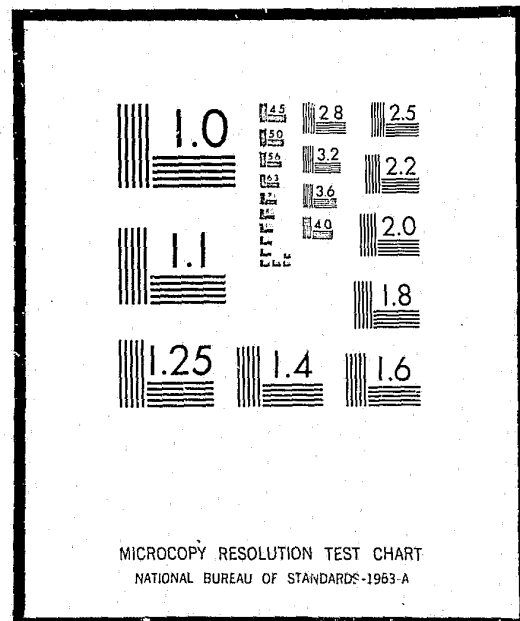


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*Organized Crime  
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CONNECTICUT PLANNING COMMITTEE ON CRIMINAL ADMINISTRATION

and

CONNECTICUT STATE POLICE DEPARTMENT

JOINT REPORT

to

THE HONORABLE THOMAS J. MESKILL

GOVERNOR, STATE OF CONNECTICUT

ORGANIZED CRIME IN CONNECTICUT

FINDINGS AND RECOMMENDATIONS FOR ACTION

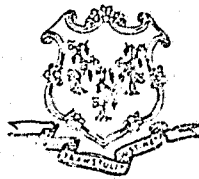
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Hartford

October, 1973



# STATE OF CONNECTICUT

PLANNING COMMITTEE ON CRIMINAL ADMINISTRATION

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GOVERNOR THOMAS J. MESKILL

October 26, 1973

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The Honorable Thomas J. Meskill  
Governor  
State of Connecticut  
State Capitol  
Hartford, Connecticut 06115

EXECUTIVE DIRECTOR  
H. R. STERRETT

Dear Governor Meskill:

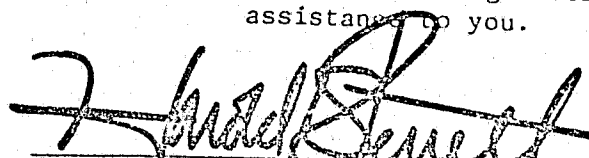
In accordance with your directive of October 14, 1972, to the Connecticut State Police Department and the Connecticut Planning Committee on Criminal Administration to jointly formulate plans for the establishment of a statewide enforcement unit to combat organized crime in Connecticut, we respectfully submit our report containing detailed plans for the organization of this unit and broad recommendations for legislative changes designed to facilitate the operational success of the unit.

This report was prepared after extensive research on the problem in Connecticut, court records, published works of experts in the field of organized crime, and analysis of the activities and capabilities of agencies currently engaged in dealing with aspects of the problem. We have also consulted with federal, state and local law enforcement agencies operating elsewhere who have been involved with the investigation and prosecution of organized crime so that we could benefit from their experience. We are grateful for the cooperation extended to us by these organizations as well as by the individuals whose assistance made this report available.

We believe that the recommended plan herein for a statewide organized crime investigative task force represents a potentially effective response on the part of the State of Connecticut. We have purposely tried to avoid repeating the organizational and administrative errors that have characterized many of the statewide organized crime units set up elsewhere.

We hope that our findings and recommendations for both this unit and the legislative reforms implied by it will be of assistance to you.

Respectfully,

  
H. R. STERRETT, Executive Director  
Connecticut Planning Committee  
on Criminal Administration

  
CLEVELAND B. FUESSENICH, Commissioner  
Connecticut State Police

## ACKNOWLEDGEMENTS

Whatever value this report may have for the improvement of Connecticut's ability to combat organized crime could not have been achieved without the dedicated assistance of the staffs of the Connecticut State Police Department and the Connecticut Planning Committee on Criminal Administration. It is not feasible to list each person from these agencies who contributed to this effort, but all deserve a measure of credit. Particular recognition, however, must be accorded the following, without whom this significant undertaking could not have been accomplished:

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ORGANIZED CRIME AND CRIMINAL ACTIVITY IN CONNECTICUT

Sec. 1: Organized Crime and Criminal Activity in Connecticut

There are only four recent works on organized crime in Connecticut:

- (1) The four reports of the Governor's Committee on Gambling, issued between 1965 and 1968;
- (2) The transcript of the Police and Prosecutors' Conference, September 29, 1969, Bloomfield, Connecticut;
- (3) An August, 1972, CPMCA monograph (derived from the 1972 Comprehensive Plan), "Organized Criminal Activity in Connecticut";
- (4) The Organized Crime section of the CPMCA's 1973 Comprehensive Criminal Justice Plan, on which this section is based.

There are other sources of information on the organized crime problem in Connecticut. The most important alternate source is the Connecticut State Police Department. The State Police provided much of the information for the above reports. Other sources include: the New England Organized Crime Intelligence System (NEOCIS), the FBI, the Justice Department's Strike Force, and the experimental New Haven County Organized Crime Task Force (OCTAFORCE). OCTAFORCE, funded by the CPMCA, has documented the extent and scope of organized criminal activity in New Haven County. Much of the information and data possessed by these agencies is specific and confidential.

