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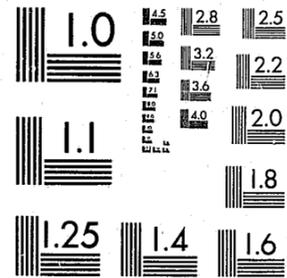
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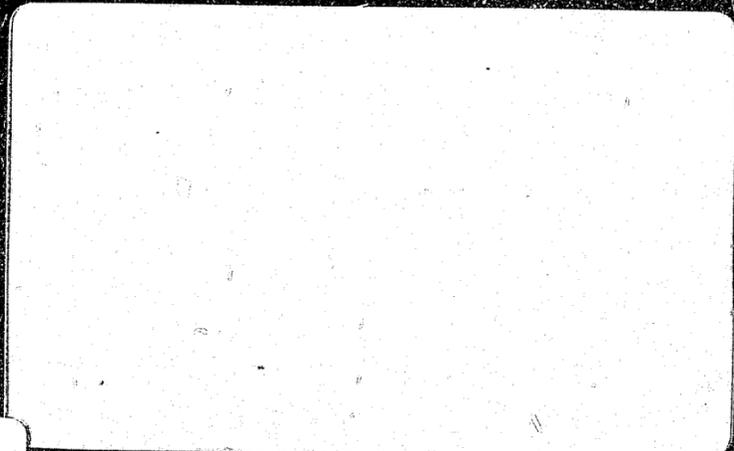
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Evaluation of the
Integrated Criminal Apprehension Program
for a 19 Month Period

December 1, 1977 Through
June 30, 1979

SAN JOSE POLICE DEPARTMENT

NCJRS

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'TIONS

Submitted By:

Hughes, Heiss & Associates
San Mateo, California
September 30, 1979

HUGHES · HEISS & ASSOCIATES INC.

Management Consultants

September 30, 1979

Mr. William P. Gloege
Administrative Analyst
Research and Development
San Jose Police Department
P. O. Box 270
San Jose, California 95103

Gentlemen:

The report which follows provides our evaluation of the San Jose Police Department's major sections as follows:

. Chapter I provides a brief summary of our evaluation focus.

. Chapter II evaluates the last six months of the department's PEP grant, focusing on the patrol allocation plan development and implementation effort.

. Chapter III evaluates the first year of ICAP to include the developmental activities related to the Operations Support Unit.

. Chapter IV contains a detailed package for evaluating the OSU implementation effort over the next grant year.

We have enjoyed the opportunity of working with you and especially appreciate the cooperation afforded us by the ICAP staff members. We wish you the best in the coming year as the department implements and begins operation of the OSU.

Sincerely yours,

Richard A. Hughes

Richard A. Hughes
Principal

HUGHES, HEISS & ASSOCIATES

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I.   PROJECT BACKGROUND

I.   PROJECT BACKGROUND

Beginning October 1976 and continuing through June 30, 1979, a 33 month period, the San Jose Police Department (SJPD) has received discretionary grants from the Law Enforcement Assistance Administration (LEAA). Initially, these grants were for the Patrol Emphasis Program (PEP) and, more recently, for the Integrated Criminal Apprehension Program (ICAP).

1.   THE INITIAL 15 MONTHS OF GRANT FUNDED ACTIVITIES WERE EVALUATED IN 1977

In November 1977, the consulting firm of Fennessy Associates submitted an evaluation of the initial 15 months of the PEP funded activities. Overall, their evaluation report concluded that the first grant to the SJPD generated useful products and services which contributed to the strengthening of departmental decision-making, particularly in the Bureau of Field Operations (BFO). More specifically, this evaluation found, among other things, that:

- The time expanded in grant staff training, data building and establishing the credibility of the PEP staff within the SJPD was highly important.

- The greatest amount of emphasis, as measured by the number of projects undertaken, was directed to improving patrol operations/methodology and resources management.

- No way existed during that period to assess the real operational impacts of the various program studies undertaken but that, generally, projects concerned with BFO operations and scheduling were well received.

- More upper management guidance would be needed in the future to assist grant funded staff in defining future and more detailed program directions and results desired.

- Greater emphasis on work planning, monitoring would be required by grant funded personnel to keep work activities and projects on schedule.

This evaluation report also recommended various approaches to be taken during the second year of the grant (now ICAP) to assess the value of various projects and activities.

2. CONSULTING ASSISTANCE SINCE THE FIRST EVALUATION REPORT HAS FOCUSED ON FOUR AREAS OF INTEREST TO THE SJPD

In March 1979, Hughes, Heiss & Associates was retained by the SJPD to provide evaluation and consulting assistance in essentially four areas. They were:

(1) Provide the "formal evaluation" of the last six months of the PEP during which a patrol allocation methodology (model) was designed and implemented and a community survey conducted.

(2) Make an assessment of the 12+ months devoted to the conceptualization, planning and detailed design of the Operational Support Unit (OSU) which is to assist the SJPD in improving the capacity and effectiveness of investigative and patrol resources in the apprehension of criminals.

(3) Provide technical assistance, as needed, in helping to make the OSU operational.

(4) Develop the criteria and methodologies for evaluating the impact of the OSU after it becomes a fully functioning program and organizational unit within the SJPD.

In providing this evaluation and consulting assistance, less grant funds than authorized for this effort were expended.

II. EVALUATION OF THE FINAL
     SIX MONTHS OF PEP

II. EVALUATION OF THE FINAL SIX MONTHS OF THE PEP

The final six months of the PEP grant (76-DF-09-0032) ran from December 1, 1977 through May 31, 1978. During this period, the grant projects to be evaluated were: (1) the design and implementation of an operational Patrol Allocation Plan; and (2) the development and conduct of a community survey. The evaluation of the consultant for these projects are presented below.

1. THE PATROL ALLOCATION PLAN

The "model" developed and methodologies employed for allocating patrol units by time of day and day of week are thoroughly documented in an 80 page document prepared by Jim Gibson and Elba Lu dated April 18, 1978. This documentation has significant relevance and transferability for other policing agencies interested in the improved scheduling and deployment of patrol units since it:

- Provides background data and concise analysis on what was wrong with the previous patrol allocation plan.

- Graphically shows how shift schedules, including overlapping shifts, during various days were sometimes not well balanced with call demand.

- Describes and displays the data base used by the SJPD (which, admittedly, is more sophisticated than that available in many other policing agencies) which would be utilized, in part, to exercise the patrol allocation model.

- Discusses the options available for measuring patrol service demand and why the "number of units assigned to call response" was the measure selected.

- Sets forth the steps taken to develop the plan, including options identified for redistricting the City of San Jose, changing working hours for patrol and providing different manning levels. More important, the criteria used to evaluate alternatives and options are provided as well as the advantages and disadvantages of each major option explored.

- Presents and discusses, in detail, the techniques (including equations) for staffing any patrol operation according to service demand (proportional staffing).

It should be underscored, however, that the documentation provided on the Patrol Allocation Plan...how it was used in San Jose and can be used elsewhere...may not be easily understandable to someone who is unfamiliar with patrol operations. However, as it stands, it provides an adequate "how to" manual for knowledgeable personnel in other law enforcement organizations who want to insure patrol staffing is more proportional to service demand.

(1) Positive Features of the Patrol Allocation Model

From purely a technical and analytical basis, the Patrol Allocation Model developed by the SJPD has a number of key features which, in the consultant's view, are positive and should be seriously considered by other police departments who want to employ this methodology. These features are:

- The measure selected to indicate the demand for patrol services (number of units assigned to respond to calls for service) takes into account the "severity" of the call. Other possible demand measures, number of calls for service and time spent per call, do not.

- "Self initiated" activities by patrol units were not used as a measure of service demand.

- The basic data needed to measure patrol service demand by time of day, day of week and location can be collected manually (even on a sampling basis) to make the model work. Other departments wishing to use this patrol allocation approach do not require a sophisticated computerized information system like that in use by the SJPD.

- The model does not pretend to take into account various other factors that can affect actual patrol manning levels on the streets (e.g., officer safety and how patrol is organized). It sticks to the issue of, quantitatively, measuring service demand and its fluctuations and utilizing these data to proportion the staff available for manning patrol units.

- The equations used to measure and plot service demand by time periods can be solved with a paper and pencil and do not require automation or an extensive background in higher mathematics.

- The model and allocation methodology permits the problems of overlapping shifts to be handled as well as 4/10 and 5/8 plans.

- The equations can be used to measure service demand by time of day and day of week and determine starting times for each shift.

Also, in constructing this methodology and applying it in patrol manpower allocation, the "model builders" have accurately noted that: (1) the model will not work well (in terms of proportional staffing) for departments that have rotating shifts if team or shift manning integrity are maintained; and (2) the model could produce some temporary over or understaffing in parts of a community if unusual peaks or valleys in service demand exist.

(2) Positive Aspects in the Development of the Patrol Allocation Plan

In developing the Patrol Allocation Plan, various positive, non-technical features were found by the evaluators. These were:

- The project was requested by the Assistant Chief of Police which help insured top management support, at least during the development stage of the model. In short, the PEP staff had a "real" problem, resource allocation, to attempt to define and solve.

- The PEP and other SJPD staff assigned responsibility for model design and implementation received specific guidance from BFO's command staff on the constraints within which the allocation plan must function (e.g., retention of the 4/10 plan).

- The PEP staff worked with permanent personnel in the SJPD's Research and Development Unit. This helped keep model development within the department's operational planning mainstream.

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- Sworn personnel worked with the PEP staff in model development which provided an opportunity for "brain dumps" of knowledge and experience and help build a credibility among sworn officers in the project.

- Beat boundaries were not disturbed in developing or exercising the model. This helped diffuse any concerns from patrol officers that their "turf" would be invaded.

In addition, the PEP staff, particularly, Jim Gibson, developed a trust and confidence between himself and BFO personnel. As a result, no major quarrels erupted because of the statistics developed.

(3) Impacts of the Patrol Allocation Plan After Implementation

The Patrol Allocation Plan developed by the PEP was implemented on March 5, 1978. Overall, the plan involved redistricting the City of San Jose, changing the working hours of patrol officers and, generally (except for the midnight shift), manning time periods, days of week and districts, proportionately, in accordance with the demand for patrol services. On March 19, 1979, an extensive internal evaluation of the impacts of this plan was made by a member of the now ICAP staff.

In comparing approximately a three month period before the plan was implemented (November 13, 1977 through February 4, 1978) to about a three month period after the plan took effect (April 2 through June 24, 1978), it was found that a different allocation of patrol officers (including working hours) had the following major impacts:

- Without an increase in the Patrol staff or the time spent handling various patrol workloads, response times remained stable despite a 13% increase in calls for service, a 10% increase in self-initiated activities by officers and a 26% rise in the number of car stops made. Therefore, the Patrol Allocation Plan provided the SJPD with the chance to handle more work without increasing its Patrol personnel.

- End of watch overtime fell about 480 hours a week. If this continues to occur over a 12 month period, the SJPD will reduce its overtime costs at least $300,000 annually. The Patrol Allocation Plan has lead to real cost reductions.

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- Responses to calls by assigned beat or within district beat units still occurred 90% of the time and, therefore, was not negatively affected by the Patrol Allocation Plan.

