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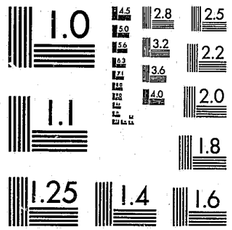

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TECHNICAL REPORT NO. 9
December, 1973

Design of A Standardized Crime Reporting System

Final Report On Work Performed Under
Law Enforcement Assistance Administration Grant
Number 72-SS-99-3001 Awarded to the California
Crime Technological Research Foundation for Project SEARCH

Submitted by the

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Reporting System Committee

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FOREWARD

Technical Report No. 9 presents the results of the first phase of the Standardized Crime Reporting System (SCRS) Project committee's decisions related to the development of a total crime/event information system. The primary goal of the project is defining information requirements of crime report users and providing a means whereby useful and standardized crime/event data can be collected, stored and disseminated.

Specifically this report identifies some minimum standards and model systems concepts. HOWEVER, BEFORE THIS SYSTEM IS READY FOR ACCEPTANCE BY OPERATING AGENCIES IT MUST BE OPERATIONALLY TESTED AND EVALUATED. A substantial amount of effort remains to prepare SCRS for this testing. The final model SCRS design will emerge only after the test phase of this project which includes extensive and thorough implementation planning, meaningful implementation testing and rigorous evaluation. Only then will SCRS be ready for wide dissemination and adoption by law enforcement and criminal justice agencies.

THIS DOCUMENT IS NOT AN IMPLEMENTATION MANUAL. IT SHOULD NOT BE ADOPTED BY ANY OPERATING AGENCY AT THIS TIME.

The SCRS Project is under the direction of Project SEARCH, funded by a Law Enforcement Assistance Administration grant. Project SEARCH has representatives from all 50 states, some territories and the Law Enforcement Assistance Administration. SEARCH provides a means whereby states can work together toward solving mutual criminal justice problems, directing its activities to the development and test of prototype systems which have multi-state utility for the application of advanced technology to criminal justice.

Section 1

INTRODUCTION

PROJECT GOALS

The goal of this project is to design and test a Standardized Crime Report System. A crime report is the primary source document for police activities and findings concerning events requiring investigation which could result in a criminal arrest. Although, for the purposes of test and demonstration, actual prototype crime report formats have been developed, complete standardization of report format and form layout was not a major objective of this project. The primary objective was to define the model information requirements of crime report users, and satisfy those model information requirements by defining required data elements for crime reports.

It has been the intention of the project to develop a crime reporting system suitable for small, medium and large cities, and for use by both urban and rural law enforcement agencies.

The successful completion of this project has a potential impact at all levels of government and in all portions of the criminal justice system. The impact results from two separate characteristics of the project: First, since the reporting elements are based upon user needs, the project has impact for individual agencies who desire to change their reporting form, even if it does not become standardized on a statewide or nationwide basis. Second, widespread acceptance of this crime reporting system and implementation in many law enforcement agencies will allow interagency exchange of information, both in the single case form and in the statistical by-product form.

Specific impact related objectives of the project are to:

- Minimize report preparation time by the reporting officer.
- Insure that all required crime data is collected.
- Allow increased crime analyses by making available appropriate and standardized data.
- Create a basic source document for preparation of the Uniform Crime Report.

- Provide for easy editing and review, so as to improve the quality of crime reporting.

- Improve communication between uniformed officers and detectives and between police and prosecutors.

- Assure that prosecution function will be better supported by the receipt of adequate, standardized information from law enforcement agencies.

- Provide states having appropriate statutory authority with a model reporting system for standard use.

- Provide a means by which useful and standardized data can be commonly collected on crime and the activities of law enforcement agencies.

METHODOLOGY

The methodology for accomplishing the first phase of this project is best described under three major headings, corresponding to the major tasks undertaken during the course of the project.

- Requirements Analysis
- Development of Standardized Data Elements
- Design of a Crime Reporting System

The requirements analysis cataloged all known users and uses of information concerning reported crimes and identified their information requirements. This effort was not limited to the law enforcement uses of crime reports, but rather extended to the broader question of legitimate uses for data which could be provided by a crime report.

The main thrust of the requirements analysis was to identify those information elements needed at each echelon, and to identify those specific elements for which standardization is necessary, as distinct from those in which standardization is only convenient or even not necessary. Requirements were developed in terms of information needed about each and every crime and also identified optional data elements which, while providing information about a crime event, may or may not be implemented in a given records system at the discretion of the implementing agency.

The primary set of data requirements were those associated with operationally useful data, however, consideration was also given to statistical information requirements.

The requirements analysis identified both the general types of information required and the level of detail required in data elements by various classes of users. During the development of the set of standardized data elements the added dimension of the police operations and crime occurrence environment were taken into account. This resulted in listings of required and optional data elements for crime reports, coding structures or other methods of describing each data element and the level of detail expected on the crime reports. As an aid for the Implementation, Test and Evaluation phase, a set of Prototype Test Report Forms were developed to organize the data elements into a data capture format.

The intention of the Project was to develop a complete crime reporting system which could be implemented by one or more law enforcement agencies. Therefore a conceptual Standardized Crime Reporting System design was developed. This design has viewed the system as consisting of three modules: (1) Data Capture, (2) System Management and Control, and (3) Data Utilization. It is this conceptual design that will be demonstrated and tested to provide design validation.

SYSTEM DEMONSTRATION, TEST AND EVALUATION

The next step of the project will be a test of the operational and technical feasibility and utility of the Standardized Crime Reporting System. Several law enforcement agencies will be selected for prototype implementation of the system. The agencies selected will be chosen to reflect adequately the variety of operational environments identified during the requirements analysis phase e.g. small, medium, and large police forces operating in state, regional, urban, and rural environments.

An implementation plan will be developed for each participating agency, to include the specific forms to be used, training program, report review procedures, and other aspects of system implementation.

Each of the host law enforcement agencies will be responsible for implementation of the crime reporting system within its own agency, with appropriate staff and consultative support from the SCRS committee. A given agency may wish to go beyond the standardization requirements of the crime reporting system, or to refine the system concept in such a way as to form a sub-system module of a larger police information system taking from within that agency. These variances will be allowed, and indeed encouraged, within the limits of standardization established by the SCRS committee.

After system implementation, it is intended that a demonstration and test period of at least nine months will be required for adequate evaluation of the system.

Following the test and evaluation period, full documentation of the demonstration and its results will be prepared under the auspices of the committee. This documentation will include the final system description, the expected and actual utility of individual data elements, the output formats generated and user responses to them.

The following Sections detail the efforts of Phase I of the Standardized Crime Reporting System project and documents the information requirements, data elements, system concept and other considerations of the proposed system.

Section 2

REQUIREMENTS ANALYSIS

The first step in developing a Standardized Crime Reporting System was to identify the information requirements of the various users of crime report data. The users of crime report information had to be determined and their needs and uses of that information had to be cataloged.

Crime report information users were characterized by the type of agency requiring data. These include Law Enforcement, Prosecution, Probation, Courts, City/County Managers or Administrative Officers and Planners/Researchers. Determining the requirements of these various agencies, two data collection techniques were used: (1) mail-out questionnaires and (2) on-site interviews.

The mail-out questionnaire addressed itself to four crime report data users: Law Enforcement, Prosecution, Probation and City/County Managers. Two questionnaire forms were designed and mailed. The first one was directed at the Law Enforcement agencies who generate the crime reports. The questionnaire was designed to obtain a statement on how the agency carries out its crime reporting process and to obtain copies of report forms, operating procedures and output reports. This questionnaire is presented as Exhibit 2-1.

The second questionnaire was directed at other users of crime report data (Prosecution, Probation and City-County Managers) asking them to identify the crime reports they utilize and indicating the relative value of report data, statistical summaries, and reporting procedures.

In addition they were requested to critique each type of crime report they received. This questionnaire is presented in Exhibit 2-2.

Questionnaires were sent to 1140 agencies. An initial stratified random sample was used to assure adequate representation from all sizes of communities, geographical areas, and major governmental jurisdiction (state, county and municipal). The initial questionnaire distribution to law enforcement agencies was as follows:

EXHIBIT 2-1

PROJECT SEARCH

STANDARDIZED CRIME REPORTING PROJECT

REQUEST FOR INFORMATION

Please fill in the following information:

Name of Department_____

Name of Commanding Officer_____

Address of Department_____

Telephone Number_____

Name of Person to Contact
for Additional Information_____

I. INITIAL RECEIPT OF INFORMATION

Since a complete report writing system begins at the time a call for police service is received, we are interested in learning how your department records and files information obtained from calls for police service. We would like to know the times which are recorded (time call received, time dispatched, time arrived, etc.) and if you have a method for linking calls to resultant crime and arrest reports. We would also like to know if you record the disposition of the call on the complaint/dispatch form. We would further like to know if incoming calls are tape recorded and/or if automated data processing (ADP) is involved in the processing of complaint/dispatch records.

Would you please forward copies of all forms used in the complaint/dispatch process, as well as any written materials (instructions, manuals, ADP procedures, etc.) which explain your complaint/dispatch process. If no written materials are available, will you please describe the process in your own words.

II. INITIAL REPORTING PROCESS

It is important that we understand your existing crime reporting procedures. Will you please forward copies of all forms used to report crimes (criminal law violations), incidents (police service not involving a crime--i.e., missing persons, lost and found property, etc.), and arrests. If you have report writing instructions or manuals which show how reports are completed, please forward these also. Areas of particular concern are: procedures for taking reports over the telephone; how reports are stipulated (hand written, dictated and typed, etc.); how reports are revised and approved; how reports are duplicated and to whom are they distributed within the department and to outside agencies. If no materials are available to describe the reporting procedures, please describe in your own words.

III. INVESTIGATION--FOLLOW-UP PROCESS

For purposes of this project, follow-up activity is defined as information obtained through follow-up investigation or other information sources, after the original report has been submitted. Would you please forward copies of all forms used to report follow-up investigation/information, as well as any written materials which explain how follow-up reports are submitted, approved, distributed, and stored.

If no written materials are available, please answer in your own words.

IV. REPORT REWIEW AND VERIFICATION

Since police operations are partially measured by crime, arrest, and clearance statistics, we are interested in knowing what procedures you have for the rewiew and approval of reports and the verification of data elements in the records files. Will you please forward copies of report rewiew procedures, manuals or instructions. If any internal (within your department) and/or external (outside agency) audits are made of your reports or records files, please forward materials which explain these processes. If automated data processing is used to rewiew reports for completeness or to verify data, please, describe.

Again, if written materials are not available, please describe the report review and verification process in your own words.

V. RECORDS KEEPING PROCEDURES

Another major concern in the crime reporting process is the mechanism for storing and retrieving crime reports. We are interested in learning how your department maintains its records files. Will you please forward any materials which describe how crime, incident, arrest, and follow-up reports are stored (where and in what form (hard copy, microfilm, etc.)). Would you also forward any materials which describe how long reports are kept (purge criteria), the various files maintained throughout the department (M.O. files in detective division, missing persons files in records, etc.), and if you perform any automated data processing of reports.

VI. OUTPUT REPORTS

We are interested in knowing how your department uses crime report data. We are defining output records as those statistical or summary reports which are generated from crime, arrest, and complaint/dispatch records. Will you please forward copies of all output reports which are generated by and for your department. These would include internal management information reports, Uniform Crime Reports (UCR), statistical reports of workload activity (calls by day and time, arrest by crime type, etc.), and other special reports which give statistics or narrative summaries of report information. If local data processing is involved in producing output reports from your department's crime, arrest, and/or complaint/dispatch forms, please forward as much explanatory information as is available.

VII. DISTRIBUTION OF REPORTS

Particular concern is directed at how your department distributes copies of original crime, arrest, follow-up and complaint dispatch reports, as well as output reports. Will you please forward any materials which will explain how original reports and output reports are distributed throughout your department and to outside agencies (D.A., probation, state agency, FBI, etc.). If no written materials are available, will you please describe the flow of reports in your own words.

VIII. COMMENTS

The most important assistance that you can give to this project is in the form of your open comments concerning your department's crime reporting problems and your thoughts regarding a crime reporting system. We appreciate the time and effort which you have already put into this project. We ask that you take just a little more time to give the benefit of your general comments concerning; items of needed information which are not provided by your present crime reporting system, items contained in crime reports which are difficult to understand and fill out, items contained in crime reports which are of little or no importance to you.

These general comments are very important to the successful completion of this project. Please include your comments when returning the requested materials.

Exhibit 2-2

PROJECT SEARCH

STANDARDIZED CRIME REPORTING SYSTEM

QUESTIONNAIRE

1. DOES YOUR AGENCY UTILIZE ANY FORM OF SOURCE DOCUMENTS OR OUTPUT REPORTS [SEE DEFINITIONS] FROM ANY LAW ENFORCEMENT AGENCY? If yes, which type of reports do you utilize?

Source Documents	Output Reports
☐ Crime reports	☐ Statistical Reports
☐ Incident/information reports	☐ Summary Reports
☐ Follow-up reports	
☐ Arrest reports	

IF YES, PLEASE FORWARD EXAMPLES THAT ARE REPRESENTATIVE OF THE TYPE OF REPORT YOU RECEIVE (CHECKED IN QUESTION #1 ABOVE). FOR EACH EXAMPLE ENCLOSED, PLEASE COMPLETE AND ATTACH A COPY OF THE "REPORT ANALYSIS FORM" INCLUDED WITH THIS QUESTIONNAIRE (YELLOW).

Note: PLEASE ANSWER REMAINING QUESTIONS, WHETHER OR NOT YOUR AGENCY RECEIVES ANY OF THE ABOVE REPORTS. FOR QUESTIONS 2,3,4 PLEASE USE THE WEIGHTING SCALE 1 to 5:

1 = very important

2 = important

3 = desirable

4 = relatively unimportant

5 = unimportant

2. USING THE WEIGHTING SCALE GIVEN, PLEASE INDICATE THE RELATIVE IMPORTANCE TO YOUR AGENCY OF THE FOLLOWING SOURCE DOCUMENT DATA:

____Elements of event: crime, arrest, etc.

____Geographical/time factors of event

____Identification data on involved persons (i.e., victims, suspects, witnesses, etc.)

____Modus operandi factors

____Lost/stolen property factors (descriptions, values, etc.)

____Status of case or offender

Other:

____ _____

____ _____

____ _____

Exhibit 2-2 (Continued)

3. USING THE WEIGHTING SCALE GIVEN, PLEASE INDICATE THE RELATIVE IMPORTANCE TO YOUR AGENCY OF THE FOLLOWING LAW ENFORCEMENT STATISTICAL REPORTS:

____ Management statistics (monthly status reports, number of arrests, number of cases reported versus cleared, etc.)

____ Workload statistics (crimes by area, time, manpower required to handle, etc.)

____ Transaction/status statistics (number of cases pending, current jail population, etc.)

____ Other(s)

____ _____

____ _____

4. USING THE WEIGHTING SCALE GIVEN, PLEASE INDICATE THE RELATIVE IMPORTANCE TO YOUR AGENCY OF THE FOLLOWING FACTORS OF REPORTING:

____ Reports be timely

____ Reports are carefully reviewed by supervisory personnel

____ Reports contain accurate details of offense, arrest, etc.

____ Reports contain details of extent of injury to victim, suspect, etc.

____ Reports contain summary of case in officer's words

____ Other(s)

____ _____

____ _____

5. COMMENTS. The most important assistance that you can given to this project is in the form of your open comments concerning your agency's information requirements from law enforcement agencies, and your thoughts regarding a more efficient reporting system. We appreciate the time and effort which you have already put into this project. We ask that you take just a little more time to give us the benefit of your general comments concerning: items of needed information or reports which are not provided by your present reporting system, items contained in various reports which are difficult to understand or are usually incomplete, items contained in various reports which are of little or not importance to you.

These general comments are very important to the successful completion of this project. Please include your comments when returning the requested materials.

Exhibit 2-2 (Continued)

DEFINITIONS

SOURCE DOCUMENTS

Complaint/Dispatch Form. The document(s) specifically designed and used to record preliminary data at the time a call for police service is first received by the law enforcement department (usually at the Communications Center).

Crime Report. The initial document(s) used to report the facts of all criminal law violations (i.e., standard offense report, burglary report, stolen vehicle report, petty theft, malicious mischief).

Incident/Information Report. The document(s) used to report the facts of police response for events other than criminal law violations (i.e., missing persons, suicide, lost and found property, etc.)

Arrest Report. The document(s) used to report the details of an arrest (both adult and juvenile). This generally does not include booking sheets.

Follow-Up Supplemental Report. The document(s) used to report additional information pertaining to a case, either as a result of receiving further information and/or further investigation. This is a separate document from the original crime report, incident/information report, or arrest report.

OUTPUT REPORTS (Generated from source document data. Either prepared by law enforcement agency or by other agency.)

Statistical Reports. Reports which are routinely or specially generated from source documents data and which are statistical in nature. Reports which give number of calls by day and hour, number of crimes by day, hour, location, etc. These reports give number percentages or totals (often computer generated).

Summary Reports. Reports which are routinely or specially generated from source document data and which are narrative in nature. These reports may be information reports for department administrators, letters from the chief or sheriff to departmental personnel, summary reports to city council, etc. These reports are based on source data, but are not statistical reports.

Exhibit 2-2 (Continued)

REPORT ANALYSIS FORM

(Attach to copies of reports from Question #1)

1. Do you routinely receive this report? If no, what are the circumstances which cause you to receive this report?

2. What is the primary use of this report in your agency?

3. Please describe any secondary uses of this report by your agency.

4. Is additional information needed by your agency which is missing from this report? If yes, please describe (list) the needed information items.

5. Do you use this report to produce other internal reports or reports for other agencies? If yes, please attach a copy of the report produced and write the name of the agency it goes to on the top of the report.

State Police and State Departments of Public Safety	27
Counties over 500,000 Population and 425 employees	15
All cities over 300,000 Population	43
250-300,000 Population-Incorporation	13
100-250,000 " "	49
50-100,000 " "	10
25-50,000 " "	39
10-25,000 " "	48
2-10,000 " "	58
Other Agencies of Interest*	79
Total	381

* Requested survey questionnaires or identified by SPA's as unique and/or representative.

Questionnaires were sent to the appropriate Prosecution, Probation agency and City/County Managers servicing the surveyed Law Enforcement Agency.

Response to the questionnaire varied between type of agency. The 267 responses received showed the following distribution:

AGENCY	QUESTIONNAIRES SENT	NO. RESPONSES	% RESPONSE
Law Enforcement	381	161	42.3
Prosecution	224	18	8.0
Probation	275	64	23.3
City/County Managers	260	24	9.2
Total	1140*	267*	23.4

This mail-out survey did provide general information requirements statements from the responding agencies and reporting system descriptions (at varying degrees of exactness) from 161 law enforcement agencies. The SCRS committee determined not to undertake an indepth statistical analysis of the questionnaire response. The effort necessary to code, process and analyze this data would have been too time consuming and the type of information would have been limited to describing existing uses and not helpful in determining data requirements. The decision was reached to use indepth on-site surveys to more precisely identify the requirements of the users. At each location, Law Enforcement, Prosecution, Courts, Probation and Parole agencies were visited and their use of or need for crime data was identified.

*See Appendix A for list of Agencies Included in Mail-Out Survey

Communities for the on-site visits represented four different population groupings, plus state agencies and geographical distribution. The selection of the cities was based on the agencies' response to the mail-out questionnaire using the following criteria:

- Uniqueness
- Documentation
- Technological advances
- Reliability of crime reporting system
- Adaptability to other departments

Those sites surveyed were:

25,000 OR UNDER POPULATION	26-150,000 POPULATION
Newton, Kansas	Hollywood, Florida
Brainard, Minnesota	Tacoma, Washington
Laramie, Wyoming	North Las Vegas, Nevada
151-500,000 POPULATION	**OVER 500,000 POPULATION**
Long Beach, California	Dallas, Texas
Tulsa, Oklahoma	Dade County, Florida
Buffalo, New York	Detroit, Michigan
Norfolk, Virginia	

STATE POLICE AGENCIES

New Mexico State Police
Pennsylvania State Police

These visits were carried out by all Standardized Crime Reporting System staff and committee members, giving all persons a broad exposure to varying criminal justice operations and crime data usage.

The methodology of the on-site survey was to follow existing crime reports through the police department, prosecutor's office, courts, probation, and any other governmental agencies who used the data. The objective of on-site visits was to determine what happens to the data, what data was really necessary, uncovering deficiencies or weaknesses in existing data, and ascertaining the true information requirements of the various agencies.

The basic survey technique was to "flow-chart" the report/data flow within and between the agencies and to define the points where data is collected, reviewed, processed, and used for operational or administrative purposes. A flow-charting standards and guide was provided the survey team, along with an interview guide. These techniques assured that uniform and comparable data would be collected by each survey team. Information was gathered on each Law Enforcement agency's crime/event information system including:

- data collection techniques
- criteria for when to take a report
- disposition reporting
- use of automatic data processing
- report retention and purge criteria
- procedure for identifying reports (numbering systems) and tying supplemental reports to the original event report
- indexing procedures
- procedures for report approval/review/audit
- use of data
- perceived system inadequacies from the point of view of the Law Enforcment agencies

The other crime report data users were questioned on:

- data use
- adequacy of the received data to its purpose
- missing information
- unnecessary information
- general evaluation of their existing crime reporting system

The main thrust of the requirements analysis was to identify those information elements needed at each phase of the criminal justice process, and to identify those specific data elements for which standardization is necessary, as distinct from those in which standardization is only convenient or not even useful.

Crime/event information requirements have been developed for law enforcement, prosecution, probation and parole, and a grouping of planning-research-administration functions. The surveys identified these as the agencies that directly use data from a crime report. The court and correction functions were found not to use crime/event information directly from the report form. The data they receive has been processed by another agency (usually prosecution or probation).

An analysis of the information collected from the mail-out and on-site surveys determined that the most appropriate method for developing a set of information requirements was to view the crime reporting system as an overall process made up of various functions. The crime reporting system spans the total spectrum of operations and agencies that collect, process and utilize crime related data. Therefore, the functions within each involved agency that require crime data were established. These functions require certain information to achieve success as well as to produce a record of the crime. As these information requirements were identified, they could be broken down into the specific data elements needed to support the function.

Exhibit 2-3 presents a composite of the agencies identified as involved in the crime reporting system and their associated functions. These functions were found to be the same for small, medium, and large agencies. The difference between various size agencies was found in the degree and detail of the data collected, and the manner in which the data was collected, stored, and retrieved. The size of the department did not have any effect on the functions that must be accomplished or the basic information requirements associated with the function.

Each function within an agency was analyzed by identifying the information requirements of the functions and the data needed or available to meet these requirements. The form used to accomplish this information requirement and identification task is presented as Exhibit 2-4. By completing a form for every information requirement identified within a function or process, a systematic and exhaustive approach to data needs was established. For each information requirement associated with a function or process, the use of that information was identified. The requirements were then organized into a function or process matrix portraying the relationship between the information requirement and its use within the processes.

In each of these functions or processes, the three basic information components:

The Event
The Law Enforcement Response
The Outcome of the Event and Response

were reviewed to ascertain the required or available information.

The crime reporting process must contain data concerning not only the event, but also the response to the event and the outcome of the event/response interaction. A properly documented report includes information describing the agency's response to the event. The immediate outcome of the event/response interaction must be considered so that the requirement for further action can be determined.

The initial analysis resulted in identifying 27 major information requirements to support some 100 uses of crime report data by the involved agencies. A refinement of these data needs and uses was completed and substantially condensed and a number of data requirements and uses were developed. The data requirements were broken down into five basic classifications, with some 14 categories of information associated with these five information classes. These data requirements are presented in Exhibit 2-5.

Exhibit 2-3

PROCESSES REQUIRING CRIME INFORMATION

LAW ENFORCEMENT

1. Complaint Receipt
2. Dispatch
3. Initial Field Investigation
4. Follow-up Investigation
5. Apprehension/Arrest
6. Review (Support)
7. Case Assignment (Support)
8. Analysis (Support)
9. Record Keeping (Support)
10. Case Preparation
11. Audit (internal/external) (Support)
12. Management
13. Statistical Report (UCR, etc.)

