvageable	3	3.3
A failure; should be dropped	1	1.1
Don't know	13	14.1
No response	2	2.2
Agency Opinion about Benefit to Court Referrals		
Of benefit	80	86.9
No benefit	1	1.1
Don't know; not sure	8	8.7
No response	3	3.3

Source: BASPC Survey of Community Agencies Utilizing Court-
Referred Volunteers, May 1974

III. Recommendations

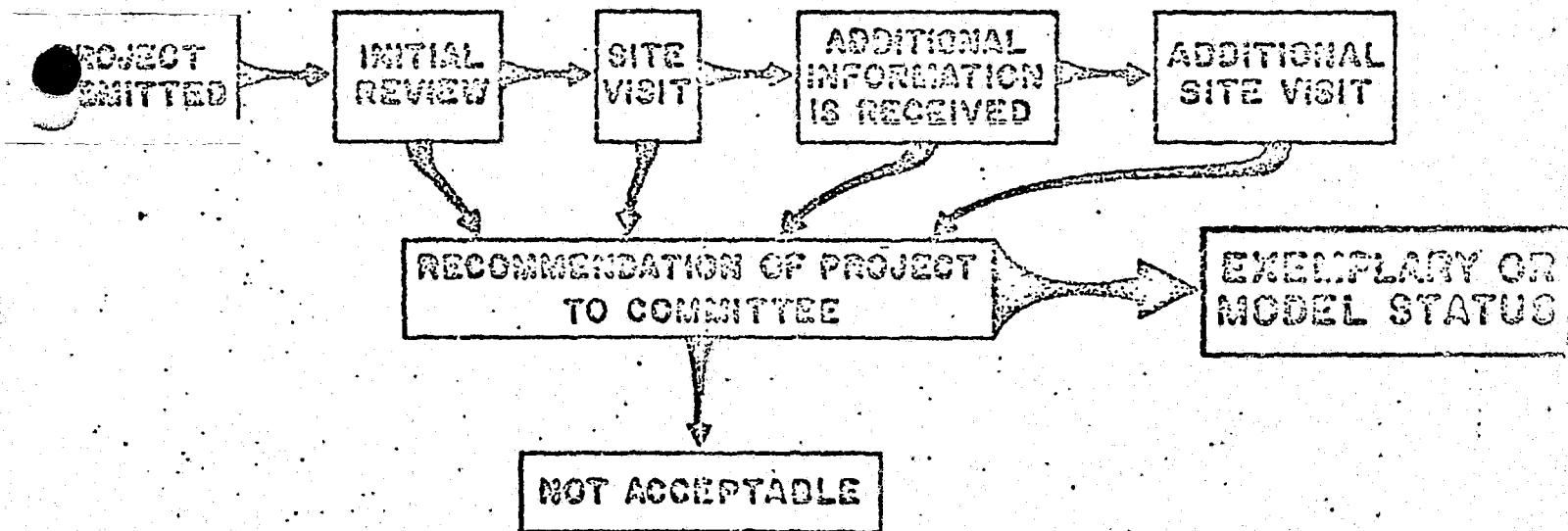
Based on the project's compliance with the Technology Transfer criteria for model projects, it is recommended that this project be selected for model status and be offered for replication in other areas of California. However, since certain program deficiencies were noted in the analysis, it is recommended that any jurisdiction that replicates this program implement the following changes:

1. That this program be expanded to include non-aggravated felony cases for work referral; and,
2. That a follow-up on terminated cases be completed to determine if a program of this nature can reduce recidivism in the community it serves.

This report constitutes the major document used by the Screening Committee in selecting a project.

The procedure used to select a project is exemplified by the following flow chart:

MODEL OR EXEMPLARY PROJECT FLOW CHART



7-22

SURVEY OF TECHNICAL ASSISTANCE
AND TECHNOLOGICAL DEVELOPMENT
NEEDS OF CALIFORNIA'S LOCAL
CRIMINAL JUSTICE AGENCIES

July 1974

State of California
Office of Criminal Justice Planning
7171 Bowling Drive
Sacramento, California

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SUMMARY

In May 1974 the Research and Technical Assistance Division of the Office of Criminal Justice Planning distributed a survey instrument to the heads of 1,454 criminal justice agencies in California to determine their priority needs in the areas of technical assistance and technological development. The survey was designed to elicit brief, subjective responses concerning needs for 1) equipment or methods for impacting upon the crime problem or criminal justice system improvement; and 2) needs for practical assistance in putting to work new methods for crime reduction, agency organization and planning. Although only 13.3% of these agencies responded to the survey, the percentage of the total number of law enforcement agencies, probation departments and courts responding to the survey was sufficient for the data to support the identification of certain patterns of priority needs in the areas of technical assistance and technological development.

For example, the survey data indicated that all of the component agencies of California's criminal justice system have a common need for assistance in: 1) the application of data processing and information systems technology to management and use of criminal justice records; 2) development of skills in planning, management and organizational development.

In addition, the survey data indicated that law enforcement agencies, probation departments and court systems have technical assistance and technological development needs which are idiosyncratic to their functional specialities. That is, law enforcement agencies have a particular need for improvement and expansion of their communications systems, to improve field operations and relieve overburdened radio frequencies. They also have a great need for up-to-date information on effective crime control/reduction strategies.