- More calls were found to be stacked at the watch change in the afternoon between days and swings. However, most of these calls were of low priority. While some feel this could be a problem of the Patrol Allocation Plan, others feel this may need to be resolved by increased supervisory control or a procedural change (if day watch officers are "laying off" toward the end of their shift).

- The eight district configuration seems to be satisfactory except for the need to possibly reduce the overall size Districts 6 and 7.

- The number of officers reporting for duty on the day and swing watches decreased. However, this is seen more as a supervisory rather than a staff allocation issue.

It was also found that, because of the new Patrol Allocation Plan: (1) the size of patrol districts were equalized as well as workloads among districts; (2) watch changes were moved away from commute hours when traffic congestion occurs; (3) workloads among watches were equalized somewhat; and (4) the central area in the city was consolidated into one district.

The new Patrol Allocation Plan was not able to impact:

- An elimination of the afternoon backlog of calls for service.

- Better use of the relief team.

- A reduction of the minimum of 80 officers considered to be needed by BFO on the midnight shift even though the model, in accordance with proportional staffing, indicates fewer personnel are needed.

Overall, based on the data available, the Patrol Allocation Plan has allowed the SJPD to cope with increasing workloads without adding staff and to reduce its overtime costs.

(4) Other Results of the Patrol Allocation Plan

Since implementation, the Patrol Allocation Plan has had other results, as follows:

- Top and middle management personnel in the BFO appear more comfortable with and willing to use "numbers" in making resource allocation decisions (except for graveyard staffing).

- A methodology exists to assign new patrol officers, after their training, to times and geographic areas where needed.

Most important, the Patrol Allocation Plan has become an "operational" and "on-going" management and decision-making system within the SJPD. It continues to be updated, as needed.

(5) Problems in the Patrol Allocation Plan

No major flaws or problems could be found by the evaluator in the design and implementation of the Patrol Allocation Plan. It works, has produced quantifiable and beneficial results and the methodology can be used by other policing agencies. Perhaps the major lesson learned in the resource allocation process in the SJPD is that the plan itself cannot be a panecea for all the issues which face BFO commanders in the efficient and effective allocation of patrol personnel. Changes in supervisory practices and patrol procedures also need to be explored.

In addition, any patrol allocation plan will need to be examined and, possibly, modified by other factors (such as officer safety considerations).

2. THE COMMUNITY SURVEY

The Community Survey conducted by PEP and SJPD staff was authorized by the then new Chief of Police, Joseph McNamara, and coordinated by Dr. Terry Eisenberg, staff psychologist for the PEP. This effort began in August 1977 and was completed about six months later. Like the Patrol Allocation Plan, the background for the project, survey methods employed, citizen perceptions found and conclusions drawn (including copies of questionnaire formats) are fully documented in a final report submitted to the SJPD in March 1978.

(1) Positive Features of the Survey Approach and Methodologies
     Employed

The approaches employed to identify and measure citizen
perceptions regarding the SFPD had both unique and standard
market research features considered positive in nature by the
evaluator. These features included the following:

.   Three different "consumer" populations were surveyed:
      (a) 504 persons selected from the telephone directory
      who may or may not have had direct contact with the
      SJPD; (b) 155 persons who recently requested services
      from the SJPD; and (c) 134 persons who had received
      traffic tickets for moving violations. This three-prong
      approach provided an opportunity to compare the
      attitudes of persons who have had different points of
      contact with the police (from perhaps none to a normal
      "friction" situation, like when issued a traffic citation).
      Most police surveys do not attempt to obtain citizen
      perceptions from these different population groups.

.   Twelve questions were common to each of the three
      populations surveyed (e.g., have your contacts with
      the police been negative or positive and do you feel the
      police are fair in their dealings with the public?).
      Again, the commonality of these questions permitted
      comparisons of attitudes among these different popula-
      tions to be made.

.   All persons interviewed were selected randomly (a
      standard consumer research technique). When the
      characteristics of persons interviewed were analyzed,
      the survey population appears relatively representative
      in terms of age, sex, geographical area, ethnic back-
      ground and socio-economic level.

.   The questions developed (both in English and Spanish)
      were simple and straight forward and the number of
      questions posed was not excessive. Many surveys
      attempt to "find out too much." The three survey
      questionnaires developed did not make this mistake.

.   The total of 793 persons interviewed represents, generally,
      a sample of sufficient size to make most responses
      statistically reliable in terms of representing the entire
      population of the City of San Jose.

.   The five interviewers selected were not members of
      the SJPD to help insure the "objectivity" of survey
      findings. Two of the five were Spanish speaking. All
      five interviewers were female since it was felt they
      would be able to establish a rapport easily with persons
      contacted than would males. From the evaluator's
      perspective, this latter contention cannot be proven
      or unproven.

.   The conduct of all interviews by telephone represents
      an economical approach to obtain citizen attitude data
      (versus face-to-face interviews).

.   Five survey questions were not analyzed and "thrown"
      out" because of ambiguous question wording that
      generated unreliable data.

Also, the survey documentation which exists (e.g. detailed
description of the methodologies employed and questionnaire
formats) facilitates the conduct of future surveys when desired by
the SJPD (or other policing agencies).

(2) Findings of the Community Survey

For questions common to the three populations surveyed,
several key findings were:

.   70% of respondents described their personal contacts
      with the SJPD generally as "positive" and only 16% felt
      they were "negative."

.   71% of the respondents indicated the SJPD tries to help
      people with their problems while only 6% felt they
      didn't.

.   71% of the respondents felt the SJPD was doing a good
      job while only 3% felt a poor job was being done.

.   70% of the respondents felt the SJPD was normally fair
      in dealing with the public as contrasted to 3% who did
      not.

These survey findings generally are consistent with the results
obtained by the evaluator in conducting or reviewing other police
community surveys. In most cities, particularly in the western

states, citizen attitudes toward the police are positive. The SJPD fits this general norm.

(3) Impact of the Community Survey on the SJPD

Overall, the findings generated by the Community Survey were used by the department's top management to obtain a representative feedback from the community on how well the department was doing. The survey approach allowed the department to have a counter-balance against complaints, which may not be representative of how the community perceives its police services. Survey findings were also used in a public relations mode to report to the community what a sample of citizens felt about the SJPD.

(4) Problems in the Community Survey

From the evaluator's perspective, the problems of the Community Survey are as follows:

. It may only have been used as a "one shot" approach to gauge community attitudes. It would have more utility if the findings were considered baseline data to be checked periodically, like every two years.

. It does not appear, from interviews conducted, that other staff in the SJPD, below top management levels, were made aware of the survey results.

. It is not clear if survey results have impacted police-community relation activities within the SJPD (e. g. more face-to-face contact between police officers and citizens served or improved information to citizens on crime prevention techniques they can employ).

While these problems are not major in nature, they warrant some attention.

III.   EVALUATION OF THE FIRST
       YEAR OF THE ICAP PROJECT

III. EVALUATION OF THE
      FIRST YEAR OF THE
      ICAP PROJECT

ICAP, as developed by the San Jose Police Department, followed activities related to the Patrol Allocation Plan and Community Survey dealt with in the preceding section. The portions of the ICAP grant dealt with in this section of the evaluation focus on the conceptualization and implementation planning related to the development of the Operations Support Unit -- a model for integrating decision making and information collection/analysis/dissemination involving investigative assignments in particular and the processing of crime incident related information, in general. The time period covered in the material presented in this section covered August 1, 1978 through June 30, 1979.

1. OVERVIEW OF ICAP DEVELOPMENT AND IMPLEMENTATION
    PLANNING ACTIVITIES WHICH OCCURRED DURING THE
    EVALUATION PERIOD

The bulk of the grant year was devoted to detailed problem identification, conceptualization, and implementation analysis -- all focusing on the formulation of an Operations Support Unit (OSU) concept. The overall purpose of the OSU, as defined by departmental management and project staff, was to provide a consolidated point for dealing with the case related acquired or generated by the police department, and through that central point or unit, accomplish the following:

- Upgrade the quality of information gathered with special focus on completeness and accuracy.

- Provide a means for drawing on the many data sources available within the department to consolidate the maximum amount of information relevant to a specific criminal case.

- Provide expert staff resources to analyze the consolidated information related to each criminal case to determine which cases had the most potential for successful follow-up investigation. Through information consolidation and subsequent solvability analysis, a prime purpose of the OSU concept was to increase the efficiency and effectiveness with which the department's investigative resources were applied.

- Consistent with the consolidation of information flow through a central point -- the OSU -- provide improved means for analyzing crime and related information and disseminating the results of that analysis to support overall departmental management and operational decision making.

The initial months of the grant focused on defining the department's problem(s) in terms of the statements listed above and developing a conceptual model for providing the desired solutions. Principal elements involved in the developmental process over the initial grant year are briefly summarized below:

- The months of early fall 1978, were devoted to determining exactly what the OSU should achieve and conceptualizing the broad elements of its design. With ICAP staff in lead analytical and coordinating roles, a series of meetings and seminars were held to identify problems and conceptualize potential solutions with key staff members from various segments of the department. In general, the products of these key meetings included the following:

    - The identification of the key improvement areas (mentioned at the beginning of this section) that ought to be addressed by the operations support model.

    - The determination that the operations support model ought to encompass the basic functions and relationships shown as Exhibit I, following this page. This diagram, developed as a result of ICAP staff analysis and seminars, provided the conceptual basis upon which subsequent developmental efforts have been based.

    - The basic agreement that an essential ingredient of the conceptual model ought to include a discrete Operations Support Unit, established within the departmental organization structure, and composed of those functions and personnel currently fragmented among other elements of the department's records; investigative, and analytical support units. plus addition of some staff and activities not currently available within the department.