The main sources of this section about organized crime activities in Connecticut are:

- (1) the Connecticut State Police Department;
- (2) interviews with law enforcement and criminal justice agency personnel and officials;
- (3) the four reports mentioned above; and
- (4) recent investigations preliminary to the setting up of the statewide organized crime investigative task force as requested by Governor Thomas J. Meskill.

The Governor's Committee on Gambling, formed in 1965, focused on gambling, particularly syndicated gambling. The Committee found that organized gambling activities exist and that the syndicated gambling network seems large enough to absorb substantial losses incurred by the imposition of fines and forfeiture during the period under review. These reports, however, did not present any estimates of the scope and magnitude of the problem in Connecticut, in terms of volume of transactions, market, etc.

The Bloomfield Conference focused on the problems of investigation and prosecution of organized crime in Connecticut, and its transcript gives a good overview of the problem. The CPMCA monograph and organized crime section of the 1973 Comprehensive Criminal Justice Plan give more detailed information about organized crime and are based on extensive interviews with law enforcement

officials, especially with the Connecticut State Police Department, with the officials and staff of other criminal justice agencies directly concerned with the problem, and with non-criminal justice agencies who deal with more specialized aspects of organized crime. Piecing together their information, the following picture of organized crime in Connecticut develops as of December 31, 1972:

Organization

- (1) There is no organized crime "family" in Connecticut.
- (2) It is believed that organized criminal activities in the southern part of Connecticut, including all of Fairfield and New Haven Counties and Waterbury, are controlled by criminals who receive recognition from New York and New Jersey "families," and that Hartford and the northern part of Connecticut are the domain of criminals whose recognition originates in Providence, Boston, and Springfield. Direct connections among gambling activities in Connecticut and operations in New York, Massachusetts, and Rhode Island have been established but details about the overall structure, operational mechanisms, key people, spectrum of activities, etc., are generally missing.
- (3) The most sophisticated operations (in terms of scope, organization and magnitude) appear to be in Fairfield County.
- (4) At least 17 members of crime "families" outside Connecticut are now living in Connecticut:

<u>Family</u>	<u>No. of Members Living in Conn.</u>
Lucchese (New York)	2
Genovese (New York)	9
Gambino (New York)	1
Columbo (New York)	1
DeCalvacante (New Jersey)	4

The highest ranking person is an "underboss" of the DeCalvacante "family." The 17 known "family" members reside in:

<u>Locale</u>	<u>Number</u>
Fairfield County	8
Greater Hartford	4
Greater New Haven	3
Waterbury	2

It should be noted that the residence of "family" members in Connecticut is not necessarily indicative of the scale or locale of criminal operations.

- (5) Organized crime in Connecticut is not the exclusive domain of one particular ethnic group.
- (6) The scale of organization varies on the type of criminal activity.



Types of Activities

- (1) Gambling and loansharking are the prime areas of organized crime in Connecticut. Gambling operations include bookmaking, policy, large "crap games," and sports betting as well as operations based on the winning number in the State Lottery (or combinations thereof) as well as illegal lotteries using pre-printed tickets.
- (2) Labor racketeering which includes infiltration into specific labor unions. There is limited documentation of labor racketeering and little or no investigative and prosecutorial activity apparent in Connecticut with labor racketeering.
- (3) Infiltration of legitimate business. In 1972 the State Police identified more than 100 businesses of all types that had been "infiltrated" or "taken over" by organized crime elements. Here, too, there is little or no investigative and prosecutorial activity apparent.
- (4) Involvement in the smuggling of cigarettes into Connecticut. Only recently has this received attention. Although arrests and prosecutions have been made in this area, sophisticated and sustained investigative activity is lacking to date.
- (5) Involvement of organized crime in bank robberies in Connecticut, particularly where there is a need to change the proceeds of such robberies into untraceable bills.
- (6) Operation of interstate stolen car rings, using sites in Connecticut (such as junk yards) for dismantling, etc.
- (7) Infiltration into garbage collection in suburban towns.
- (8) Narcotics and other controlled drugs.
- (9) Land and real estate operations.
- (10) National pornographic distribution.
- (11) Corruption of police officers.
- (12) Other areas in which either organized crime has been known to operate in Connecticut or which are known to have a high degree of organization include the following:
  - check fraud
  - fencing
  - vending machines
  - cargo theft and hijacking

- operation of, and fraud in connection with, a rock festival ("Powder Hill")
- criminal activities at state construction sites (e.g., the University of Connecticut Medical-Dental School in Farmington)
- operation of foreign-based lotteries such as the "Haitian Sweepstakes Lottery"

The list of the types of organized criminal activities is by no means complete. However, it outlines the major areas where organized crime operates or where there is a high degree of organization.

Connecticut has one of the highest state cigarette tax rates in the United States (currently, 21 cents per pack). It is highly profitable to smuggle cigarettes into the state and this appears to have become a major activity. In view of the substantial capital outlays required for any large scale effort and the need for a high degree of organization, for substantial resources, and for an available distribution network (such as business "fronts" and vending machines), this area is a natural one for organized crime.

There is no indication of the extent of organized crime's involvement in fraud involving credit, securities, and other financial transactions including the use of securities stolen elsewhere, perhaps in another state, as collateral for bank loans. These are likely to be important areas of future involvement for organized crime because of the relative ease with which these crimes can be perpetrated and the general lack of countermeasures to the crimes. There is also little specific information about organized crime involvement in real estate operations.