Probation departments have a special need for knowledge on proven techniques for client behavior prediction/assessment and caseload analysis. In sum, probation departments need better information to support effective decision-making, both at the individual case level and the management level.

California's courts and public defenders express a particular need for calendar management systems and other computer-oriented applications to reduce court delay.

Among the recommendations resulting from this survey are:

1. That OCJP explore further the need for a technical assistance program to provide agencies with knowledge/skills in data processing techniques, for improved management and use of criminal justice records.
2. That OCJP explore the need and feasibility of a statewide communications program for law enforcement agencies.
3. That OCJP develop programs to assist agencies in the development of planning, management, and organizational development skills.
4. That OCJP provide agencies with up-to-date information on effective crime control techniques and strategies.

5. That OCJP further explore the need for court planning programs, including calendar management systems.
6. That an in-depth survey of the needs of individual agencies be undertaken as a follow-up to this initial survey.

INTRODUCTION

A. Background

The Office of Criminal Justice Planning is currently involved in a concerted effort to improve the effectiveness of its planning process and to maximize the impact of LEAA funds for crime reduction and criminal justice system improvement. To this end, OCJP is attempting to make this program as responsive to local needs as possible through the development of significant programs in the areas of technological development and technical assistance.

In May of 1974, the Research and Technical Assistance Division of the Office of Criminal Justice Planning designed a survey instrument to determine the priority needs of California's criminal justice agencies in the areas of technical assistance and technological development.* The survey instrument was distributed to the heads of 1,454 local criminal justice agencies throughout California. Following is a distribution of survey instruments per type of agency:

<u>Type of Agency</u>	<u>N</u>
Chiefs of Police	400
Sheriffs	58
District Attorneys	58
Public Defenders	58
Chief Probation Officers	58
Judges, Municipal Court	320
Judges, Superior Court	389
County Jails and Honor Camps	113
Total	1,454

*For the purpose of the survey, these terms were defined as follows:

- a) new technological developments - equipment or methods which have high potential for impact upon the crime problem or improvement of criminal justice system effectiveness.
- b) technical assistance - practical assistance in putting to work new methods for crime reduction, organization, operations, planning or any other area which will help your agency to pursue your jurisdiction's crime control priorities.

CONTINUED

1 OF 2

B. Purpose of the Survey

The report presents the analysis of the results of that survey, for use by OCJP's Research and Development Advisory Committee and staff of the Research and Technical Assistance Division. These data will be used in the development of technical assistance and technology transfer activities responsive to the perceived needs of local criminal justice agencies. Specifically, survey results will structure the efforts of OCJP's Law Enforcement Science Advisor to facilitate communication between innovator and user concerning new knowledge and techniques in crime control. Survey results will also assist him in the determination of which technical or information need areas cannot be provided by OCJP staff and which, therefore, will have to be fulfilled by outside consultants on a short-term basis.

C. Organization of This Report

SUMMARY - including significant findings of the initial survey and recommendations for future action.

INTRODUCTION - including the background for the survey; its purpose and scope; and organization of the document.

METHOD - a brief discussion of the identification of survey respondents and methodology for analysis of responses.

RESULTS - a discussion of the findings of the survey and their implications.

CONCLUSIONS - an annotated list of the conclusions drawn from the analysis of survey responses.

RECOMMENDATIONS - interpretation of survey conclusions and proposals for specific actions to meet the needs of local agencies.

APPENDICES - letter and survey instrument.

METHOD

A letter was enclosed (Appendix A) with the postcard survey (Appendix B) instrument to request the heads of 1,454 local criminal justice agencies to briefly and subjectively identify the technological development and technical assistance needs of the respective agencies. Responses were to be brief and in narrative format. The following component agencies of California's criminal justice system were requested to participate in the survey; 1) police departments; 2) sheriff's departments; 3) district attorneys; 4) public defenders; 5) probation departments; 6) municipal and superior court judges; and 7) county jails, honor camps, ranches and farms.

For the purpose of this report, responses from both municipal and superior courts were combined and responses from both police and sheriff's departments were combined.

As survey responses were requested in narrative format, tabulation and analysis of responses focused upon efforts to identify configurations of responses into categories of need that could be characterized by a few key words. For example, all responses concerning technical assistance needs which required instruction and training in specific aspects of criminal justice and crime control were categorized and tabulated under the heading of "training". Interpretation of the significant aspects of each response category was based on efforts to capture the "gestalt" or "big picture" of all data within each response category.

Data on technical assistance needs was manipulated separately from data on technological development needs, although the nature of several of the responses indicated that a number of the responding agencies did not clearly differentiate between the two areas of need.

It should be noted that this postcard survey is the first phase of an effort to determine the technical assistance and technological development need of California's criminal justice agencies. Analyses of this preliminary survey was limited to tabulation of frequencies of responses and categorization of responses by content. Within the next few months, a formal, in-depth survey will be developed, based upon common elements derived from the first survey. Responses to the second survey will serve as one of the bases for setting of OCJP program priorities in the areas of technical assistance and technological development.