PROSECUTOR

1. Case Review
2. Complaint Filing
3. Case Preparation
4. Investigation
5. Appeal Information

PROBATION

1. Pre-sentence Investigation
2. Supervision

COURTS

1. Trial Information

CITY MANAGER OR ADMINISTRATIVE OFFICERS

1. Workload Information
2. Costs
3. Budget Performance
4. Problem Areas

PLANNERS AND RESEARCHERS

1. Physical Characteristics
2. Long Range - Criminal Justice
3. Operational Evaluation - Criminal Justice
4. Profiles - Criminal Justice

EXHIBIT 2-4

STANDARDIZED CRIME REPORT STUDY FORM

STANDARDIZED CRIME REPORT STUDY		
AGENCY:		
FUNCTION:		
INFORMATION REQUIREMENT:		
PURPOSE/USE OF INFORMATION:		
DATA ELEMENTS		
NAME	FORM	DESCRIPTION

Exhibit 2-4 (Continued)

STANDARDIZED CRIME REPORT STUDY
ANALYSIS FORM DEFINITIONS

AGENCY--The organization or class of user that has a need for crime report information, e.g., Police, Prosecution, State Crime Information Bureau, Courts, FBI, etc.

FUNCTION--An operational activity (process) within an agency that uses crime report information; e.g., complaint receipt, dispatching, crime analysis, investigation-burglary, etc.

INFORMATION REQUIREMENT--A basic decision point or information need in which crime report information plays a part. For example, in the complaint receipt function one information requirement would be "the determination of the emergency/crime nature of the complaint". Another information requirement would be "the jurisdiction/location of the complaint."

PURPOSE/USE OF INFORMATION--The specific purpose or use of the crime report information, e.g., to determine which law enforcement agency should handle the complaint would be one of the purposes of establishing the jurisdiction of the complaint. The use of information needed to determine the emergency/crime nature of the complaint would fall into categories such as the priority of the complaint, number of cars to dispatch, or the external agencies to be notified as fire, ambulance, etc.

DATA ELEMENTS--The specific items of information to be collected to meet the information requirement.

Name--The usual name given to the data element by most agencies.

Form--The manner in which the data element is most often recorded, e.g., date of birth is recorded by numerical day-month-year; (4-7-48) or whether the data element is a check-off box, etc.

Description--A short nomenclature of the data element, e.g., DOB could be simply defined as date of birth usually recorded by day-month-year and the basic age data in crime reporting.

The information uses were reorganized into six general function or process categories with some 30 crime data uses associated with them. These crime report data uses are presented in Exhibit 2-6. The relationship between this condensed list of crime data uses and information requirements is presented in the matrix in Exhibit 2-7.

The identified crime report information requirements and the functional uses associated with each were evaluated in terms of the event data elements needed to support the uses. This analysis and the resultant crime report data elements are presented in Section 3.

Exhibit 2-5

CRIME REPORT INFORMATION REQUIREMENTS

EVENT FACTS

- Description (what, how, why)
- Criminal Justice Response (actions taken, follow-up, arrest, bail, etc.)
- Outcome (findings and disposition)

LOCATIONS

- Where event occurred
- Where police action occurred
- Where persons can be contacted

PERSONS

- Classification of included persons (victim, suspect, witness)
- Description of who is involved (positive identification and/or descriptors)
- How involved

TIME

- When event occurred
- When police actions taken

PROPERTY

- Status of property (loss, recovered, physical evidence)
- Action taken with property
- Outcome (recovered, evidence, examination result)

Exhibit 2-6

CRIME REPORT INFORMATION USES BY FUNCTION

EVENT ORIGINATION

- Determine jurisdictional/functional responsibility
- Determine required police response
- Identify persons to contact
- Identify location of event
- Identify police response provided and the outcome

INITIAL INVESTIGATION

- Determine the nature of the event and data to support or direct subsequent police action
- Aid the development of the case for prosecution
- Identify and, if possible, apprehend the perpetrator
- Aid in the recovery of stolen or lost property
- Assist in the deployment of resources and evaluation of police strategies and tactics

ARREST PROCESS

- Determine arrest authority and legality
- Identify the risk potential (to officer, public, suspect)
- Document the facts of arrest for the prosecution process
- Make positive identification of person arrested
- Aid in determining subsequent actions and dispositions

PROSECUTION PROCESS

- Identify elements of crime
- Aid in filing decision
- Determine victim status
- Determine witness status
- Determine offender status
- Determine evidence status

PROBATION PROCESS

- Establish identification and history of offender
- Develop a complete description of event
- Assist in making recommendations to court
- Establish identification and relationships of victim/witnesses

PLANNING PROCESS

- Determine resource needs
- Develop crime reduction and action programs
- Evaluate operational programs
- Evaluate city planning process
- Define offender profiles

Exhibit 2-7

RELATIONSHIP OF USES OF CRIME DATA TO THE CATEGORIES OF CRIME REPORT INFORMATION REQUIREMENTC.

USES \ INFORMATION REQUIREMENT	EVENT	Description	Response	Outcome	LOCATIONS	Event	Police action	Person to contact	PERSONS	Classification	Description	How involved	TIME	Event	Police action	PROPERTY	Status	Action taken	Outcome
EVENT ORIGINATION	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Determine juris./func. responsibility	•	•			•	•			•	•		•				•	•		
Determine required police response	•	•			•	•		•	•	•	•	•	•	•		•	•	•	
Identify persons to contact	•	•							•	•	•	•							
Identify location of event	•				•	•		•								•			
Identify police response provided/outcome	•		•	•	•		•						•		•			•	•
INITIAL INVESTIGATION	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Deter. nature of event and data to support/direct sub. police action	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Aid the development for prosecution	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Identify/apprehend the perpetrator	•	•			•	•		•	•	•	•	•							
Aid in recovery of stolen/lost property	•				•	•										•	•	•	
Assist deployment of resources/eval. of police strategies/tactics	•	•	•	•	•	•	•		•	•		•	•	•	•	•	•	•	•
ARREST PROCESS	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Determine arrest authority/legality	•	•			•	•			•	•	•	•	•	•		•	•		
Identify risk potential	•	•			•	•			•	•	•	•	•	•		•	•	•	
Document facts for prosecution process	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Make positive ident. of person arrested									•	•	•	•							
Aid in deter. sub. actions/dispositions	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
PROSECUTION PROCESS	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Identify elements of crime	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Aid in filing decision .	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Determine victim status									•	•	•	•							
Determine witness status									•	•	•	•							
Determine offender status									•	•	•	•							
Determine evidence status																•	•	•	•
PROBATION PROCESS	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Establish ident/history of offender									•	•	•	•							
Develop complete description of event	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Assist in recommendations to court	•	•	•	•	•	•	•	•	•	•	•	•							
Establish victim/witness relationship	•	•			•	•		•	•	•	•	•							
PLANNING PROCESS	•	•	•	•	•	•	•		•	•	•	•	•	•	•	•	•	•	•
Determine resource needs	•	•	•	•	•	•	•						•	•	•				
Develop crime reduction/action programs	•	•	•	•	•	•	•		•	•	•	•	•	•	•	•	•	•	•
Evaluate operational programs	•	•	•	•	•	•	•						•	•	•	•	•	•	•
Evaluate city planning process	•	•	•	•	•	•	•		•	•	•	•	•	•	•	•	•	•	•
Define offender profiles	•	•			•	•			•	•	•	•	•	•		•	•		

Section 3

DEVELOPMENT OF STANDARDIZED DATA ELEMENTS

Once the crime event information requirements of the various users were known, the data elements could be identified. The Standardized Crime Reporting System Committee established a Data Element Subcommittee to translate the information needs concerning the event, the law enforcement response and the outcome of the event and response into specific data elements. Data elements and data items were identified. These were coordinated with the design of prototype report forms to identify the best method of collecting the information. The results of this step are a list of data elements/items that are required for crime reporting and a suggested set for report forms for use in subsequent testing of SCRS.

DATA ELEMENTS

An initial list of data elements were developed utilizing the following considerations:

- Results from the requirements analysis
- Analysis of the report forms used by agencies contacted during the on-site visits
- Review of UCR and NCIC requirements
- Review of National Advisory Commission on Criminal Justice Standards and Goals Report on Criminal Justice Systems
- Review of documents dealing with data element identification and definition e.g., the Department of Defense manual for standard data elements; and SEARCH's standardized data elements for criminal history files).

Information Classification Taxonomy

The data gathered by a police agency for crime reporting purposes required categorization for analysis purposes. This categorization was accomplished by identifying fairly distinct groupings of information. Examination of the raw data suggested the existence of five types of information required for crime reporting purposes.

- Event Information
- Personal Descriptors
- Property Descriptors
- Location Information
- Time Information

During this analysis it became evident there was a need to establish a definition and some standards for classifying information. A taxonomy was established consisting of the following hierarchy:

- *data group*
- *data category*
- *data chain*
- *data element*
- *data item*

Within each *data group*, event data, personal data, property data, location data, and time data there are various subsets or *data categories* representing different classifications for the same type of information. The *data categories* are generally different usages for the same type of information. Each of the *data groups* can be broken down into two or more *data categories*. Thus, the criteria for establishing a *data group* is the type of information being collected, and the criteria for establishing a *data category* within the parent group is the descriptive use of the information. For example, victim, witness, and suspect/arrestee are *data categories* within the personal information *data group*.

The *data categories* are made up of *data elements*. The *data element* is a specific class of information that dictates the number of possible descriptive responses within the element. Thus, sex is a *data element* with two possible responses. The specific responses to a *data element* are *data items* (the descriptor "male" is a *data item*). Each *data item* has some unique feature which distinguishes it from other *data items*. *Data items* are distinguishable from *data elements* since the *data element* is the class of data and the *data item* is the specific data. *Data items* may be coded, or may be of such a nature that the literal meaning or value of the item is used without further coding.

Two or more *data elements* may be linked to each other and used as a *data chain*. The *data chain* is not a new *data element* and cannot be assigned a set of *data items* different from those items of the *data elements* from which the chain is composed. For example,the normal description of vehicle license number is a *data chain* comprised of three *data elements*, number, state, and year.

The following illustration shows how the Taxonomy can be used:

Data Group	Personal Descriptors
Data Category	Victim Information
Data Chain	Date of Birth
Data Element	Day of Month
	Month of Year
	Year
Data Items	5
	June or 6
	31

DATA GROUP AND CATEGORY LISTING

Data Group	Data Categories	Data Elements or Chains (Examples)
Event information:	Crime event	Robbery
		Burglary
	Response event	Investigative contact
		Arrest
Personal information:	Victim	Name
		Address
	Witness	Name
		Address
	Suspect/Arrestee	Name
		Address
		Description
		Vehicle
		Associates
Property information:	Loss	Type
		Descriptors
	Recovered	Type
		Identifiers
	Evidence	Type
		Purpose
Location information:	Location of event occurrence	Address
		Intersection
	Location of Police action	Address
		Intersection
Time information:	Time of event occurrence	Day of week
		Date & time
	Time of Police action	Day of week
		Date & time

Data items and *data elements* are not restricted to use within any one *data category* or *data group*. As a general rule most *data items* and *data elements* are associated with particular *data categories* and *data groups*, however, different circumstances result in exceptions. Thus, vehicle information may be found in the personal *data groupings* if it pertains to a victim, witness, or suspect, and in the property *data grouping* if it pertains to being stolen, recovered or in evidence.

The *data groups* and *categories* may be viewed as an ordering of informational *data chain*, *element*, and *items*. This ordering is necessary for an understanding of the total information requirements for crime reporting purposes. Each of the *data groups* and subset *categories* were examined for information content and establishment criteria. A listing of the *data groups* and subset *categories* is presented in Exhibit 3-1, with examples of *data elements* or *data chains*.

Event Information *Data Group* is data which describes and establishes that action by someone has constituted a violation of law, or that as a result of a criminal act a response event (e.g. arrest) was initiated. Event data may be defined as conveying information concerning action and is independent of personal, property, time, or location information. Thus, event data may be viewed as the combining agent for the other four data groupings. Event data may be categorized into either crime-event data or response-event data. Thus, the event information *data group* contains two *data categories*, crime-event data and response-event data.

- Crime event information separates one crime from the total sphere of criminal activity and allows for the comparison of offenses within categories. Crime event information establishes the criminal activity. It can come from victims, witnesses, or by circumstance. It covers the actions of the offender and includes the means by which his activity can be proven in court (either by testimonial or physical evidence). Within the crime-event information category are crime specific subsets (information always present for a specific type of crime) and particular offense subsets (information that might be recorded for a particular offense).

- Response event information identifies actions taken by other persons either during, or subsequent to, the crime-event. Actions by the initial reporting officer or follow-up investigator may be viewed as response-event data.

The recording of response-event data is essential to the conclusion of the crime reporting process. For example the chain of evidence must be accurately documented in the crime reporting system to support prosecutional actions.

Personal Information *Data Group* describes or identifies the personal characteristics of any person associated with the event data. Although the *data elements* within this *data group* are much the same for victims, witnesses, and suspects, the information required within the three *data categories* is highly variable. The information collected on a suspect may be vague and limited while information on an arrestee is as extensive and accurate as possible. Personal data includes identifying data on persons connected with response-event action. Exhibit 3-2 is an illustration of the relationship of personal description *data elements* to various classes of people associated with a crime event.

Property Information *Data Group* includes any data that describes or identifies any actual physical property or a condition of such property. The categorization of the property *data group* is based on the status or use of the property described. Thus, property *data categories* can be identified as loss (stolen) recovery, or evidence; each *data category* using similar *data elements*.

The *data elements* for property information include purpose, type, make, model, serial or identification numbers, and any other unique characteristics. These *data elements* vary between the different types of property. *Data items* are usually variably available. The relationship of property *data elements* to different classes of property is depicted in Exhibit 3-3.

Location Information *Data Group* identifies and describes the location or prescribed geographical area of a crime and/or response-event. Location information can identify specific points of event occurrence and actions within the crime or event response area. The *data categories* within the location information group include the location(s) of crime-event, and the location(s) of response-event.

Time Information *Data Group* is very similar to the location *data group* with regard to purpose, need and order. The *data elements* of this group include date, time, and day of week. The *data categories* within the time information *data group* include time of crime-event and time of response-events.

Exhibit 3-2

PERSONAL DESCRIPTORS					
DATA ELEMENTS	SUSPECT-ARRESTEE	VICTIM	WITNESS	PERSON REPORTING.	INVESTIGATIVE CONTACT
Data Elements:					
1. Name	X	X	X	X	X
2. Alias, AKA	X	X			
3. Date of Birth	X	X			
4. Sex	X	X			
5. Race	X	X			
6. Social Security No.	X				
7. State ID No.	X				
8. FBI No.	X				
9. Drivers License No.	X				
10. Misc. ID No.	X				
11. NCIC Fingerprint Class.	X				
12. Place of Birth	X				
13. Height	X				
14. Weight	X				
15. Color Eyes	X				
16. Color Hair	X				
17. Scars, Marks, Tattoos	X				
18. Best Point of Contact	X	X	X	X	X
19. BPC Phone	X	X	X	X	X
20. Residence Address	X	X	X	X	X
21. Residence Phone	X	X	X	X	X
22. Business Address	X	X	X		
23. Business Phone	X	X	X		
24. Occupation	X	X			
25. Relationship to others	X	X	X	X	X
26. Knowledge of event circumstances		X	X	X	X
27. Reliability-Validity Information		X	X	X	X
28. Parent-Guardian of juvenile: Name	X	X	X		
29. Parent-Guardian of juvenile: Address	X	X	X		
30. Parent-Guardian of juvenile: Phone	X	X	X		
31. Known Associates, Haunts, etc.	X				
32. Sobriety	X	X	X	X	
33. Under the Influence of Drugs	X	X	X	X	
34. Weapon Carried	X	X			
35. Status in criminal justice system	X	X	X	X	

Exhibit 3-3

PROPERTY DESCRIPTORS					
DATA ELEMENT	VEHICLES	GUNS	JEWELRY	ENTERT. EQUIP.	OTHER
Type/Article	X	X	X	X	X
Make/Brand	X	X	X	X	X
Year	X	X		X	X
Model	X	X	X	X	X
Serial No./VIN	X	X	X	X	X
Registration/ License No.	X	X		X	X
Color	X	X	X	X	X
Size	X	X	X	X	X
Identifying Marks	X	X	X	X	X
Number of Items	X	X	X	X	X
Dollar Value	X	X	X	X	X
Caliber		X			
Barrel Length		X			

Development of Data Elements and Items

The data element list was developed by examining each of the law enforcement functions of complaint receipt, dispatch, initial investigation, follow-up investigation, arrest and case preparation as it applies to crime report data. Each function was evaluated as it related to: (1) an event, (2) the law enforcement response to an event, and (3) the outcome of the event/response interaction. At each juncture the basic questions of who, what, where, why, when, and how was applied and the resultant data elements defined. These results were related to the data taxonomy. The data (information) blocks from the report form analysis were checked against this list to identify any elements that may have been missed. This process resulted in a list of data elements that subsequently have been reviewed and modified.

Another effort was identifying the appropriate *data items* for each *data element* and where necessary the *data item codes*. A number of references were used including those forms and reporting guides obtained during the surveys and the IACP Reporting Guide. The Data Element Subcommittee, as much as possible, used the NCIC Operating Manual's codes. A list of data elements' data items by crime reporting processes appears in Appendix B.

Concurrently with this subtask, the SCRS subcommittee on forms design developed prototype test report forms to be used during the test of the system. Both subcommittees had joint meetings to identify which was the best method of recording each *data item*. Upon completion of these joint meetings a *data element* and *data item code* list was established (see Exhibit 3-4). The associated reports that may contain the *data item* are indicated on the right-hand side of the table.

EXHIBIT 3-4

"STANDARDIZED CRIME REPORTING SYSTEM DATA ELEMENTS AND DATA ITEMS/CODES"

This Exhibit lists all data elements determined to be mandatory for a crime reporting system. Each data element is accompanied by its appropriate data item or data code. In some cases the data item consists of several items or a data chain. The data codes, determined by the committee as being required, usually allows a selection of one or more to best descirbe the situation. Further explanation is presented for certain data elements, items and codes. Suggested formats are identified for determining how the data element should be placed on the report form.

The last entry in the exhibit is an indicator to determine on which report form the data element appears. Certain data elements are appropriate only in those areas where there is new information which adds, deletes, or modifies previous information. In those cases a (/) symbol is used.

STANDARDIZED CRIME REPORTING SYSTEM DATA ELEMENTS AND DATA ITEMS/CODES

DATA ELEMENTS	DATA ITEMS AND DATA CODES		DEFINITION OR EXPLANATION	FORMAT	REPORT FORM			
	KEY: DI = DATA ITEM DC = DATA CODE CODE			Key: FI = Fill in CB = Check box N = Narrative	COMPLAINT	CRIME/EVENT	ARREST	FOLLOW-UP INV.
1. Name	DI	• Last name • First name or initial • Middle name or initial • Suffix denoting seniority (e.g., Jr., II, etc.)	Surnames, titles or degrees of individuals, including foreign titles and degrees, and their abbreviations, e.g., Mr., Ms., Miss, Prof., Ph.D., Col., D.D.S., Dr., Rev., etc., are not considered part of the individual's name.	FI	x	x	x	x
2. Alias, AKA, nickname	DI	• Last name • First name or initial • Middle name or initial • Suffix denoting seniority (e.g., Jr., II, etc.)	Surnames, titles or degrees of individuals, including foreign titles and degrees, and their abbreviations, e.g., Mr., Ms., Miss, Prof., Ph.D., Col., D.D.S., Dr., Rev., etc., may be included as an alias when it is known or believed the title or degree will be used by the individual when identifying himself/herself.	FI			x	x
3. Date of birth/age	DI	• Month • Day • Year	If date of birth is unknown, indicate year of birth in lieu of age	FI	x	x	x	/
4. Sex	DC	• Male • Female		FI	x	x	x	/
5. Race	DC	• White (including Mexicans and Latins) • Negro • Indian, American • Chinese • Japanese • All other (including Asians, Koreans, Filipinos, Indonesians, Eskimos, Polynesians, and other)	Each community can expand the basic list (NCIC) codes to better describe ethnic characteristics of community.	FI	x	x	x	/
6. Social Security number	DI		Reference NCIC Operating Manual	FI			x	x
7. Driver's license number	DI		Reference NCIC Operating Manual	FI			x	x
8. Height	DI		Reference NCIC Operating Manual	FI		x	x	/
9. Weight	DI		Reference NCIC Operating Manual	FI		x	x	/
10. Color eyes	DI		Reference NCIC Operating Manual	FI		x	x	/
11. Color hair	DI		Reference NCIC Operating Manual	FI		x	x	/
12. Scars, marks, tattoos, clothes	DI		Reference NCIC Operating Manual	FI	x		x	/
13. Point of contact: address/location/geo code/beat	DI	• Number of house or building • Street name showing direction (N, E, NE, etc.) • Suffix identifying, such as Apt. No., floor, room number, etc. • Beat/geo code	Record the location of the incident. Give the name of the street and number of the house or building. If the incident occurred at an intersection, report the names of the intersecting streets. If it took place in a building with numbered apartments or offices, include the number of the apartment or office space. If it occurred in rural area, indicate the number of feet, miles, etc., and direction to the closest point of reference.	FI	x	x	x	x

14. Relationship	DI		Explain by a word or phrase of where event is occurring, for example: --Inside --Alley --Front --Driveway --Rear --Garage (Private), Carport --Side --Parking Lot --Roof	FI	x	x		x
15. Premise Code	DC	• highway • residence • commercial • gas station • chain store • bank • cargo/transportation • other	Check off box and describe:	CB		x		/
16. Point of contact: Phone	DI	• Area code and phone number		FI	x	x	x	x
17. Occupation	DI		Principal occupation of suspect, even if unemployed. If the person is in the armed service, indicate branch and rank. Also, if student, housewife, or retired.	FI			x	
18. Relationship to others	DC	• suspect is unknown to victim • unknown relationship • suspect is known: _____ _____	Check off boxes and describe:	CB		x		x
19. Knowledge of event	DI		Narrative explanation describing what victim knows about event and his ability to testify.	N		x		x
20. Under influence of drugs/alcohol	DC	• Drugs • Alcohol	Check off boxes and describe	CB		x	x	
21. Armed	DC	• Yes • No	Check off boxes and describe	CB			x	
22. Status in criminal justice system	DC	• Probation • Parole • R.O.R. • Bail • Prior arrest • Unknown	Check off boxes and describe	CB			x	/
23. Nature of event	DI		Describe nature of event using descriptive phrase. Also include extent of victim's injury or property damage/loss. Do not use descriptive terms such as take report, suspicious circumstances.	FI	x	x		x
24. Event number	DI		A unique number assigned to the event and no other event. All reports about this event will contain this number.	FI	x	x	x	x
25. Priority of field response	DC	• Urgent • Routine • As available	Check off boxes	CB	x			

STANDARDIZED CRIME REPORTING SYSTEM DATA ELEMENTS AND DATA ITEMS/CODES—Continued

DATA ELEMENTS	DATA ITEMS AND DATA CODES		DEFINITION OR EXPLANATION	FORMAT	REPORT FORM			
	KEY: DI = DATA ITEM DC = DATA CODE			Key: FI = Fill in CB = Check box N = Narrative	COMPLAINT	CRIME/EVENT	ARREST	FOLLOW-UP INV.
	CODE							
26. Event status	DC	• In progress/Developing • Just occurred/Recent • Cold • Unknown/Incomplete call	*Event Status*—The status of the incident which has prompted the request for service if classified relative to the time of occurrence and/or existence of meaningful information at the scene. • *In Progress/Developing:* Calling party can see or hear or otherwise knows that the activity which prompted this call is now taking place; or something is going on which makes the calling party feel quite sure that such an incident is imminent. • *Just Occurred/Recent:* The event being reported has just taken place or is so recent that the scene is essentially intact; witnesses may or may not be available; suspect not at scene. • *Cold:* Incident has taken place; probably no useful clues at scene; report and/or follow-up required. • *Unknown/Incomplete Call:* Caller requests police assistance but refuses or is not able to describe reason for call.	CB	x			
27. Primary unit identification number	DI		This is the unit responsible for handling the assignment.	FI	x			
28. Support unit identification number(s)	DI		This is the backup unit(s) dispatched to support the primary unit.	FI	x			
29. Hazard factors	DC	• Weapons involved • Gang/Crowd • Drugs/Alcohol • Mental	Check off boxes and describe.	CB	x			
30. Date and time	DI	• Month • Day • Year • Time	Use military time	FI	x	x	x	x
31. Person reporting event "refused" to give name	DC	• Refused		CB	x			
32. How call was received	DC	• Phone • Walk in • On view • Other		CB	x			