    - That, because of the complexity of changes envisioned and the very real need to overcome internal resistance from departmental staff, implementation of the Operations Support Unit concept ought to be phased over time to insure/provide maximum opportunity for project success. Basic phasing decisions including the following:

EXHIBIT I

San Jose Police Department

CONCEPTUAL MODEL OF OPERATIONS SUPPORT UNIT
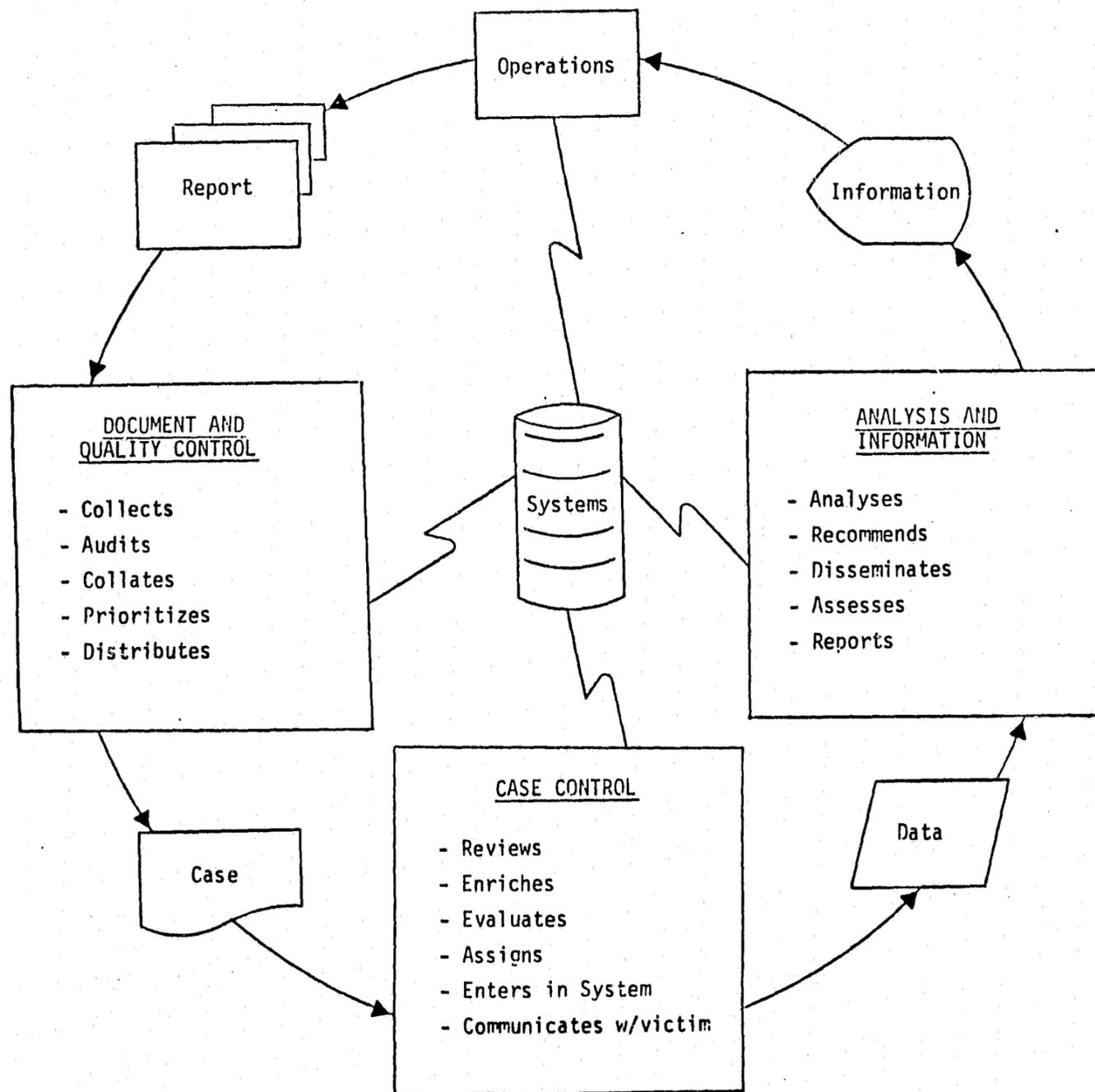
.. To use Phase I to establish the organizational framework of OSU to include resolution of command structure issues; reassignment of records, crime analysis, and operations analysis staff to a central, consolidated OSU unit, and implementation of improvements in the report processing sequence.

.. In Phase II, plans focused on establishment of case screening/solvability analysis before investigative assignment; introduction of a case enrichment service; and provision of a victim liaison function.

- A decision was made to have the OSU managed by a lieutenant who, in turn, would be accountable directly to the Records Division Captain. When this decision was made, it was felt that this managerial/reporting relationship would provide a graphic illustration of top management's commitment to the OSU concept and would facilitate overcoming implementation barriers.

Once conceptualization was completed and a basic agreement on OSU structure effected, ICAP analytical staff devoted the winter months to detailed analysis of the department's existing process for developing, forwarding and processing crime reports and related supplementary information. A major product of this detailed analysis were extensive flow charts depicting the exact process by which crime reports were handled by the department to include how information contained in those reports was extracted, analyzed, processed, and disseminated.

Processing flow charts, and other information gained during the construction of the flow charts were then analyzed and a variety of issues which ought to be dealt with when implementing the OSU were identified. Specific analyses accomplished by ICAP project staff included the following:

- Preliminary identification of detailed crime report processing problems which impacted the accuracy and timeliness of all information generated by the Bureau of Field Operations; processed by the report processing unit within the department's Records Unit; and ultimately used to make both specific case assignment decisions

by the Bureau of Investigation and for more general crime analysis and operations analysis purposes. Specific problems isolated as a result of this analysis included:

- Completeness in regard to the proportion of incidents handled by field patrol officers for which reports were prepared and forwarded through required channels.

- Given the structure of output reports generated by CAPSS (computer assisted public safety system -- the department's computer aided dispatch system), audit to identify missing reports was extremely difficult and required excessive amounts of staff time.

- Quality control of crime reports at the records unit report processing section level (to determine the completeness of submitted crime reports) was found to be less than complete and accomplished on a "hit or miss" basis.

- Substantial backlogs in unprocessed reports were identified.

- The report processing unit was found to have significant problems related to staff vacancies; turnover; and related training problems.

- Significant issues related to paper work volume (i.e., questionable needs for a number of report copies) were also identified during the paper flow analysis.

- Problems related to the extraction of data from crime and incident reports and <u>accurate</u> entry into the department's various automated information systems were noted.

- Potential problems related to allocation of report processing unit staff resources to the various working shifts over the course of the 24 hour day, and the consistency of those assignments with operating needs.

- Determination of the fact that a substantial portion of cases forwarded to the Bureau of Investigation for review and assignment were found to have little potential for additional investigation and were either never assigned or were given only limited attention by assigned investigative staff for essentially the same reason.

In addition to the problem analysis noted above, ICAP project staff drew on the report processing flow chart and interview data to conduct a detailed workload analysis to determine the exact number and type of staff required to establish the Phase I OSU. A preliminary workload (work volume and time standard development for each processing step) analysis was completed by the end of May 1979 and refined during the summer months.

During the early days of the OSU development effort, it was determined that a key ingredient in the enhancement of cases prior to investigative assignment was use of the results of field interrogations (FI's) conducted by departmental staff. To ensure that this access was possible once the OSU was in operation, significant ICAP staff effort was devoted to developing improvements in the FI processing area over the project year. Specific key activities included the following:

- Initially, revision of the manual FI system was effected by ICAP project staff to increase short term usefulness. Concurrently, however, it was determined that to adequately support the enrichment function planned for OSU as well as to support other elements of the department's operations, manual operation was too time consuming and the FI system needed to be automated.

- Once this determination was made, ICAP staff spent significant time directed at establishing an automated capability for the FI system. Major activities accomplished during the year were:

  .. Developing detailed specifications for system structure and hardware.

.. Taking the lead for the department in obtaining City Council approval of the automated FI system concept. It should be noted in this evaluation that the Council initially registered serious concern about the security and privacy considerations related to FI system automation. Significant staff time was devoted to answering Council queries and obtaining Council approval.

.. Selecting a hardware vendor and obtaining City and LEAA approval of the contract and the selected vendor.

. ICAP staff, assisted by the outside evaluator, developed a detailed implementation plan for the Phase I and Phase II OSU. A copy of the final implementation work plan and related time schedule is contained in Appendix A to this report.

. An OSU commander was selected by departmental management and assigned to OSU implementation activities (as of July 1, 1979) on a half-time basis. Once the unit commander was selected, the designated lieutenant and ICAP staff began coordination activities key to the implementation of the OSU concept:

- Introductory meetings, where the OSU model was presented and explained, were held with key representatives of all units within the department which would be involved in or impacted by the implementation of OSU. These introductory meetings included an endorsement of the OS concept by top departmental management.

- A series of meetings were held with key members of the Records Unit to isolate and resolve problems related to establishment of the Operations Support Unit as an organizational entity. Problems dealt with at these sessions included: (1) During Phase I, the reporting relationship between report processing staff assigned to the OSU, the lieutenant assigned as the OSU commander, and the captain and sergeants who make up the management and supervisorial hierarchy of the Records Division; and (2) Extent to which report processing procedures would be modified immediately prior to and after Phase I implementation.

- A series of meetings involving the OSU commander, representatives of the Bureau of Investigation, and ICAP staff were held to discuss the scope of case screening activities to be accomplished once Phase II was underway. While initial OS conceptualization was based on screening all cases (i.e. analyzing their solvability and culling out those for which solvability potential was low), subsequent discussion by the parties above indicated that perhaps this approach was too ambitious and would complicate implementation by "taking on too much, too soon." A consensus agreement reached by all involved was that, once case screening was established during Phase II, initial focus should be limited to burglaries. Plans and schedules were modified accordingly.

. As the ICAP year ended, staff activities were directed at preparing for the physical establishment of the OSU. Actual start-up of unit operations was dependent on completion of the new wing of the police building; relocation of units from the existing building to the new space; and move of those staff (to be assigned to the Phase I OSU) to freed-up space in the existing police facility. Staff activities involved preparation of office layouts based on previous analyses of paper flow in the report processing unit accomplished earlier in the year.

2. KEY FACTORS IMPACTING ICAP DEVELOPMENT AND IMPLEMENTATION PROGRESS

Departmental progress in developing and preparing for the implementation of ICAP during the program year was, to some extent, impacted by several factors related to project staffing:

. During the course of the year, there were several key changes in project management and supervision which tended to influence project continuity and progress. They included staffing changes in both the project director and project manager positions.

. One of the key analyst positions was vacated in early spring due to termination by the position incumbent. Proposition 13 related hiring freezes and city policies related to transferring existing staff members to open positions, to minimize Proposition 13 related dislocations, tended to slow the speed with which this key vacancy could be filled. This vacancy, and the

related analytical staffing shortage, tended to slow the detailed implementation planning which the staff was tasked with accomplishing in the spring of 1979.

- Overall, the San Jose PD has been required to reduce staffing to respond to Proposition 13 related budget strictures. Since the apparent position of the department is that existing staff resources are barely adequate to meet day-to-day field operating and related support needs, sworn staff have not been allocated to staff the case control/case screening function in Phase II. While major attempts have been made to secure grant funding to provide the staff necessary to support Phase II start-up, in the absence of grant funding, this critical component of the OS concept has an uncertain future, over both the short and longer range.

The turnover issues noted above had some negative impact on development continuity over the course of the project year, and also tended to slow the critical detailed implementation planning which took place during the spring of 1979.

3. POSITIVE FEATURES OF THE OSU DEVELOPMENT EFFORT

Given the inertia encountered in most organizations of a size and complexity comparable to the San Jose PD (i.e. the inertia which will involve resisting change because something has always been done a certain way), the basic concept of the OSU, while not unique to the field of law enforcement, reflects an ambitious attempt to institute some fundamental change in the way the department operates. Given the scope of the change planned, the program year has been characterized by some positive features. They include the following:

- Overall, top management support of the OS concept seems to have been consistent across the program year and appears to have been a major factor in the acceptance of the concept which characterizes the current situation in the department.

- As currently designed, the Operations Support Model seems to be a genuine attempt to significantly alter fundamental processes of the department, including information flow and decision making, rather than simply to superimpose a case screening/solvability analysis unit on existing processes. The current conceptual model represents a real attempt to alter information flows to increase police efficiency and effectiveness. In short, the conceptual model should be viewed as "a plus."

- Development and implementation efforts have proceeded at a cautious pace. The department has avoided the failing of many comparable projects which have tried to do "too much, too soon" with the inevitable results of organizational resistance, inadequate planning and attention to detail, and operational breakdowns. The example of the recent decision to restrict the focus of initial case screening activities to the burglary area is indicative of the cautious and reasoned approach which has been taken to date.