RESULTS

The volume of responses to the postcard survey was somewhat disappointing. Of the 1,432 criminal justice agencies surveyed, only 193 or 13.3% responded. Following is a distribution of the 193 responses by type of agency involved:

Table No. 1
Survey Responses by Type of Agency

Type of Agency	No.	% of Total Responses	Response as % of Agency Type Surveyed
Police and Sheriffs	120	62.2%	26.2%
Courts	34	17.6%	4.7%
Probation Departments	17	8.8%	2.9%
Public Defenders	11	5.7%	19.0%
District Attorneys	10	5.2%	17.2%
Corrections	1	0.5%	0.9%
TOTAL	193	100.0%	

Clearly, the vast majority of responses were from law enforcement agencies. Although responses from other components of the criminal justice system were scanty, patterns of responses emerged early in the process of analysis. That is, each type of criminal justice agency seems to have several similar areas of need for technological development and technical assistance. Following is a discussion of the most significant results of the data analysis per type of criminal justice agency:

1. Police and Sheriff's Departments - Only 26.2% of all law enforcement agencies surveyed responded to the survey. Following is a discussion of the responses.

A. Technical Assistance Needs - The following table indicates that the highest frequency of responses concerning technical assistance needs were in the areas of:

1. reporting systems and records efficiency;
2. training and education;
3. planning;
4. information systems and data retrieval;
5. communications systems; and
6. crime prevention/reduction techniques.

TABLE NO. 2
TECHNICAL ASSISTANCE NEEDS OF POLICE AND SHERIFF'S DEPARTMENTS

RESULTS		% of Total Agencies Responding to Survey	Rank
Need Categories	Number of Needs Expressed		
Reporting/Record Systems	16	13.3%	1.
Training/Education	14	11.7%	2.5
Planning Methods	14	11.7%	2.5
Information Systems-Data Retrieval	13	10.8%	4.
Communications Systems	11	9.2%	5.5
Crime Prevention/Reduction Info	11	9.2%	5.5
Research Methods/Statistical Analysis	8	6.7%	8.
Manpower Allocation	8	6.7%	8.
Management/Organization Analysis	8	6.7%	8.
Crime Specific Info	7	5.8%	10.5
Personnel/Staff	7	5.8%	10.5
Crime Lab/Criminalists	6	5.0%	12.5
Community Relations	6	5.0%	12.5
Investigative Technique	5	4.2%	14.5
OCJP Info/Grant Applications	5	4.2%	14.5
Juvenile Delinquency Control	4	3.3%	16.5
Narcotics Enforcement	4	3.3%	16.5
Evaluation/Problem Identification	3	2.5%	17.
Statewide Want/Warrant System	2	1.7%	21.5
Public Information Techniques	2	1.7%	21.5
Interagency Regional Intelligence	2	1.7%	21.5
Team Policing	2	1.7%	21.5
Equipment	2	1.7%	21.5
Facilities Planning	2	1.7%	21.5
Traffic Enforcement	2	1.7%	21.5
Police Legal Advisor	2	1.7%	21.5
Air Patrol/Helicopter	1	0.8%	31.5
Drug Abuse	1	0.8%	31.5
Funds	1	0.8%	31.5
Command/Control System	1	0.8%	31.5
Liaison Office-City Atty/Court/ Legal Advisor	1	0.8%	31.5
Court Calendar Techniques	1	0.8%	31.5
Criminal Justice System Coordinator	1	0.8%	31.5
Social Indicators	1	0.8%	31.5
Technology Transfer Techniques	1	0.8%	31.5
Personnel Recruitment	1	0.8%	31.5
Police Diversion Programs	1	0.8%	31.5
White Collar Crime	1	0.8%	31.5
Organized Crime	1	0.8%	31.5
Sex Crimes	1	0.8%	31.5
Total	180		

1. Reporting/Record Systems

Technical assistance needs in the category of "reporting/record systems" focused primarily upon 1) the need to make record systems more efficient; 2) the need to relieve officers of the burden of writing extensive reports through such methods of equipping officers with tape recorders for faster report preparation; 3) the need for computerized retrieval of records and statistics; and 4) the need for police departments to use standardized reports.

2. Training/Education

Responses in the category of "training/education" focused on 1) the need for the development of in-service training programs; 2) the need for training in new technological advances for use in organizational development, operations and planning; and 3) training needs in specific areas, such as polygraph operation, radio systems, computer technology and crime prevention.

3. Planning Methods; Research Methods/Statistical Analysis

Fourteen law enforcement agencies indicated a need for technical assistance in the area of planning technology. Similarly, eight agencies indicated a need for assistance in research methodology and statistical analysis in support of their efforts to identify crime problems in their jurisdictions. These complementary needs were expressed as needs for technology to support problem-identification efforts and planning for organizational change and resource allocation.

4. Information Systems - Data Retrieval

Thirteen law enforcement agencies expressed a need for assistance in the application of computerized information systems for storage and retrieval of records, statistical data and criminal histories. In several instances, responses focused on the need for technical assistance in exploring the utility of micro-storage of records via microfilm.