33. Vehicle description	DI	• Year • Make • Model • Body style • Color(s) • License number • VIN number • State of license number • Year of license number • Condition of car body	Reference NCIC Operation Manual	FI	x	x	x	/
34. Last seen heading	DI		Refers to direction suspect/vehicle was last seen heading	FI	x			
35. Remarks	DI		Additional comments made in narrative form	N	x	x	x	x
36. Action initiated	DC	• Field response • Office response • No response____Why?_____ • Referred to:_____	Check off boxes and describe	CB	x			
37. Identification number	DI		Fill in the identification number of operator, dispatcher, officers, etc.	FI	x	x	x	x
38. Disposition—complaint **Disposition—investigation**	DC	• Report, type_____ • Arrest_____ Citation • Gone on arrival • Invalid address • Unable to locate complainant • Void • Civil • Referred to • Adjusted at scene • Active • Cleared by arrest • Cleared by exception. How?_____ • Unfounded—Why? • Booked/in custody • Bail $_____ • R.O.R. • Transferred • Released (in custody of)	Check off boxes and fill in for dispositions: civil, referred to, adjusted at scene, cleared by exception, unfounded, bail and released should be explained in remarks/narrative	CB, FI, N	x	x	x	x
39. Classification of crime	DI		Fill in with common term describing most serious UCR crime classification	FI	x	x		x
40. Location of contact	DC	• Business • Parent or guardian • School		CB		x		/
41. Type of person	DC	• Reporting person • Witness • Suspect • Parent or guardian		CB		x		/
42. Personal injury	DC	• Yes • No • Death • Injury, hospitalized • Minor injuries	Check off box and describe	CB		x		/

STANDARDIZED CRIME REPORTING SYSTEM DATA ELEMENTS AND DATA ITEMS/CODES—Continued

DATA ELEMENTS	DATA ITEMS AND DATA CODES		DEFINITION OR EXPLANATION	FORMAT	REPORT FORM			
	KEY: DI = DATA ITEM DC = DATA CODE			Key: FI = Fill in CB = Check box N = Narrative	COMPLAINT	CRIME/EVENT	ARREST	FOLLOW-UP INV.
	CODE							
43. Items taken	DC	• Cash, etc. • Clothes • Jewels • Furs • Vehicle • Firearm • Livestock • Other_____ • Total value $_____	Check off boxes and fill in	CB, FI		x		/
44. Method of entry	DC	• Lawful • Forced • No force • Attempted force		CB		x		/
45. Weapon/Force used	DC	• Handgun • Other gun • Knife/cutting instrument • Hands/feet • Threat • Other_____	Check off boxes and describe	CB		x		/
46. Theft class	DC	• Motor vehicle accessories • Theft from motor vehicle • Bike • Coin-operated device • Trick/device • From person • Purse snatch • Shoplift • Cargo • Other_____	Check off boxes and describe	CB		x		/
47. Other crimes / classifications event can justify (not lessor included)	DI		Fill in by listing all crime classifications that event can justify—not just highest assigned classification, but not to detail lesser included offenses	FI		x		/
48. Tool(s) used	DI		Narrative—explain by word or phrase	FI		x		/
49. Point of entry/exit	DI		Narrative—explain by word or phrase	FI		x		/
50. Trademark including apparent intent of perpetrator	DI		Fill in the crime which most describes the intent of the perpetrator and word or phrase to describe trademark	FI		x		/

51. Narrative	DI		Narrative description should include statements of whether or not and results of: --crime scene search --neighborhood checks --search for suspect --evidence collected --witness/inv. contact statements --line-up on suspect --interrogate suspect(s) --vehicle towed	N	x	x	x	x
52. Additional data	DC	• Other reports submitted_____ • Additional distribution_____	Check off boxes and fill in.	CB, FI		x	x	
53. Notifications	DI		Describe and fill in with agency, unit, etc. Indicate here those requests or notifications for assistance that are requested by the reporting officer at the scene, by radio or telephone, for criminal investigators, coroner, ambulance, or tow truck. (This is not for purpose of requesting at a later date, but to record those requests for immediate service during the officer's preliminary investigation.) Also, indicate requests for NCIC checks, radio APB's, teletypes, and other. Also applies to parents/guardians.	N	x	x	x	
54. Witness/Investigative contact relationship to others	DI		Narrative description of witness/investigative contact with other persons involved in incident.	N		x		/
55. Property description	DC	• type/article • make/brand • year • model (number) • serial number • registration/license number. • color • size • identifying marks • number of items • dollar value • caliber • barrel length	Reference NCIC Operating Manual for specific codes.	N		x	x	x
56. Officer availability	DC	• Off • Vacation • Day • Month • Year • Time	Check off boxes and fill in.	CB, FI		x	x	
57. Charge(s) (Sections and literals)	DI		The Penal Code for the charge and its literal interpretation.	FI			x	
58. Local identification number, i.e., arrest/booking number	DI		Enter appropriate number.	FI			x	x
59. Resistance to arrest	DC	• Fled • Attacked • Abusive • Passive	Check off boxes and explain in narrative.	CB			x	

STANDARDIZED CRIME REPORTING SYSTEM DATA ELEMENTS AND DATA ITEMS/CODES—Continued

DATA ELEMENTS	DATA ITEMS AND DATA CODES		DEFINITION OR EXPLANATION	FORMAT	REPORT FORM			
	KEY: DI = DATA ITEM DC = DATA CODE CODE			Key: FI = Fill in CB = Check box N = Narrative	COMPLAINT	CRIME/EVENT	ARREST	FOLLOW-UP INV.
60. How arrest was made	DC	• On view • Warrant • Citizen • Call • Investigation	Check off boxes and explain in narrative.	CB			x	
61. Rights explained	DC	• Yes • No	Check off boxes and explain in narrative.	CB			x	
62. Response to rights	DC	• Silent • Waived • Understood • Statement	Check off boxes and explain in narrative.	CB			x	
63. Disposition of vehicle	DC	• Hold	Narrative fill in and check box. Describe if vehicle held or towed.	CB, FI		x	x	
64. Search employed	DC	• Person • Premise • Vehicle • Property • None	Check off boxes and explain in narrative.	CB, N			x	
65. Reason for disposition	DC	• Insufficient evidence • New evidence • Complaint petition filed • Jurisdictional authority • Death • Other:_____	Check off boxes and describe	CB			x	
66. Arresting agency	DI		Fill in—Agency who made arrest	FI			x	
67. Change/Reported crime to	DI		Fill in change in reported crime to indicate correct type of crime.	FI				x
68. Classification changed to	DI		Fill in corrected UCR classification if a change was made in the crime reported	FI				x
69. Value of loss $_____	DI		Fill in revised value of loss after investigation in dollars (estimate if not known)	FI		x		x
70. Value of recovery $_____	DI		Fill in the value in dollars of the property recovered (estimate if not known)	FI		x		x
71. Where property recovered	DI		Fill in location of recovery and address	FI		x		x
72. M.O. changes	DI		Fill in changes in M.O. that may be different than original report.	FI				x

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Section 4

PROTOTYPE CRIME REPORTING SYSTEM

The SCRS committee decided early in the project that the development of a standardized crime report form was not a goal of the project. The SCRS committee did agree that forms had to be designed for adequate testing of data elements and for testing and evaluating an implemented Standardized Crime Reporting System in an operational environment. Only after the testing will a set of model crime reporting forms be available for promulgation.

Several formats were considered and evaluated. Consideration was given to such factors as: (1) data collection, (2) data processing, (3) user requirements, (4) the availability of data, and (5) in what percentage of the events data would be relevant. For example, if a data element is available in 90-100% of the cases, it should logically be included on a basic form, while another data element found in only 10-20% of the cases should be logically placed in the narrative or a secondary format.

The final suggested design gave major consideration to the above factors. The report formats were designed around basic data requirements appearing in a structured format, followed by an unstuctured portion of the form devoted to items of information which would not be utilized, or even be available, in every case. Because a number of agencies have already adopted the technique of producing index cards from the original report for indexing purposes, the suggested event and arrest report format design incorporated this feature.

The forms subcommittee also had lengthy discussions concerning the method for capturing data; typed, handwritten, dictated, etc. The suggested forms were designed to be compatible with most recording systems. An important aspect is that each data element must be captured. The person recording an event has to report on each and every data element whether it is captured via a check-off box, fill-in, or is described in the narrative. The SCRS committee gave strong consideration to standardizing input and definition.

The following non-standard abbreviations are used on these forms:

AKA = Also Known As
BPC = Best Point of Contact
BUS = Business
CAL = Caliber
CJS = Criminal Justice System
COMM = Commercial
DOB = Date of Birth
HT = Height
IC = Investigative Contract
INST = Instrument
INSUFF = Insufficient
INVST = Investigation
LIC = License
MO = Modus
MV = Motor Vehicle
PG = Parent or Guardian
REG = Registration
ROR = Released on Own Recognizance
RPTS = Reports
SN = Serial Number
SUSP = Suspect
TRANS = Transportation
WIT = Witness
WT = Weight

The SCRS form set consist of four (4) documents designed to capture information and provide linking of the reports from all phases of a law enforcement agency's activity relating to an event. These activities begin with the receipt of a complaint or request for service, extend through dispatching, initial case preparation, follow-up investigation, and apprehension. Departments may require specialized crime reports for specific offense types or detailed explanations, and instructions in the report writing manual.

The concept of the linking of associated reports on an event is vital to the design of these forms. Without it, the continuity of the case could be seriously impaired. Each time a document is prepared, sufficient information must be recorded to identify the original event and the disposition or transmittal of the document to the next step. Therefore, each form in this set contains data elements which link it to previous documents (Event Number, Complainant's or Victim's Name, etc.) which identifies it if the case is moving to another step (Disposition, Referred to, etc.).

The four (4) Prototype Standardized Crime Reporting forms are:

- Complaint/Dispatch Report Form
- Crime/Event Report Form
- Follow-up Investigation Report Form
- Arrest Report Form

The forms must be accompanied by a very detailed report writing manual which provides detailed instructions on how to complete the form. The manual should contain appropriate formats for completing various portions of the narrative part of the form.

COMPLAINT/DISPATCH REPORT FORM

The data captured by the complaint receipt and dispatch process have been combined onto a single punch card style form due to the close relationship between the two. Specifically, the urgency involved in some calls for service would make it extremely undesirable to require the preparation of an additional form for the dispatch function.

The punch card style was chosen for this form because of its durability and adaptability to the mechanical conveyor belts and automatic activated status display boards found in many communication centers. Agencies utilizing electronic data processing for these two processes may want to consider using this source document as the input document to their computer systems; however, the procedural problems of keypunching on a source document may outweigh the advantages of combining both functions in one document.

The form is designed to capture the most urgent data elements on the front side, while the back side is used to capture the data elements which can reasonably be obtained after the initial unit has been dispatched.

The prototype Complaint/Dispatch Report Form is presented in Exhibit 4-1.

CRIME/EVENT REPORT FORM

The basic information concerning an event will be reported on a 8½ x 11 Crime/Event Report. The front of the report contains space to capture data that is available to almost every event. The reverse side of the form is utilized to identify suspects, witnesses, and property and record additional narrative comments and opinions on the crime event. Information in the upper right-hand corner of the front of the report is reproducable in an index card format for use in creating index files. While a number of check-off boxes are used, most of these are used to indicate the occurrence or presence of an item or action and are also to be explained within the narrative of the report (e.g., method of entry, weapon/force used, under the influence, personal injury, and theft class).

The prototype Crime/Event Report Form is presented in Exhibit 4-2 (front of report) and Exhibit 4-3 (reverse side of report).

FOLLOW-UP INVESTIGATION REPORT

The follow-up investigation report is used to report on any subsequent event activities or additional information received concerning a reported event. It is a single sided, 8 1/2 x 11 form and is relatively unstructured (mostly narrative in form). The structured section of the form contains information to link the report to the original event and Complaint/Dispatch Report (event number and victim/complainant's name), changes in event classification, identification of new suspects, etc.

The prototype Follow-up Investigation Report Format is presented in Exhibit 4-4.

ARREST REPORT

Information relating to the apprehension process is captured on a single sided 8 1/2 x 11 form. Categories of data include Arrestee, Arrestor(s), Notifications, Arrest Facts, and Outcome of Arrest (disposition) descriptions. The upper-right-hand section of the report is reproducible as a 3 x 5 card, similar to the Event Report. Again, as on the Event Report most check-off boxes indicate an action or item that is to be further detailed in the narrative section.

The prototype Arrest Report Format is presented in Exhibit 4-5.

Complaint Report
(Front)
SCRS

LINE

Nature of Event	Event No.	☐ URGENT ☐ ROUTINE ☐ AS AVAIL	1
Location of Event	Relation	☐ I.P./DEVL'NG ☐ COLD	2
☐ WEAPONS INVOLVED ☐ GANG/CROWD ☐ DRUGS/ALCOHOL ☐ MENTAL		☐ J.O./RECENT ☐ INCOMPLETE	3

Time Received	Time Dispatched	Time on Scene	Time Cleared	
				4

Person Reporting Event	Refused ☐	Address	Phone	
				5

HOW CALL WAS RECEIVED: 1. ☐ PHONE 2. ☐ WALKIN 3. ☐ ON VIEW 4. ☐ OTHER — 6

Suspects Description (Name, sex, race, age, clothing)	Last Seen Heading:	7
Suspect Vehicle Description (Yr., Mk., Mod., Body, Color(s), Lic. No., State)		8
Remarks:		9
	Operators I.D. No.	10
Action Initiated 1. ☐ Fld. resp. 2. ☐ Office resp. 3. ☐ No resp.—Why? 4. ☐ Referred to:	Dispatchers I.D. No.	11

Complaint-Event Report SCRS Form No. 1.1E (11/21/73) Agency Name

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Complaint Report
(Back)
SCRS

Additional Suspects Description (Name, sex, race, age, clothing)	Last seen heading: 1
	2
Additional Suspects Description (Name, sex, race, age, clothing)	3

Event Disposition
1. ☐ REPORT, TYPE_____ 3. ☐ GOA 5. ☐ U.T.L. COMPL. 7. ☐ CIVIL 9. ☐ ADJUSTED AT SCENE
2. ☐ ARREST—CITATION 4. ☐ INVALID ADDRESS 6. ☐ VOID 8. ☐ REFERRED — 4

10. ☐ EXPLAIN, 7, 8, & 9: — 5

LOCATION OF EVENT, BEAT, AND GEO. CODE — 6

Exhibit 4-1. Prototype Complaint/Dispatch Report Form

Complaint—Event Report Agency Name
SCRS Form No. 1.1E (11/21/73)

1A	Reporting Officers Name	I.D. No.	
2A	2nd Officers Name	I.D. No.	
3A	**Items Taken** 1. ☐ Cash, etc. 4. ☐ Furs 7. ☐ Livestock 2. ☐ Clothes 5. ☐ Vehicle 8. ☐ Other_____ 3. ☐ Jewels 6. ☐ Firearm Total value $_____		
4A	**Method of Entry** 1. ☐ Lawful 3. ☐ No force 2. ☐ Forced 4. ☐ Attempt force		
5A	**Weapon/Force Used** 1. ☐ Handgun 4. ☐ Hands/feet 2. ☐ Other gun 5. ☐ Threat 3. ☐ Knife/cutting inst. 6. ☐ Other: _____		
6A	**Premise Code** 1. ☐ Street 4. ☐ Bank 7. ☐ Public bldg. 2. ☐ Gas station 5. ☐ Resid. 8. ☐ Cargo/trans. 3. ☐ Chain store 6. ☐ Comm. 9. ☐ Other: _____		
	Victim/Complainants Name	Event No.	1
	Location of Event	Relationship / Geo. Codes	2
	Crime/Event	Classification	3
	Victims Sex, Race, D.O.B. / Under Influence Of: ☐ Drugs ☐ Alcohol	Occupation	4
	Victims/Complainants Residence Address	Phone	5
	Other B.P.C. / Bus. ☐ P.G. ☐ School ☐	B.P.C. Phone	6
	Additional Persons Name / ☐ Person ☐ Witness / ☐ Suspect ☐ P-G	Addit B.P.C. Phone	7
	Additional Persons B.P.C. Address	2nd B.P.C. Phone	8
	Date/Time Occurred	Date/Time of Report	9
	Personal Injury 1. ☐ DEATH 2. ☐ INJURY, HOSPITALIZED 3. ☐ MINOR INJURIES		10
	THEFT CLASS 1. ☐ M.V. Accessory 3. ☐ Bike 5. ☐ Trick/Device 7. ☐ Purse Snatch 9. ☐ Cargo 2. ☐ Theft from M.V. 4. ☐ Coin Op. Device 6. ☐ From Person 8. ☐ Shoplift 10. ☐ Other: _____		11
	Other Crimes/Classifications Event Can Justify (Not lessor included)		12
	Tool(s) Used / Point of Entry—Exit / Trademark Including Apparent Intent of Perpetrator		13
	Involved Vehicle (Year, make, body, color(s), condition, license no., veh. no., state):		14
	Narrative (Refer to report writing guide):		15

Disposition 1. ☐ Active 2. ☐ Cleared by arrest 3. ☐ Referred to: _____ 4. ☐ Cleared by exception—How? _____ 5. ☐ Unfounded—Why? _____	**Additional Data** 1. ☐ Other RPT's submitted: _____ 2. ☐ Persons notified: _____ 3. ☐ Additional distribution to: _____	16
EVENT REPORT SCRS Agency Name Form No. 2.4 (11/21/73)	Page_____ of_____ Pages	Reviewing Officers Name I.D. No. 17

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Exhibit 4-2. **Prototype Event Report Form (Front Side)**

Suspect No. 1 (Name, sex, race, D.O.B., Ht., Wt., hair, eyes):	Arrest Bkg. No.	1
Suspect No. 1 (B.P.C., address, phone, AKA, aliases):	Arrest Bkg. No.	2
Suspect No. 2 (Name, sex, race, D.O.B., Ht., Wt., hair, eyes):		3
Suspect No. 2 (B.P.C., address, phone, AKA, aliases):		4
Relationship of Suspect(s) to Victim: 1. ☐ 2. ☐ 1. ☐ Susp. Not Known to Victim 1. ☐ 2. ☐ 2. ☐ Unknown 1. ☐ 2. ☐ 3. ☐ Susp. Known by Victim—How? _____		5
No. 1 / Wit. ☐ / I.C. ☐ — Name / Relationship to Others		6
Residence Address / Time / Phone		7
Other Best Point of Contact Address / Time / Phone / Bus. ☐ P-G ☐ School ☐		8
No. 2 / Wit. ☐ / I.C. ☐ — Name / Relationship to Others		9
Residence Address / Time / Phone		10
Other Best Point of Contact Address / Time / Phone / Bus. ☐ P-G ☐ School ☐		11
Credibility—Knowledge of Event Narrative:		12

No. of Items	Type/Make/Brand	Year/Model	S/N—Reg—Lic. No.	Color(s)/I.D. Marks	Cal—Size	Value
1.						
2.						
3.						
4.						
5.						

13

14

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Exhibit 4-3. **Prototype Event Report Form (Reverse Side)**

Victims/Complainants Name				Event No.	
Reported Crime	Classification	Change To	Classification		2
Name of Suspect No. 1		Sex, Race, D.O.B., Ht., Wt.		Local I.D. No.	3
Name of Suspect No. 2		Sex, Race, D.O.B., Ht., Wt.		Local I.D. No.	4
Revised Value of Loss $	Value of Recovery $	Where Property Recovered			5
M.O. Changes					6
Document Investigation Completed to Date					7

Disposition
1. ☐ Arrest 2. ☐ Unfounded 3. ☐ Active
4. ☐ Referred to: _____
5. ☐ Cleared by exception—Why? _____

Reviewing Officers Name	I.D. No.	8

Follow-up Investigation Report SCRS Report No. 4B	Agency Name (11/21/73)	Investigators Name	I.D. No.	Approving Supervisors Name	I.D. No.	9

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Exhibit 4-4. Prototype Follow-up Investigation Report Form

1A	Resistance to Arrest 1. ☐ Fled 2. ☐ Attacked 3. ☐ Abusive 4. ☐ Passive	Arrestee's Name	Event No. 1
2A	How Arrest Was Made 1. ☐ On View 2. ☐ Warrant 3. ☐ Citizen 4. ☐ Call 5. ☐ Invest	Arrestee's Sex, Race, D.O.B., Ht., Wt., Hair, Eyes, Scars, etc.	Arrest/Booking No. 2
3A	Under Influence Of: 1. ☐ Drugs 2. ☐ Alcohol	Injury 1. ☐ Yes 2. ☐ No	Victim's Name 3
4A	Rights Explained 1. ☐ Yes 2. ☐ No	Response To Rights 1. ☐ Silent 2. ☐ Waived 3. ☐ Understood 4. ☐ Statement	Residence Address / Phone 4
5A	Armed 1. ☐ Yes 2. ☐ No		Business Address (School) / Phone 5
6A	Status In C.J.S. 1. ☐ Probation 2. ☐ Parole 3. ☐ R.O.R. 4. ☐ Bail 5. ☐ Prior arrest 6. ☐ Unknown		Occupation / Drivers Lic. No./State / Social Security No. 6
7A	Name of Parent or Guardian No.1 / Phone		Name and I.D. No.—Arresting Officer No. 1 / Not Avail: _____ ☐ Off ☐ Vacation 7
8A	Address of P-G No. 1		Name and I.D. No.—Arresting Officer No. 2 / Not Avail: _____ ☐ Off ☐ Vacation 8
9A	Name of Parent or Guardian No. 2 / Phone		Date/Time of Arrest / Address of Arrest / Geo. Code 9
	Address of P-G No. 2		Charge(s) (Section & Literals) / Local I.D. No. 10
		Parents—Guardians Notified P-G No. 1 ☐ Yes ☐ No Date/Time _____ P-G No. 2 ☐ Yes ☐ No Date/Time _____	Officer's Name / I.D. No. 11
	Vehicle (Year, make, model, body, color(s), license, (veh. no., state):		Disposition of Vehicle / Hold ☐ 12
	Narrative (refer to report writing guide):		13

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Search Employed 1. ☐ Person 2. ☐ Premise 3. ☐ Vehicle 4. ☐ Property 5. ☐ None	Notification Investigators notified: _____ Other C.J.S. personnel notified: _____ Other C.J.S. personnel notified: _____	Date/Time	Officers Name / I.D. No. 14
Date/Time of Searching/Booking	Name/I.D. No. of Searching/Booking Officer	Location of Booking	15
Disposition 1. ☐ Booked/in custody 2. ☐ Cited 3. ☐ Bail $_____ 4. ☐ R.O.R. 5. ☐ Referred/transferred 6. ☐ Released 7. ☐ Exceptional clearace 8. ☐ Released—In custody of: _____			Reason for Disposition 1. ☐ Insufficient evidence 2. ☐ New evidence 3. ☐ Complaint petition filed 4. ☐ Jurisdictional authority 5. ☐ Death 6. ☐ Other: _____ 16
ARREST REPORT SCRS Form No. 3A Agency Name (11/21/73)	Arresting Agency	Court Officer / I.D. No.	Approving Supervisors Name / I.D. No. 17

Exhibit 4-5. Prototype Arrest Report Form

Section 5

CONCEPTUAL SYSTEM DESIGN

The Standardized Crime Reporting System presented here is perceived as the integration of the three basic functions of a total crime/event information system. These functions are: (1) data capture, (2) report/data management and control, and (3) data utilization. A primary goal of the project was the definition of the information requirements of all users of crime reports and the provision of means by which useful and standardized data can be collected, stored, and disseminated on crime events and the related activities of law enforcement agencies.