Bookmaking and illegal gambling are probably the number one organized crime problem in Connecticut. They both require a high degree of organization for access to certain kinds of services; e.g., "lay offs" (a form of reinsurance, with which a bookmaker minimizes expected losses) and "wire services" for quick communication of sports events, race results, etc. However, there is evidence to indicate that a number of bookmakers operate independently, particularly in the City of Hartford, so long as their net take is below a specific amount, usually \$300 per week. An average bookmaker clears about \$500 per week, representing about 15 percent of his total "handle." Using that figure, the average bookmaker handles about \$175,000 in bets per year. However, the accuracy of this figure is open to question. Hartford, for example, is believed to have 40 to 50 active bookmakers, handling both horse betting and sports betting. On the basis of the "handle" estimate the total handled in Hartford might be as high as \$8.75 million per year.

Numbers ("policy") is also a major gambling activity but, here again, the extent of the problem cannot be measured. Generally, the average numbers operator takes 25 percent of his receipts before bets are deducted and possibly, another 5 percent of the total value of bets placed by patrons. Bets usually range from 50 cents to \$1.00. Numbers pickup men usually get paid \$100 per week and telephone men (who work in offices or "banks") generally get \$250 to \$300 a week. Without further information, it is difficult to estimate the

magnitude of these operations.

On July 23, 1970, five gambling raids were conducted simultaneously in the Greater Bridgeport Area, four in Bridgeport and one in Easton, and four persons were arrested. The police in those raids also seized more than \$75,000 in cash and almost one million betting slips -- that gives some indication of the magnitude of this operation. This was supposed to be the largest "numbers operation ever uncovered in Connecticut," but it is only one of many that are known. Other types of known gambling include house card games such as "Romiere" and floating "crap games."

Unfortunately, the latest available estimates of the magnitude of gambling operations in Connecticut date from 1969. These are based on a prorated share (i.e., Connecticut's share) of the gross national product and are presented in Table 1, with the assumption that these types of activities are actually to be found in Connecticut.

TABLE 1  
Estimated Volume of Gambling Activities  
in Connecticut - 1969

Activity	Estimated National Volume (1969)		Estimated Conn. Share*	
	Gross Handle	Est. Net Profit	Gross Handle	Est. Profit
Card games	\$ 1,000,000,000	\$ 350,000,000	\$ 18,000,000	\$ 6,600,000
Dice	2,500,000,000	834,000,000	45,000,000	15,000,000
Roulette	500,000,000	166,000,000	9,000,000	3,000,000
Pinball Machines	1,000,000,000	500,000,000	18,000,000	9,000,000
Policy & Numbers	5,000,000,000	1,668,000,000	90,000,000	30,000,000
Bookmaking and Poolselling	10,000,000,000	4,000,000,000	180,000,000	72,000,000
Totals	\$20,000,000,000	\$7,518,000,000	\$360,000,000	\$135,600,000

\* 1.8% of National volume, based on population.

Currently, there are no standard methods of estimating the size and volume of the gambling market in Connecticut or elsewhere. A recent survey by the Chicago Crime Commission, "A Study of Organized Crime in Illinois," said that

7 percent of adults (21 and above) regularly placed off-track bets with bookmakers and that 11 percent of the adults played the "numbers" ("policy") every week. An unpublished survey of the National Opinion Research Center (NORC) found that the average amount bet by all horse-bettors, both legal and illegal, was \$65 per month while that for numbers players ranged from \$3 to \$5 per week. If these findings were applicable to Connecticut as well, where the over 21 population is just under 2 million, then the estimated volume of such betting, would be \$109.2 million annually for off-track betting and between \$34.3 and \$57.2 million annually for numbers. There is clearly a need for more accurate means of assessing such volume.

A second major activity that organized crime appears to be involved in is loansharking. Nationally, not much is known about the volume of loanshark practices. However, loansharking practices and the methodology for estimating volume have been studied recently.

In Connecticut, it appears that most of the persons who use the services of a loanshark are gamblers. Many bookmakers are loansharks since most gamblers bet on credit. In most cases, the interest appears to be 20 percent over a 90-day period, but in one city loansharks have charged up to 10 percent interest per week. Also, loansharking seems to be a major vehicle for the infiltration and take-over of legitimate businesses in Connecticut as elsewhere.

Labor racketeering is another unknown area. Labor racketeering includes activities that range from infiltration and take-over of a labor union to so-called "sweetheart" contracts, whereby employers pay fees in return for agreements that result in workers being paid less than the union wage. Employers may also be pressured into hiring labor "consultants" to straighten out union problems. Most authorities interviewed said labor racketeering exists in Connecticut and some specifics have been documented, but not sufficiently for a major prosecutorial effort.

The infiltration of legitimate business is also not well documented. Certain types of businesses such as the services industry appear to lend themselves to infiltration. In several communities, refuse collection is controlled by important organized crime figures. In one large city, the apron and towel service industry is also supposed to be controlled by organized criminals. In addition, the fresh fruit market in a large southern Connecticut city is also supposed to be crime controlled. A substantial number of stores, bars, restaurants, and lounges are controlled or owned and managed by criminal interests, fences, and bookmakers, either as legitimate business or as operating locations for illegal activities.