5. Communications Systems

Eleven (9.2%) of the 120 law enforcement agencies indicated a need for information and assistance in upgrading their radio communications systems and relieving over-burdened radio frequencies.

6. Crime Prevention/Reduction Information; Crime Specific Information

Eleven (9.2%) law enforcement agencies expressed a need for information on new crime prevention/reduction techniques that have been proven to be effective.

A few departments expressed a specific need for information about the use of environmental design to reduce crime. Seven departments indicated a need for information on techniques for reduction of specific crimes, such as burglary, drug abuse, drug trafficking and organized crime.

B. Technological Development Needs

The following table (Table No. 3) indicates that the highest frequency of responses concerning the technological development needs of law enforcement agencies were in the areas of:

1. communications systems;
2. information systems;
3. record systems; microfilm;
4. crime specific equipment;
5. equipment/standard specifications; and
6. car locator systems.

Table No. 3

TECHNOLOGICAL DEVELOPMENT NEEDS OF
LAW ENFORCEMENT AGENCIES

<u>Need Categories</u>	<u>Number of Needs Expressed</u>	<u>% of Total Agencies Responding</u>	<u>Rank</u>
Communications System	44	36.6	1
Information Systems	30	25	2
Record Systems; Microfilm	25	20.8	3
Crime Specific Equipment	14	11.6	4
Equipment; Standard Specifications	10	8.3	5
Car Locator Systems	9	7.5	6
Manpower Allocation	6	5	7
Command & Control Systems	5	4.1	9.5
Management/Organization Technology	5	4.1	9.5
Training	5	4.1	9.5
Video-Tape Systems	5	4.1	9.5
Want/Warrant Systems	4	3.3	12
Court Calendar Systems	3	2.5	13.5
Automated Fingerprint Systems	3	2.5	13.5
Crime Lab	2	1.6	19
Staff	2	1.6	19
Air Patrol	2	1.6	19
Weapons Upgrading	2	1.6	19
Criminal Histories Info	2	1.6	19
Community Relations/Public Education	2	1.6	19
Upgrade Patrol	2	1.6	19
Polygraph Operations	2	1.6	19
Drug Investigation/Analysis	2	1.6	19
Surveillance Equipment for Institutions	1	.08	30.5
Report Writing Methods	1	.08	30.5
New Crime Reduction Goals	1	.08	30.5
Crowd Control Weapons	1	.08	30.5
Voice Stress Equipment	1	.08	30.5
Less Lethal Weapons	1	.08	30.5
Alternatives to Incarceration	1	.08	30.5
Reserve Program	1	.08	30.5
Crime Prevention Unit	1	.08	30.5
Response Time Improvement	1	.08	30.5
Evaluation of New Crime Control Techniques	1	.08	30.5
Traffic Control	1	.08	30.5
Increased Patrol	1	.08	30.5
Behavior Prediction Technology	1	.08	30.5

1. Communications Systems

Over one-third (43) of the law enforcement agencies responding to the survey indicated a need for improved radio communications systems and related equipment to improve the efficiency of field operations. Several responses focused specifically on the 1) need for automated communications systems, particularly systems providing computer print-outs in each patrol vehicle and 2) radio scramblers. In addition, specific emphasis was put upon the need to relieve over-burdened radio frequencies and develop methods for improved inter-agency communication.

2. Information Systems; Record Systems/Microfilm

Thirty (25% of all law enforcement agencies responding) law enforcement agencies indicated a need for information systems for automated police records, statistics and related information. Several responses focused upon the need for 1) software packages for records management and analysis; 2) information systems for storage and retrieval of criminal histories; 3) retrieval of data through use of microwave equipment. Similarly, 25 agencies expressed a need for techniques and equipment (such as microfilm) for more efficient storage of records.

3. Crime Specific Equipment; Standard Specifications

Fourteen agencies indicated a need for equipment for the reduction of specific crimes. Most responses in this category focused upon the need for residential burglary alarm systems and improved equipment for chemical analysis of narcotics. In addition, several agencies stressed the need for development of standard specifications for equipment.

4. Manpower Allocation; Car Locator Systems; Command and Control Systems

A major concern of several law enforcement agencies responding to the survey was the need for improved techniques and methods for efficient organization, allocation of patrol resources and vehicle dispatch. Specific emphasis was placed upon the need for vehicle locator systems and command and control systems.

SAFETY - 100%

SAFETY - 100%

3.A. Technical Assistance Needs The following table (Table No. 4) indicates that the highest frequency of responses concerning technical assistance needs of court systems were in the areas of: 1) information/record systems; 2) calendar management; and 3) training.