The project involved developing information requirements, data elements, forms and procedures to minimize the report preparation time by law enforcement officers and increase the integrity of the reporting process. The minimization of data collection time and increasing of process integrity had to be accomplished while insuring that all useful data was obtained and forwarded through the system. The data collected and processed must allow increased modus operandi analysis and other crime analyses, enhance the ability to exchange information among the various criminal justice agencies and aid in the apprehension and prosecution of the perpetrators of crimes. An equally important aspect of this project is the development of and the assistance in the implementation process for a standardized crime reporting system and system procedures.

To accomplish this the system design consists of three functional modules. These are a data capture module, a report management and control module, and a data utilization module. These three modules are specified because an effective crime reporting system cannot operate without specific objectives and procedures for the collection, control, storage, and utilization of data. But, in effect, it is the use of data which justifies the existence of the entire reporting system. Therefore, the data or information requirements and use analysis performed by the SCRS project are the basis for this system design.

The general relationship of the three modules is portrayed in Exhibit 5-1. The data capture module serves as a data collection center. Reports are prepared covering data in two general areas: events and police response. The report writing module then feeds reports into the report management and control module. In this module, reports are reviewed and edited for quality control, distributed, processed, and stored in files. File access procedures and indexing are part of the module. The management and control module serves as the repository of data which is then available for use in the data utilization module. Three general uses of data are:

- Operational uses such as field investigations, tactical strategy, prosecution, probation, etc.
- Law Enforcement management, which includes crime analysis, monitoring of case status, manpower allocation, equipment utilization, and statistics
- Transmission of data to regional, state, and national data bases. This includes UCR, CCH, wants/warrants, stolen vehicles, and stolen property.

A conceptual diagram depicting data flow is presented in Exhibit 5-2. The exhibit shows six different reports originating in the report writing module. These report or information collection points are discussed in detail in the section of Data Capture (Section 6).

The exhibit shows various steps in the processing of reports until they are entered into files. In general, the steps include review and quality control of the reports, data reduction (extraction of data from reports for inclusion in summaries, statistical reports, data processing files, etc., and file maintenance and update.

Two files are indicated: a police activity file and an event/case file. Files are accessed through an indexing system which should include indices for persons, location, property, crime type, and event number.

The data utilization module is shown as the three crime report processing tasks of the system: (1) the presentation of information for law enforcement management purposes, (2) the processing of reports and report data for operational purposes and (3) the dissemination of reports and data to external agencies.

DATA CAPTURE MODULE

The data capture module follows closely the police response and activities caused by the initiation of an event. These police activities are depicted in Exhibit 5-3, which shows the steps in the building of a case file. The initiating event is the receipt of a complaint from the public or an incident that has otherwise come to the attention of the police. The first step in data collection is the recording of the public initiated calls-for-service, or police observation on a complaint/dispatch card. Dispatch, response, and service data are also the initial report to the police activity file, as it contains officer activities and response times.

If the event is not resolved by the initial police response, then an investigation process is initiated. This investigation process is followed, hopefully, by an arrest and case preparation for court. Whatever the actual procedure for a specific case, the reporting system must be capable of compiling and linking all information related to a single event. That is, when an officer begins a follow-up investigation, he should have all the pertinent information available (i.e., the dispatch card, the initial investigation, the initial crime report, etc.) from previous police activities concerning the event. The information should be compiled and organized in an orderly fashion for easy interpretation. Reports compiled in this way also facilitate the writing of the next report in the cycle. Previously recorded information does not have to be duplicated.

Unlike event-oriented reports, reports on police activity can be readily standardized for each type of police activity. Certain minimum data elements are recorded each time. Exhibit 5-4 illustrates this concept. In order to insure the effective utilization of police manpower and monitor the responsiveness of the department, the indicated minimum data elements must be collected. These data elements include date and time of occurrence, response time, consumed time, number and type of personnel involved, the activity of the police and the event disposition.

The rationale for police activity data and the mechanism to collect the required information has been developed within the SCRS Project. The management and control and data utilization of this type of data is outside the scope of this project and will not be elaborated upon.

REPORT MANAGEMENT AND CONTROL MODULE

The most important aspects of the report management and control module are the quality control procedures, file structure, storage medium, and file indexing system. A discussion of these and the features of distribution and routing, file purge and retention criteria, security and privacy, and forms control is presented in Section 7.

Quality control is certainly a key issue. Quality control begins with the recording of correct, complete, and concise data. Whenever possible, data should be verified through independent sources (supervisors, report review, etc.) and a concerted effort is made to assure that the data collected on events is correct, complete, and concise. Similarly, both the reporting about the event and reporting related to subsequent

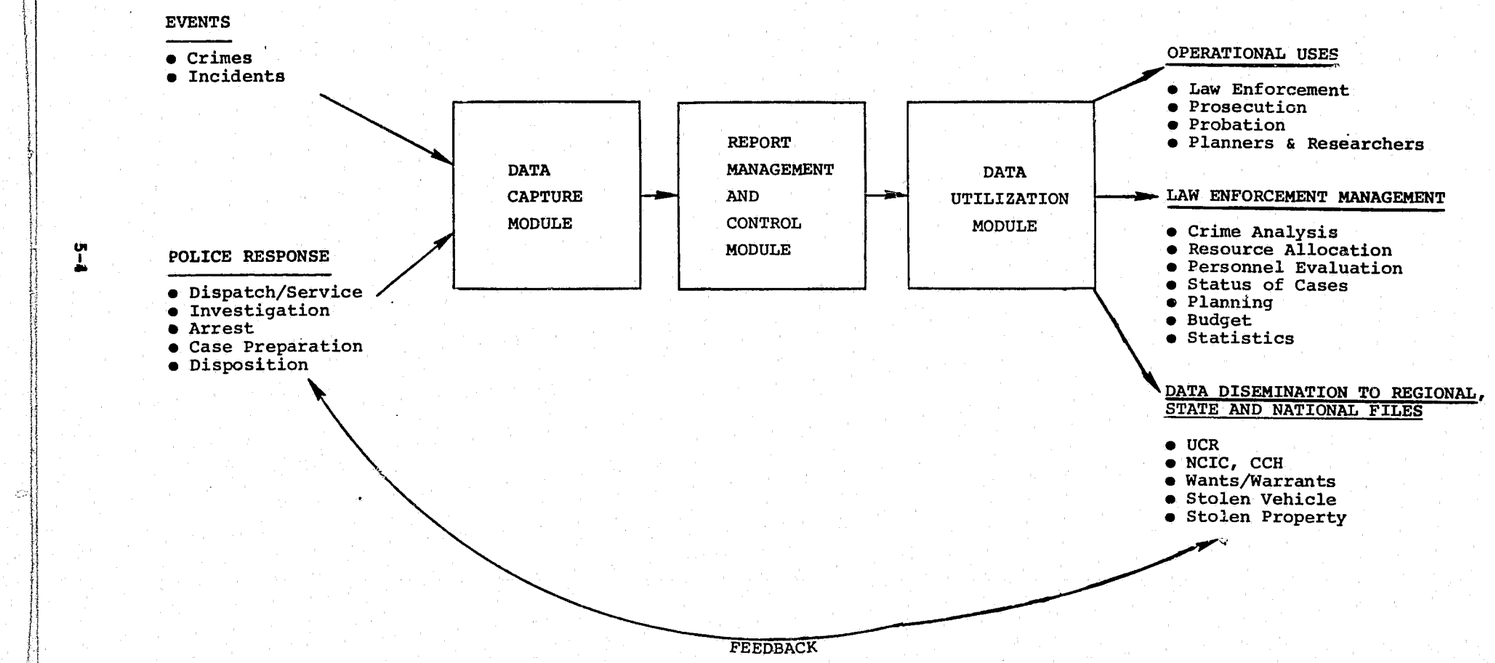

Exhibit 5-1 -- CONCEPTUAL RELATIONSHIP OF DATA SYSTEM MODULES.

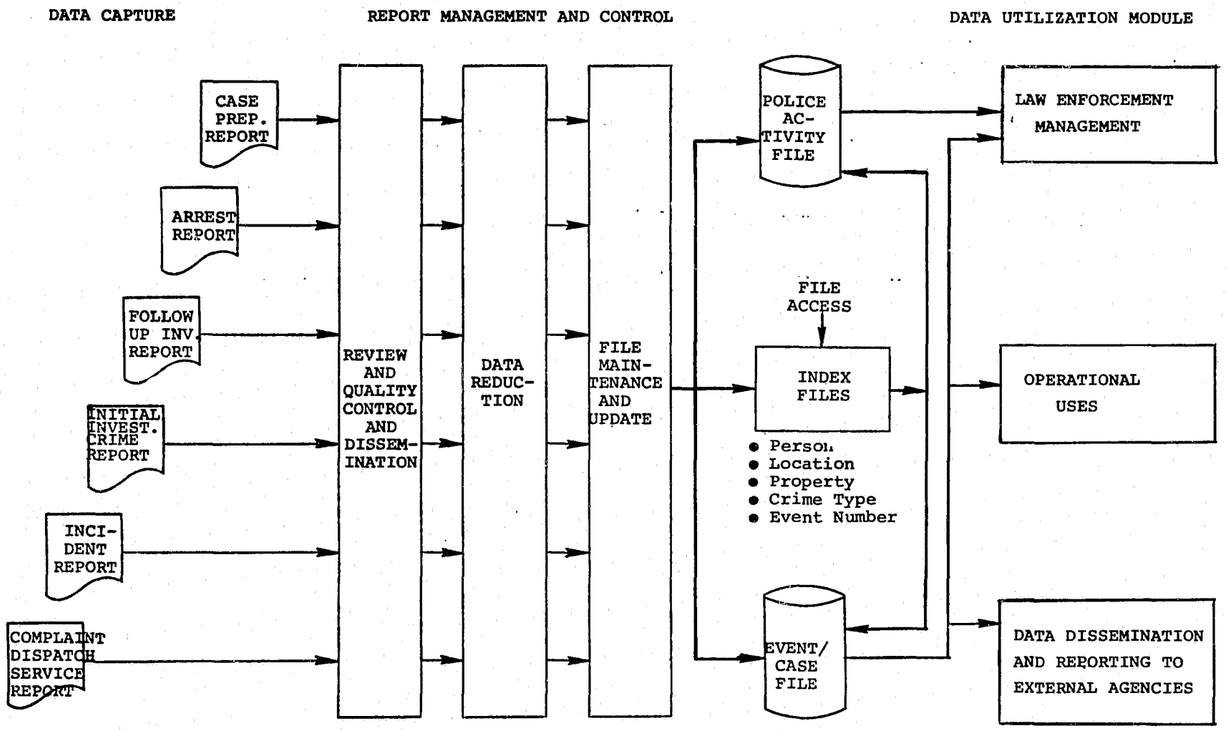

Exhibit 5-2 -- STANDARDIZED CRIME REPORTING SYSTEM DATA FLOW

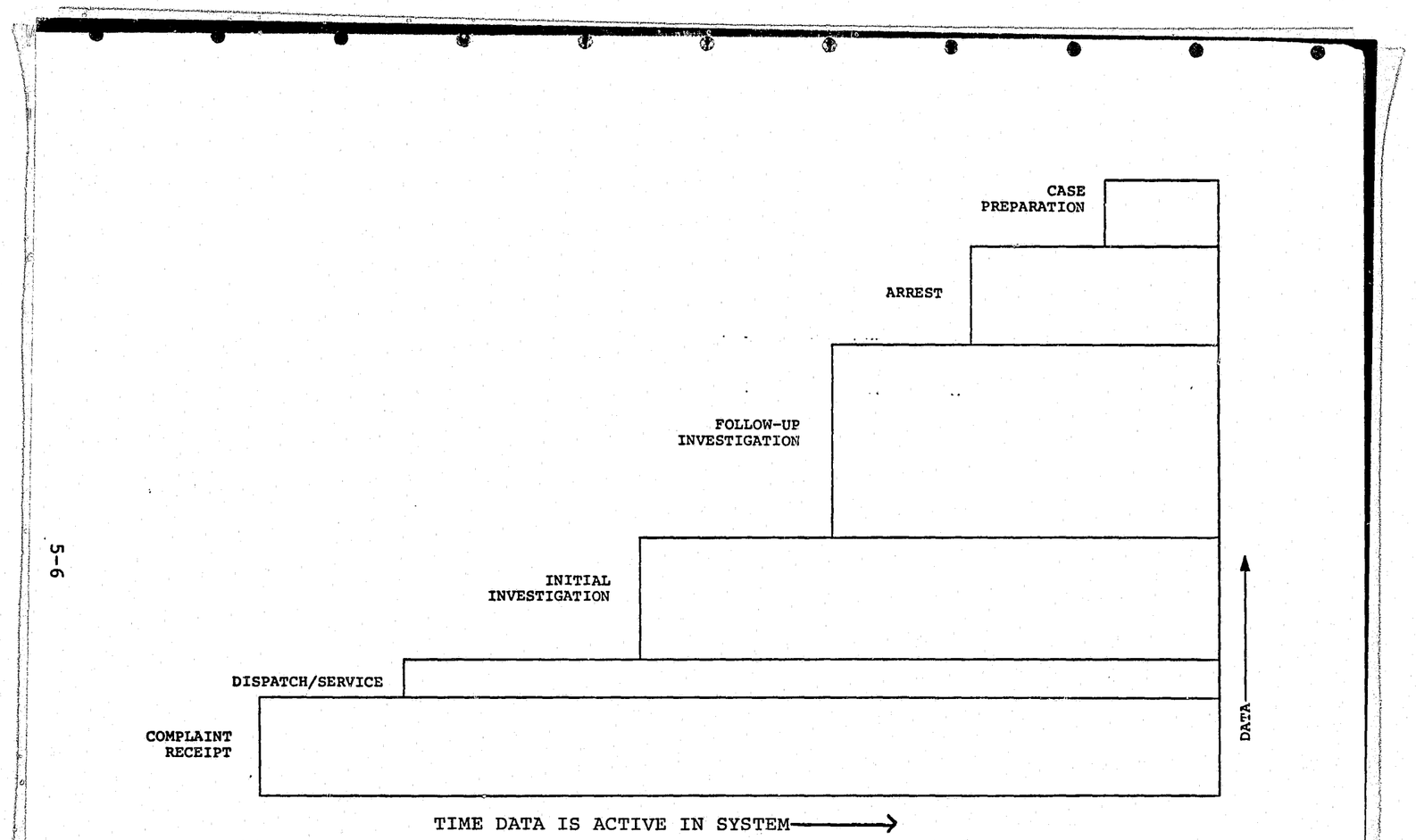

Exhibit 5-3 -- STEPS IN THE BUILDING OF A CASE FILE

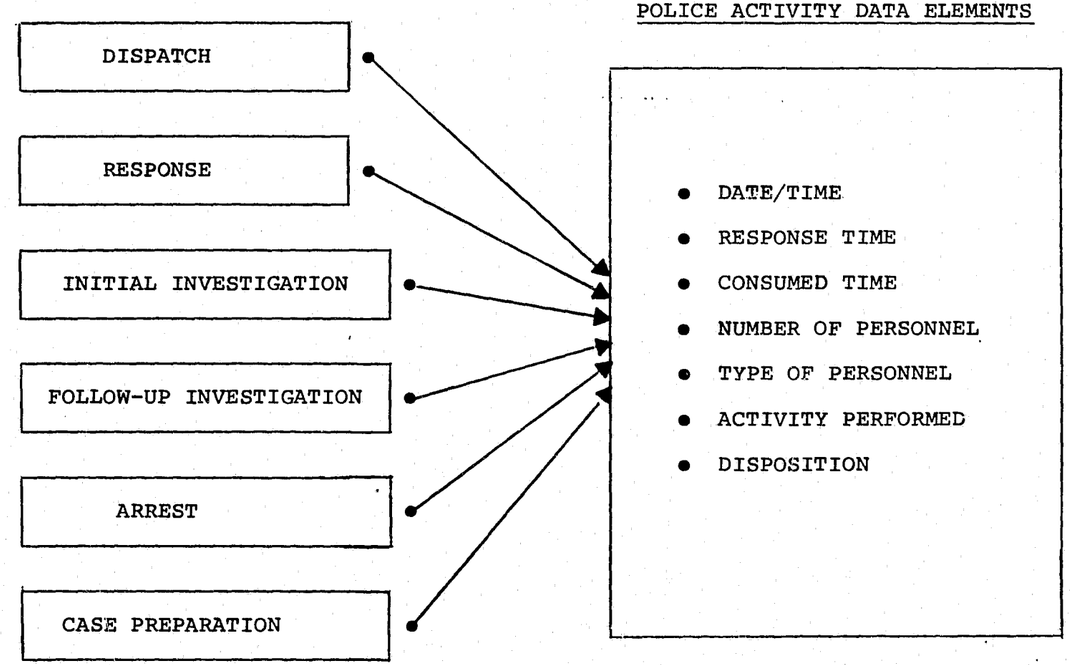

Exhibit 5-4 -- RECORDING POLICE ACTIVITY

police response to this event should be capable of being audited to assure integrity of the data. Attention to the quality of reports must begin with the initial receipt of information in the complaint operation, and must be carried through the preliminary investigation, follow-up investigations, case preparation, and related activities.

The first level of review is a field supervisor's review and approval of a subordinate's reports. This activity is seldom a sufficient quality control review of the reporting process. Each report should be reviewed for completeness, legibility, inconsistancies, follow-up requirements, event classification, etc. The line supervisor is usually too busy with other tasks to carry out an adequate report review, so this function should be assigned to a staff position.

The final level of reporting system quality control is the audit process. An audit periodically takes selected events and retraces their associated activities from the receipt of the call-for-service to final event disposition. The audit is to verify the event and the action of the law enforcement agency as reported. This audit should not only investigate the reporting accuracy of the field officer, but also investigate report review, report dissemination, storage and retrieval processes, security and privacy and all aspects of the crime reporting system.

The system file structure has been briefly discussed earlier. Two types of files are maintained: an event/case file and a police activity file. The police activity file is mainly for management information, specifically manpower allocation. The event/case file contains all crime reports and any other records which relate specifically to a certain event. The storage medium for the files depends on whether or not a particular system is automated. Various degrees of automation may be feasible. It is not appropriate to describe storage media here, but they should be of central concern to those considering the report management and control module of a system.

The number or type of file indices depend to a degree on whether or not the system is automated. The following indices should be considered for inclusion:

- Persons
- Location
- Property
- Crime Type
- Event Number

DATA UTILIZATION MODULE

The data utilization module is that process which assures that those individuals, units, or agencies having a need for crime report data receive it in a timely and effective manner. The thrust of the Standardized Crime Reporting System Project has been to define the information requirements of these individuals, units, and agencies (and/or functions) by determining how the crime report data is used. This is the subject of Section 2 - Requirements Analysis, and the pre-condition of Section 3 - Data Elements, and Section 4 - Forms Design. While data or information use and requirements have been defined during Phase I of this Project, the specific considerations of data utilization have not been defined with relationship to (1) the data to be transferred, (2) data or report formats, (3) distribution media or techniques, or (4) the other considerations of the outputs of the Standardized Crime Reporting System. This aspect of the overall system design will be addressed in the testing of the Project.

The following sections of this report present a more detailed discussion of the data capture, report management and control, and data utilization modules of the Standardized Crime Reporting System.

Section 6

DATA CAPTURE

Whenever one discusses crime reporting systems, one immediately thinks of crime report forms and formats. Completed report forms serve as the official memory of a law enforcement agency. A written report remains as the basic means of all police communication and an agency puts great dependence upon these reports. It is the sum of these reports that forms the police records which supply information for an efficient and effective operation.

EVENT DATA CAPTURE STATE-OF-THE-ART

The data capture process of crime reporting systems is the process most frequently reviewed by law enforcement agencies. However, most of this effort is directed at forms design. A factor influencing data capture is that police departments do not build a single information (data base) bank from the progression of reports concerning an event.

MINI-REPORTING SYSTEMS

Many departments have three independent report writing systems with very little coordination or exchange between them (see Exhibit 6-1). This has been caused by growth and the fact that data capture occurs at different times and from different sources. The first system is the complaint/dispatch data. The data captured focuses on recording very basic information from a citizen desiring police service. These records are usually maintained separately and is most often used for manpower studies.

The second mini-system is the crime report. Data capture usually includes the initial investigation results. The crime report is used for case preparation and subsequent follow-up reports are added to this file. It is also used for preparing the uniform crime reporting reports and schedules.

The third system centers around the arrest report. Data captured on arrests sometimes supports the case file, but is often maintained in a separate file or incorporated into the criminal history file and used for UCR report preparation. The arrest report system has more variations due to the different forms of arrests (physical arrest, warrants, citations, detention, etc.) and their resulting processes.

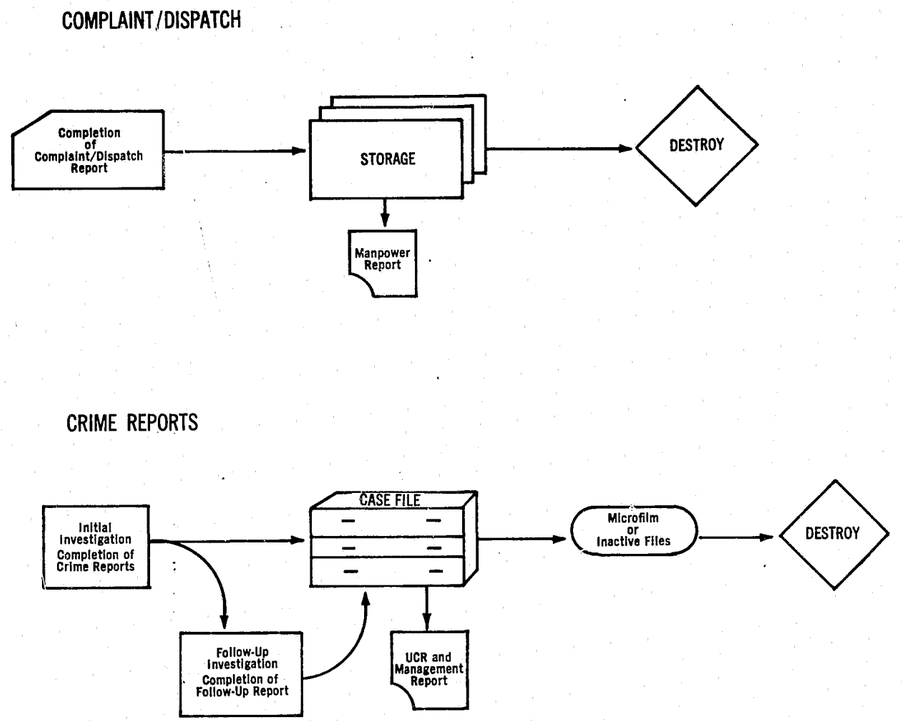

Exhibit 6-1. General Schematic Of Three Most Commonly Found Data Collection Efforts

Because of these three distinct mini-systems, there are information gaps and a tendency to duplicate the capture of event data. It is usually only in the small departments where one finds the case file building block approach as discussed in Section 5. This is not caused by design but by the practice of one person following the case from origination to termination. There are now other exceptions in those few departments which have automated a large segment of their crime reporting system, from initial receipt of the call for service through to case disposition. Event data is continuously placed in the data file from initial receipt to final disposition.

REPORT FORMATS

There are numerous styles of report forms in operation at this time, from the very simple (almost a blank piece of paper) to the very structured (utilizing a large number of check-off boxes). The desire for more consistent data relating to modus operandi and/or the needs of data processing have caused a trend toward specialized forms.

Most departments have developed their forms by adopting, with slight modifications, those formats used in neighboring large police agencies, the IACP or the FBI's police records manual. This process has resulted in forms and data elements being perpetuated on a convenience basis and not due to a requirement for the data.