Because there is no syndicate "family" as such in Connecticut, it is certainly possible that more opportunities exist for the operation of other organized criminal groups. No specific information on the existence and extent of such lower-level organizations is readily available and more study and analysis is needed in this area before any firm conclusions can be drawn. Such operations include "rings" involved in the theft of cars, jewelry, credit cards, rare coins, and checks, and the passing of stolen and forged checks. Burglary "rings" are also known to operate in conjunction with their outlets and fences. One example of such a group was the "Devlin Gang," a professional group of criminals who

TABLE 2  
Quantities of Drugs for which "Buys" are Reported  
By Location and By Type of Drug

Type of Drug	Quantity For Which "Buys" are Reported	L O C A T I O N					
		Norwich-New London	Hartford	Waterbury	New Haven	Fairfield	Bridgeport
<u>Heroin</u>	<u>Retail</u>	X	X	X	X	X	X
	Glassine Bags						
	Spoons						
	1/2 Spoon						
	1/4 Spoon						
<u>Wholesale</u>	1/2 Load		X	X	X	X	X
	Bundle		X	X	X	X	X
	Ounce	X	X	X	X	X	X
	Piece	X	X	X	X	X	X
1/8 Kilo	X						
<u>Cocaine</u>	<u>Retail</u>				X		
	Glassine Bags						
	Tin Foil						
<u>Wholesale</u>	1/2 Piece (Cut)				X		
	Ounce-Bags	X	X	X	X	X	X
<u>Marihuana</u>	<u>Retail</u>		X	X	X	X	X
	<u>Wholesale</u>		X	X	X	X	X
<u>Hash</u>	<u>Retail</u>	X	X	X	X	X	X
	<u>Wholesale</u>						
<u>L.S.D.</u>	<u>Retail</u>	X	X	X	X	X	X
	Tablets each						
	Blotter each						
<u>Wholesale</u>	Orange Sunshine			X	X	X	X
	Blue			X	X	X	X
100 Tabs	X						
<u>Amphetamine</u>	<u>Retail</u>		X	X	X	X	X
	Tablets or Caps						
<u>Barbiturate</u>	<u>Wholesale</u>	X	X	X	X	X	X
	Tablets or Caps						

originally specialized in bank robberies and later branched into other areas of criminal activity. There may be other such groups operating in Connecticut, particularly in the narcotics trade.

Most interviewees agreed that narcotics is one of the major problems facing Connecticut and its cities but a specific determination of how much organized crime or organized criminals are responsible for this problem has not been made. There are differences of opinion within the law enforcement community as to the extent to which the narcotics trade in Connecticut is controlled by organized criminal groups. In one region of the state, for example, the pattern of the heroin trade appears to be young persons purchasing a few ounces in a neighboring state and then re-selling the heroin after cutting and bagging. In another region, the units of trade are in the kilogram range and, because of the large amounts of money required for this kind of operation, the involvement of organized crime is thought to be substantial. The pattern of such transactions in Connecticut based on "buy" information is indicated in Table 2. In July, 1971, the Internal Revenue Service investigated the activities of middle and upper-echelon leaders in narcotics trafficking, smuggling and finance throughout the country. Three hundred and twenty eight persons in 37 cities have been selected to tax investigations -- at least three persons are in Connecticut.

Not too long ago, the former Office of Drug Abuse Law Enforcement (ODALE), a Federal agency, had been operating in Connecticut utilizing grand jury proceedings for both investigation and indictment. ODALE worked in conjunction with the State Police, the State's regional crime squads, and the Statewide Enforcement Coordinating Committee (S.E.C.C.), and large municipal police departments.

In the CPCA 1972 Criminal Justice Plan, an attempt was made to estimate the level of organized criminal activity in Connecticut after the fact, using Circuit Court statistics about the number of cases involving offenses that are characteristic of organized criminal activity. These statistics are reported by statute number so it was necessary to group a number of statutes according to the general category of offense with which they deal. Gambling offenses are covered by at least 21 separate statutes, while fencing is covered by four statutes (see chart below). These groupings take into account changes made by the 1973 legislature.

TABLE 3  
Statutes which may be Brought to Bear  
on Organized Criminal Activity

Gambling	Off-track betting systems
12-571	Branch offices. Deposit of daily receipts (P.A.73-344)
12-572	

- 12-574 Licenses for race meets on concessions. Suspension, revocation
- 12-575 Pari-mutuel betting. Tax. Uncashed tickets (P.A.73-401)
- 12-576 Gambling by person under eighteen (P.A.73-247)
- 19-338 Betting prohibited (at boxing and wrestling)
- P.A.73-455 Model Anti-Gambling Act

Labor Racketeering

- 9-365 Threats by employer to influence voting
- 31-48(a) Recruitment of professional strikebreakers restricted
- 31-48(b) Use of electronic surveillance devices by employers limited
- 31-71(e) Withholding of part of wages
- 31-90 Attempt to prevent laborers from joining labor organizations
- 31-105 Unfair labor practices defined
- 31-126 Unfair employment practices (P.A.73-647)

The following portions of the Penal Code also apply:

- 53a-62 Threatening
- 63 Reckless endangerment - first degree
- 64 Reckless endangerment - second degree
- 127 Diversion from state to benefit of labor of employees
- 158 Bribery of a labor official
- 159 Bribe receiving by a labor official
- 160 Commercial bribery
- 161 Receiving a commercial bribe

Prostitution

- 19-316 House as Nuisance (civil)

The following portions of Part VI of the Penal Code entitled Sex Offenses also apply:

- 53a-82 Prostitution
- 83 Patronizing a prostitute
- 84 Sex of parties immaterial
- 85 Promoting prostitution, definitions
- 86 Promoting prostitution, in first degree
- 87 Promoting prostitution, in second degree
- 88 Promoting prostitution, in third degree
- 89 Permitting prostitution

Fencing

- 53-131 Removal of identifying marks on electrical devices
- 132 Sale of equipment with defective identification marks
- 53a-119(8) Larceny by receiving stolen property

operation of the regional crime squads depend, to an extent, on the pooling and sharing of criminal intelligence and other information about what is going on in each region and, at the state level, about what is going on throughout the state.