Table No. 4

2. 1994年3月20日，在“三北”防护林工程启动十周年之际，国家主席江泽民在人民大会堂会见了参加“三北”防护林工程启动十周年国际学术讨论会的代表。江泽民在会见时指出，我国政府十分重视“三北”防护林工程，并把它作为我国的一项重大生态工程来抓。他要求与会代表在“三北”防护林工程启动十周年之际，通过学术讨论，进一步探讨“三北”防护林工程建设的意义、目标和任务，为我国的生态建设提供科学依据。江泽民还要求与会代表在“三北”防护林工程启动十周年之际，通过学术讨论，进一步探讨“三北”防护林工程建设的意义、目标和任务，为我国的生态建设提供科学依据。

Technical Assistance Needs of Courts

Need Category	No. of Needs Expressed	% of Total Court Responses	Rank
Information/Record Systems	12	35.2%	1
Calendar Management	4	11.7%	2
Training	3	8.8%	3
Statistics	2	5.8%	4
Traffic Warrant Disposition	1	2.9%	9.5
Community Relations	1	2.9%	9.5
Crime Lab	1	2.9%	9.5
Defendant Counseling/Services	1	2.9%	9.5
O. R. Program	1	2.9%	9.5
Videotape & Microfilm Systems	1	2.9%	9.5
Liaison: Courts-Community-Government Agencies	1	2.9%	9.5
Funding-Staff/Equipment	1	2.9%	9.5
Management/Organization	1	2.9%	9.5
School Vandalism	1	2.9%	9.5

organization, a division of labor, tabular and other devices.
 The first example was a table with columns for various factors, systems
 and common and control systems.

1. Information/Record System

Twelve courts (35.2% of all courts responding to the survey) indicated a need for technical assistance in the area of information systems/record systems. Specifically, several of these courts need automated access to criminal identification record systems/repositions, such as CII. In addition, several courts expressed a need for automated systems for storage and retrieval of court documents.

2. Calendar Management

Four courts indicated a need for technical assistance in calendar management to reduce court delay.

3. Training

Responses concerning training needs included 1) training programs for criminal trial lawyers; 2) training in casework techniques and crisis counseling; and 3) training for bailiffs, court clerks and prosecutors.

B. Technological Development Needs

The following table (Table No. 5) indicates that the highest frequency of court responses concerning technological development needs is in the areas of: 1) information/record systems; 2) calendar management systems; and 3) training.

Table 5

2. Technological Development Needs of Courts

<u>Need Category</u>	<u>No. of Needs Expressed</u>	<u>% of Courts Responding</u>	<u>Rank</u>
Information/Record Systems	16	47.1%	1
Calendar Management	5	14.7%	2
Training	2	5.8%	3.5
Management/Organization	2	5.8%	3.5
Valid Polygraph Procedures	1	2.9%	9.5
Quieter Helicopter Patrol	1	2.9%	9.5
Develop Forensic Expert Qualifications	1	2.9%	9.5
Public Education	1	2.9%	9.5
Cameras in Police Cars	1	2.9%	9.5
Community Relations	1	2.9%	9.5
Videotape	1	2.9%	9.5
Equipment (Courtroom)	1	2.9%	9.5
Alcohol Detox Center	1	2.9%	9.5

As responses in the major need categories for technological development paralleled those need categories for technical assistance, no discussion of these responses will follow, except the obvious notation that respondents indicate a need for technology to implement information/record systems, calendar management systems and training programs, in addition to the other need categories listed in Table No. 5.

III. Probation Departments

As previously mentioned, only 17 probation departments (29.3% of all probation departments) submitted responses to the survey instrument. However, these 17 departments represent almost one-third of all the probation departments in California. Following is a brief discussion of the responses from these probation departments concerning their technical assistance and technological development needs.

A. Technical Assistance Needs

The following table (Table No. 6) presents the distribution of responses of probation departments concerning their technical assistance needs: information record systems; 2) calendar management systems; and 3) probation.

Table No. 6

Probation Departments Technical Assistance Needs

Technological Development Needs			
<u>Need Category</u>	<u>No. of Needs Expressed</u>	<u>% of Total Probation Depts. Responding</u>	<u>Rank</u>
Information Systems	6	35.2%	1
Planning/Management/Caseflow Analyses	55	29.4%	2
Rehabilitation/Behavior Prediction	2	11.7%	3
Alternatives to Incarceration	1	5.8%	7
Diversion	1	5.8%	7
Adult Pretrial Services	1	5.8%	7
Training	1	5.8%	7
Research Methodology	1	5.8%	7
Programs for Victims	1	5.8%	7
Community Education	1	5.8%	7

The above table indicates that the highest frequency of responses concerning technical assistance needs were in the areas of: 1) information systems; 2) Planning/Management/Caseflow Analysis; and 3) Rehabilitation/Behavior Prediction. Following is a discussion of each need category.

1. Information Systems

Six probation departments indicated a need for technical assistance in the application of information systems for sharing, storing and retrieval of data needed to support probation decision-making. Specifically, some departments need an automated data system and related software to expedite receipt of CII data concerning clients' criminal history and to store data concerning probation violations and caseflow information.

2. Planning/Management/Caseflow Analysis

Five probation departments expressed technical assistance needs in the areas of planning, management and caseflow analysis. These responses focused on the need to learn how to use probation data to improve the operational efficiency of departments, determine adequate caseload levels, diagnose problems in caseflow and, generally, to determine the effectiveness of various casework techniques.

3. Rehabilitation/Behavior Prediction

Two probation departments expressed a need for technical assistance to improve the current state-of-the-art in client rehabilitation and behavior prediction, in support of the goals of probation.