FACTORS AFFECTING DATA CAPTURE

In deciding the best method to capture data relating to an event, a number of factors need to be considered:

- Ease of capturing information and recording it in some form for future review.
- Needs of follow-up activities to allow for successful continuing investigations.
- Ease of data reduction for data processing use.
- Needs of analysis, management, and other related police department functions.
- Needs of other agencies (e.g., criminal justice agencies, planners, administrators, etc.).
- Ease of indexing, filing, storage and retrieval of information.

Another major influence is the lack of understanding some operational personnel have of the importance of recording facts concerning an event. Police officers many times view their involvement in the event investigation process as that of report takers (clerks) rather than investigators. The recording officers must not lose sight of the concept that the proper recording of facts resulting from a thorough investigation can substantially assist in solving a case, resulting in the apprehension of the perpetrator or the recovery of property. The follow-up investigators frequently complain about the inaccuracy and incompleteness of data found in reports. Due to this lack of adequate emphasis by the reporting officer many agencies have found the forms design and the reporting procedure changes do not bring about long term improvements in reporting.

Therefore, there should be a continuous retraining and orientation of police personnel on the importance of thorough investigations and complete and accurate recording of information. A substantial effort should be directed toward the positive approach by providing sufficient feedback whenever good investigation and reporting assists in the successful closure of a case. The more an officer is involved in, or responsible for, the total investigation, the more he experiences the need for complete and accurate accounting of the event facts and the action taken.

The second effort at monitoring and improving the reporting of events occurs through the formal inspection and control process. These control points aid in increasing data capture effectiveness if only by indicating to officers that someone is reading their reports. More explanation of the report review and audit processes is discussed in the succeeding section of this report.

DATA CAPTURE CONCEPT

The SCRS principle is to develop a case file by progressively adding information as one goes through the investigative process, each process having available the data from all the previous processes. The rationale is to:

- Make available to those responsible all the previously collected data on a particular event
- Minimize the number of times a specific data element is identified and recorded

Usually a data element is captured when it first comes to the attention of the police, e.g., complaint process or initial investigation. However, consideration must be given to the accuracy and integrity of the data element at the time of capture. Specifically, this consideration includes the ability to verify the response. Decisions on when to record certain facts and when to place them into the case file as the response to a specific data element must be carefully reviewed. There are certain data items that can be considered more accurate than others (e.g., the date and time the police receive the call from the citizen and subsequent times as the officer responds and handles the call is generally more accurately captured at the communication center than by requiring the officer to complete this information on the investigation form).

This consideration suggests the need to re-evaluate the policy of having officers check information they receive and to critically view the event investigation process to identify when the best data is available and make allowances for updating, modifying and adding to data elements as more reliable information is captured. Requiring data verification can begin to solve some of the complaints of inaccuracies made by follow-up investigators. Administrative policy can be instituted to allow the officer more time to complete his calls. Thus, more attention can be given to the accurate recording of data.

Completeness of information is another aspect that must be planned in the reporting system. The SCRS effort at form design ascertained that one cannot account for all the possible contingencies. The fact that various data elements may or may not be availabe also had a profound effect on the ultimate report format. Nevertheless, SCRS established the standard that during the investigation process the required data elements must be addressed with some form of response. The fact no response was available for a particular data element is just as valid at that point in the investigative process as a positive response. But the fact that no response was available must be recorded; otherwise persons reviewing the report will be unable to decide if there was no information available or if the officer simply failed to make this determination.

DATA CAPTURE METHODS

The SCRS Project uncovered a variety of methods used to record data, such as typed reports, handwritten reports, and a variety of dictation systems (each one having distinct advantages and disadvantages). None of these methods assured flawless reporting by officers. The decision on which method a department uses continues to be a personal one depending on

what the recording objectives are and what weights are assigned to various evaluation criteria. For example, a department desiring to reduce the amount of redundancy will eliminate the retyping of a report if they can agree on the utility of the officer's handwritten reports. Other departments want to capture data for data processing and consider on line input or some other method.

Report Writing Manual

A requirement of the standardized crime reporting system is that each department should develop and issue to all officers a report writing manual which provides basic instructions to the reporting officer on when and how to complete the appropriate form. If properly developed the manual will be more than a guide on completing the form. It will also refresh the officer's memory on conducting a proper investigation.

The stated policy that each data element should be addressed during the investigation process, required that the data elements be properly identified and noted in the manual and recorded on the appropriate form.

Section 7

REPORTING SYSTEM MANAGEMENT AND CONTROL

The adequate functioning of the Standardized Crime Reporting System required that a series of system management and control processes be implemented. Each of these processes must be available and effectively functioning if the Standardized Crime Reporting System is to have a proper test, implementation and operational environment within which to operate. These processes are:

- Report Review
- Report System Audit
- Report Distribution and Routing
- Storage and Retrieval
- Report Retention and Purge
- Security and Privacy

Each of these processes is approached as an independent function. They are not presented as needing a required agency organizational unit, nor must they be placed precisely within the agency's existing structure. Given the size of the agency, volume of the reporting system, etc., each process could be the separate responsibility of an independent departmental unit or the charter of individuals within the organization. The issue is that they are required processes if the Standardized Crime Reporting System is to function adequately. Therefore each of the above processes should be established as agency procedures, with assigned responsibilities, and manned as required. The following sections address these processes in relationship to (1) the objectives, (2) organizational considerations, and (3) functions.

REPORT REVIEW

The basic control element in the Standardized Crime Reporting System is report review. This function provides a quality control program to assure that the reporting system is functioning properly and that all of the processes and procedures are being carried-out. Therefore, the report review function includes:

- Checking on the honesty and integrity of the reporting unit
- Ascertaining the source of reporting error and the extent of the error
- Verifying reported data

- Assuring that proper reporting actions (procedures) were completed when required, e.g., determine if the department actually responds and records actions taken in all cases where an alleged crime is reported
- Determining if crimes and dispositions are being classified in accordance with UCR guidelines

Depending upon the size of the department and the volume of reports, the function may be a set of tasks assigned to an individual or it may take the form of a separate unit within the organization.

A preliminary aspect of report review is the initial report approval process. Report approval is an activity which has the supervisor of a reporting officer read the completed document and approve its submission. Generally, this review is cursory and amounts to determining if the report is complete and has face validity. Report approval is only one aspect of the supervisor's responsibility. Due to irregularity of report submission, the operational workload, and the purpose of the reading of the report, it is not practical for the supervisor to perform the complete report review function. Nevertheless, as a supervisor he must appraise the reporting capabilities of his subordinates. He can make better use of his limited time by making a spot check of completed reports and concentrate on those officers who require assistance and training in data capture. The report approval at the supervisory level is in reality a pre-report review process and should not be viewed as a process that takes the place of a formal report review procedure.

Another process that is sometimes confused with the total report review function is that of the classification and coding of the report. Report classification and coding is primarily directed at properly categorizing an event for statistical and assignment purposes. The UCR program requires the proper classification of the event according to certain rules. Consequently, reports are reviewed to assure the facts substantiate the classification. Police agencies using data processing often use this process to code the various data elements. The purpose of this review is to obtain certain data from the reports. This process is usually clerical in nature. The report classification and coding process is not aimed at reviewing the completeness of the report nor the investigation and therefore cannot substitute for report review.

Reproduction and distribution is the step in the crime report system that assures appropriate copies of reports are made and that the persons who need copies receive them. This step includes those operations where reports are typed (e.g., transcribed). As in report classification and coding, this activity is clerical with primary emphasis on ensuring that appropriate people receive the information. Although reproduction and distribution is a proper control process within the Standardized Crime Reporting System, it is just one of the areas of concern of the report review function. While the report review function will maintain control over the report distribution process, the actual report reproduction and distribution should be carried out as a separate function.

Objectives

Objectives of the report review process fall into several categories. These include:

- To determine the completeness of the report and insure that all required data is contained in the report.
- To check the report for the legibility, clarity and accuracy of the data entered (preciseness of location, time, descriptive quality, etc.)
- Compare the reports associated with an event for possible conflicting information relative to the initial dispatch and the subsequent reports filed.
- To review the facts of the event as reported and assign the proper classification codes as approved by the department.
- To determine that each complaint/dispatch report has an appropriate event disposition recorded on it or that a field investigation report has been filed.
- To act as liaison in an effort to resolve any problems regarding the reception, preparation, and content or reports.
- To identify the weaknesses in the reporting system and/or its use by the department and make recommendations for improvements in its operation.

- To assure that personnel are properly following prescribed procedures
- To determine that accurate data is provided in the most efficient and expeditious manner
- To determine that an effective and efficient complaint receipt, dispatch, initial field investigation, and subsequent follow-up investigation process is maintained

Organizational Considerations

Report review should be a formal process within each agency and should include written procedures and guidelines for accomplishing its objectives. It should be a staff function whenever the size of the agency can support it and should not be a first line supervisor's responsibility.

The report review function should be supported with an appropriate written directive (policy statement) outlining the functions, objectives, responsibilities, and problems. The agency must assure that all reports generated from an event are channeled through the report review function.

The report review process should provide for immediate feedback, through the "chain of command", for requests to the reporting officer for explanations, corrections, additions or follow-up reports, and for the response of the reporting officer and his supervisor.

The review, updating, and correcting of reports should not impede the progress of an investigation or the basic flow of information within the department. While corrections or additions are being obtained, the investigation and other operational processes should proceed, using the information contained in the original report. It should also be recognized that the efforts required to upgrade a deficient report should not duplicate the investigative activities of other departmental units.

Functions

The report review process should be designed to perform the following functions:

- Editing of Reports. The review of the report for spelling, neatness, adequacy of grammar, legibility, following of narrative reporting procedure, accuracy of data reported, etc.

- Review of Content of Reports. Is all the data required entered on the form? Is there consistency between the reports associated with an event? Is the information reported logical and non-conflicting? Does the report reflect compliance with established investigative procedures, etc?

- Determine the Effectiveness of the Report Flow Process. Assure that the flow of information concerning an event has been accomplished. Is there a disposition properly associated with each event; either by the complaint/dispatch, initial field investigation, follow-up investigation or arrest report? This function maintains the integrity of the reporting system.

- Report Classification. Review the reports to determine the proper classification of the event according to UCR, state and local guidelines.

- Initiate Corrective Actions. Route inadequate reports to appropriate supervisor and reporting officers for corrections, additions or follow-up reports, and determine general corrective actions.

- Assure proper distribution and routing of reports.

- Evaluate effectiveness of the reporting system.

REPORTING SYSTEM AUDIT

The preceding section addressed the report review function of records management and control. This review is a face validity check upon the reporting system; i.e., from the information being submitted on reports and the manner in which it is being reported, the system can be judged for its overall efficiency and effectiveness and a determination of the level of proficiency of the personnel and procedures can be made. But this is only based upon what the reporting system sends to report review for processing.

To assure that the report system is in fact operating at the desired level of performance and is producing high quality information, the system should be routinely audited. The audit concept of quality control of crime data is one of the standards set down by the National Advisory Commission on Criminal Justice Standards and Goals (see Exhibit 7-5).

EXHIBITS 7-1 THROUGH 7-4 PRESENT TWO REPORT REVIEW PROCEDURE STATEMENTS AND TWO REPORT REVIEW FORMS THAT ARE CURRENTLY IN USE BY POLICE DEPARTMENTS.

OPERATIONAL PROCEDURES -- REPORT REVIEW UNIT

1. Review all incident and supplementary reports to insure complete correct information; proper investigative procedures; and accurate UCR classifications and dispositions in accordance with Departmental guidelines and the Federal Bureau of Investigation UCR Manual.

2. Reject reports requiring correction and/or clarification to reporting officer through proper channels.

3. Suggest and prepare written revisions and/or clarification of report writing procedures when necessary.

4. Maintain a suspense date file for those cases on which a supplementary investigative report is due. On the 5th and 20th of each month all overdue slips are pulled and the respective Detective Bureau offices contacted. A memorandum noting the case number and assigned detective is then submitted to the supervisor of each office.

5. Prepare index cards for the General Records Section on Homicide Unit cases for which only a statistical copy of the report is received.

6. Assist the General Records Section in releasing case reports requested by the public when a supervisor of the Section is not available or when the content of said report is of such a nature that a question of judgement is involved.

7. Disseminate reports containing information of possible investigative value to applicable offices.

8. Advise Departmental personnel requesting information reference report writing and reviewing procedures.

9. Act as liaison between all offices of the Department in an effort to resolve any problems regarding the reception, preparation, and content of reports.

10. Instruct when called upon in Report Writing Procedures to Recruit Classes, Reserve Police Classes, In-Service Training, and other agencies.

EXHIBIT 7-1 - EXAMPLE OPERATIONAL PROCEDURES FOR A REPORT REVIEW UNIT (No. 1)

STAFF REVIEW

a. Match field report numerically with complaint card to insure a report for each Radio Complaint card. Enter reporting area on Radio Complaint Card and report.

b. Check field report for clarity and completeness.

c. Compare Radio Complaint Card and field report for conflicting information. Make necessary corrections and route Radio Complaint Cards not requiring a report, to Reproduction and those matched to a report to Operational Planning and Data Processing Division.

d. Review facts of incident reported and assign proper Uniform Crime Reporting Classification in code as approved by the Department.

e. Check field report for information to be extracted, use index stamp when additional indices are required such as other victims, wanted, and stolen property.

f. Indicate number of extra copies needed.

g. Sign field report and route to Reproduction Section.

h. Those Reports needing cross reference are routed to a typist for typing of alphabetical cross reference.

EXHIBIT 7-2 - EXAMPLE OPERATIONAL PROCEDURES FOR A REPORT REVIEW UNIT (No. 2)

Public Safety Department—*Statistical Section*—Report Review Unit
REPORT TRANSMITTAL AND/OR REJECT NOTICE

To Office/District_____ Date_____

Uniform_____ Detective_____ Case No._____

THIS TRANSMITTAL MUST BE SIGNED AND RETURNED WITH THE ATTACHED REPORT

☐ INFORMATION. This report is directed to you for your information. Please obtain copies if desired and return this transmittal and the report to this office as soon as possible.

☐ REJECT. It is requested that you make the following correction(s) and or clarification on the attached report.

_____

_____

_____

_____

_____
Supervisor, Report Review Unit

☐ INDICATE ACTION TAKEN_____

_____

_____
Supervisor's Signature

Exhibit 7-3. Report Review Request For Action Form (No. 1)

REPORT REVIEW FORM

To	Complaint No.
District/Division	Date

From: Crime Classification Section

The report forwarded to this Section is being returned to your District/Division because of the reason(s) checked below. Make the necessary correction(s) and return to the Crime Classification Section.

- ☐ Improper Form
- ☐ Incorrect/Conflicting Information
- ☐ Not Readable/Legible
- ☐ Lack of Sufficient Information
- ☐ Explanation Needed
- ☐ Document(s) Needed
- ☐ Use Form _____
- ☐ See Remarks _____
- ☐ See Remarks _____
- ☐ See Remarks _____
- ☐ See Remarks _____
- ☐ See Remarks _____

Remarks: _____

Commanders Remarks: _____

Signature of Commander	Date

INSTRUCTIONS

1. Take the action indicated on this form and return it to the Sending Unit as soon as possible and within three days. District and Division Commanders may call the Commander of the Crime Classification Section if they have any questions pertaining to this report.
2. Any comments should be made by the Commander in the space provided, "Commanders Remarks".
3. This form has been prepared in quadruplicate:
   a. One copy is retained by the Sending Unit.
   b. Three copies are sent to the appropriate Bureau.
   c. One copy is filed in the Bureau Office, and the remaining two copies forwarded to the originating District or Division.
   d. When the appropriate action has been taken, one copy is to be returned through the appropriate Bureau to the Sending Unit by Department Mail.
   e. One copy is to be retained in the files of the originating District or Division.

Exhibit 7-4. Report Review Request For Action Form (No. 2)

National Advisory Commission on Criminal Justice Standards and Goals

Standard 4.7

Quality Control of Crime Data

Every police agency should make provision for an independent audit of incident and arrest reporting. The audit should verify that:

1. Crime reports are being generated when appropriate;

2. Incidents are being properly classified; and

3. Reports are being properly prepared and submitted.

To establish an "audit trail" and to provide the basic documentation needed by management, the following key characteristics or records should be adopted:

1. The police response made to every call for police service should be recorded, regardless of whether a unit is dispatched. Dispatch records should be numbered and timed; if the service leads to a complaint, the complaint should be registered on a numbered crime report, and that number also be shown on the dispatch record.

2. All dispatches should be recorded, indicating time of dispatch and arrival on scene.

3. Dispatch records should show the field unit disposition of the event, and should be numbered in such a way as to link dispatches to arrest reports or other event disposition reports.

4. All self-initiated calls should be recorded in the same manner as citizen calls for service.

Exhibit 7-5. REPORT SYSTEM AUDIT STANDARD - NATIONAL ADVISORY COMMISSION ON CRIMINAL JUSTICE STANDARDS AND GOALS - INFORMATION SYSTEMS.

QUALITY CONTROL OF CRIME DATA - REPORT REWIEW AND AUDIT				
PROCESS		LOCATION	RESOURCES	EVALUATION
AUDIT	REPORT REVIEW	In the Office	Reports: Complaint/Dispatch Initial Investigation Follow-Up Investigation Arrest Department Polcies & Procedures Supervisor & Reporting Officer	Completeness of Report Legibility, Syntax, etc. Omissions/Contradictions Mechanics of Report Writing
AUDIT		In the Field	All of the Above Participants Victim, Wittness, Suspect & Arrestee	All of the Above Verify Data Verify Activities That Took Place at the Scene

EXHIBIT 7-6. RELATIONSHIPS WITHIN REPORT REVIEW AND AUDIT

The audit process takes the quality control function a step beyond the report review process, as it does not confine itself to an "in the office" review of the reporting system. It moves the examination and evaluation of the reporting system into the field and to the scene of the event. Exhibit 7-6 portrays the relationships between report review and audit. Elements that affect the relationship are the location of the review/inspection, the review resources available (i.e., reports, victims, etc.) and the type of evalution that can be made. Audit uses all of the resources and evaluation areas available to the "in the office" report review process, but also has the ability to go into the field and verify the data and activities indicated by the report. The audit reviews selected events and retraces the reporting process associated with each event. The process starts at the receipt of the complaint and follows it until the event is terminated (final disposition) and has been completely processed within the reporting system. It provides a sampling of specific cases and through an inspection process determines the integrity, completeness, accuracy, and reliability of the information contained in the report.

Objectives

The specific objective of the audit is to independently examine the crime reporting system by verifying the accuracy of the report in relation to the facts of the event. The audit also provides a means of verifying the thoroughness of the investigation. The audit verifies the information, the officer's actions, the continuity of the data system. A principle responsibility of the audit is to identify weaknesses in the reporting system and to provide the information necessary for instituting corrective action.

Organizational Considerations

The reporting system audit should be a formal, recognized process and a staff responsibility. The audits should be carried out at planned and regular intervals and should use a valid sampling procedure for the selection of the reported events to be audited. The audit may be conducted by an organizational unit of the department or by a qualified outside contractor. Regardless of the source of the audit personnel, they should be completely independent of the operational and record keeping functions of the department.

CONTINUED

1 OF 2

Functions

The audit process is carried out to verify the integrity of the reporting system. It should be directed at the total spectrum of events addressed by the system (e.g., all citizen complaints and officer initiated events) or it may look at a specific catagory of events. A sample of these events should be selected. The sampling should be based on a valid sampling technique, but chosen from a relatively compact time span, in order to assure a heterogenious sample. More extensive audits may be directed at those events found to be most subject to reporting problems (e.g., assaults, burglary, etc.). The basis for event selection and report compilation should be the complaint/dispatch card, since all potential police responses should be subjected to the audit process.

A good audit process requires a standard operating procedure for collecting and maintaining information on every call-for-service received by the police. This allows the audit process to evaluate the complete police response, from complaint receipt to event disposition, and also gives the audit a firm basis from which to select its sample of events to be reviewed. After a compilation of the event related reports, each event is reviewed and re-checked in the field. Upon completion of the field research of the event, the report/event classification is checked for accuracy. Differences between the reported event and the auditors research are documented. The report discrepancies are then reviewed with the supervisor and reporting officers involved and the differences are reconciled. Reconciliation process is documented and recommendations for system improvements or personnel training are made.

In summary, the basic functions of the audit process are:

- Determine the type of sample to be audited: i.e., all complaints, a specific classification of crime, a unique characteristic within a classification, etc.
- Select the sample of events
- Compile all reports made on the sample events
- Review the reports
- Field check the activities and locations involved in the event
- Check the accuracy of the event classification
- Determine the discrepancies between the event as originally reported and as audited

- Reconcile the differences between the original report and the audit
- Make recommendations for system improvements

REPORT DISTRIBUTION AND ROUTING

The report distribution and routing function should insure that authorized personnel and units having a need for the details of an event receive this information in a timely manner. The routing and distribution of reports should take into consideration:

- the natural progression of the operational, investigative or prosecutorial procedure (e.g., where is the next point in the operational, investigative or management structure at which the report is needed)
- the chain of command or organizational structure
- the time/immediacy requirements of the event or response function
- the requirements of review, verification, authorization, classification, data extraction, filing, etc.

The distribution and routing function includes the reproduction of the report, determining standard and exception lists of individuals or units who are to receive specific reports, establish the procedures to deliver the reports to the proper destinations and carrying-out the physical distribution of the reports.

Objectives

The basic objective of the report distribution function is to insure the timely flow of reports between the operational, investigative and adminsitrative units of the department and other criminal justice agency users. This flow of reports is based upon the dynamic need of the individuals or units for the crime report information. The need for the information as it relates to operational/investigative actions will always take precedent over administrative/support requirements.

Organizational Considerations

The report distribution and routing function should be a formal process within the agency, with the responsibilities for this function well established. The process should be flexible enough to reflect changing information requirements by various units in the department.

The report distribution and routing procedures should be periodically reviewed by the operational units, the report review section, administrative units, and the distribution and routing unit to determine the effectiveness and efficiency of the process. Items to be considered are:

- the receipt of reports versus their utility to the recipient
- the number of copies received versus the number used, retained, forwarded, etc.
- the timeliness of the receipt of the reports
- exceptional events of interest to the various operational units
- additions or deletions from the standard distribution lists
- quality of the reproduction process

Functions

The prime function of report distribution and routing is assuring the timely furnishing of reports to persons or units that require their use in an operational process (investigation, prosecution, etc.). The following is a summary of functions carried-out by this unit:

- Maintenance and up-dating of standard report distribution lists and exceptions to these lists when specific events occur. (See Exhibit 7-7 for an example of the distribution list for various classifications of events)
- Evaluation of the report distribution and routing procedures to determine their efficiency and effectiveness. Conduct periodic reviews of these procedures and the distribution lists with those units that have a need for the reports

- Reproduce the appropriate number of reports
- Distribute the reports to the appropriate personnel and units in accordance with the distribution lists

REPORT STORAGE AND RETRIEVAL

The storage and retrieval of crime reports should be the responsibility of a central records unit. There should be one central location containing all information related to a single event. At the time of the initial receipt of a call-for-service, a control number should be assigned. That number will be included on all related reports (complaint/dispatch, initial investigation, follow-up investigation, arrest, etc.) generated as a result of the event. The central event file will be ordered by event number. A series of indicies should be developed that will allow cross-referencing to the file. These indices will normally involve persons, event type, event location and property. The storage and retrieval of information from the files will be controlled, with only authorized personnel making entries into or withdrawals from the storage system. The central event file does not prevent agencies from maintaining a personal history file (arrest jacket, criminal history, etc.) on individuals arrested by the agency. But all data relevant to an event should be reflected in the central event file.

Objectives

The objective of the storage and retrieval process is to provide information for authorized users. The storage and retrieval process is a staff support function that maintains reports in a filing system and assures that all reports associated with specific events (given the retention and purge criteria) are available when requested.