The Law Enforcement Intelligence Unit (LEIU) is perhaps one of the more important mechanisms for cooperation since it is built upon a network of mutual trust and an awareness of the need to share criminal intelligence and other information. LEIU, through periodic conferences and other activities, acts as a clearinghouse for information about organized crime activities of national scope, including the operation of a number of crime conglomerates. More recently, LEIU has become the major partner in an effort to develop a nationwide index for organized criminal activity files contained in other states.

(2) Regional Efforts Within Connecticut

The second level of response to the organized crime problem consists of regional efforts within Connecticut. There are two major efforts:

- (1) Regional crime squads and their governing body, the Statewide Enforcement Coordinating Committee (SECC); and
- (2) The experimental New Haven County Organized Crime Task Force (also known as OCTAFORCE) which was dissolved in June, 1973, to pave the way for the Statewide Organized Crime Investigative Task Force.

Regional Crime Squads

Connecticut's first regional crime squad (then narcotics squad) began in 1969 in Fairfield County. Since then, four more squads have been started. They cover the Capitol Region, South Central Connecticut (including New Haven), Eastern Connecticut, Southwestern Connecticut, and Waterbury and its surrounding towns. The primary emphasis of the squads is the investigation of narcotics and dangerous drug activities. Recently, as a direct result of narcotics investigators, some of the regional squads have been led into non-narcotic crime problems such as gambling and burglary. Areas of the state not covered by a regional crime squad are covered by the State Police.

The regional squads are composed of officers contributed by and on special assignment from the towns in a region. They receive financial support from the Connecticut Planning Committee on Criminal Administration (CPCCA) to cover out-of-pocket costs such as "buy money," rental and maintenance of vehicles, etc. The squads have certain organizational and operational advantages in dealing with crimes that require undercover-type investigative operations and that are regional in nature.

The Statewide Enforcement Coordinating Committee (SECC)

After the first two years of operation of the regional crime squads, it became clear that they faced major problems. These included: limited resources and manpower, no established agent standard operating procedures, little or no capability to collect and analyze intelligence and to coordinate operations with

one another and with other enforcement agencies, notably the State Police; and the lack of coordination of the activities of the regional crime squads, both individually and as a group, in terms of their impact on the drug problem and on the general crime problems they were dealing with. To deal with these problems, the Statewide Enforcement Coordinating Committee (SECC) was created by the CPCA in late 1971. The objective of SECC is to coordinate the operations of the regional crime squads by providing a mechanism for centralizing the administrative, intelligence, planning and strategy aspects of their operations. SECC is administered by a supervisory board. Two of its major objectives are to provide centralized intelligence analysis and facilitate inter-agency communications, and to facilitate the sharing of resources among the squads. The State legislature has passed a bill that sets up SECC as a statutory body with certain authority and powers. SECC is funded by the CPCA and allocates those funds to the crime squads.

As regional crime squads are led as a result of narcotics investigations into other areas of activity, including organized crime, SECC will become increasingly important in the coordination of local efforts with other state and federal efforts and will be important as a source of intelligence and other criminal information. A fuller description of SECC, its organization, structure and operation is in "The Criminal Justice System in Connecticut - 1972" issued by the Connecticut Planning Committee on Criminal Administration.

The Experimental New Haven County Organized Crime Task Force (OCTAFORCE)

In FY 1972, an experimental regional organized crime task force unit was set up under the direction of the New Haven County State's Attorney's Office to provide both an interim capability for, as well as a test of the concept of, a statewide organized crime task force that would bring together prosecutors, state and local police, county investigators and other experts in a single unit.

This experimental unit, OCTAFORCE, was operational from January, 1972, until the summer of 1973, when its functions were taken over by the State Police as they began organizing the Statewide Organized Crime Investigative Task Force. The statewide task force was approved and statutorily established during the 1973 session of the State legislature.

The area of operation included fourteen police departments (from the New Haven area) and two State Police troopers. Its basic elements were: a board of directors composed of the New Haven State's Attorney, the State Police Commissioner, and the Chief of Police of New Haven; a staff composed of state troopers on assignment with a state police detective in charge, three New Haven Police Department officers with a sergeant in charge, two secretaries, four Assistant State's Attorneys on part-time assignment, two county detectives, and manpower from other departments on an as-needed basis.

OCTAFORCE was well-equipped with cameras, portable radios, etc. During its operation, it developed extensive files about organized criminal activity in New Haven County. Its files included more than 200 profiles of individuals, 3,000 case cards, 250 jacket files, almost 2,000 telephone numbers, and 1,500 motor vehicle numbers as well as files on business establishments, etc. These criminal intelligence files have been transferred to the Statewide Organized Crime Investigative Task Force.

It maintained a particularly close relationship with the New Haven Police Department. Also, there were regular monthly meetings with local police departments in the area. OCTAFORCE also cooperated closely with SECC and the regional crime squads, particularly the South Central Regional Crime Squad that operates in New Haven County. OCTAFORCE referred cases to federal agencies including the former Bureau of Narcotics and Dangerous Drugs (now the Drug Enforcement Administration), the Internal Revenue Service and the Federal Bureau of Investigation.