- ICAP staff have developed a detailed understanding of records section paper flow and procedures as well as workload volume and timing. As a result, the project can be expected to:

    - Have accurately projected the number of staff required to staff the case processing unit once the OSU begins actual operations.

    - Have sufficient in-house data to begin detailed development and installation of paper flow processing changes once Phase I OSU operations begin.

4. PROBLEMS OBSERVED IN RELATION TO THE OSU DEVELOPMENT EFFORT OVER THE COURSE OF THE GRANT YEAR

While the previous section noted that one of the positive features of the department's approach to ICAP was the cautious approach to effecting change and avoiding going too fast too soon, we also feel that development and implementation pace is an element on the "problem side" of program year performance. Our review of the things accomplished over the course of the program year suggest that several problems emerge:

- Overall, it appears too much time was devoted to conceptualizing what the operations support model ought to consist of. While we understand the need to develop consensus agreement on OS content, review of events that occurred suggest that conceptualization could have been laid to rest earlier in the year and more attention devoted to the detailed development of the specific changes to be effected during Phase I and Phase II implementation. Lack of final closure in regard to conceptual design probably wasted several calendar months which could have been devoted to detailed implementation planning and other system and processing revisions.

• Project control and scheduling could have been improved if certain staffing problems could have been resolved. During the period when project management was in transition, several key problems emerged which tended to hamper development and implementation activities. Specific problems included:

-   Some lack of definition in terms of work scheduling and project control.

-   Leading to some analytical and data collection projects taking more time than necessary.

Further analysis suggests that some relatively serious staffing issues were major contributors to the scheduling and timeliness problems noted above. They include the following:

-   As noted earlier, the project manager position "turned over" and the new position incumbent logically required some time to become familiar with the project and "get up to speed" on relevant analytical issues.

-   At the same time, the new project manager encountered significant performance problems with the senior analyst assigned to the OSU development component of the ICAP project. Problems involving absenteeism, task completion, and transfer of project status information complicated the project management transition and slowed overall developmental progress.

-   The "senior analyst performance problem" was further complicated by the fact that the other analytical support available to the project manager was relatively inexperienced and not in a position to fill in for the senior analyst.

Once staffing problems were resolved, project progress was accelerated. In the spring of 1979, the senior analyst, whose performance was discussed above, left the project. While it took some time to fill the vacant position (as noted earlier in this section), project manager took some key steps to resolve analytical and developmental problems and accelerate progress. These steps included:

-   Developing a detailed, time phased work plan to provide a specific framework and guideline for conduct of all developmental activities.

-   Clearly briefing staff on performance expectations established by the work plan and monitoring progress on a weekly basis.

With these steps, the control and scheduling problems noted above were resolved and the project began to move forward at a steady pace.

• It appears that the project could have benefitted from closer involvement of some key departmental personnel in some developmental activities. A specific relationship which could have been closer involved key members of the Bureau of Investigation and ICAP developmental staff. Our interviews indicated that it was only recently that relatively close coordination was established between the ICAP staff and key investigative staff. An immediate product of this improved coordination was the recent decision to limit initial case screening focus in Phase II to burglaries rather than all cases received as originally planned. It is our feeling that, if closer coordination with investigative staff had been accomplished earlier in the project, elements related to Phase II implementation might be more clearly defined.

• While OS conceptualization provided an overall framework for project direction, the latter portions of the program year could have been devoted to more clearly delineating what Phases I and II would actually involve in terms of specific operating and processing changes. Perhaps the major problem related to the time devoted to conceptualizing OS (discussed at some length earlier in this section) is the lack of progress made in dealing with certain detailed aspects of what the OSU would specifically do once implemented. Specific areas include the following:

-   The lack of definition in terms of what approach will be taken to accomplish case screening prior to investigative assignment. Since case control is the heart of the concept, more attention should have been given to documenting other departments' experiences with case screening/ case control experiments; preliminary evaluation of

approaches taken by other departments; and some thinking
about how alternative approaches might effect other
elements of the OSU. For example, how might alternative
approaches to case screening (requiring different types
of data elements; alternative approaches to solvability
analysis; etc) impact the content and format of crime/
incident reports; influence the procedures and approaches
implemented in the report processing component of the
OSU; and the like. Quite probably, once the case con-
trol approach is selected by the department, post-
implementation adjustments in the areas noted above
will need to be addressed.

-   Similarly, as noted earlier in this section, specific
    paperwork processing changes (now scheduled to be
    developed once the Phase I OS is physically established)
    could have been defined and developed during the pro-
    gram year and could have been ready for implementa-
    tion as soon as the Phase I OSU was in operation.

5. IMPACT OF ICAP ACTIVITIES

Because of the developmental nature of the program year activities,
it is impossible to measure the impact of grant funded activities on depart-
mental activities. It is probably safe to state that to date, impact has
been negligible.

-   The only real measures of what has been achieved so far are
    essentially process measures -- have activities proceeded
    on schedule? Have developmental activities addressed and
    resolved all key issues? Have major implementation barriers
    been identified and strategies developed to overcome them?
    As noted in the preceding two sections, project performance
    from the process measure perspective is mixed.

-   Since the OSU was not operational at the end of the program
    year, the project could not have had measurable impact on
    line or support service operations.

-   The only other potential area of impact measurement which
    could be addressed in regard to the grant year is the extent
    to which the OS concept has been embraced by key members
    of the department and its major operating units. Our inter-
    views indicate that the following conclusions can be drawn
    about project impact in this area:

    -   Key people (top management), managers and key super-
        visors in the investigative and records units) appear to
        be generally supportive or neutral to the concept. No

overt opposition was noted. Recent briefings, orienta-
tions, and problem solving seminars can be expected
to contribute significantly to these attitudes.

-   Beyond these staff levels, knowledge and understanding
    of the OSU is probably quite limited since staff members
    at the operating level have had little or no exposure to
    the OS concept.

6. KEY ISSUES WHICH NEED TO BE ADDRESSED DURING THE CURRENT GRANT YEAR

Over the last grant year, substantial progress was made in con-
ceptualizing the OS concept and identifying broad areas of departmental
operations which would be adjusted and improved through implementa-
tion of the concept. Where the project encountered some problems was
in the areas where detailed analysis and tight analytical and work schedul-
ing would be required. While the resolution of staffing problems and develop-
ment of a detailed implementation plan and work schedule served to cor-
rect some of these problems, our last round of interviews suggested that
there are some continuing issues which need to be monitored to insure
that, once it's operational, the OS concept has the maximum opportunity
for success. These issues are summarized below:

-   Tighter control of day-to-day project activities needs to continue
    to be exercised. Project analytical staff need to be clearly
    instructed as to what they are expected to do; reasonable
    work schedules need to be established and monitored; and
    specific developmental activities identified and delineated
    before analysts are committed to tasks. The existing
    implementation work plan can serve only as a base. When
    the time comes to address the specific tasks delineated in
    the work plan, the project manager and the assigned analyst(s)
    ought to sit down; develop a detailed task plan covering exactly
    what they're going to accomplish over what time frame; and
    use that mini-work plan to monitor progress against schedule
    and assigned tasks. Both the project manager and the OSU
    commander need to be closely involved in work and schedule
    control.

-   Major priority should be given to the selection and in-house
    installation of a case screening approach. As of early fall
    1979, no firm decision had been made regarding how case
    screening would be accomplished once Phase II OSU
    operations were underway. Plans had been developed

to have the OSU commander visit one of the cities which had been operating a case screening unit over the last several years. However, beyond these plans, no firm sequence of tasks and assignments had been delineated to move project staff and the department toward selection and installation of a case screening approach. High priority should be given to the following:

- Expanding the project implementation plan and schedule to delineate the exact tasks, timing, and assigned responsibilities necessary to select, develop, and implement a case screening approach.

- Involve investigative staff in all facets of the evaluation of alternative case screening approaches, as well as all developmental and implementation planning.

- Resolve, as soon as possible, the extent to which the basic incident/crime report form will need to be adjusted.

- Determine the extent to which the selected case screening method will require adjustments in report processing activities. Identify and make these report processing adjustments _after_ a case screening approach has been selected -- not before to avoid the need to make multiple changes once report processing has been physically moved and integrated into the OSU.

Carefully assess analytical needs to ensure that projected staffing is adequate to meet developmental and implementation demands. With recent staff turnover, the decision was made to shift the vacant analyst position to the crime analysis component of the OSU to expand capabilities for dealing with crime information analysis within the department. While we understand the need to enhance the crime analysis capability (given demand for the service from various areas of the department), we similarly have some substantial concerns about the adequacy of staff remaining to accomplish the analysis and developmental activities necessary to support Phase I and Phase II implementation. Considering the many demands related to implementation which will need to be satisfied (e.g. development of detailed paper work flow improvements in the report processing component; alternative analysis involving selection of a case screening approach, etc.) over

the coming months, staff availability of the project manager and about one and one-half analysts may not be sufficient to accomplish necessary tasks within a reasonable time frame. Given these concerns, we suggest that analytical requirements be re-examined, and consistent with this re-examination, reconsider the decision to allocate the additional analyst position to the crime analysis unit for the next six to twelve months.

Look carefully at current, preliminary plans to staff the victim liaison unit with sworn personnel. A planned component of the Phase II implementation is the establishment of a victim contact services intended to: (1) Provide follow-up services to inform people who have reported crimes of the disposition of their case; and (2) As a result of the follow-up service, reduce the amount of time investigative staff have to devote to answering case status inquiries posed by victims. The experiences of other police departments which have provided victim follow-up services suggest that written communications (form letter/post card) are adequate to satisfy victim curiosity and personal contact is not necessary. In one department, a follow-up survey designed to assess victim satisfaction with written follow-up indicated that the overwhelming proportion of people contacted were satisfied with a written communication. Given these results and current budget strictures, the plan to allocate sworn staff to actual victim follow-up activities ought to be reconsidered.

IV. METHODOLOGY, PROCEDURES, AND
     INSTRUMENTS FOR EVALUATING
     THE OPERATIONS SUPPORT UNIT

IV. METHODOLOGY, PROCEDURES,
     AND INSTRUMENTS FOR
     EVALUATING THE
     OPERATIONS SUPPORT UNIT

This section provides a framework for evaluating ICAP's next grant year. Overall, there are three major components to the evaluation framework. They are as follows:

A.   Includes the overall framework for evaluating the next grant year, focusing primarily on the implementation and impact of the Operations Support Unit, including each of its components. The overall framework is structured as follows:

     •   A set of objectives/performance targets have been defined for the various components of the OSU and the activities that will need to be accomplished to get the unit into operation during the current grant year. These objectives/targets have been drawn from several sources as follows:

         -   Extracted from grant request documents prepared by the ICAP staff and the San Jose Police Department.

         -   Developed by the evaluation team based on the results of interviews with project staff and other members of the SJPD.

         -   Defined by the evaluation team based on the contents of the OSU implementation work plan and schedule. Objectives/targets include process components drawn from the implementation work plan and schedule.