Organizational Considerations

The basic organizational consideration is in the area of a centralized vs decentralized report storage and retrieval system. A centralized system is recommended where each event has a permanent file location established for it (i.e., by event number). All activities reported concerning that event are located in that file. The separate maintenance of operational files in selected units is at the discretion of the individual agency. Such files should never contain "original information" that has not been formally reported and forwarded to the central event file.

EXHIBIT 7-7. EXAMPLE OF A REPORT DISTRIBUTION LIST.

REPORT DISTRIBUTION GUIDE
(example)

ARSON

1 Records Section
2 Bureau of Investigation
2 Fire Marshall
1 Identification
1 Crime Analysis
1 Laboratory

BURGLARY

1 Records Section
3 Bureau of Investigation
1 Tracing Clerk
1 Crime Analysis
1 Intelligence Unit
1 Identification (each arrest)
1 Laboratory

LIQUOR ARREST/INTOXICATION

1 Records Section
3 Bureau of Investigation
1 Intelligence Unit
1 Identification (each arrest)
1 Federal Alcohol Tobacco Tax Unit
1 Director of Public Safety
1 Excise Commissioner
1 State Liquor
4 State Liquor
(local office for each arrest)
1 Crime Analysis
1 Laboratory

MURDER

1 Records Section
3 Bureau of Investigation
1 Identification (each arrest)
1 Crime Analysis
2 Coroner
1 Circuit Attorney
1 Public Administrator
1 Laboratory

NARCOTICS

1 Bureau of Drug Abuse Control
1 Records Section
3 Bureau of Investigation
1 Crime Analysis
1 Intelligence Unit
1 Identification (each arrest)
1 Bureau of Investigation
(each arrest)
1 Federal Narcotics
1 Laboratory

PROWLER

1 Records Section
1 Crime Analysis
1 Bureau of Investigation

The report storage and retrieval process will be handled on a limited access basis. Only authorized personnel should be allowed access to the file. Originals of reports should not be routinely removed from the storage area. If the report is needed at a location other than the storage area, a copy should be made and given to the user when feasible.

Functions

Given the above objectives and constraints of a single file by event number, centralized organization, limited access to original reports, preparation of cross-reference indices and file maintenance; the following functions are associated with the report storage and retrieval process:

- File and maintain reports by event number.
- Prepare and maintain indices to event file as appropriate, by:

  --Persons
  --Location
  --Event Classification
  --Property
  --Etc.

- Retrieve reports or event file upon request of authorized personnel (user).
- Prepare removal copy of report/file for user where required
- Purge file as per applicable statutes and department policy.

REPORT RETENTION AND PURGE

The report retention and purge process is a set of guidelines that establishes how, where, and for how long reports are to be maintained by the agency. These guidelines define the storage media (hard copy, original report, computerized summary, microfilm, etc.) that is to be used; points in time when there should be a change in storage media (e.g., from the original report to microfilm); the location of the report or file (central record section, on-line computer storage, "dead storage", etc.); and the time at which one of the purge procedures applies to a report or file or a new purge criteria is to be applied.

The purging of a record or a file is defined as the removal of data from its original state in a storage and retrieval system. Purge criteria must be established for each category of report/file that is maintained in the storage and retrieval system. The purge criteria may have a number of considerations as its basis: legal requirements, the utility of the information (expected use), the reduction in maintenance of file size, etc. The various types of purging can be categorized as:

- Transfer of location - e.g., to microfilm, dead storage area, etc.
- Sealing of a record - the report/file is maintained within the "system" but is only available by court order or other authorizing agency (expunging)
- Destruction - the destroying of the physical report/file upon removal from the storage and retrieval system (eradicating).

Objectives

The objective of the report retention and purge process is to meet legal requirements and also maintain the minimum number of records (active) to handle the maximum number of requests for reports/files.

Organizational Considerations

The definition of departmental report/file retention and purge criteria and procedures should be the responsiblity of a committee composed of selected personnel from the reporting system's user groups. This committee should establish and periodically review the retention and purge criteria. The reporting system audit process should audit the report storage and retrieval system to verify compliance with the established criteria and procedures for retention and purge. The implementation of the criteria and procedures is the responsibility of the central records unit (the organization that maintains the report storage and retrieval system).

Functions

In the carrying-out of the retention and purge process the following functions must be performed:

- Establish report/file retention and purge criteria - giving consideration to: Legal requirements, space availability, report volume, need for or utility of data over a period of time, the administrative philosophy of the agency, etc.
- Develop purge procedures - must be reflected in the storage and retrieval procedures.
- Carry-out scheduled purging of storage and retrieval system.
- Review retention and purge criteria and procedures - for deficiencies, compliance with new legal requirements and improvements.

SECURITY AND PRIVACY

It is essential to clearly and carefully identify the specific issues related to system security and rights of personal privacy that should properly be associated with the design and operation of any crime reporting system. The logical and rational development of procedures which ensure a reasonable protection of individual rights of privacy, while maintaining the information flow, availability and retention capability required by law enforcement agencies, will lead to a more credible and useful system.

From an operational point of view, there are three basic problem areas that are relevent to security and privacy:

- Unintentional Errors. Ranging from typographic errors to mistaken identities, there is always the possibility that the data finally stores in the system will be incorrect, without any intention of making it so.
- Misuse of Data. Information can be used out of context or for purposes beyond the legitimate criminal justice functions, both by persons who actually have authorized access and by those who acquire the information without authorization.
- Intentional Data Change. The stored data can be destroyed or modified to accomplish the same objectives as described under misuse, or to restrict the proper and effective performance of criminal justice functions.

In this report, "privacy" refers to the protection of the interests of the people whose names appear for whatever reasons in the contents of a system. "Security" refers to the physical and procedural protection of the system itself against intended or accidental injury or penetration.

The protection of individual privacy is a highly important concern in the development of a system. This protection of privacy can occur in part by ensuring that the information in the system is valid - in other words, no entries are made except those which are justified and accurate in every detail. But greater protection will be provided by a complete assurance that the information in the system will not be freely distributed, but will be available only to law enforcement agencies with both the right and the need to know.

In the past, a law enforcement agency's capacity to collect, store, process, access, and disseminate personal data was severely limited. The very inefficiency of the previously available systems was one of the chief protections of individual privacy.

Scattering of data in many files, no linking of files, poor access, and storage problems all served to reduce the scope and effectiveness of crime reporting systems.

It is no longer possible to rely on the inefficiency of information systems for protection of privacy. Constraints must be imposed on the system to ensure that the highest practicable level of protection is obtained.

Protection of file security and personal privacy rests not only on rules, but also on individual performance, which must be controlled by the administrative structure. The agency must establish performance standards and see that they are met. This is also an important consideration in providing for training or system personnel and public education.

Objectives

The prime objective of the security and privacy process is to assure that the Standardized Crime Reporting System

- is not being misused,
- is not prone to unintentional errors,
- cannot have its data intentionally falsified, changed, deleted or added to,
- protects the rights of the people whose names appear in the files.

Organizational Considerations

A set of security and privacy guidelines should be established and administered by the department. These criteria and procedures should be audited by the reporting system audit process.

Functions

The security and privacy process must include the following functions:

- Establish security and privacy criteria and policies.
- Establish a security and privacy procedure.
- Insure the periodic, systematic, inspection, and audit of the security and privacy policy and procedures.
- Review the policy and procedures, on a scheduled basis, to insure their adequacy and effectiveness.

A set of security and privacy standards for information systems has been established by the National Advisory Commission on Criminal Justice Standards and Goals. The standards are presented in Appendix C for your review.

FORMS CONTROL

An often neglected area in crime reporting systems design and implementation is that of forms control. With the implementation of a new system, forms control assumes additional importance. A written procedure should be established for forms control to assure that the number of report forms, changes to report forms and the discontinuance of the use of report forms is a disciplined and controlled process.

Forms control should maintain responsibility for:

- A forms numbering/identification system that controls changes or revisions to forms.
- Insuring that all revisions to forms in use are necessary and are properly reflected in the procedures, guidelines, indexing, and review processes.
- The control of the destruction of obsolete forms.
- The design and production of new forms.
- The maintenance of an adequate supply of forms.

- The determination of forms specifications (size, paper, reproductions, etc.)
- The over-all continuity of the report forms used in the system with respect to utility; economy; ease of preparation; ease of distribution, storage, retrieval, etc.

Objective

The objective of a forms control program is to minimize the number of forms in use, while maintaining the forms necessary to effectively and efficiently capture the data required by the Standardized Crime Reporting System.

Organizational Considerations

Forms control should be a formally recognized process within the department. Depending upon the size of the agency the responsibility for forms control should be assigned to an individual or a departmental unit. This individual or unit should have the authority to review and/or approve the modification, addition, or deletion of report forms.

Functions

The functions of forms control includes:

- Review of requests for new forms.
- Review of request to collect new data elements.
- Design or evaluate the design of new forms.
- Maintenance of a report form control number system.
- Evaluate the effectiveness of existing and/or new forms - e.g., for data collection, data extraction and processing, etc.
- Testing of new forms to identify weaknesses and implement improvements.
- Determine the manner in which to obtain new data elements - use new forms, modify existing forms, use supplemental data sheets, etc. Decisions depend upon intended use of data and length of time data is to be collected.

- Maintain expertise in the state-of-the-art in forms design, production and use.
- Assure that obsolete forms are destroyed and are not available for inadvertant use.

Section 8

DATA UTILIZATION

The primary justification for the collection of data about a crime event is that the data will, or potentially will, be used within the Criminal Justice System. In some instances this use may be to measure the effectiveness of the police system's response to calls-for-service. In others it will be to successfully prosecute the perpetrator of a crime. In order to develop a comprehensive crime reporting system, the utilization of the crime data must be considered as the basis for the system design. The Standardized Crime Reporting System Project has used this approach in arriving at the crime reporting data elements, prototype report forms, the system management and control considerations and its system design. This has been accomplished by defining the various users and uses of crime report data and establishing the information requirements of the various agencies and/or functions involved with crime data use (See Section 2 - Requirements Analysis).

While this Project has expended considerable time and effort in defining the information requirements of the crime reporting system users and the functional uses of crime report data it has not found it appropriate to address, in Phase I, the detail design aspects of the Data Utilization Module. Thus no attempt has been made to define the specific data elements that should be transferred to the various users of crime report information, nor to delineate the data transfer media, timing or formats for the presentation of the data.

It is intended that the specifics of data utilization, be addressed in an operational sense in the test of the system. In the test (Implementation Test and Evaluation), there will be the opportunity to deal with operational environments and the data utilization processes can be developed to meet the specific needs of the agencies involved at the SCRS test sites. In this way realistic and meaningful examples of crime data utilization can be developed and presented.

By developing a data utilization design from the general information requirements established during the Phase I Requirements Analysis and the day-to-day needs of functioning criminal justice agencies the variations in crime information use and presentation can be more readily identified and considered in the module.

The current project direction is to view the data utilization as three sub-processes; (1) operational uses, (2) law enforcement management uses, and (3) data transfer to other data bases (usually other criminal justice information systems).

The operational use process involves those criminal justice agencies that use crime report data to directly effect their operating functions. These agencies include law enforcement, prosecution, probation and criminal justice planners and researchers. Many operational areas within law enforcement are directly affected by crime report data. The most obvious are the patrol operation response to citizen's complaints and the follow-up investigations of the Detective Bureau. Each of these is in direct response to crime report data. Other areas include tactical planning, undercover investigations, etc. Prosecution, probation, and planners and researchers also use crime data directly. This includes the definition of the elements of a case, evaluation of a case, evaluation of the incarceration/release/rehabilitation aspects of the accused, and developing plans and programs.

Those operational uses that were defined during the requirements analysis and were the basis for the development of the data elements list are presented below in outline form.

A. EVENT ORIGINATION USES

1. Determine jurisdictional/functional responsibility
2. Determine required police response
3. Identify persons to contact
4. Identify location of event
5. Identify police response provided and the outcome

B. INITIAL INVESTIGATION USES

1. Determine the nature of the event and data to support or direct subsequent police action
2. Aid the development of the case for prosecution
3. Identify and, if possible, apprehend the perpetrator
4. Aid in the recovery of stolen or lost property
5. Assist in the deployment of resources and evaluation of police strategies and tactics

C. ARREST PROCESS USES

1. Determine arrest authority and legality
2. Identify the risk potential (to officer, public, suspect)
3. Document the facts of arrest for the prosecution process
4. Make positive identification of person arrested
5. Aid in determining subsequent actions and dispositions

D. PROSECUTION PROCESS USES

1. Identify elements of crime
2. Aid in filing decision
3. Determine victim status
4. Determine witness status
5. Determine offender status
6. Determine evidence status

E. PROBATION PROCESS USES

1. Establish identification and history of offender
2. Develop a complete description of event
3. Assist in making recommendations to court
4. Establish identification and relationships of victim/witnesses

F. PLANNING PROCESS USES

1. Determine resource needs
2. Develop crime reduction and action programs
3. Evaluate operational programs
4. Evaluate city planning process
5. Define offender profiles

Law Enforcement management uses of crime report data are many fold. They include crime analysis, resource allocation, crime prevention/crime specific planning, personnel evaluation, case status, operational planning, budget considerations and statistics. Two of the more important needs are crime analysis and manpower allocation.

Crime analysis begins with the basic need within a law enforcement agency for periodic statistical summarization of crime activity in at least three minimum dimensions; (1) the area of occurrence, (2) the time of occurrence, and (3) the offense category. As part of the periodic executing of management information, crime analysis should produce these basic statistical descriptions of crime for the appropriate jursidictional subdivisions corresponding to the responsibilities in the departmental chain of command.

Another internal need is for the capability of producing, on request, geographic or other distributions of selected offense data for crime analysis. With the existence of a geographical coding system, it is possible to generate crime distributions (as an overlay matched to a map presentation of the area of concern.) When other data are available to correlate with crime data, the analyst can begin to identify patterns and trends for use by investigative and patrol units. The area

covered on one report could represent a beat, a census tract, or any other predicted predefined area. In addition, a report could be generated for assaults between strangers, sex crimes, or any other describable group of characteristics.

Effective manpower allocation depends on the type of data collected by the report and record system. Resources should be allocated in the field based on the current and anticipated "workload". Workload is defined as the amount of police services required as a function of hour of the day, day of the week, or geographical area. Manpower allocation should produce reports designed to assist in patrol and beat manpower assignment decision making.

Patrol resource allocation goes beyond decisions such as how many patrol cars should be in the field at a given hour of the day on a given day of the week. It also encompasses decisions as to when a patrol car should be dispatched from one beat to a call for service in another beat and how many floating patrols there should be, if indeed there should be any, and in what areas of the city they should be assigned. The patrol resource allocation function could be designed to provide information leading to these decisions.

A primary impact of the data utilization module is in the preparation of data to be transmitted to external data bases such as UCR, NCIC, and Computerized Criminal History Systems. The form required for this data is usually adequately specified by the various agencies controlling the systems. The reporting system must insure that the data prepared for this purpose will meet these specifications. Data must also be provided for state and local wants/warrants, stolen vehicle, stolen property, etc., systems.

Section 9

CONCLUSION

The prime Phase I objective of the Standardized Crime Reporting System Project was to develop a conceptual crime reporting system that could be implemented, tested and evaluated in an operational environment. This conceptual design has been concluded. The required data elements of a crime reporting system have been identified and defined. These required data elements are based upon the expressed crime information needs of Law Enforcement, Prosecution, Probation, Courts, Corrections, Parole, and Criminal Justice Planners and Researchers. A set of prototype crime reporting forms have been developed to be used as the crime data collection instruments in the test and evaluation phase. Each data element has been associated with the law enforcement process (complaint receipt, dispatch, initial investigation, follow-up investigation, arrest, etc.) that collects it. Data items or codes have been developed to describe each data element. The next step is to take the conceptual system design, the forms and the data elements into an operational environment, implement the system, and test and evaluate its components and overall performance.(Phase II).

In concluding the conceptual design of a Standardized Crime Reporting System this Project has carried-out a series of tasks that have given substance to the system design and are considered to be significan accomplishments. These include:

- A mail-out survey to Law Enforcement, Prosecution, Probation, and City/County Managers to determine the current state-of-the-act in crime reporting and obtain an evaluation of its effectiveness and define user requirements (responses received from 267 agencies).

- An on-site survey of fifteen (15) geographical areas to obtain a first hand review of the crime reporting systems and a definition of user requirements. All types of criminal justice agencies were surveyed.

- The analysis of all crime data report forms used by the fifteen (15) criminal justice agencies visited and the definition of the data elements collected by each form.

- The analysis and evaluation of the crime information requirements of the various users of crime report data. This resulted in matrices depicting the various uses and required information of the various agencies in the criminal justice system.

- The development of a crime information taxonomy that established the relationship between users; functions; information groups and categories; and data elements, chains, items and codes.

- The development of a set of required crime report related data elements that meet the information requirements of the users.

- The development of a standardized set of data items and codes to use when describing data elements.

- The development of a set of prototype crime report forms for use in Phase II implementation, test, and evaluation. The forms designed were (1) a Complaint/Dispatch Report, (2) an Event Report, (3) a Follow-up Investigation Report, and (4) an Arrest Report.

- The design of a conceptual standardized crime reporting system for implementation in Phase II for test and evaluation. The design includes data capture, reporting system management and control and data utilization modules.

The conceptual crime reporting system design and data elements developed in this phase of the Standardized Crime Reporting Systems Project now must be tested and evaluated in an operational environment. The utility of the design and the completeness of the data element list must be reviewed in an implemented operational system so that a final system can be established. This verification and modification process is necessary if the Standardized Crime Reporting System is to obtain a finalized design with a detailed data utilization module, have implementation and operational guidelines and procedures developed and be accepted by law enforcement and other criminal justice agencies.

APPENDIX A

AGENCIES INCLUDED IN MAIL-OUT SURVEY

AGENCIES THAT WERE MAILED A SCRS QUESTIONNAIRE

(City, County)

ALABAMA

Atmore, Escambia
Birmingham, Jefferson
Mobile, Mobile
Pell City, St. Clair
Prichard, Mobil

ARIZONA

Doughlas, Cochise
Phoenix, Maricopa
Tucson, Pima

ARKANSAS

Cabot, Lonoke
Little Rock, Pulaski

CALIFORNIA

Arcadia, Los Angeles
Belmont, San Mateo
Berkeley, Alameda
Burbank, Los Angeles
Capitola, Santa Cruz
Fairfield, Solano
Fontana, San Bernadino
Fresno, Fresno
Glendale, Los Angeles
Los Angeles, Los Angeles
Long Beach, Los Angeles
Lynwood, Los Angeles
Mendota, Fresno
Montclair, San Bernardino
Novato, Marin
Oakland, Alameda
Pasadena, Los Angeles
Pomona, Los Angeles
Sacramento, Sacramento
San Bernardino, San Bernardino
San Diego, Dan Diego
San Francisco, San Francisco
San Jose, Santa Clara
Santa Cruz, Santa Cruz
Santa Fe Springs, Los Angeles
Stockton, San Joaquin

COLORADO

Broomfield, Boulder
Colorado Springs, El Paso
Denver, Denver
Fort Collins, Larimer
Grand Junction, Mesa

CONNECTICUT

Bristol, Hartford
Hartford, Hartford
Stamford, Fairfield

FLORIDA

Casselberry, Seminole
Daytona Beach, Volusia
Fort Lauderdale, Broward
Hollywood, Broward
Homestead, Dade
Jacksonville, Duval
Miami Dade
North Palm Beach, Palm Beach
Tampa, Hillsborough
Vero Beach, Indian River

GEORGIA

Athens, Clarke
Atlanta, Fulton
Calhoun, Gordon
Columbus, Muscogee
Mashville, Berrien
Savannah, Chatham
Statesboro, Bulloch

HAWAII

Honolulu, Honolulu

IDAHO

Buhl, Twin Falls

ILLINOIS

Alton, Madison
Buffalo Grove, Cook
Chatham, Sangamon
Chicago, Cook
Decatur, Macon
Galesburg, Knox
Hanover Park, Cook
Highwood, Lake
Monmouth, Warren
Normal, Mclean
Orland Park, Cook
Rockford, Winnebago
Streamwood, Cook
Washington Park, St. Clair
Wilmette, Cook

INDIANA

Fort Wayne, Allem
Franklin, Johnson
Hammond, Lake
Huntingburg, Dubois
Indianapolis, Marrion
West Lafayette, Lafayette

IOWA

Ames, Story
Atlantic, Cass
Cedar Rapids
Pella, Marion

KANSAS

Junction City, Geary
Kansas City, Wyandotte
Lyons, Rice
Manhattan, Riley
Wichita, Sedgwick

KENTUCKY

Lakeside Park, Kenton
Lexington, Fayette
Louiswille, Jefferson
Middlesboro, Bell
Owensboro, Daviess

LOUISIANA

Jackson, East Feliciana
New Orleans, Orleans

(LOUISIANA CON'T)

Shriveport, Caddo
Thibodaux, Lafourche

MAINE

Bangor, Penobscot

MARYLAND

Baltimore (independent city)
Frostburg, Allegany

MASSACHUSETTS

Boston, Suffolk
Fitchburg, Worcester
New Bedford, Bristol
North Adams, Berkshire
Woburn, Middlesex
Worcester, Worcester

MICHIGAN

Detroit, Wayne
Flint, Genesee
Howell, Livingston
Inkster, Wayne
Lansing, Ingham
Marquette, Marquette
Pontiac, Oakland
Spring Lake, Ottawa
Warren, Macomb

MINNESOTA

Austin, Mower
Brainerd, Crow Wing
Litchfield, Meeker
Minneapolis, Hennepin
Roseville, Ramsey
St. Paul, Ramsey
Virginia, St. Louis

MISSISSIPPI

Amory, Monroe
Jackson, Hinds
Vicksburg, Warren

MISSOURI

Bolivar, Polk
bridgeton, Hazelwood
Kansas City, Jackson
Mount Vernon, Lawrence
St. Louis (independent city)
Sedalia, Pettis
Springfield, Greene

MONTANA

Glendive, Dawson

NEBRASKA

Omaha, Douglas

NEVADA

Las Vegas, Clark

(NEVADA CON'T)

North Las Vegas, Clark

NEW HAMSHIRE

NEW JERSEY

Alpha, Warren
East Orange, Essex
Elizabeth, Union
Haddonfield, Camden
Jersey City, Hudson
Keansburg, Monmouth
Lodi, Bergen
Newark, Essex
Phillipsburg, Warren
Shrewsbury, Monmouth
Totowa, Passaic
Trenton, Mercer
Vineland, Cumberland

NEW YORK

Albany, Albany
Ballston SPA, Saratoga
Buffalo, Erie
Dobbs Perry, Westchester
Freeport, Nassau
Haverstraw, Rockland
Mineola, Nassau
New York
North Tonawanda, Niagara
Port Washington North, Nassau
Rochester, Monroe
Yonkers, Westchester

NORTH CAROLINA

Cary, Wake
Concord, Cabarrus
Greensboro, Guilford
Valdese, Burke
Wilmington, New Hanover
Winston-Salem, Forsyth

NORTH DAKOTA

Williston, Williams

OKLAHOMA

Holdenville, Hughes
Midwest City, Oklahoma City
Oklahoma City, Oklahoma
Tulsa, Tulsa

OHIO

Akron, Summit
Cincinnati, Hamilton
Cleveland, Cuyahoga
Columbus, Franklin
Coshocton, Coshocton
Dayton, Montgomery
Eaton, Preble
Garfield Hgts.
Lakewood, Cuyahoga
Medina, Medina

(OHIO CON'T)

Mingo Junction, Jefferson
Portsmouth, Scioto
Sharonville, Hamilton
Sunbury, Berkshire
Toledo, Lucas
Wilmington, Clinton
Youngstown, Mahoning

OREGON

Beaverton, Washington
La Grande, Union
Portland, Multnomah

PENNSYLVANIA

Brockway, Jefferson
Carbondale, Lackawanna
Erie, Erie
Folcroft, Delaware
Johnstown, Cambria
Kingston, Luzerne
McSherrystown, Adams
Patton, Cambria
Philadelphia, Philadelphia
Pittsburgh, Allegheny
Sunbury, Northumberland
Tamaqua, Schuylkill

RHODE ISLAND

Newport, Newport
Providence, Providence

SOUTH CAROLINA

Conway, Horry

SOUTH DAKOTA

Mitchell
Sioux Falls, Minnehaha
Vermillion, Clay

TENNESSEE

Chattanooga, Hamilton
Memphis, Shelby
Murfreesboro, Rutherford
Nashville-Davidson,
Soddy-Daisy, Hamilton

TEXAS

Alice, Jim Wells
Amarillo, Potter
Austin, Travis
Commerce, Hunt
Corpus Christi, Nueces
Dallas, Dallas
El Paso, El Paso
Fort Worth, Tarrant
Freeport, Brazoria
Houston, Harris
Hunters Creek Village, Harris
Longview, Gregg
New Braunfels, Comal
Perryton, Ochiltree
San Antonio, Bexar

(TEXAS CON'T)

Uvalde, Uvalde
West Orange, Orange

UTAH

Salt Lake City, Salt Lake

VIRGINIA

Big Stone Gap, Wise
Danville, (independent city)
Hampton, (independent city)
Harrisonburg,(independent city)
Norfolk, (independent city)
Portsmouth (independent city)
Virginia Beach, (independent city)

WASHINGTON

Bellevue, King
Grand View, Yakima
Mountlake Terrace, Snohomish
Seattle, King
Tacoma, Pierce

WEST VIRGINIA

Point Pleasant, Mason
Weirton, Hancock

WISCONSIN

Glendale, Milwaukee
Mauston, Juneau
Milwaukee, Milwaukee
Waukesha, Waukesha

WYOMING

Laramie, Albany
Powell, Park

Washington, D. C.