B. Technological Development Needs

Probation department responses in the area of technological development somewhat paralleled responses in the area of technical assistance needs. The following table (Table No. 7) indicates that the highest frequency of responses were in the categories of: 1) information systems; and 2) case outcome/client behavior assessment.

Information System Table 7 55.2

Program Management

Probation Department Technological Development Needs

Need Category	No. of Needs Expressed	% of Prob. Depts. Responding	Rank
Information Systems	5	29.4%	1
Case Outcome/Client Behavior Assessment	4	23.5%	2
Record Systems; Microfilm-	2	11.7%	3.5
Management/Organization	2	11.7%	3.5
Offender Tracking	1	5.8%	10.5
Spanish Street Language Training	1	5.8%	10.5
Statistical Analysis	1	5.8%	10.5
Surveillance Equipment for Institutions	1	5.8%	10.5
Regional Treatment Center	1	5.8%	10.5
Juvenile Hall Facility	1	5.8%	10.5
Court Calendar Management	1	5.8%	10.5
State Info Center on Juvenile Runaways	1	5.8%	10.5
Community Involvement	1	5.8%	10.5
Videotape	1	5.8%	10.5
Evaluation	1	5.8%	10.5

1. Information Systems

Responses concerning the need for information systems were largely identical to the technical assistance needs responses in the same category.

2. Case Outcome/Client Behavior Assessment

Four probation departments expressed a need for the development of effective methods and techniques for assessing client behavior and predicting case outcome. These responses focused primarily on the need for better data to support probation decision-making.

IV. Public Defenders

As previously indicated, only 11 public defender's offices (19% of all public defender offices) responded to the survey. Because the volume of responses from these agencies cannot be interpreted as truly representative of all similar agencies, discussion of responses from this source will be intentionally brief.

A. Technical Assistance Needs The area of technological development needs was also addressed in the area of technical assistance needs. The following table (Table No. 8) indicates that the highest expressed need for technical assistance was for information systems.

Need Category	No. of Needs Expressed	Rank
Court Calendar Management	4	1
Record Systems/Microfilm	2	3
Training	2	3
Inmate Legal Assistance	2	3

1. Court Calendar Management; Record Systems/Microfilm

Four public defender offices indicated a need for court calendar management systems as a means for coordination of district attorneys, courts and public defenders and to maximize efficient scheduling and use of the public defender's time in court. Similarly, two public defender offices indicated a need for more efficient storage and retrieval of records.

2. Training

Two public defender offices expressed a need for training in technical areas of criminal law, such as mental illness and pathology.

3. Inmate Legal Assistance

Two public defender offices expressed a need for improved and expanded programs to provide legal assistance to inmates in federal and state institutions.

B. Technological Development Needs

The following table (Table No. 9) indicates that the nature of responses in the area of technological development needs did not differ significantly from the nature of the technical assistance needs of public defenders.

Table No. 9

Public Defender Technological Development Needs

Need Category	No. of Needs Expressed	Rank
Court Calendar Management Systems	4	1
Record Systems/Statics	3	2
Training	3	3
Inmate Due Process Hearings	1	5.5
Videotape	1	5.5
Caseflow Management	1	5.5
Equipment (office)	1	5.5

V. District Attorneys

As mentioned previously, only 10 (17.2% of all district attorney offices) district attorneys responded to the survey. Following is a brief discussion of these responses.

A. Technical Assistance Needs

Table No. 10 indicates that technical assistance needs of district attorneys included the following response categories 1) information systems and 2) narcotics enforcement. Information systems of district attorneys, courts and public defenders and to maximize efficient scheduling and use of a defender's time in court. Similarly, two public defender offices indicated a need for more District Attorney Technical Assistance Needs

Need Category	No. of Needs Expressed
---------------	------------------------

Information Systems	2
Narcotics Enforcement	2
Record Systems	1
Criminalists as Expert Witness	1
Court Administration	1
Inventory of C. J. Systems in California	1
Grantsmanship	1
Public Education	1

1. Information Systems

The two responses concerning the need for technical assistance in the area of information systems included focus upon the need to organize criminal history files in coordination with files of the Department of Justice.

2. Narcotics Enforcement

Two district attorneys indicated a need for technical assistance in establishing and maintaining narcotics enforcement teams in their jurisdictions.

B. Technological Development Needs

The following table (Table No. 11) indicates that the technological development needs of district attorneys do not differ significantly from the technical assistance needs expressed by other component agencies of the criminal justice system.

Table No. 11

District Attorney Technological Development Needs

<u>Need Category</u>	<u>No. of Needs Expressed</u>
Information Systems	4
Word Processing Techniques	1
Jail Facility	1
Record Systems	1
Videotape	1
Court Calendar Management	1

VI. Corrections

The sole response from a correctional institution expressed a need for technical assistance in the following aspects of inmate rehabilitation:
1) testing of inmates' educational aptitude and 2) educational and vocational rehabilitation programs for inmates.

Information System
Narcotics Enforcement
Record System
Jail Facility
Videotape
Court Administration
Inventory of C. J. Systems
in California
Correctional
Programs

Information System

The only response concerning the need for technical assistance in the area of information system was from the California Department of Corrections, which expressed a need for technical assistance in the development of a system.