     •   Evaluation criteria, in two categories, have been developed for each of the objectives/targets related to the OSU. The evaluation criteria fall into two major categories:

- Process criteria which are designed to measure
the extent to which actual development and imple-
mentation activities are accomplished consistent
with activities and timing stipulated in the OSU
development and implementation work plan.
Process evaluation is critical to ensure that:

  .. Progress in implementation is consistently
  monitored to ensure problems are noted
  and resolved as they occur.

  .. A thorough understanding of how the pro-
  ject developed and was implemented is
  gained so that impact measurement can be
  better interpreted.

- Impact criteria, designed to measure how the
OSU effects the various aspects of the department's
operations, have been defined for all feasible
targets/project objectives.

. A detailed list of steps necessary to measure per-
formance in light of the evaluation criteria have been
provided to define:

- The type of data that will need to be collected to
accomplish all process and impact measurement.

- How that data ought to be collected.

B. Provides a narrative, keyed to the evaluation framework con-
tained in Section A, which expands on detailed steps which
need to be taken to accomplish the data collection and analysis
related to assessment of process and impact performance.
The narrative is designed to accomplish the following things:

. Where necessary, to provide detailed instructions on
how to collect specific pieces of information to include
identification of data sources; things to consider when
analyzing the data; and specific data collection methodology.

. Specify when data should be collected and various types
of analysis accomplished.

. Outline when, and in what specific format, evaluation
reports ought to be prepared and how they should be
used.

C. Contains data collection instruments and administration
instructions necessary to accomplish selected evaluation
tasks. This section includes a copy of the investigative
questionnaire designed for pre- and post-OSU implementa-
tion administration; instructions for documenting investiga-
tor time utilization; and the like.

A. EVALUATION FRAMEWORK

EVALUATION MODEL DESIGN
OPERATIONS SUPPORT UNIT DEVELOPMENT
AND IMPLEMENTATION

SAN JOSE POLICE DEPARTMENT

Project Component/Objective	Tentative Evaluation Criteria		Measurement Method	
	Process	Impact	Type of Data to be Collected	Collection Method/Data Source
1. Establishment of Phase I Document Control Unit.				
(a) Physical space and lay-out for Phase I OSU.	Extent to which unit layout and office configuration activities are completed within time parameters established in OSU implementation work plan.	None	. Actual completion dates as compared to work plan completion dates. . Note problems/barriers encountered by OSU staff in generating unit start-up	. Interviews with Y. Adams and Lt. Kaminsky . Observation of facilities
(b) Staffing of Phase I OSU	. Extent to which staff vacancies are filled and staff trained prior to 10-1-79.	None	. Collect current staffing/position vacancy data as of July 20, 1979.	. Interview Y. Adams
(c) Document control processing procedures, planned for Phase I.	. Extent to which policy decision(s) made reference when and to what extent processing procedures/ paper flow are to be modified pre- and post- October 1, 1979 Phase I implementation.	None	. Get copy of position paper on proposed sequence of processing changes. . Date position paper completed/ clear policy established.	. Interview Lt. Kaminsky Y. Adams
2. Implementation of Revised Document Control Procedures and Paper Flow/Processing Methods.				
(a) To establish a quality control screen for all incident/ case reports prepared by the Bureau of Field Operations	. Extent to which and the date quality control procedures are established following Phase I OSU start-up.		. Flow chart/description of quality control screening procedures pre/ post OSU Phase I implementation. . Date changes established. . Copy of appropriate procedures manuals/description.	. Interview Lt. Kaminsky Y. Adams; appropriate Document Control Section personnel. . Get copies of all procedures manuals/documents.
	. Extent to which case reports received from BFO contain all critical data elements based on the following:			
	— Proportion of reports pre-OSU implementation lacking critical data elements.		. Ratio of reports received to those w/ missing critical data elements.	. Take 2 to 3 days -- sample reports received by Records - document those w/ missing data elements.
	— Reports "flagged" and returned to BFO post procedures/implementation change.		. Number of reports returned to BFO for correction/completion	. Tally daily number received/ those returned.

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		Tentative Evaluation Criteria		Measurement Method	
Project Component/Objective	Process	Impact	Type of Data to be Collected	Collection Method/Data Source
		– Trends involving reduction in incomplete reports received from BFO.	. Changes in above ratios over time.	. Comparison of previous months' totals with current month post OSU implementation. Note changes.
(b) To ensure that reports are submitted for each incident listed on the CAPSS log.		. The extent to which reports are submitted for each incident listed on the CAPS log.	. The percentage of incidents listed on the CAPSS log for which reports are not submitted.	. Interview Y. Adams/A. Woods
		– Proportion of incidents for which reports are not submitted prior to Phase I OSU implementation.		. Sample number of incidents for which reports are not submitted prior to Phase I OSU implementation.
		– Proportion of incidents for which reports are not submitted following OSU implementation.		. Subsequent to Phase I OSU implementation count the number of incidents listed on CAPSS for which reports are not listed.
	. The degree to which CAPSS has been revised to ensure output meets document control audit needs.			
	. Whether missing report "tickler" file established for follow-up.		. Position paper on detailed changes to be addressed during Phase I and II implementation.	. Interview A. Woods; Lt. Kaminsky; appropriate Document Control Section personnel.
	. The degree to which policies and procedures have been established for auditing CAPSS log to ensure all reports have been submitted.		. Flow chart/procedure descriptions for auditing submittal of reports for each incident.	. Obtain copy of position paper.
	. The date the policies and procedures have been revised in comparison to the work plan.		. Date changes in the system established.	. Obtain copy of flow charts and procedure descriptions.
(c) To reduce paper flow by eliminating unnecessary copies and documents currently produced during the case processing and distribution sequence.		. Extent to which copies/paper reduced as a result of Phase I enhancements.	. Flow charts for pre- and post-document control processing/procedure descriptions; develop data on document case report volume.	. Collect flow charts; document pre- and post- processing sequences. Determine differences in paperflow requirements; estimate annual volume; assess workload impact.

Project Component/Objective	Tentative Evaluation Criteria		Measurement Method	
	Process	Impact	Type of Data to be Collected	Collection Method/Data Source
3. Develop and Implement Post-Phase I Implementation Enhancements				
	• The detail and depth of document control processing modifications and enhancements	None	• Report on modifications/enhancements to be accomplished after Phase I start-up but prior to Phase II.	• Interview A. Woods and Lt. Kaminsky
	• The extent to which adult and control procedures have been simplified.			
	• The degree to which control and audit of information processing has been enhanced.			
4. Establishment of Crime Analysis and Information Section				
(a) Staff the Crime and Analysis and Information Section.	• Extent to which the staff for the Crime Analysis Section and B of I staff assigned to preparation of the Watch Bulletin are reassigned to the OSU and develop approaches for merging and coordinating operations and services.		• Description of procedures and products related to crime analysis and information operations.	• Interview Lt. Kaminsky; Elba Lu; Watch Bulletin Staff.
(b) To upgrade the level and scope of crime analysis data made available to Investigative and Field Operations.		• The extent to which the number of professional analytical staff assigned to the Crime Analysis Section is sufficient to generate the crime pattern information needed by BFO and BI and recommendations for the tactical/strategic deployment of resources needed to improve decision making on distribution of resources by top management of SJPD.	• Staff/positions assigned to the Crime Analysis and Information Section.	• Interview Elba Lu; Lt. Kaminsky; CAU staff.
			• Crime pattern information output by the section and frequency of distribution.	• Interview top management in BFO and BI to assess adequacy of information and whether there are unfulfilled needs; distribute questionnaires to BFO/B of I personnel.
			• Attitudes of B of I/BFO personnel toward completeness and scope of crime analyses provided by OSU.	• Collect/analyze samples of reports produced by CAU.

Project Component/Objective	Tentative Evaluation Criteria		Measurement Method	
	Process	Impact	Type of Data to be Collected	Collection Method/Data Source
(c) Outline methods of enhancing the ability of the Crime Analysis and Information Section to serve as an "early warning" system.	Extent to which the roles of the Crime Analysis and Information Section within SJPD have been defined.		. Position paper submitted to top management of SJPD suggesting the role to be played by the Crime Analysis and Information Section. . Date report submitted compared to work plan. . Response of top management to suggested roles.	. Get copy of position report. . Interview Elba Lu, and Lt. Kaminsky
	The degree of definition to which the management reports prepared by the section can be expanded/enhanced.		. Revised/new management reports prepared by section. . Satisfaction of top management with new/revised reports. . Date of completion of development/revision of reports compared to work plan.	. Obtain copies of new/revised reports and old reports. . Interview Elba Lu to assess adequacy of changes and dates changes were made.
5. Implement Revised Role for the Crime Analysis Section				
(a) To provide management, BFO, and BI of SJPD with crime pattern and trend information to support anticipation of future problems, or resources focusing on specific target crimes or geographical areas.	None	. The extent of BFO and BI's awareness of crime patterns/trends.	. Satisfaction of BFO and BI with the detail and depth of crime pattern/trend information. . Extent of awareness on the part of BFO and BI of current crime patterns/trends.	. Interview selected patrol officers, sergeants and lieutenants to assess satisfaction, and awareness. . Interview selected investigators and investigative supervisors to assess satisfaction and awareners.
		. The extent of action taken on the part of investigative and patrol supervisors as a result of crime pattern/trend information	. Type of actions taken on the part of investigative and patrol supervisors in terms of management or allocation of resources.	. Interview selected investigative and patrol supervisors to determine types of action taken as a result of provision of crime pattern/trend information.
		. The extent of top management awareness of crime trends/patterns and the actions taken in terms of strategic/tactical deployment of resources.	. Satisfaction with depth and detail of crime trend/pattern information on the part of top management in BFO and BI. . Types of specific actions taken on the part of top management in BFO and BI to deal with the crime trends/patterns identified in the management reports for a sample 2 - 3 month period.	. Interview top management in BFO and BI to assess the specific actions taken as a result of crimes pattern/trend information provided by the Crime Analysis and Information Section in terms of evaluation of unit performance, special deployment of staff to deal with target crimes, or criminal suppression through identification of a problem.

Project Component/Objective	Tentative Evaluation Criteria		Measurement Method	
	Process	Impact	Type of Data to be Collected	Collection Method/Data Source
(b) To provide top management of SJPD with specific recommendations on solution of target crime problems to assist in the apprehension of offenders.	None	. The extent to which the Crime Analysis and Information Section formulates recommendations to apprehend offenders described in their crime pattern/trend reports.	. Number of recommendations made to apprehend offenders described in the sections crime pattern/trend reports. . Number/ratio of crime patterns/ trends identified by the Crime Analysis and Information Section for which recommendations to apprehend offenders described in the reports are formulated.	. Interview Elba Lu . Obtain copies of the reports for a 2 - 3 month period. . Obtain copies of crime pattern/ trend reports.
		. The extent to which top management in BFO and BI adopt the recommendations formulated by the Crime Analysis and Information Section.	. The satisfaction of top management of BFO and BI with the recommendations formulated by the Crime Analysis and Information Section.	. Interview top management of BFO and BI to assess satisfaction.
			. The number of recommendations formulated by the section and adopted by top management of BFO and BI	. Using the reports containing recommendations for solution of target crime problems prepared for the past 2 - 3 months by the Crime Analysis and Information Section, interview the top management of BFO and BI to determine which recommendations were adopted.
		. The extent of impact of the recommendations prepared by the Crime Analysis and Information Section on resolving target crimes and increasing apprehension of offenders within the target crimes.	. The indications of top management of BFO and BI, and patrol and investigative supervisors that the recommendations of the Crime Analysis and Information Section have increased their ability to apprehend offenders for the target crimes.	. Interview top management of BFO and BI to assess impact for specific 2 - 3 month period.