GEOGRAPHIC
RESPONSE OF LAW ENFORCEMENT AGENCIES

	# returned
Northeast - New England - Middle Atlantic	27
North Central - East North Central - West North Central	48
South - South Atlantic, East South Central, West South Central	42
West - Mountain - Pacific	44
	161

New England

Maine	2
New Hamp.	1
Vermont	0
Mass	5
R. I.	0
Conn.	3
	11

Middle Atlantic

N.Y.	7
N.J.	7
Penn.	2
	16

East North Central

Ohio	8
Ind.	2
Ill.	5
Mich.	5
Wisc.	4
	24

Pacific

Wash.	3
Ore.	2
Calif.	23
Alas.	0
Hawaii	2
	30

West North Central

Minn.	4
Iowa	4
Mo.	5
N. Da.	2
S. Da.	2
Neb.	1
Kan.	6
	24

South Atlantic

Del.	1
Md.	2
D.C.	0
Va.	5
W. Va.	1
N. Car.	2
S. Car.	2
Georgia	2
Florida	6
Puerto Rico	0
	21

East South Central

Ken.	2
Tenn.	2
Ala.	1
Miss.	1
	6

West South Central

Ark.	1
Louis.	1
Okla.	5
Tex.	8
	15

Mountain

Montana	1
Idaho	1
Wyoming	2
Colorado	3
N. Mex.	2
Ariz.	3
Utah	1
Nev.	1
	14

GEOGRAPHIC
RESPONSE OF PROBATION AGENCIES

	# returned
Northeast - New England - Middle Atlantic	9
North Central - East North Central - West North Central	14
South - South Atlantic, East South Central, West South Central	13
West - Mountain - Pacific	29
	65

New England

Maine	1
New Hamp.	0
Vermont	0
Mass	1
R. I.	0
Conn.	0
	2

Middle Atlantic

N.Y.	2
N.J.	2
Penn.	4
	8

East North Central

Ohio	4
Ind.	0
Ill.	1
Mich.	4
Wisc.	0
	9

Pacific

Wash.	0
Ore.	3
Calif.	10
Alas.	0
Hawaii	1
	14

West North Central

Minn.	2
Iowa	0
Mo.	1
N. Da.	0
S. Da.	0
Neb.	0
Kan.	2
	5

South Atlantic

Del.	0
Md.	1
D.C.	1
Va.	0
W. Va.	0
N. Car.	0
S. Car.	0
Georgia	0
Florida	2
Puerto Rico	0
	4

East South Central

Ken.	1
Tenn.	1
Ala.	0
Miss.	0
	2

West South Central

Ark.	0
Louis.	0
Okla.	1
Tex.	6
	7

Mountain

Montana	0
Idaho	0
Wyoming	0
Colorado	4
N. Mex.	0
Ariz.	3
Utah	0
Nev.	0
	7

GEOGRAPHIC
RESPONSE OF PROSECUTION AGENCIES

	# returned
Northeast - New England - Middle Atlantic	4
North Central - East North Central - West North Central	6
South - South Atlantic, East South Central, West South Central	1
West - Mountain - Pacific	7
	18

New England

Maine	0
New Hamp.	0
Vermont	0
Mass	0
R. I.	0
Conn.	0
	0

Middle Atlantic

N.Y.	2
N.J.	2
Penn.	0
	4

East North Central

Ohio	0
Ind.	0
Ill.	0
Mich.	0
Wisc.	0
	0

Pacific

Wash.	0
Ore.	0
Calif.	5
Alas.	0
Hawaii	0
	5

West North Central

Minn.	1
Iowa	0
Mo.	2
N. Da.	0
S. Da.	0
Neb.	0
Kan.	3
	6

South Atlantic

Del.	0
Md.	1
D.C.	0
Va.	0
W. Va.	0
N. Car.	0
S. Car.	0
Georgia	0
Florida	0
Puerto Rico	0
	1

East South Central

Ken.	0
Tenn.	0
Ala.	0
Miss.	0
	0

West South Central

Ark.	0
Louis.	0
Okla.	0
Tex.	0
	0

Mountain

Montana	0
Idaho	0
Wyoming	0
Colorado	0
N. Mex.	0
Ariz.	1
Utah	1
Nev.	0
	2

GEOGRAPHIC
RESPONSE OF CITY/COUNTY OFFICIALS

	# returned
Northeast - New England - Middle Atlantic	6
North Central - East North Central - West North Central	8
South - South Atlantic, East South Central, West South Central	3
West - Mountain - Pacific	7
	24

New England

Maine	0
New Hamp.	0
Vermont	0
Mass	3
R. I.	0
Conn.	0
	3

Middle Atlantic

N.Y.	1
N.J.	2
Penn.	0
	3

East North Central

Ohio	1
Ind.	1
Ill.	1
Mich.	3
Wisc.	0
	6

Pacific

Wash.	1
Ore.	1
Calif.	5
Alas.	0
Hawaii	0
	7

West North Central

Minn.	0
Iowa	0
Mo.	1
N. Da.	0
S. Da.	0
Neb.	0
Kan.	1
	2

South Atlantic

Del.	0
Md.	0
D.C.	0
Va.	0
W. Va.	0
N. Car.	0
S. Car.	0
Georgia	0
Florida	1
Puerto Rico	0
	1

East South Central

Ken.	0
Tenn.	0
Ala.	0
Miss.	0
	0

West South Central

Ark.	0
Louis.	0
Okla.	0
Tex.	2
	2

Mountain

Montana	0
Idaho	0
Wyoming	0
Colorado	0
N. Mex.	0
Ariz.	0
Utah	0
Nev.	0
	0

LAW ENFORCEMENT AGENCIES RESPONDING

ALABAMA
- Mobile

ARIZONA
- Arizona Dept. of Public Safety
- Phoenix
- Scottsdale

ARKANSAS
- Little Rock

CALIFORNIA
- Berkeley
- Oakland
- Fresno
- Los Angeles County Sheriff
- Arcadia
- Burbank
- Glendale
- Los Angeles
- Long Beach
- Pasadena
- Pomona
- Novato
- Orange County Sheriff
- Sacramento
- Fontana
- Montclair
- San Bernardino
- San Diego County Sheriff
- San Diego
- San Jose
- Santa Cruz
- Fairfield

COLORADO
- Denver
- Fort Collins
- Grand Junction

CONNECTICUT
- Stamford
- New Britain
- New Haven

DELAWARE
- Delaware State Police

FLORIDA
- Hollywood
- Dade County Sheriff
- Homestead
- Jacksonville
- Tampa
- Vero Beach

GEORGIA
- Savannah
- Atlanta

HAWAII
- Kauai County Police Dept.
- Maui County Police Dept.

IDAHO
- Buhl

ILLINOIS
- Chicago
- Hanover Park
- Wilmette
- Galesburg
- Rockford

INDIANA
- Fort Wayne
- West Lafayette

IOWA
- Atlantic
- Davenport
- Ames
- Sioux City

KANSAS

Kansas Bureau of Investigation
Newton
Lyons
Manhattan
Wichita
Topeka

KENTUCKY

Middlesboro
Lexington

LOUISIANA

Thibodaux

MAINE

Maine State Police
Bangor

MARYLAND

Maryland State Police
Baltimore

MASSACHUSETTS

Woburn
Brockton
Boston
Fitchburg
Worcester

MICHIGAN

Michigan State Police
Grand Rapids
Marquette
Detroit
Inkster

MINNESOTA

Brainerd
Minneapolis
Austin
Roseville

MISSISSIPPI

Jackson

MISSOURI

Springfield
Bridgeton
Kansas City
Sedelia
St. Louis

MONTANA

Glendive

NEBRASKA

Omaha

NEVADA

North Las Vegas

NEW HAMPSHIRE

New Hampshire State Police

NEW JERSEY

New Jersey State Police
Vineland
East Orange
Jersey City
Keansburg
Shrewsbury
Elizabeth

NEW MEXICO

New Mexico State Police
Albuquerque

NEW YORK

New York State Police
Albany
Buffalo
Rochester
Mineola
Haverstraw
Yonkers

NORTH CAROLINA

Winston-Salem
Greensboro

NORTH DAKOTA

Bismarck
Fargo

OHIO

Cleveland
Garfield Heights
Columbus
Cincinnati
Toledo
Youngstown
Medina
Akron

OKLAHOMA

Yukon
Lawton
Edmond
Bartlesville
Tulsa

OREGON

Oregon State Police
LaGrande

PENNSYLVANIA

Pennsylvania State Police
Carbondale

SOUTH CAROLINA

South Carolina Law
Enforcement Division
Conway

SOUTH DAKOTA

Clay County
Sioux Falls

TENNESSEE

Chattanooga
Memphis

TEXAS

San Antonio
Freeport
Dallas
Alice
Amarillo
Arlington
Fort Worth
Austin

UTAH

Salt Lake City

VIRGINIA

Virginia State Police
Danville
Hampton
Norfolk
Portsmouth

WASHINGTON

Seattle
Tacoma
Mountlake Terrace

WEST VIRGINIA

Charleston

WISCONSIN

Dane County Sheriff
Appleton
Glendale
Sheboygan

WYOMING

Laramie
Casper

PROBATION AGENCIES RESPONDING

ARIZONA

Cochise County
Maricopa County
Pima County

CALIFORNIA

Alameda County
Fresno County
Marin County
Sacramento County
San Diego County
San Francisco County
San Joaquin County
San Mateo County
Santa Clara County
Solano County

COLORADO

Broomfield
Denver County
Denver
El Paso County

FLORIDA

Hillsborough County
Volusia County

HAWAII

Honolulu County

ILLINOIS

Cook County

KANSAS

Wichita
Kansas City

KENTUCKY

Kenton County

MAINE

State Bureau of Corrections

MARYLAND

State Division of Parole and Probation

MASSACHUSETTS

Cambridge

MICHIGAN

Genesee County
Lansing
Pontiac
Wayne County

MINNESOTA

State Bureau of Corrections
Brainerd
Hennepin County

MISSOURI

State Board of Probation and Parole

NEVADA

State Dept. of Parole and Probation

NEW JERSEY

Bergen County
Essex County

NEW YORK

Erie County
Monroe County

OHIO

Coshocton
Cuyahoga County
Hamilton County
Montgomery County

OKLAHOMA

Tulsa County

OREGON

State Dept. of Corrections
Union County
Washington County

PENNSYLVANIA

Allegheny County
Pittsburgh
Erie County
Jefferson County

TENNESSEE

Shelby County

TEXAS

Brazoria County
Comal County
Dallas County
Longview
Orange County
Fort Worth

WASHINGTON, D. C.

PROSECUTORS RESPONDING

ARIZONA

Maricopa County

CALIFORNIA

Los Angeles County
Sacramento County
San Francisco County
Santa Clara County

KANSAS

Geary County
Rice County
Riley County

MARYLAND

Independent County

MINNESOTA

Mower County

MISSOURI

Greene County
Jackson County

NEW JERSEY

Essex County
Mercer County

NEW YORK

Albany County
Westchester County

UTAH

Salt Lake County

CITY/COUNTY OFFICIALS RESPONDING

CALIFORNIA

Oakland
Glendale
Los Angeles
Stockton
San Jose

FLORIDA

Jacksonville

ILLINOIS

Wilmette

INDIANA

Fort Wayne

KANSAS

Topeka

MASSACHUSETTS

New Bedford
Boston
Worcester

MICHIGAN

Flint
Lansing
Warren

MISSOURI

St. Louis

NEW JERSEY

Trenton
Shrewsbury

NEW YORK

Rochester

OHIO

Garfield Heights

OREGON

Portland

TEXAS

San Antonio
Amarillo

WASHINGTON

Seattle

APPENDIX B

DATA ELEMENT LIST BY CRIME REPORTING PROCESS

DATA ELEMENTS	DATA ITEMS AND CODES
COMPLAINT PROCESS	
Person Reporting Event	
1. Name	Last name, first name or initial, middle name or initial, suffix denoting seniority (e.g., Jr., II)
2. Point of contact (address)	Give the number of the house or building, street name showing direction (N, E, NE, etc.), suffix identifying numbers such as apt. number, floor, and room number
3. Point of contact (phone)	
Person Receiving Call	
4. Identification number	
Nature of Event	
5. Event status --in progress --developing --just occurred --recent --cold	Incident Status--the status of the incident which has prompted the request for service if classified relative to the time of occurrence and/or existence of meaningful information at the scene. • In Progress/Developing: Calling party can see or hear or otherwise knows that the activity which prompted this call is now taking place; or something is going on which makes the calling party feel quite sure that such an incident is imminent. • Just Occurred: The apparent, primary incident being reported has just taken place; the scene is essentially intact; witnesses are probably still at the scene; suspect(s) in area but are not, apparently, at the scene. • Recent: Incident has happened; scene relatively intact physically; witnesses probably not available; suspect status unknown. • Cold: Incident has taken place; probably no useful clues at scene; report and/or follow-up required. • Unknown/Incomplete Call: Caller requests police assistance but refuses or is not able to describe reason for call.
6. Category of event (crime/call for service type)	References (See copies on following pages): 1. IACP Reporting Guide (pgs. 94 & 95) 2. Requirements Definition Crime File (CRISS) (pgs. 12-17) 3. NCIC Operating Manual (pgs. 154b-154q) 4. Cincinnati Report (pgs. A-3-A-5 & 5-10)

7. Outcome of event (victim injury or property loss sustained)	Property damage or loss --taken without consent --damaged --destroyed --defaced --taken with consent (fraud) Personal injury incurred --death --rape --injury requiring hospitalization --injury treated at scene --minor injury (no treatment) --mental anguish/fear --sexual acts other than rape --neglect or abuse (child) --abduction --loss of civil rights
8. Location of event (address)	Record the location of the incident. Give the name of the street and number of the house or building. If the incident occurred in a building of any kind, check the next box. If the incident occurred at an intersection, report the names of the intersecting streets. If it took place in a building with numbered apartments or offices, include the number of the apartment or office space. If it occurred in rural area, indicate the number of feet, miles, etc. and direction to the closest point of reference.
9. Relation to address	--Inside --Front --Rear --Side --Roof --Alley --Driveway --Garage (Private), Carport --Parking Lot --Shed --Barn --Corral --Yard
10. Premise type (2) --single family residence --apartment house --motel --hotel	Reference (see copy on following page): Requirements Definition Crime File (CRISS) (pgs. 21 & 22) Residence: 01 Apartment 02 P.H. Project 03 Motel/Hotel 04 Rooming House 05 Other Open Space: 17 Alley 18 Park 19 Parking Lot 20 Street 21 Wooded Area 22 Other Commercial: 06 Bank 07 Bar/Nightclub 08 Chainstore 09 Commercial House 10 Drug Store 11 Liquor Store 12 Office 13 Oil Station 14 Restaurant 15 Food Store 16 Other

11. Time event occurred	Range of time for event citizen isn't aware of specific times: From: Month, Day, Year - Time To: Month, Day, Year - Time
12. Time event reported (received by agency)	
13. How received (2) --telephone --walk-in --officer initiated/on view --teletype --letter --alarm	
14. Victim name	Last name, first name or initial, middle name or initial, suffix denoting seniority (e.g., Jr., II)
15. Victim location (at time of call)	Give the number of the house or building, street name showing direction (N, E, NE, etc.), suffix identifying numbers, such as apt. number, floor, and room number
16. Suspect name	Last name, first name or initial, middle name or initial, suffix denoting seniority (e.g., Jr., II)
17. Suspect location	At scene - committing crime At scene - hiding Fleeing - direction and name of street Not at scene - no knowledge Not at scene - knowledge of whereabouts
18. Suspect description	Sex Race Age Height Weight Hair Eyes Complexion Glasses Clothing Oddities/Unique Characteristics
19. Involved vehicle license number	License number License plate state License plate year License plate type
20. Vehicle description	Vehicle year Vehicle make Vehicle model Vehicle style Vehicle color

Response	
21. Action initiated --field response dispatched --office response (put on bulletin; referred to detectives, chief, other unit, etc.) --phone report taken --referral (outside agency) --no response --incomplete call --information only --void --duplicate report --follow-up	
22. Priority of response assigned --urgent --intermediate --as available	
23. Event number assigned (to be carried forward)	
DISPATCH PROCESS	
Individuals/Units Involved	
1. Dispatcher identification number	
2. Unit identification	
3. Support unit number	
Action Taken	
4. Time of dispatch/assignment	
5. Time of arrival at scene	
6. Time assignment is completed	

Outcome	Reference (see copies on following page): IACP Reporting Guide (pgs. 96 & 97)
7. Initial disposition (each unit) --report taken without field interview --gone on arrival --outside jurisdiction --unable to locate --preliminary investigation without additional report (annotated) --preliminary investigation with report --transferred to: --citation issued	
INITIAL INVESTIGATION	
Suspect/Arrestee Data	
1. Name	Last name, first name or initial, middle name or initial, suffix denoting seniority (e.g., Jr., II)
2. Alias, AKA	Same as name, titles or degrees of individuals, including foreign titles and degrees, and their abbreviations, e.g., Mr., Miss, Prof., Ph.D., Col., D.D.S. Dr., Rev., etc. are not considered part of the individual's name. They may be included as an alias when it is known or believed the title or degree will be used by the individual when identifying himself/herself.
3. Date of birth	Month, day, year
4. Sex	M, F
5. Race	White (incl. Mexicans and Latins) Negro Indian Chinese Japanese All others (including Asians, Indians, Koreans, Filipinos, Indonesians, Eskimos, Polynesians, and other non-whites)

6. Social Security No. 7. State ID No. 8. FBI No. 9. Drivers License No. 10. Misc. ID No.	Reference (see copies on following pages): NCIC Operating Manual (pgs. 153 & 154 and section 10.10, pg. 141a)
11. NCIC fingerprint class	Reference (see copies on following pages): NCIC Operating Manual (pgs. 151 & 152)
12. Place of birth	Use NCIC codes to indicate state (U.S., Mexican) territorial possession, province (Canada), or country of birth
13. Height 14. Weight 15. Color eyes 16. Color hair	Reference (see copies on following pages): NCIC Operating Manual (pgs. 141 and section 10.9 of pg. 141a)
17. Scars, marks, tattoos	Reference (see copies on following pages): NCIC Operating Manual (pgs. 142-149)
18. Best point of contact (BPC) 19. BPC phone 20. Residence address 21. Residence phone 22. Business address 23. Business phone	Previously described
24. Occupation	Principal occupation of victim, even if unemployed. If the person is in the armed service, indicate branch and rank. Also, if student or housewife. VICTIM EMPLOYMENT STATUS 01 Employed 02 Unemployed 03 Retired 04 Student 05 Unknown

25. Relationship to others involved in event	VICTIM/PERPETRATOR RELATIONSHIP 01 Perp. Not Known to Victim 02 Perp. Known by Victim 03 Unknown Immediate family member Relative Neighbor Business acquaintance Social acquaintance
26. Parent or guardian of juvenile: name 27. Parent or guardian of juvenile: address 28. Parent or guardian of juvenile: phone	Name, address, phone: previously described
29. Known associates, haunts, etc.	Open-ended
30. Sobriety	Intoxicated HBD Sober Unknown
31. Under influence of drugs	Yes No Unknown
32. Weapon carried	Firearm--pistol, shotgun, rifle, other handguns Knife--other cutting instrument Club Other--dangerous weapon
33. Status in criminal justice system	On bail Escapee Probation Parole Awaiting trial Released on own recognizance Awaiting sentence
Victim Data	
34. Name	Already described
35. Alias, AKA	" "
36. Date of birth	" "

37. Sex	Already described
38. Race	" "
39. Social Security No.	" "
40. Best point of contact (BPC)	" "
41. BPC phone	" "
42. Residence address	" "
43. Residence phone	" "
44. Business address	" "
45. Business phone	" "
46. Occupation	" "
47. Relationship to others involved in event	" "
48. Knowledge of event circumstances	Open-ended
49. Reliability - validity information	Reliable/strong Reliable/weak Unreliable Unknown
50. Parent or guardian of juvenile: name	Already described
51. Parent or guardian of juvenile: address	" "
52. Parent or guardian of juvenile: phone	" "
53. Sobriety	
54. Under influence of drugs	" "
55. Weapon carried	" "
Witness Data	
56. Name	" "
57. Best point of contact (BPC)	" "
58. BPC phone	" "

59. Residence address	Already described
60. Residence phone	" "
61. Business address	" "
62. Business phone	" "
63. Relationship to others involved in event	" "
64. Knowledge of event circumstances	" "
65. Reliability/validity information	" "
66. Parent or guardian of juvenile: name	" "
67. Parent or guardian of juvenile: address	" "
68. Parent or guardian of juvenile: phone	" "
Person Reporting	
69. Name	" "
70. Best point of contact (BPC)	" "
71. BPC phone	" "
72. Residence address	" "
73. Residence phone	" "
74. Relationship to others involved in event	" "
75. Knowledge of event circumstances	" "
76. Reliability/validity information	" "
Investigate Contact	
77. Name	" "
78. Best point of contact (BPC)	" "

79. BPC phone	Already described
80. Residence address	" "
81. Residence phone	" "
82. Relationship to others	" "
83. Knowledge of event circumstances	" "
84. Reliability/validity information	" "
Crime Type/Description	
85. Property damage or loss --taken without consent --damaged --destroyed --defaced --taken with consent (fraud)	
86. Property description (use NCIC coding) --type/article --make/brand --year --model (number) --serial number --registration/license no. --color --size --identifying marks --number of items --dollar value --caliber --barrel length	Firearms: Reference (see copies on following pages): NCIC Operating Manual (pgs. 79, 125, 126, 129-133) Other articles: Reference (see copies on following pages): NCIC Operating Manual (pgs. 134, 135, 138)
87. Personal injury incurred --death --rape --injury requiring hospitalization --injury treated at scene --minor injury (no treatment) --mental anguish/fear --sexual acts other than rape --neglect or abuse (child) --abduction --loss of civil rights	