(3) State Agencies

The third level of response to the organized crime problem, and perhaps one of the most important, consists of those state government agencies operating on a statewide basis and dealing with one or more aspects of organized crime (e.g., consumer fraud, tax evasion, etc.). Many of these agencies cannot now be genuinely considered a part of the state's response to organized crime. If greater coordination of their efforts and operations with those of the state's law enforcement agencies could be achieved, there would be a major improvement in the effectiveness of the state's fight against organized crime.

In preparing this report, the resources and capabilities of those state agencies that may be of potential use in dealing with organized crime were carefully surveyed and analyzed by both questionnaire and on-site visits. In general, state agencies can bring the following resources to bear on the state's organized crime problem:

- (1) Extensive administrative and regulatory powers;
- (2) Access to the full range of state statutes rather than just criminal statutes;
- (3) Enhanced intelligence and information resources; and
- (4) Greater investigative resources in terms of both manpower and jurisdiction.

There are seventeen state agencies that are potentially important in dealing with organized crime. They are:

- (1) Connecticut State Police Department;
- (2) Department of Consumer Protection;
- (3) State Tax Department;
- (4) Secretary of State, particularly the Corporations Division;
- (5) Real Estate Commission;
- (6) State Labor Department;
- (7) Motor Vehicle Department;
- (8) State Insurance Department;
- (9) Public Works Department;
- (10) Health Department, particularly the Narcotics Control Bureau;
- (11) Liquor Control Commission;
- (12) State Banking Department;
- (13) State Transportation Department;



- (14) Occupational Licensing Boards;
- (15) Department of Environmental Protection;
- (16) Gaming Commission; and
- (17) Attorney General.

The agencies that are of primary importance to the state's efforts to control organized crime include: Connecticut State Police Department, Consumer Protection, the Tax Department, the Secretary of State - Corporations Division, the Real Estate Commission, the State Labor Department, the Motor Vehicles Department, and the State Insurance Department. This section presents a brief survey of the present capabilities of each of the seventeen agencies listed above. It should be noted that the Judicial Department and the Adult Probation Department are not listed above. This is because their contributions are already taken for granted in that the Judicial Department is involved through prosecutorial activities while Adult Probation becomes involved through both the preparation of pre-sentence investigation reports and the supervision of offenders on probation.

Connecticut State Police Department

The Connecticut State Police Department is currently the most important state agency dealing with organized crime problems. Within its Detective Division, the Investigation Section and the Criminal Intelligence Section (C.I.S.) are the two most important resources in the State Police effort.

Within C.I.S., there are five units connected directly to the state's efforts against organized crime: (1) Organized Crime Unit; (2) Gambling Unit; (3) Electronic Surveillance Unit; (4) Security Investigations Unit; and (5) Narcotics Unit. Each of these units within C.I.S. is supervised by a sergeant. A description of each unit follows:

(1) Investigation Unit

This unit is under the direction of a sergeant and is comprised of 15 investigators. The unit is responsible for and maintains the following activities: bank holdups; auto thefts; major investigations; truck hijackings; theft of interstate shipment; fugitive; homicides; gambling; assistance to all state agencies, i.e., Governor's Office, Tax Department, Motor Vehicle Department, Department of Correction; assistance to local police departments, to all federal agencies and the minimum security Correctional Center at Enfield (Osborne) and investigations as requested by the new Division of Criminal Justice and the State's Attorneys in the various counties.

The Investigative Unit is undergoing a reorientation toward specialization of selected personnel in the criminal categories listed above. These specialists will continually absorb information received in their field and this information will be invaluable in future investigations.

(2) Criminal Intelligence Section

The Criminal Intelligence Section, usually supervised by a

sergeant and staffed by 16 officers, functions in the following areas: organized crime, criminal information, intelligence information, electronic surveillance, security investigation, and gambling activities as it relates to organized crime. It also provides for departmental liaison with the Southern New England Telephone Company. The section works closely with all the Federal investigative agencies as well as with local police, and is frequently called upon to assist local and State Police agencies in adjoining states.

The five units within C.I.S. are:

(1) Organized Crime Unit

The Organized Crime Section of the Criminal Intelligence Division is primarily involved in both routine and in-depth investigation of organized criminal activities throughout the state.

(2) Gambling Unit

The Gambling Unit of the Criminal Intelligence Section is primarily involved in long range gambling investigations that lead to the higher echelon in the gambling organization. This section works closely with the Electronic Surveillance Unit. Undercover personnel in this unit conduct field surveillances of suspected gambling operations.

In addition, two men from the Gambling Unit are designated as the "Hit Squad." These two men conduct surveillances of suspected gambling operations that have been the subject of citizen complaints or have come to the department's attention through other means and attempt to make arrests, on sight, if violations of the law are observed.

(3) Electronic Surveillance Unit

Recently enacted legislation has authorized the State Police to engage in electronic surveillance (wire tapping) and the Criminal Intelligence Section has been designated by the Commissioner of State Police to do the surveillance. The section has obtained technical training for its personnel and acquired the electronic equipment necessary to implement this program.

This unit is in a position to assist any state agency, police department or any other authorized source in the detection of clandestine transmitting devices. The Electronic Surveillance Unit has available for loan special communications equipment for use by undercover personnel and by other State Police Divisions, and regional and local police units as well as by the offices of the State's Attorney.