	Tentative Evaluation Criteria		Measurement Method	
Project Component/Objective	Process	Impact	Type of Data to be Collected	Collection Method/Data Source
6. Phase II OSU Development and Implementation to include planning and establishment of a case control component; and establishment of a victim liaison component.				
(a) To develop a staffing and facilities plan to support implementation of the case control function during Phase II.	. Extent to which a detailed plan for Phase II functions is developed consistent with deadlines established in the overall OSU implementation work plan.	None	. Dates when concept plans developed and approved by departmental management.	. Interview Kaminsky; review appropriate plans and schedules.
(b) To assign required personnel to Phase II related case control functions.	. Extent to which staff vacancies are filled prior to/at Phase II start-up date.	None	. Staffing tables/staff assignment memos.	. Interview Kaminsky; get copies of staffing related documents.
(c) To adopt and install a clearly defined approach for accomplishing the case screening function.	. Extent to which a clearly defined approach has been developed/adapted and tested prior to Phase II start-up.	None	. Description of case screening approach adopted prior to Phase II start-up.	. Interviews with Kaminsky; Bye; assigned case control staff; appropriate representatives of Bureau of Investigations; Review of research conducted to develop/select appropriate case screening approach; review of documents describing case control policies and procedures.
(d) To develop and install a case enrichment process as part of Phase II OSU operations.	. Extent to which case enrichment systems and procedures have been defined and tested prior to Phase II start-up.	None	. Description of case enrichment procedures developed and tested before Phase II start-up.	. Interview with Kaminsky; Bye; assigned case control staff; review case enrichment systems and procedures documents.
(e) To develop and install a victim liaison service as part of Phase II OSU operations.	. Extent to which an approach to victim/witness follow-up has been developed and approved by management prior to Phase II start-up.	None	. Approved staffing plan; approved policy/concept paper covering how victim liaison services will be delivered.	. Interviews with Kaminsky; Bye; assigned analyst. Review of concept paper; review policy and procedure documents governing delivery of victim liaison services.
7. Provision of case control and case enrichment services through the OSU to increase investigative efficiency and effectiveness in the San Jose PD.				
(a) To reduce the amount of investigative resources devoted to "low payoff" cases by screening out those with a relatively low probability of solution.	. Extent to which case assignment procedures within the Bureau of Investigation are modified post-Phase II implementation		. Analytical comparison of case assignment procedures employed within the BFI pre- and post Phase II.	. Interview key investigative supervisors pre- and post- implementation of Phase II enhancements.

Project Component/Objective	Tentative Evaluation Criteria		Measurement Method	
	Process	Impact	Type of Data to be Collected	Collection Method/Data Source
		• Average number of contacts per case (prior to closure) made by investigators on pre- and post-Phase II implementation basis.	• Average number of contracts recorded in case files by investigators pre- and post- Phase II OSU implementation.	• Select random sample of 100 – 200 "high probability" closed cases prior to Phase II implementation; record average number of contracts per case; repeat exercise on bi-monthly basis post- Phase II implementation; note differentials.
		• Proportion of average investigator time devoted to various high priority and lower priority potential time uses.	• Based on work sampling/observation — conducted on the average of one day per week at random — on a pre- and post- basis, develop estimates of the proportional amount of investigator time spent on various tasks. Note differentials.	• Same as at the left.
(c) To enrich case information by searching available data and add it to the case before forwarding to investigation.		• Investigator attitudes regarding case content and completeness on a pre- and post- basis.	• Investigator responses to pre- and post- implementation questionnaire.	• Distribute questionnaire to all Bureau of Investigation sworn personnel on a pre- and post-implementation basis.
		• Percentage of cases screened by case control and: – Those forwarded for enrichment – Those forwarded for enrichment on which "hits" are made based on system inquiries/other enrichment activities.	• Number of cases screened; number forwarded for enrichment; number on which enrichment information identified and added to case.	• Sample cases processed by OSU four/five days per month; note numbers as required at left. Classify "hits" by system accessed.
8. To establish a victim liaison service to provide follow-up data to victims on case disposition activities.				
(a) To improve public image of police service.		• Proportion of closed cases which are followed up with victim contacts.	• Number of cases screened out at case control level; number of cases closed by Bureau of Investigations; number of follow-up contacts with victims by victim liaison unit.	• Collect/analyze monthly performance data.
(b) To reduce time spent by investigators responding to victim queries and complaints		• Proportion of victims whose cases are closed rating SJPD service positively.	• Proportion of positive responses to randomly distributed questionnaire.	• Distribute questionnaire to sample of victims contacted by victim liaison service. Note/analyze response.
		• Average calls per day from victims received by investigative unit on a pre- and post basis.	• Pre- and post-number of victims calling investigative units daily.	• Conduct daily tallies at random periods of victim calls received by investigative staff; compare pre- and post- and note differentials.

Project Component/Objective	Tentative Evaluation Criteria		Measurement Method	
	Process	Impact	Type of Data to be Collected	Collection Method/Data Source
		• Pre- and post Phase II implementation comparisons of clearances by arrest/exception by major crime type/category.	• Clearances by arrest/exception, classified by crime category and measured on a pre- and post basis.	• For several sample months between now and January 31, 1980, review clearance data and sample investigative records to document clearance rates by Part I and Part II offense categories. Accomplish same measurement on a monthly basis post Part II implementation. Note differentials and trends.
		• Extent to which case control/case enrichment functions have had positive impact on investigative effectiveness.	• Proportion of cases forwarded to prosecutor which are filed in municipal and/or superior court. Measured on pre- and post-implementation basis.	• If data readily available sample Bureau of Investigation records for three to four sample weeks between August 1, 1979 and Phase II implementation. Develop appropriate ratio. Post-Phase II implementation, monitor cases forwarded for prosecution on a weekly basis. Note/analyze comparative performance and trends.
(c) To increase the efficiency with which investigative resources are applied by reducing the the amount of time investigators are required to devote to low priority/low payoff potential cases.		• Amount of overtime worked (paid and worked but not claimed) per investigator pre- and post-Phase II implementa-	• Total and average hours overtime (worked and not claimed and paid) on a monthly basis pre- and post-Phase II implementation.	• Review Bureau of Investigation monthly payroll reports for two to three months prior to Phase II implementation; develop appropriate totals and averages. Post implementation, develop monthly totals; compare w/ baseline data and identify post-implementation trends.

B.   EVALUATION NARRATIVE

Project Objective	Evaluation Criteria	Data Collection Issues
1. (a) - (c)	Process activities related to implementation of the Phase I OSU.	One staff member (preferably one who is not assigned direct responsibility for accomplishing the tasks outlined in the work plan) ought to be assigned continuing responsibility for formally monitoring process progress. Specific activities should include the following: (1) On a monthly basis, that assigned staff member should check the implementation work plan and schedule and determine what the scheduled status of all tasks relevant to the process targets/evaluation criteria contained in the evaluation framework should be for that month; (2) Conduct formal discussions with staff members identified in the evaluation plan (and other staff as deemed appropriate) and determine the detailed status of planned versus actual activities; (3) Review documents as noted in the evaluation plan; and (4) Once interviews and document reviews have been completed, prepare a formal written memo (comparable in format to the one shown in the exhibit which follows this page) which clearly identifies project status in terms of each of the process measures outlined in the evaluation plan upon which progress should have been accomplished/a task completed that month. Submit the memorandum to the OSU commander and the project director. Use the memos to serve as: (1) A control device -- an automatic monthly check on project progress and problems; and (2) a continuing record of implementation experience which, in summary, can be used at the end of the grant year to develop a summary evaluation of implementation experience and its impact on project performance.
2. (a), (b)	Process activities related to installation of revised document control procedures as part of Phase I OSU.	Same approach as that outlined for 1. (a) - (c) above.
2. (a)	Extent to which case reports received from BFO contain all critical data elements.	Measurement in this area has been designed to provide a pre/post measurement of project impact on incident report quality as measured by presence of critical data elements. The intent is to establish baseline data on report quality and then, as quality controls are established during Phase I implementation, to re-measure to see if there are any improvements. Accomplishment of evaluation in this area will require the following:

TO: _____

FROM: _____

SUBJECT: ICAP Project Status Evaluation for the month of _____, 19_____.

1. (A.) Project Component and Evaluation
Criteria:

(Note the evaluation criteria and related objective being dealt with. Prepare a separate paragraph for each evaluation criteria.)

(B.) Planned Status for the Evaluation
Period:

(Summarize what the status of the activity in question should be during the period covered by the progress evaluation. Review the OSU Implementation Work Plan and Work Schedule to determine what project component status should be for the period.)

(C.) Current Status Compared to Target:

(Analytical summary of where the component being measured stands compared to target. The analyst preparing the memo evaluation ought to discuss at a minimum, the following: (1) Is implementation on target in terms of time schedules outlined in the implementation work plan? (2) Are implementation activities, in terms of scope and content, consistent with both the OS design and the OS Implementation Work Plan and Work Schedule? (3) Where is implementation diverging from design? Why? and (4) Other relevant findings.)

(D.) Key Issues:

(Isolate/describe key problems or issues noted as a result of the update evaluation. Suggest solutions. When/where possible, identify problems which might be encountered. Note why. Again suggest solutions.)