88. Extent of personal injury (details of physical injury)	
89. Other crime category (description, not involving personal injury or property damage)	
90. Method of entry --lawful --unlawful --forced --no force --attempted force	Reference (see copies on following pgs.): Requirements Definition Crime File (CRISS) (pgs. 24 & 25)
91. Weapon or force used --gun --knife or cutting instrument --dangerous weapon --hands/feet --threat --other	WEAPON 01 Pistol 02 Shotgun 03 Rifle 04 Other Handguns 05 Club 06 Poison 07 Knife 08 Other Cutting 09 Other Dangerous Weapon 10 Bodily Force 11 Unknown
92. Tools used	See above
93. Point of entry	See above
94. Point of exit	HOW ENTERED 01 Front Door 02 Rear Door 03 Side Door 04 Other Door 05 Transom 06 Front Window 07 Rear Window 08 Side Window 09 Other Window 10 Skylight 11 Duct Heat 12 Wall 13 Unknown 14 Others
95. Vehicle involvement and description	Already described
96. Premise attacked	" "
97. Location of target/loss	Reference (see copies on following pgs.): Requirements Definition Crime File (CRISS) (pgs. 26-28)
98. Location of recovery	

99. Apparent intent of perpetrator	Reference (see copies on following pgs.): Requirements Definition Crime File (CRISS) (pgs. 29 & 30)
100. Description of physical evidence	Reference (see copies on following pgs.): Requirements Definition Crime File (CRISS) (pg. 19 "Type of Evidence Gathered")
101. Location of evidence at crime scene	Open-ended
Law Enforcement Response	
102. Officer(s) involved (ID number)	
103. Narrative of reporting officer's observations	
104. Statement of victim(s)/ witness(es) taken	
105. Investigative action taken --crime scene search --ID of witnesses --contacts witnesses --neighborhood checks --M.O. check --search for suspect --line-up on suspect --interrogate suspect(s) --evidence collected --vehicle towed --APB --local bulletin notice	Requested--indicate here those requests or notifications for assistance that are requested by the reporting officer at the scene, by radio or telephone, for criminal investigators, coroner, ambulance, or tow truck. (This is not for purpose of requesting at a later date, but to record those requests for immediate service during the officer's preliminary investigation.) Also indicate requests for NCIC checks, radio APB's, teletypes, and other.
106. Conclusions of reporting officer	
107. Time report taken, statements taken and other action taken	
108. Disposition --no further action necessary --assigned for follow-up --further investigation required --complaint filed --arrest made	Reference (see copies on following pgs.): IACP Reporting Guide (pgs. 23, 24 & 96) Case Status--the reporting officer will recommend. However, final determination will be made by the reporting officer's supervisor and status entries will be made on the report at the time of his review. Status must be indicated for all

108. (Continued) --referred to another jurisdiction/agency --unfounded --pending --suspended --cleared by arrest	cases, including non-criminal incidents. The case should be considered "open" or pending if any additional information is required (even though an arrest is actually made). Cases may be "closed" only when the entire matter is completed and no additional police action is required. Cases may be "suspended" by the supervisor when every reasonable avenue of investigation has been pursued and exhausted. Under such circumstances these cases should not be "closed". Although active work on the case is discontinued, additional information such as new evidence, arrest of a suspect on a subsequent case, etc., may be forthcoming and will cause the investigation to be pursued in the future.
109. Individual authorizing disposition	
110. Justification for disposition --exceptional clearance (UCR definition) --suspended/inactive --failure to prosecute --explain other reasons for recommended action disposition	
111. Crime/offense classification --all crime classifications that event can justify--not just highest assigned classification, but not to detail lessor included offenses	Already described

HOMICIDE: (1)
01 Willful Killing
02 Killing of Felon by Officer in Line of Duty
03 Killing Felon by Private Citizen

RAPE: (2)
04 Forcible
05 Assault-Attempt

ROBBERY: (3)

W	NW	W	NW
05.	15.	25.	35 Hwy, st. alley
06.	16	Commerical House	
07.	17	Oil Station	
08.	18	Chain Store	
09.	19	Residence	
10.	20	Bank	
11.	21	Miscellaneous	

ASSAULTS: (4)
41 Gun
42 Knife Cutting Inst.
43 Other Dangerous Weapon
44 Hand, Fist, Feet, etc.
45 OTHER ASSAULTS

BURGLARY: (5)

F	NF	A	
12.	22.	32	Residence Night
13.	23.	33	Residence Day
14.	24.	34	Non-Res Night
15.	25.	35	Non-Res Day
16.	26.	36	Residence Unknown
17.	27.	37	Non-Res Unknown

LARCENY: (6)
16 Pickpocket
17 Purse Snatch
18 Shoplifting
19 From Automobile
20 Auto Accessories
21 Bicycles
22 From Building
23 From Coin Machines (outside of bldgs.)
24 Cargo Thefts
25 Livestock
26 Others

AUTO THEFT: (7)
34 Auto Theft
35 Without Owner's Consent

DATA ELEMENT	DATA ITEMS & CODES
FOLLOW-UP REPORT	
Victim's/Complainant's Name Date of Report Event Number Reported Crime-Descriptive Crime Classification Change Crime Classification To: Name of Suspects Sex, Race, DOB, etc. Local ID Number	Previously described
Value of Recovery	Dollar value of recovered Property (Estimate if not known)
Location of Property recovered Revised Premise & Object of Attack information	Previously described
Date/Time of Follow-up Investigation	Date and Time of day
Investigative Action Taken	Narrative description of action
Time spent in investigative activity	Minutes and/or hours of investigator's time spent on case
Disposition	Previously described
Other Crimes Event can Justify	Describe in narrative

DATA ELEMENTS	DATA ITEMS & CODES
ARREST/APPREHENSION PROCESS	
ARRESTEE DATA	
1. Name 2. Alias 3. Residence address 4. Residence phone 5. Other best point of contact (BPC) 6. Other best point of contact (BPC) 7. Occupation 8. Name of parent/guardian 9. Address of parent/guardian and phone number 10. Sex 11. Race 12. Height 13. Weight 14. Color eyes 15. Color hair 16. Scars, marks, tattoos 17. Social Security No. 18. Driver's License No. 19. Date of birth 20. Misc. Ident. No. 21. NCIC fingerprint classification	Already described

22. Resistance to arrest	Narrative explanation with an indication of type of resistance • Fled Scene • Attacked Officer • Abusive • Passive, and officer's response
23. Under influence of Alcohol/ drugs 24. Armed 25. Injury	Yes, No, or Unknown
26. Status in criminal justice system	Already described
ARRESTOR/OFFICER IDENTIFICATION DATA	
27. Name of Officer(s)	Last Name, 1st initial
28. ID No. of Officer(s)	Department ID Number Above includes: Arresting Officer's name Identification number Assisting officer Assisting officer ID No. Transporting officer Transporting officer ID No. Booking officer Booking officer ID No. Reviewing (supervising) officer Reviewing (supervising) officer ID No. Searching officer Searching officer ID No. Officer Finding and/or Receiving Property
29. Citizen assisting/witness name 30. Citizen assisting/witness residence address	As previously described

31. Citizen assisting/witness business address 32. Citizen assisting/witness phone number 33. Citizen assisting/witness knowledge of arrest circumstances (reliability)	As previously described
34. Notifications Parent/guardian (if juvenile) Investigators Affected criminal justice agencies	Person/Agency notified and date/time/person doing notification
35. Statute citations for charge and charges - (literal)	The penal code for the charge and its literal interpretation
36. How arrest made	Check-off box with option of: On view, warrant, citizen, call, investigation.
37. Force used by arresting officer	Narrative statement contained in "NARRATIVE" description of arrest.
38. Search employed in arrest	Check off box: • Person • Premise • Vehicle • Property • None
39. Basis for search	Explained in narrative
40. Rights explained to arrestee	Check off - Yes or No
41. Response to rights	Check off: • Silent • Waived • Understood • Statement taken • Other (explain in narrative)

42. Address of Arrest	Already described, plus geocodes
43. Relation to Premise (of Arrest)	As already described, and included with address
44. Location of Search	Explain in narrative (address, premise, etc.)
45. Date/Time of Search	Detail in narrative
46. Location of Booking	Fill-in Statement of booking facility
47. Vehicle license no./ description 48. Vehicle held/towed to (Location) 49. Date/time apprehended 50. Date/time released or transported 51. Date/time of notifications	As previously described
52. Property Category	Narrative description to identify type of property • Recovered • Stolen • Contraband • Evidence
53. Property Description 54. Location of Recovery	As previously described
55. Disposition of Property	Narrative statement as to disposition of property.

56. Disposition	Check off: • booked/in custody • cited • bail • ROR • referred/transferred to other agency • released (no futher action) • exceptional • released (in custody of: _____)
57. Reason for Disposition	Check off: • insufficient evidence • new evidence • complaint/petition filed • jurisdictional authority • death • other
58. Authorizing officer/agency name	As previously described

APPENDIX C

NATIONAL ADVISORY COMMISSION ON
CRIMINAL JUSTICE STANDARDS AND GOALS
SECURITY AND PRIVACY
STANDARDS

Standard 8.1

Security and Privacy Administration

1. State Enabling Act. Each State should adopt enabling legislation for protection of security and privacy in criminal justice information systems. The enabling statute shall establish an administrative structure, minimum standards for protection of security and privacy, and civil and criminal sanction for violation of statutes or rules and regulations adopted under it.

2. Security and Privacy Council. Each State shall establish a Security and Privacy Council. Fifty percent of the members named to the Council shall be private citizens who are unaffiliated with the State's criminal justice system. The remainder shall include representatives of the criminal justice information systems and other appropriate government agencies. The Security and Privacy Council shall be vested with sufficient authority to adopt and administer security and privacy standards for criminal justice information systems.

The Council should further have authority to establish rules and regulations in this field and to sanction agencies which fail to comply with them.

Civil and criminal sanctions should be set forth in the enabling act for violation of the provision of the statute or rules or regulations adopted under it. Penalties should apply to improper collection, storage, access, and dissemination of criminal justice information.

3. Training of System Personnel and Public Education. All persons involved in the direct operation of a criminal justice information system should be required to attend approved courses of instruction concerning the system's proper use and control. Instruction may be offered by any agency or facility, provided that curriculum, materials, and instructors' qualifications have been reviewed and approved by the Council.

Minimum course time should be 10 hours for operators, with 15 hours required of immediate supervisors. Each operator or supervisor shall attend a course of instruction within a reasonable period of time after assignment to the criminal justice information system.

The Council should conduct a program of public education concerning the purposes, proper use, and control of criminal justice information. It may make available upon request facilities, materials, and personnel to educate the public about the purposes, proper use, and control of criminal justice information.

Standard 8.2

Scope of Files

An item of data may be collected and stored in a criminal justice information system only if the potential benefits from its use outweigh the potential injury to privacy and related protected interests.

Standard 8.3

Access and Dissemination

1. General Limits on Access. Information in criminal justice files should be made available only to public agencies which have both a "need to know" and a "right to know." The user agency should demonstrate, in advance, that access to such information will serve a criminal justice purpose.

2. Terminal Access. Criminal justice agencies should be permitted to have terminal access to computerized criminal justice information systems where they have both a need and a right to know. Non-criminal justice agencies having a need or right to know or being authorized by statute to receive criminal justice information should be supplied with such information only through criminal justice agencies.

3. Certification of Non-Criminal-Justice Users. The Security and Privacy Council should receive and review applications from non-criminal-justice government agencies for access to criminal justice information. Each agency which has, by statute, a right to such information or demonstrates a need to know and a right to know in furtherance of a criminal justice purpose should be certified as having access to such information through a designated criminal justice agency.

4. Full and Limited Access to Data. Criminal justice agencies should be entitled to all unpurged data concerning an individual contained in a criminal justice information system. Non-criminal-justice agencies should receive only those portions of the file directly related to the inquiry. Special precautions should be taken to control dissemination to non-criminal-justice agencies of information which might compromise personal privacy including strict enforcement of need to know and right to know criteria.

5. Arrest Without Conviction. All copies of information filed as a result of an arrest that is legally terminated in favor of the arrested individual should be returned to that individual within 60 days of final disposition, if a court order is presented, or upon formal notice from one criminal justice agency to another. Information includes fingerprints and photographs. Such information should not be disseminated outside criminal justice agencies.

However, files may be retained if another criminal action or proceeding is pending against the arrested individual, or if he has previously been convicted in any jurisdiction in the United States of an offense that would be deemed a crime in the State in which the record is being held.

6. Dissemination. Dissemination of personal criminal justice information should be on a need and right to know basis within the government. There should be neither direct nor indirect dissemination of such information to nongovernmental agencies or personnel. Each receiving agency should restrict internal dissemination to those employees with both a need and right to know.

Legislation should be enacted which limits questions about arrests on applications for employment, licenses, and other civil rights and privileges to those arrests where records have not been returned to the arrested individual or purged. Nor shall employers be entitled to know about offenses that have been expunged by virtue of lapse of time (see Standard 7.5).

7. Accountability for Receipt, Use, and Dissemination of Data. Each person and agency that obtains access to criminal justice information should be subject to civil, criminal, and administrative penalties for the improper receipt, use, and dissemination of such information.

The penalties imposed would be those generally applicable to breaches of system rules and regulations as noted earlier.

8. Currency of Information. Each criminal justice agency must ensure that the most current record is used or obtained.

Standard 8.4

Information Review

1. Right to Review Information. Except for intelligence files, every person should have the right to review criminal justice information relating to him. Each criminal justice agency with custody or control of criminal justice information shall make available convenient facilities and personnel necessary to permit such reviews.

2. Review Procedures.

a. Reviews should occur only within the facilities of a criminal justice agency and only under the supervision and in the presence of a designated employee or agent of a criminal justice agency. The files and records made available to the individual should not be removed from the premises of the criminal justice agency at which the records are being reviewed.

b. At the discretion of each criminal justice agency such reviews may be limited to ordinary daylight business hours.

c. Reviews should be permitted only after verification that the requesting individual is the subject of the criminal justice information which he seeks to review. Each criminal justice agency should require fingerprinting for this purpose. Upon presentation of a sworn authorization from the individual involved, together with proof of identity, an individual's attorney may be permitted to examine the information relating to such individual.

d. A record of such review should be maintained by each criminal justice agency by the completion and preservation of an appropriate form. Each form should be completed and signed by the supervisory employee or agent present at the review. The reviewing individual should be asked, but may not be required, to verify by his signature the accuracy of the criminal justice information he has reviewed. The form should include a recording of the name of the reviewing individual, the date of the review, and whether or not any exception was taken to the accuracy, completeness, or contents of the information reviewed.

e. The reviewing individual may make a written summary or notes in his own handwriting of the information reviewed, and may take with him such copies. Such individuals may not, however, take any copy that might reasonably be confused with the original. Criminal justice agencies are not required to provide equipment for copying.

f. Each reviewing individual should be informed of his rights of challenge. He should be informed that he may submit written exceptions as to the information's contents, completeness or accuracy to the criminal justice agency with custody or control of the information. Should the individual elect to submit such exceptions, he should be furnished with an appropriate form. The individual should record any such exceptions on the form. The form should include an affirmance, signed by the individual or his legal representative, that the exceptions are made in good faith and that they are true to the best of the individual's knowledge and belief. One copy of the form shall be forwarded to the Security and Privacy Council.

g. The criminal justice agency should in each case conduct an audit of the individual's criminal justice information to determine the accuracy of the exceptions. The Council and the individual should be informed in writing of the results of the audit. Should the audit disclose inaccuracies or omissions in the information, the criminal justice agency should cause appropriate alterations or additions to be made to the information, and should cause notice of such alterations or additions to be given to the Council, the individual involved, and any other agencies in this or any other jurisdiction to which the criminal justice information has previously been disseminated.

3. Challenges to Information.

a. Any person who believes that criminal justice information that refers to him is inaccurate, incomplete, or misleading may request any criminal justice agency with custody or control of the information to purge, delete, modify, or supplement that information. Should the agency decline to do so, or should the individual believe the agency's decision to be otherwise unsatisfactory, the individual may request review by the Security and Privacy Council.

b. Such requests to the Council (in writing) should include a concise statement of the alleged deficiencies of the criminal justice information, shall state the date and result of any review by the criminal justice agency, and shall append a sworn verification of the facts alleged in the request signed by the individual or his attorney.

c. Each Council should establish a review procedure for such appeals that incorporates appropriate assurances of due process for the individual.

Standard 8.5

Data Sensitivity Classification

Places and things included in criminal justice information systems should be classified by criminal justice agencies in accordance with the following system:

1. Highly Sensitive—places and things which require maximum special security provisions and particularized privacy protection. Items that should be included in this category include, for example:

a. Criminal history record information accessed by using other than personal identifying characteristics, i.e., class access;

b. Criminal justice information disclosing arrest information without conviction disseminated to criminal justice agencies;

c. Criminal justice information marked as "closed";

d. Computer, primary, and auxiliary storage devices and physical contents, peripheral hardware, and certain manual storage devices and physical contents;

e. Security system and backup devices; and

f. Intelligence files.

g. Additional items that may be included in this category are: computer programs and system design; communication devices and networks; criminal justice information disseminated to non-criminal-justice agencies; and research and analytical reports derived from identified individual criminal justice information.

Data Sensitivity Classification

2. Confidential—places and things which require a high degree of special security and privacy protection. Items that may be included in this category, for example, are:

a. Criminal justice information on individuals disseminated to criminal justice agencies;

b. Documentation concerning the system; and

c. Research and analytical reports derived from criminal justice information on individuals.

3. Restricted—places and things which require minimum special security consistent with good security and privacy practices. Places that may be included in this category are, for example, areas and spaces that house criminal justice information.

Each criminal justice agency maintaining criminal justice information should establish procedures in order to implement a sensitivity classification system. The general guidelines for this purpose are:

a. Places and things should be assigned the lowest classification consistent with their proper protection.

b. Appropriate utilization of classified places and things by qualified users should be encouraged.

c. Whenever the sensitivity of places or things diminishes or increases it should be reclassified without delay.

d. In the event that any place or thing previously classified is no longer sensitive and no longer requires special security or privacy protection it should be declassified.

e. The originator of the classification is wholly responsible for reclassification and declassification.

f. Overclassification should be considered to be as dysfunctional as underclassification.

It shall be the responsibility of the Security and Privacy Council to assure that appropriate classification systems are implemented, maintained and complied with by criminal justice agencies, within a given State.

Standard 8.6

System Security

1. Protection from Accidental Loss. Information system operators should institute procedures for protection of information from environmental hazards including fire, flood, and power failure. Appropriate elements should include:

a. Adequate fire detection and quenching systems;

b. Watertight facilities;

c. Protection against water and smoke damage;

d. Liaison with local fire and public safety officials;

e. Fire resistant materials on walls and floors;

f. Air conditioning systems;

g. Emergency power sources; and

h. Backup files.

2. Intentional Damage to System. Agencies administering criminal justice information systems should adopt security procedures which limit access to information files. These procedures should include use of guards, keys, badges, passwords, access restrictions, sign-in logs, or like controls.

All facilities which house criminal justice information files should be so designed and constructed as to reduce the possibility of physical damage to the information. Appropriate steps in this regard include: physical limitations on access; security storage for information media; heavy duty, nonexposed walls; perimeter barriers; adequate lighting; detection and warning devices, and closed circuit television.

3. Unauthorized Access. Criminal justice information systems should maintain controls over access to information by requiring identification, authorization, and authentication of system users and their need and right to know. Processing restrictions, threat monitoring, privacy transformations (e.g., scrambling, encoding/decoding), and integrity management should be employed to ensure system security.

4. Personnel Security.

a. Preemployment Screening: Applicants for employment in information systems should be expected to consent to an investigation of their character, habits, previous employment, and other matters necessary to establish their good moral character, reputation, and honesty. Giving false information of a substantial nature should disqualify an applicant from employment.

Investigation should be designed to develop sufficient information to enable the appropriate officials to determine employability and fitness of persons entering critical/sensitive positions. Whenever practicable, investigations should be conducted on a preemployment basis and the resulting reports used as a personnel selection device.

b. Clearance, Annual Review, Security Manual, and In-Service Training: System personnel including terminal operators in remote locations, as well as programmers, computer operators, and others working at, or near the central processor, should be assigned appropriate security clearances and should have their clearances renewed annually after investigation and review.

Each criminal justice information system should prepare a security manual listing the rules and regulations applicable to maintenance of system security. Each person working with or having access to criminal justice information files should know the contents of the manual. To this end, each employee should receive not less than 10 hours of training each year concerning system security.

c. System Discipline: The management of each criminal justice information system should establish sanctions for accidental or intentional violation of system security standards. Supervisory personnel should be delegated adequate authority and responsibility to enforce the system's security standards.

Any violations of the provisions of these standards by any employee or officer of any public agency, in addition to any applicable criminal or civil penalties, shall be punished by suspension, discharge, reduction in grade, transfer, or such other administrative penalties as are deemed by the criminal justice agency to be appropriate.

System Security

Where any public agency is found by the Security and Privacy Council willfully or repeatedly to have violated the requirements of the standard (act), the Council may, where other statutory provisions permit, prohibit the dissemination of criminal history record information to that agency, for such periods and on such conditions as the Council deems appropriate.

Standard 8.7

Personnel Clearances

1. The Security and Privacy Council shall also have the responsibility of assuring that a personnel clearance system is implemented and complied with by criminal justice agencies within the State.

2. Personnel shall be granted clearances for access to sensitive places and things in accordance with strict right to know and need to know principles.

3. In no event may any person who does not possess a valid sensitivity clearance indicating right to know have access to any classified places or things, and in no event may any person have access to places or things of a higher sensitivity classification than the highest valid clearance held by that person.

4. The possession of a valid clearance indicating right to know does not warrant unconditional access to all places and things of the sensitivity classification for which the person holds clearance. In appropriate cases such persons may be denied access because of absence of need to know.

5. In appropriate cases, all persons in a certain category may be granted blanket right to know clearance for access to places and things classified as restricted or confidential.

6. Right to know clearances for highly sensitive places and things shall be granted on a selective and individual basis only and must be based upon the strictest of personnel investigations.

7. Clearances shall be granted by the head of the agency concerned and shall be binding only upon the criminal justice agency itself, except that right to know clearances for members of the Council shall be granted and shall be valid for all purposes where a need to know exists.

8. Clearances granted by one agency may be given full faith and credit by another agency; however, ultimate responsibility for the integrity of the persons granted right to know clearances remains at all times with the agency granting the clearance.

9. Right to know clearances are executory and may be revoked or reduced to a lower sensitivity classification at the will of the grantor. Adequate notice must be given of the reduction or revocation to all other agencies that previously relied upon such clearances.

10. It shall be the responsibility of the criminal justice agency with custody and control of classified places and things to prevent compromise of such places and things by prohibiting access to persons without clearances or with inadequate clearance status.

11. The Council shall carefully audit the granting of clearances to assure that they are valid in all respects, and that the categories of personnel clearances are consistent with right to know and need to know criteria.

12. Criminal justice agencies shall be cognizant at all times of the need periodically to review personnel clearances so as to be certain that the lowest possible clearance is accorded consistent with the individual's responsibilities.

13. To provide evidence of a person's sensitivity classification clearance, the grantor of such clearance may provide an authenticated card or certificate. Responsibility for control of the issuance, adjustment, or revocation of such documents rests with the grantor. In any event, all such documents must have an automatic expiration date requiring affirmative renewal after a reasonable period of time.

Standard 8.8

Information for Research

1. Research Design and Access to Information. Researchers who wish to use criminal justice information should submit to the agency holding the information a completed research design that guarantees adequate protection of security and privacy. Authorization to use criminal justice information should only be given when the benefits reasonably anticipated from the project outweigh the potential harm to security or privacy.

2. Limits on Criminal Justice Research. Research should preserve the anonymity of all subjects to the maximum extent possible. In no case should criminal justice research be used to the detriment of persons to whom information relates nor for any purposes other than those specified in the research proposal. Each person having access to criminal justice information should execute a binding nondisclosure agreement with penalties for violation.

3. Role of Security and Privacy Council. The Security and Privacy Council should establish uniform criteria for protection of security and privacy in research programs. If a researcher or an agency is in doubt about the security or privacy aspects of particular research projects or activities the advice of the Council should be sought. The Council should maintain general oversight of all research projects using criminal justice information.

4. Duties and Responsibilities of the Holding Agency. Criminal justice agencies should retain and exercise the authority to approve in advance, monitor, and audit all research using criminal justice information. All data generated by the research program should be examined and verified. Data should not be released for any purposes if material errors or omissions have occurred which would affect security and privacy.

END