(4) Security Investigations Unit

The Security Investigations Unit of the division maintains



Pornography

- 29-117 Moving pictures license. Penalty
- 117a Exhibition of preview of "x" rated films
- 53-21 Injury or risk of injury to children

The following portions of Part XX of the Penal Code, entitled Obscenity and Related Offenses, also apply:

- 53a-193 Definitions
- 194 Obscenity
- 196 Obscenity as to minors
- 197 Disseminating indecent comic books

Forgery and Counterfeiture

- 12-570 Forging, counterfeiture or altering of tickets
- 53-347a Prohibited acts relative to stamps, labels, trademarks, servicemarks and certificate marks

The following portions of Part X of the Penal Code, entitled Forgery and Related Offenses also apply:

- 53a-137 Forgery and related offenses; definitions
- 138 Forgery in the first degree
- 139 Forgery in the second degree
- 140 Forgery in the third degree
- 141 Criminal simulation
- 142 Forgery of symbols

Conspiracy

All of Part III of the Penal Code, entitled Inchoate Offenses applies:

- 53a-48 Conspiracy
- 49 Criminal attempt
- 50 Effect of motivation after renunciation
- 51 Classification of attempt and conspiracy

Credit Card Fraud

- 36-393 through 36-417 Truth in Lending Act
- 53-389 through 53-392 Extortionate Credit Transaction
- 53-389 Definitions
- 390 Extortionate extension of credit, conspiracy
- 391 Advances of money or property to be used in extortionate extension of credit
- 392 Participation or conspiracy in use of extortionate means, evidence

The following portions of Part IX of the Penal Code entitled Larceny, Robbery, and Related Offenses also apply:

- 53a-121 Credit card defined
- 128(a) Credit card crimes; definitions
- 128(b) False statement to procure issuance of credit card
- 128(c) Credit card theft, illegal transfer; fraud; forgery
- 128(d) Illegal use of credit cards
- 128(e) Illegal furnishing of money, goods or services on credit cards
- 128(f) Unlawful completion or reproduction of credit cards
- 128(g) Receipt of money, goods or services obtained by illegal use of credit cards
- P.A.73-466 An act concerning defenses on instruments in consumer sales transactions

Also, Articles II and IX of the Uniform Commercial Code, especially 42a-2-100 through 42a-2-725 Sales and 42a-9-101 through 42a-9-507 Secured Transactions.

Loansharking

- 21-44 Rates of interest (pawnbrokers)
- 36-225 Loan business to be licensed
- 36-233 Interest rates; loan restrictions (P.A.73-419)
- 36-243 Charge of greater than legal interest
- 36-393 through 36-417 The Truth-in-Lending Act
- 37-1 Legal Rate
- 37-4 Loans at greater rates than 12% restricted
- 37-5 Notes not to be accepted for greater amounts than loaned
- 37-6 Certain expenses not to be charged to borrower
- 42-85 Maximum finance charge on motor vehicle sales

Narcotics

- 19-66a Sale of hypodermic needles and syringes restricted
- 53a-45 The death penalty (P.A.73-137)
- P.A.73-681 An act providing for a drug division within the Department of Consumer Protection

Frauds

- 52-552 Fraudulent conveyances, when void
- 562 Liability for fraud in contracting debt; concealing property
- 588 Suit on note obtained by fraud
- 53-130 Concealment or destroying attached property
- 131 Removal of identifying marks on electrical devices
- 132 Sale of equipment with defective identification
- 270 Fortune telling and other fraudulent practices
- 289 Sale of tickets of admission at advanced price
- 314 Keeping a bucket shop
- 315 Keeping a bucket shop - accessory
- 323 Coercion in placing insurance on real or personal property

The following portions of Part V of the Penal Code, entitled Assault and Related Offenses also apply:

- 53a-62 Threatening
- 63 Reckless endangerment in the first degree
- 64 Reckless endangerment in the second degree

The following portions of Part IX of the Penal Code entitled Larceny, Robbery, and Related Offenses also apply:

- 53a-118 Definitions
- 119 Larceny defined
- 120 Theft of services
- 121 Value of theft of services
- 122 Larceny in first degree (P.A.73-63a)
- 123 Larceny in second degree " "
- 124 Larceny in third degree " "
- 125 Larceny in fourth degree
- 128 Issuing a bad check
- 129 Misapplication of prop.
- 130 Criminal impersonation
- 162 Rigging
- 163 Soliciting or accepting benefit for rigging
- 164 Participation in a rigged contest
- P.A.73-615 An act concerning unfair trade practices

Official Corruption and Bribery

- 1-66 through 1-78 Code of Ethics for Legislators
- 4-116 Director and staff not to be interested in contract
- 9-333 through 9-348 Corrupt practices
- 9-349 through 9-368 Prohibited acts and penalties
- 29-9 Acceptance or offering of gifts or rewards by or to state or local police
- 53-152 Threats to hinder legislation

The following portions of Part V of the Penal Code entitled Assault and Related Offenses also apply:

- 53a-62 Threatening
- 63 Reckless endangerment - first degree
- 64 Reckless endangerment - second degree

The following portions of Part XI of the Penal Code, entitled Bribery, Offenses against the Administration of Justice and Other Related Offenses, also apply:

- 53a-146 Definitions
- 147 Bribery (bribery of executive or legislative officer; attempt to improperly influence legislation)
- 148 Bribe receiving (bribery of executive or legislative officer; attempt to improperly influence legislation)
- 149 Bribery of witness
- 150 Bribe receiving by witness
- 151 Tampering with a witness

- 152 Bribery of a juror (P.A.73-639)
- 153 Bribe receiving by a juror " "
- 154 Tampering with a juror
- 155 Tampering with or fabricating physical evidence
- 156 Perjury
- 157 False statement
- 158 Bribery of a labor official
- 159 Bribe receiving by a labor official
- 160 Commercial bribery
- 161 Receiving a commercial bribe
- 165 Hindering prosecution defined
- 166 Hindering prosecution in the first degree
- 167 Hindering prosecution in the second degree

Tax Offenses

This list constitutes only a small portion of the tax laws of the State of Connecticut that could be brought to bear on organized crime.