Project Objective	Evaluation Criteria	Data Collection Issues
		• During the month of November (or before Phase I changes to report processing activities are effected) reports received in Report Processing ought to be sampled to document/determine what the proportion of unacceptable reports received from BFO really is.
		• To develop this sample, the following steps will need to be taken: (1) Meet with the appropriate representatives from BFO/records and review/determine what the key, required elements of a complete report are; (2) Once that has been determined, develop a checklist of what the appropriate report elements should be for use in sampling reports; (3) Go to report processing on 2 - 3 days, selected at random over a 2 week period; each of those days, review 50 reports. Determine the proportion which are incomplete based on application of the checklist. Based on the three day sample, compute a % which depicts the proportion of incomplete reports received.
		• Review implementation progress effected during Phase I in report processing. Once some substantive changes have been effected in quality control activities in report processing, monitor closely to see what follow-up coordination activities are conducted with BFO to provide feedback on report content problems to correct issues.
		• Once changes have been effected in report processing quality control activities, conduct repeats of the sampling activity noted above. Conduct 60, 90, 120 days after quality control changes are firmly in place. Compare with baseline data; note changes if any. Interpret in light of extent to which feedback provided to BFO on report format and content problems.
2. (b)	Extent to which CAPSS modifications have been implemented as planned.	Same approach as that outlined for 1. (a) - (c) above.
2. (b)	Extent to which reports are submitted for each incident on the CAPSS log.	Once the CAPSS log has been modified (to enable ready identification of those incidents for which reports have not been submitted), review the CAPSS log and determine for a specified time period (five days is probably adequate) the proportion of incidents for which reports have not been received. Some care

Project Objective	Evaluation Criteria	Data Collection Issues
		must be taken to ensure that the sample is drawn from a period prior to the time when report processing audit activities might be starting to influence submission rates. As a result, the sample probably ought to be drawn before the report processing unit significantly adjusts audit operations, preferably shortly after Phase I OS operations have begun. If possible, draw the sample during the November - December period. Similarly, a comparable post-sample will need to be drawn to assess impact. This sample ought to be drawn at least sixty days after the report processing unit begins intense audit activities. In addition to the analysis of quantitative impact noted in this section, results of the process analysis need to be considered, especially to determine the nature and scope of audit and follow-up activities involving BFO (to reduce frequency of non-submittals) undertaken post Phase I implementation. Use these findings to interpret overall quantitative trends.
2. (c)	Extent paper work reduced.	None--adequately explained in evaluation framework. Note: in estimating paper work reduction impact, estimate cost savings involved. Apply paper volume reduction estimates to actual cost data (e.g. paper/form costs; copy costs; etc. Include labor cost savings if actual, estimable cost savings in terms of people's time is involved.
3.	Process criteria related to definition and implementation of Phase I enhancements.	Same approach as that outlined for 1. (a) - (c) above.
4. (a)	Process criteria related to upgrading crime analysis capability.	Same approach as that outline for 1. (a) - (c) above.
4. (b)	Extent to which the crime analysis unit (CAU) component of the OSU is sufficient to meet demands for information.	Two analytical approaches need to be taken to attempt to measure project impact on increasing the department's crime analysis capability and to satisfy demand for crime analysis services. (1) Once staff reassignments have been made and the capabilities of the crime analysis unit upgraded, an assigned analyst should closely monitor the output of the unit, essentially by following the same process evaluation approach outlined for 1. (a) - (c) above. Basically, these steps ought to be taken:

Project Objective	Evaluation Criteria	Data Collection Issues
		(a) On a monthly basis, interview Elba Lu and document reports completed/projects accomplished, and clients for whom they were produced over the course of the month. Conduct periodic follow-up interviews with clients of CAU products. Get their reactions to the timeliness and usefulness of products received. Get their reactions regarding the extent to which crime analysis product availability/sufficiency has improved since CAU capability has been expanded. (b) At the end of the grant year, summarize the results of these monthly "checks" to draw some conclusion about the production and capabilities of the CAU. (c) To the extent possible, make a pre- and post-comparison of the nature and scope of products produced by the CAU before and after enhancement. During November 1979, meet with Elba Lu and get a listing of "things" (one time and continuing) produced by the CAU during the year prior to enhancement. Compare (in terms of volume/types of analysis) with products turned out after enhancement. (2) Review results of pre- and post-questionnaires distributed to assess OSU impact in other areas. See Section C of this chapter for questionnaire examples and instructions.
4. (c)		Same approach as that taken for 1. (a) - (c) above.
5. (a) 5. (b)	Impact criteria Related to how CAU products are used by operating people.	Essentially self-explanatory as presented/described in the evaluation framework. The results of 4. (b) will provide data on how CAU products are/have been used and their usefulness to the operating people. To ensure that evaluation criteria related to 5 (a) can be satisfied, accomplish the following: . Select some sample products produced by the CAU. Select a period long enough after the CAU has been enhanced to allow it to be near operating potential.

Project Objective	Evaluation Criteria	Data Collection Issues
		. Conduct follow-up interviews with users of the product(s) and document their specific reactions to product quality; how the product was used; results, if any, in terms of impact on operating efficiency and effectiveness; etc.
		. Summarize the above in the form of a narrative report on how and with what results CAU products have been used by the various operating units in the department.
6. (a) - (e)	Extent to which process activities related to Phase II development and implementation are accomplished as planned.	Same approach as that outlined for 1. (a) - (c)
7. (a)	How investigative assignment procedures are impacted by establishment of a case control unit capability.	During the months of November - January, conduct interviews with investigative unit supervisors. Focus on documenting the following in these interviews: (1) How assignments are made to include who makes assignments; procedures/criteria employed to screen cases; (2) What gets assigned and what doesn't; (3) How much staff time is involved in the assignment process. Write up the results in narrative form.

Once the Phase II case control/case screening function is operational, conduct follow-up interviews with investigative unit supervisor(s) whose operations have been impacted by the case control/case screening activities focus initially on specific case types, limit interviews to those supervisors whose operations have been impacted. Cover the same ground in these follow-up interviews. Document changes and get supervisors' reactions to these changes on their units' efficiency and effectiveness. |
| 7. (a) & 7. (b) | Investigators' attitudes toward caseload composition. | See Section C of this chapter for example and narrative description of pre- and post-questionnaire to be distributed to investigators. |
| 7. (a) | Pre- and post-comparison of total cases versus those actually assigned for investigation. | Use RIS reports to collect/summarize data required by evaluation plan. Summary reports 42 & 43 ought to be used as the basis for developing all pre- Phase II data. Once case control/case screening in operation during Phase II, accomplish the following: |

Project Objective	Evaluation Criteria	Data Collection Issues
		. Depending on the scope of cases screened by the OSU Case Control Unit, post Phase II activities may require moderately different analytical approaches.
		. If initial screening activities are limited to burglary, make the following analyses:
		- Use the RIS reports to document assignment proportions for all units except burglary. See if there is a pre- post-difference simply because of case characteristic differences in the two periods. Focus on active-inactive comparisons in addition assignable-unassignable comparisons.
		- Determine how RIS reports can be interpreted once the case control unit is in operation. Specifically, need to determine if assigned/unassigned numbers reflected in RIS 43 include cases screened out by the OSU case screening component.
		.. If not, will need to develop a means for counting cases received/cases screened out/cases forwarded to BOI for assignment by the case control unit. These totals will have to be added to the RIS data for the specific units involved.
		.. If the RIS reports are all inclusive (i. e. reflect in non-assignable totals cases screened out at all levels), ensure that the following elements are accounted for in the analysis: (a) Develop and maintain a system for counting cases received and screened out at the OS level; (b) deduct from RIS totals.
		- In the analysis, make sure that the proportion of cases forwarded from OS to the relevant investigative units, but screened out at that level before assignment is noted and analyzed.
7. (a)	Pre- and post-comparison of inactive cases as proportion of overall caseload.	Interviews indicate that RIS reports are not detailed enough to actually indicate which cases are active or inactive. As a result, to develop relatively accurate pre- and post-portraits, it will be necessary to "sample" investigative caseloads at various points in time. To accomplish a comprehensive portrait, do the following:

Project Objective	Evaluation Criteria	Data Collection Issues

. Collect RIS reports (IR 41 for burglary if case screening is limited to that crime specific area) for two to three months before Phase II case screening is started. Compute inactive caseload as a % of total cases. Do the same thing for each month after case screening is started. Compare and note differences, if any.

. In addition to the use of RIS reports, conduct several pre- and post-sample surveys as described in the evaluation framework. Because of the uncertainty of the accuracy of the RIS data, these surveys are critical. To do these surveys, follow these guidelines:

    − Conduct surveys at the end of November, December and January for pre-implementation data. Once case screening is underway, take two to three additional end-of-month surveys.

    − Survey only those investigative units which are impacted by case screening.

    − Survey by preparing a simple "memo" asking each investigator in impacted units to provide a count of caseload status, differentiating between "active" and "inactive." Define "inactive" as those cases which: (1) Have had no active work in the last 30 days; (2) Are either formally or informally classified as inactive by the investigators.

7. (b)   Investigative caseload, pre- and post-comparison.

Use RIS 41 reports for units involved in the case screening activity for pre- and post-analyses. However, some additional data will need to be collected to ensure that comparisons are relevant. They are as follows:

. For each month for which data are developed, document incident volume-defined as the number of cases forwarded to/for screening/investigation.

. Determine, for each month, how many investigative personnel are actually assigned caseload in the units involved in/impacted by case screening.

. Compare caseload and staffing numbers for each month (pre- and post-) being analyzed. Adjust caseloads to reflect differences in case volume and staff availability. Ensure comparisons are made on a common base.

Project Objective	Evaluation Criteria	Data Collection Issues
7. (b)	Clearance rate comparison	Use two data sources for pre- and post-comparison analysis.

. Use RIS (IR 42) for gross clearance data. Use two to three sample months (e. g. November - January for pre-) for pre- and post-comparison purposes.

. For more detailed analysis regarding why cases were cleared, take two pre- and two post-samples according to the following guidelines:

    − Develop a set of criteria regarding how cases can be cleared (arrest, exception, administrative closure, etc.). Develop these criteria in consultation with investigative people.

    − Take 100 closed cases (get from Records Unit) for each pre- and post-sample. Record them and classify them according to reason for closure. Compute pre- and post-clearance rates. Compare and analyze.

7. (6)   Investigative attitudes toward quality of assigned cases.

See investigative questionnaire shown in Section C.

7. (b)   Average number of contacts per case.

Focus on tracking the average number of contacts per "high probability" cases. Define "high probability" case as one in which there are some reasonable leads/ data elements which give investigators something to work with. These include cases which: (1) have suspect noted at time of assignment; (2) correlate w/ FI results; (3) have identified vehicle (license number, identification of unique vehicle, etc.) associated with the incident; or (4) a reliable witness who is able to provide a "lead." At the time of assignment (pre- by unit supervisors and post- by the case control unit) have a simple tally sheet inserted into the case. Have assigned investigators simply check contacts by type when they are working with the case. Tally/document contacts by the following classifications: (1) Telephone call/interview with victim witness: (2) Check/query of other law enforcement agency; (3) Query of law enforcement information systems; (4) Contact/interview with suspects; (5) Contact/interviews with other data sources; (6) other. Follow these procedures to conduct the tallying exercise:

Project Objective	Evaluation Criteria	Data Collection Issues
		. For the pre-sample: Brief impacted unit supervisors/the assigned individual who conducts case screening activities. Get them to insert tally sheet in 150 cases starting on a specified date.
		. Conduct group meeting with investigative staff in unit(s) being measured. Brief them on what they are being asked to do. As cases close, get clerks to pull tally sheets and hold them for analysis. Compile and analyze completed tally sheets. Plan to conduct the tallying exercise during January 1980 for pre-Phase II baseline data.
		. Two to three months after the case screening operation in Phase II is underway, repeat the tallying exercise. Again, brief involved investigative staff to ensure participation. Have sworn/clerical personnel assigned to the case screening unit insert tally sheets into case files.
7. (b)	Investigative time allocation.	The purpose of this evaluation element is to determine, to the extent possible, if screening and giving investigators "better" cases has any impact on how they spend their time. The only way to really measure time utilization is through a simple "time" logging exercise. Section C contains a time logging exercise to measure pre- and post-time utilization.
7. (c)	Investigative attitudes toward case content.	Investigative questionnaire as outlined in Section C.
7. (c)	Percentage of cases processed by OSU which are enriched.	Self-explanatory in the evaluation framework.
8. (a)	Proportion of cases which are followed up with victim contacts.	Once the OSU is underway, establish a simple reporting system so that work volume in the victim liaison area is monitored. The actual approach employed as well as the elements to be measured ought to be developed once the specific approach to providing victim liaison follow-up is selected. You will want to measure: (1) number of cases received by the OSU; and (2) number of cases where some type of victim follow-up was accomplished. These data, which ought to be collected on a monthly basis, can be tallied by those personnel assigned to the victim liaison function.