CONCLUSIONS

Results of the survey suggest that there are several technical assistance and technological development needs which are common to all component agencies in California's criminal justice system. The following is a brief discussion of common needs:

1. Record Systems; Microfilm; Information Systems

Survey results indicated that many criminal justice agencies need assistance in dealing with voluminous criminal justice records. There is a need for improved methods and sharing of knowledge concerning the application of data processing techniques to the storage and retrieval of criminal justice records. Micro-storage techniques, such as microfilm, are also needed to reduce the bulk of present record systems. There is also a great need for knowledge and new technology to assist criminal justice agencies to make better use of the data they collect in planning for improved effectiveness and for organizational change. Finally, criminal justice agencies need to know about available information systems in California and how to obtain speedy access to data (e.g., criminal histories) from these other information systems.

2. Planning/Organization/Management Analysis

The need to continually assess the effectiveness of agency organization, development and management is shared by all components of California's criminal justice system. Specifically, agencies are concerned with their ability to use criminal justice data and management statistics to determine an agency's internal and external effectiveness, particularly as these factors pertain to impact upon the crime problem in California.

Administrators express a need to set new, realistic goals for California's criminal justice system and to improve their understanding of each agency's role in working towards these goals. Moreover, administrators need to know which intervention techniques, rehabilitation strategies and behavior assessment/prediction techniques work well, so that they may make use of more effective techniques and strategies in their own agencies.

Although the above needs are common to all criminal justice agencies, the specialized subsystems (law enforcement agencies, correctional agencies and courts) have technical assistance and technological development needs which are idiosyncratic to their own functional specialities. Following is a brief discussion of the priority needs of each of these types of agency.

1. Law Enforcement Agencies

Law enforcement agencies need to upgrade their radio communications systems and to relieve overburdened radio frequencies. There is a particular need to explore the application of computerized communications systems capable of providing computer printouts in patrol vehicles. New methods to improve inter-agency communication are also needed.

CONCLUSIONS

Command and control systems, car locator systems and manpower allocation strategies are needed to improve the effectiveness of field operations.

Up-to-date information on new, effective crime prevention techniques is a priority need for all enforcement agencies. Similarly, there is a great need for information on new technology for reduction of specific crimes, particularly burglary, robbery and drug traffic.

2. Courts; Public Defenders

California's court systems have a particular need to implement applications of data processing systems to 1) make their record systems more manageable and useful and 2) develop calendar management systems to reduce court delay.

3. Probation Departments

California's probation departments have a specific need for technology and technical assistance in the areas of planning, organizational management and caseflow analysis. Concerned with improving probation decision-making, probation departments need to know about effective techniques for client behavior prediction and rehabilitation.

RECOMMENDATIONS

1. OCJP should explore further the need for a technical assistance program designed to provide criminal justice agencies with knowledge and skills in the application of data processing techniques and information systems technology for improved agency management and more effective use of criminal justice records.
2. Law enforcement agencies in California need improvement and expansion of their present communications systems. OCJP should explore further the development of a statewide communications program designed to relieve overburdened radio frequencies and facilitate inter-agency communication and provide security when needed. Development of this program should give special consideration to the needs of different types of jurisdictions and their geographical location, topography, and composition.
3. OCJP should consider development of a technical assistance program which would aid criminal justice agencies in developing effective planning, management and organizational development skills.
4. All criminal justice agencies share the need for up-to-date information on crime prevention and control techniques which have proven to be effective. Correctional agencies and probation departments have a specific need for effective technology for behavior prediction and assessment to improve probation decision-making. OCJP should identify (or produce) and disseminate such needed information to agencies and consider development of special programs to facilitate implementation of new techniques within agencies.
5. Courts in California have a need for calendar management systems to improve case scheduling and reduce court delay. OCJP should explore the applicability of court planning technology developed throughout the United States to California's court system. It should develop a set of software capable of installation in small, medium, and large judicial districts.
6. California's law enforcement agencies have a particular need for improved technology for manpower allocation. Algorithms should be developed. OCJP should also explore further the need of individual agencies for command and control systems and specific devices, such as vehicle locator systems, to improve field operations.
7. An in-depth survey of the technical assistance and technological development needs of individual agencies should be undertaken as a follow-up to this initial survey.
8. A set of priority programs in technological development and technical assistance should be prepared for incorporation in the 1975 Comprehensive Plan.

APPENDICES

OFFICE OF CRIMINAL JUSTICE PLANNING

7171 BOWLING DRIVE
SACRAMENTO, CALIFORNIA 95823

May 31, 1974

TO: HEADS OF ALL CALIFORNIA CRIMINAL JUSTICE AGENCIES
FROM: ANTHONY L. PALUMBO, Executive Director
SUBJECT: Survey of Technical Assistance and Development

The Office of Criminal Justice Planning, formerly the California Council on Criminal Justice, has been reorganized; and we are now involved in a concerted effort to improve the effectiveness of our planning process and maximize the impact of LEAA funds for crime reduction and criminal justice system improvement.