Project Objective	Evaluation Criteria	Data Collection Issues
8. (b)	Victim reactions to SJPD services.	Again, measurement approach depends on the specific style of victim liaison service implemented as part of Phase II.
		. If it's a personal, follow-up telephone call service, you'll probably want to provide for a form of follow-up questionnaire to some portion of the victims contacted by the service. A simple 3 - 5 question document should suffice. It ought to cover such areas as the following: (1) Did they feel that they had adequate information from the department on how their case was being handled? (2) Was that information provided on a timely basis; (3) Ask them to provide a follow-up/overall rating on whether or not they were satisfied with the service they received -- give them four or five choices. Consider sending this questionnaire to one of every five victims contacted over a two month period.
		. If some form of mail follow-up (post card or letter) is implemented, consider two alternatives:
		- Provide a call-back number they can contact if they're dissatisfied. Maintain a log of calls and reasons.
		- Take the questionnaire approach noted above and include a questionnaire with one of five letters/cards sent out for a two month period.
7. (b)	Average calls per day from victims received by investigative unit.	Basically two sources: (1) Review the results of the pre- and post-time logging exercise mentioned earlier to determine if there are any changes regarding the amount of time investigators spend responding to calls/queries from victims; and (2) Interviews with investigative supervisory personnel indicate that most calls to investigative personnel are channelled through unit secretaries. As a result, there are two ways which could be taken to attempt to measure victim contacts on a pre- and post-basis: (a) Establish a simple tally sheet and ask unit secretaries to tally incoming telephone calls, from victims, for a two-week period pre- and post-. Establish a simple procedure whereby unit secretaries ask callers who they are calling and why, to ensure that victim inquiries are identified; (2) or, for a comparable period, ask investigators to maintain simple tallies of the daily number of victim inquiries received for the same two week period - pre- and post. The advantage of having unit secretaries monitor and tally incoming telephone calls is that it provides an opportunity to control data collection accuracy since fewer people are involved.

Project Objective	Evaluation Criteria	Data Collection Issues
7. (b)	Pre- and post-clearance rates.	Access RIS (IR 42) reports for impacted investigative units; sample based on three/four months from before Phase II implementation and monthly after Phase II is in operation.
7 (b)	Investigative effectiveness impact of case control/ case enrichment activities.	Self-explanatory

C. DATA COLLECTION INSTRUMENTS

1. INVESTIGATIVE QUESTIONNAIRE

1. INVESTIGATIVE QUESTIONNAIRE

Much of the assessment of OSU impact will, by necessity, rely
heavily on subjective data in addition to quantitative data. A key element
in this subjective area will be the opinions of investigative staff toward
their caseload as measured before and after the implementation of case
screening at the OS level. The page which follows contains a question-
naire which has been designed to be used to document investigators'
attitudes. It should be administered twice, with the intent of trying to
identify attitudinal changes before and after implementation of the case
screening component of OSU. The questionnaire should be used as follows:

   . It should be disseminated to all investigative personnel prior
      to the start up of Phase II OSU. Even though the decision may
      be made to limit initial case screening activities to one crime
      specific area (e.g. burglary), the questionnaire should be
      distributed to all investigators to document attitudes throughout
      BOI. Responses would provide baseline data useful for assess-
      ing impact once OSU's focus is expanded beyond the initial
      crime specific area. Given current scheduling, January is
      probably an appropriate time for pre-implementation adminis-
      tration of the questionnaire.

   . The questionnaire should be re-administered once the Phase II
      OSU is in operation. Administration should be conducted long
      enough after the OSU Phase II case control component has been
      in operation to ensure that impact on investigative operations
      can realistically expected to be experienced.

SURVEY OF INVESTIGATORS' ATTITUDES

As part of the department's overall effort to improve operations, we are interested in obtaining your opinions about investigative practices and support available to assist investigators perform their jobs. Listed below are a series of statements about investigation in the San Jose Police Department. Please check the column at the right which most closely corresponds with how you feel about that statement. Please complete the survey form and return it to your unit supervisor by _____.

	Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Strongly Disagree
1. A significant number of cases which I am assigned have solid leads which give me a reasonable place to start.					
2. I am able to spend most of my time on work activities which I feel are productive.					
3. Crime reports I receive for follow-up investigation are usually complete and don't require me to devote time to fill in gaps which could have been entered by the officer who took the initial crime report.					
4. I get very little crime trend/crime pattern data which is useful to me in the conduct of my job.					
5. When I receive a case for assignment, I don't have to spend a lot of time accessing regular departmental data sources such as the FI files, CJIC, or other manual or automated systems to see if the information on the initial crime report can be enhanced.					
6. I have to spend a lot of time "hand holding" with victims who want to know what the department is doing with their case.					
7. I get assigned a lot of cases that are real dead ends and have little or no information which I can use to follow up.					

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	Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Strongly Disagree
8. "Dead end" cases take a lot of my time and reduce the amount of time I have available to devote to cases which have a high probability of success.					
9. Generally, I feel I am able to devote most of my effort to working cases where I feel I've got a chance of making some progress.					
10. I spend a lot of time reviewing crime reports where no follow up is feasible.					
11. I have enough time to thoroughly interview victims involved in cases with a reasonable potential of being solved.					
12. My caseload generally has a high proportion of cases which have few leads and little potential of being solved.					

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2.   ANALYSIS OF INVESTIGATOR
TIME UTILIZATION

One of the major objectives of the entire OSU effort is the target of improving investigative efficiency and effectiveness. One approach to estimating impact in this key area involves the questionnaire provided in the preceding section. In addition to the questionnaire, as noted in the evaluation framework and the related narrative, some attempt should be made to measure how investigators use their time before and after the case screening/case enrichment component of the OSU is implemented. The goal of the measurement effort, of course, is to determine if the case screening/case enrichment activities have any impact on how investigators allocate their time.

There are two approaches which can be used to measure investigator time utilization. Each of them, to include advantages and disadvantages of each, are discussed below:

1.   TIME LOGGING

Time logging involves use of a form on which investigators would record how they use their time. The exhibit which follows this page provides an example of a time logging form. Basic elements involved in the use of the time logging form are as follows:

.   The form includes a set of work activities, each with a code letter assigned to it. These activities are intended to encompass both high priority and lower priority tasks.

.   One form would be completed by each investigator each day. Investigators would record time in 15 minute increments, simply by entering the work activity code opposite the time worked.

.   The time logging activity would be conducted for a two week period before the Phase II OSU was implemented, and again, when the case screening/case enrichment component was fully operational. Proportional time allocations for each period would be determined by compiling time logging form results and then compared, to see if there is any major difference in time allocations before and after the Phase II OSU was established. The goal, of course, would be to see if there was any shift in proportional time allocations from "lower priority" tasks.

INVESTIGATIVE TIME LOG

Name	Unit	Date

Time Worked	Work Activity	Time Worked	Work Activity	Work Activity Codes	
				Code	**Work Activity**
7:00 am		1:45 pm			
7:15		2:00		A	Reviewing Crime Reports
7:30		2:15		B	Office Interview With Witness
7:45		2:30		C	Field Interview With Witness
8:00		2:45		D	Field Interview With Suspect
8:15		3:00		E	Office Interview With Suspect
8:30		3:15		F	Booking Suspect
8:45		3:30		G	Travel
9:00		3:45		H	Handling/Releasing Recovered Property
9:15		4:00			
9:30		4:15		I	Field Investigation at Crime Scene
9:45		4:30		J	Fingerprint Analysis
10:00		4:45		K	Responding to Victim Inquiries on Case Status
10:15		5:00			
10:30		5:15		L	Court Appearance
10:45		5:30		M	Processing/Filing Complaints
11:00		5:45		N	Coordinating Court Cases
11:15		6:00		O	Checking Data Systems (FI Files; CJIC; etc.) for Case Enrichment Data
11:30		6:15			
11:45		6:30			
12:00 Noon		6:45		P	Researching Crime Analysis Data
12:15 pm		7:00		Q	Conducting Follow-up to Fill in Gaps in Crime Reports
12:30		7:15			
12:45		7:30		R	Researching Crime Analysis Data
1:00		7:45		S	General Field Activity - Geographic Area Assigned (e. g. Developing Informants)
1:15		8:00			
1:30		//////		T	Office - General Administration
				U	Coffee Break/Lunch Break
				V)	
				X)	Add Additional Activities as Appropriate
				Y)	
				Z)	

See Reserve Side for Instructions

If you have any questions about this form, call:

INSTRUCTIONS FOR TIME LOG COMPLETION

1. Fill out a new time log each workday. Make entries as you work-- it is easier and more accurate to record as you work than to try to remember at the end of the day.

2. Each time you start a new work activity or begin work on a new case, make a new entry on the form.

3. Make entries as follows:

   a. Select the appropriate "work activity code" from the section on the right hand side of the form and enter the code in the "Work Activity" column opposite the time you began work

   b. When you complete work on a case and/or begin a new work activity, draw a line in the "time worked" column which begins opposite the time you began work and ends opposite the time you completed work.

Time Worked	Work Activity	Time Activity	Work Activity
7:00 am	A	1:45 pm	
7:15		2:00	
7:30		2:15	
7:45	G	2:30	
8:00	C	2:45	
8:15		3:00	
8:30		3:15	
8:45		3:30	
9:00		3:45	
9:15		4:00	
9:30		4:15	
9:45		4:30	
10:00		4:45	

TURN IN
COMPLETED
FORMS DAILY

4. Record all work activities, whether during the normal workday or when at home or elsewhere. Use the blank spaces at the bottom of the "time worked" column to note the times worked (enter hours in $\frac{1}{4}$ hour increments) and follow procedures noted above to record work activities.

The major problem associated with time logging is employee willingness to accurately record what they do on a continuing basis. Unless there is a firm and clear management commitment to the time logging exercise, form completion is often haphazard and incomplete. When this occurs, results are often inconclusive and unusable. In addition, form completion accuracy tends to decay over time unless this management commitment is renewed and forms are audited frequently to identify and follow-up problems.

2. OBSERVATION

The alternative to time logging is actual observation of investigators as they do their work -- essentially a "go along" program. Under this approach, the following steps would be taken:

- An analyst would be assigned to spend a minimum of one full work day with each investigator. This approach assumes that measurement would be limited to the burglary unit -- assuming that initial OSU case screening/case enrichment activities would be limited to the burglary area.

- During the course of the day, the analyst would use the time logging form contained in the preceding section to record what the investigator is doing at various times.

- Measurement would be accomplished on a pre- and post-basis as noted in the previous section on time logging. Analysis of results would be comparable.

The major advantage of this approach is the accuracy of results. Given the assignment of the analyst to observation and data collection, the accuracy of time logging/time observation results is more completely under the control than if logs are completed by investigators. The major disadvantage, of course, is the analyst time required to accompany investigators on a pre- and post-basis.

*   *   *   *   *

If adequate analyst time is available, the observation approach should be considered to be the preferable alternative. An approach, which might be considered is hiring a student/other part time person to accomplish the actual observation if full time project analytical staff are not available for the amount of time required. Such a person could probably be trained in two to three days to recognize and record work activities accurately.

END