As you are aware, I am attempting to make this program as responsive to local needs as possible. We are in the process of establishing significant programs in technological development and in technical assistance. To insure that this program is responsive to your needs, we have designed a survey instrument. We will send the statewide results to all respondents.

Although we are all tired of filling out forms and surveys, I feel that this matter is sufficiently important to warrant a few minutes investment of time. Therefore, I would appreciate it if you would jot down a few words on what you-- or your middle management--perceive to be high priority needs in two areas:

1. New technological developments
2. Technical assistance

What we mean by each of these is:

1. New technological developments--equipment or methods which have high potential for impact upon the crime problem or improvement of criminal justice system effectiveness.
2. Technical assistance--practical assistance in putting to work new methods for crime reduction, organization, operations, planning or any other area which will help your agency to pursue your jurisdiction's crime control priorities.

Responses will be analyzed to form the basis of a survey from which priorities can subsequently be set.

The attached post card is provided to facilitate your response. Our closing date for responses is June 15, 1974.

Sincerely,


ANTHONY L. PALUMBO
Executive Director

Attachment

Please briefly describe your agency's high priority needs in

1) Technological Development: _____

2) Technical Assistance: _____

Name: _____ Title: _____

Agency _____ Address: _____

TA INPUT FOR 1977 STATE PLANNING GRANT

Program Title: Technical Assistance

Objective: The objective of the technical assistance program for 1977 is to develop and implement a plan which will provide an effective technical assistance delivery system to California's Criminal Justice Agencies. Specific objectives of the plan include:

1. A survey of technical assistance needs of California's local criminal justice agencies.
2. The prioritization of needs in terms of problems outlined in Regional and State Plans.
3. The compilation and distribution of a list of state and national resources available to respond to these needs.
4. The establishment of procedures which will assure the delivery of quality technical assistance on a timely basis.
5. The implementation of procedures which will:
 - a. Focus responsibility for responding to needs at the regional level.
 - b. Utilize governmental entities to the maximum extent in responding to needs.
 - c. Maintain a continuing evaluation and follow-up activity at the regional and SPA level.

I. Philosophy of Program Approach

The program approach envisions responding to needs for technical assistance as perceived by local criminal justice agencies giving priority to those needs most related to identified state-wide problems.

Since this office can provide little if any direct technical assistance, maximum use must be made of assistance available through other grant recipients, units of state and local government and consultant services.

II. Description of Work to be Accomplished

A. General Description of Work

State-wide technical assistance needs must be identified and prioritized in terms of state-wide program objectives. Administrative procedures must be developed to assure maximum participation

by governmental agencies at all levels. Procedures must be developed to assure regional control and direction of the program in terms of stated objectives.

B. Role of Regions and State

1. State - The state role will be the determination of program objectives and the development of administration procedures to meet those objectives.
2. Regions - The role of the regions is to assure that technical assistance services are delivered and utilized effectively in meeting program objectives.

C. Specific Tasks to be Accomplished

	<u>Product</u>	<u>Date of Completion</u>
1. <u>State</u>		
a. Determine state-wide technical assistance needs.		July 15
b. Compile a listing of state and national resources that can respond to these needs.		July 15
c. Establish priority order of response to requests for technical assistance.		July 30
d. Develop a manual describing technical assistance and explaining its role in grant management.		July 30
e. Revised administrative procedures to:		
(1) Provide all grant recipients a manual describing the technical assistance program.		July 30
(2) Require a listing of anticipated technical assistance be included in Grant Application.		July 30
f. A policy letter outlining regional responsibility for:		August 15
(1) Responding to the need for technical assistance.		
(2) Follow up actions.		
(3) Evaluating effectiveness of technical assistance rendered.		

- g. An evaluation of the advisability of adopting a policy which would require grant recipients to allocate not more than 5% of its manpower to provide technical assistance to other regional grant recipients on a no-fee basis.

Sept. 1

2. Regions

	<u>Product</u>	<u>Date of Completion</u>
a.	Administrative procedures which will require an analysis of each request for technical assistance to determine its appropriateness in terms of project and regional objectives.	July 1
b.	A listing of technical assistance resources available locally.	July 15
c.	Administration procedures which will:	August 1
	(1) Review project progress reports to identify need for technical assistance.	
	(2) Administrative procedures for follow-up and evaluation of technical assistance provided.	August 1

III. Future Activities (two years)

The gradual interfacing of the technical assistance and technology transfer programs. The technology transfer program should, during this time period, be providing all regional boards details of projects that were particularly effective in meeting objectives. This information should constitute another local resource for providing technical assistance. The two programs should ultimately be merged into one.

IV. Relationship to Other Program Activities

See III above.

Format for Sections of the 1977 State Planning Grant

Program Title:

Objectives:

I. Philosophy of Program Approach

II. Description of Work to be Accomplished

A. General Description of Work

B. Roles of Regions and State

C. Specific Tasks to be Accomplished

1. Products

2. Dates of Completion

III. Future Activities (Subsequent Two Years)

- What will be done in this program area as a logical progression to a stated goal.

IV. Relationship to/ ^{other} Program Activities

- How this activity will interrelate with other program activities within OCJP.

END