Corporate business tax

- §12-231 Fraudulent returns
- 233 Examination of returns

Sales Tax

- §12-415 Deficiency assessments
- 419 Interest and penalties
- 420 Collection of taxes
- 428 Violations

Cigarette Tax

- §12-295 Suspension or revocation of license
- 327 Suspension or revocation of license
- 306(b) False entry on invoice or record
- 309 Taxpayer to keep records; Commissioner may examine assessment of tax deficiency
- 318 Seizure for nonpayment of tax

Gasoline Tax

- §12-463 Suspension/revocation of license (distributor's)
- 464 Penalty (false return)
- 469 Penalty for failure to file report, pay tax or obtain license
- 474 Penalty

Admissions and Cabaret Tax

- §12-547 Returns, payment of tax penalty
- 548 Examination of records, deficiency assessment penalty
- 551 Willful violations

Taxation of Alcoholic Beverages

In general, §12-433 - §12-454 inclusive are applicable here. More specifically, the following are of use:

- §12-433 Definitions
- 434 Administration by (tax) commissioner
- 439 Payment of tax. Penalties for nonpayment
- 442 Power to examine (records/books)
- 449 Regulations and rulings
- 450 Cooperation with Liquor Control Commission
- 454 Seizure and sale for nonpayment of taxes

Sentencing

- §1-194 Review division; appointment (of division), meetings, etc.
- 195 Application for (appellate) review
- 196 (Appellate) review; decisions
- 197 Forms and rules of procedure

Based on this grouping of statutes by general offense category, a rough estimate of "organized crime-type" activity in Connecticut is possible. For the five-year period 1965-1969 (inclusive), a total of 37,113 arrests were made for such offenses, about 45.9 percent of which resulted in guilty findings (either through pleas, or as a consequence of a jury trial), (see Table 4). It is obvious from the table that the available statistics are not complete (as evidenced by the fact that some of the percentage totals do not add up to 100 percent). Some cases where original charges have been reduced to a lesser offense are not reflected in Table 4.

Admittedly, this approach to measurement of the level of organized criminal activity has many limitations. For one thing, arrests are reported under each statute without any indication of how many persons are actually involved, how many of these are re-arrests, and the extent to which one person may be arrested on a number of charges. Another problem with this approach is that there is no indication in these statistics whether the offenses are organized crime-related. More important, however, is that arrests are more a measure of the efficiency of the criminal justice system than of the magnitude of the crime problem.

In the future as a basic element for anti-crime planning, it will be necessary to take into account analyses of the market for those illegal goods and services now provided by organized crime. The creators of the State Lottery, for example, could not foretell that by providing a weekly number, they were at the same time providing organized gambling syndicates with a new product opportunity. Another area that organized crime is likely to become increasingly involved in is crimes committed with the aid of, or abetted by, computer. By 1975, these are expected to become major problems with the development of large computer networks and methods of electronically transferring funds and other information. There are now no statutes that systematically cover such crimes.

TABLE 4  
Organized Crime Related Arrests and  
Subsequent Dispositions 1965-1969 (incl.)

Type of Offense	Total Arrests			Subsequent Disposition			
	Total	By State Police	By Local Police	Guilty	Not Guilty	Nolled	Bind Over
Gambling	7,486	6.9%	92.4%	80.5%	2.7%	15.0%	1.0%
Fencing	2,888	10.4%	89.6%	32.3%	3.6%	39.3%	18.8%
Corruption	196	17.9%	82.1%	19.9%	4.6%	40.8%	32.1%
Loansharking	4	25.0%	75.0%	75.0%	-	25.0%	-
Narcotics	5,462	8.5%	91.4%	15.1%	5.6%	29.8%	46.8%
Labor Racketeering	7	14.3%	85.7%	42.9%	-	28.6%	28.6%
Legit. Business	4,612	8.5%	91.5%	55.2%	2.3%	37.7%	4.8%
Frauds	10,652	9.0%	91.0%	46.8%	2.0%	32.3%	18.2%
Forgery, etc.	2,294	10.5%	89.5%	29.3%	1.3%	29.4%	38.0%
Prostitution	1,527	1.4%	98.6%	54.9%	3.8%	38.4%	2.7%
Pornography	151	9.9%	90.1%	35.7%	4.0%	45.7%	12.6%
Misc.	1,834	8.1%	85.9%	6.8%	5.2%	41.4%	41.8%
TOTALS	37,113	8.3%	91.1%	45.9%	3.0%	30.3%	19.1%

Source: Circuit Court Statistics, 1965-1969.

CONNECTICUT'S EXISTING CAPABILITIES FOR DEALING WITH ORGANIZED CRIME

Sec. 2: Connecticut's Existing Capabilities for Dealing with Organized Crime

In preparing this report, a survey was made of Connecticut's existing capabilities and resources for dealing with organized crime. These capabilities take two forms: (1) organizational and administrative structures, including federal, state and local agencies; and (2) statutes and administrative regulations, including procedural and substantive laws as well as the statutes and regulations governing the operation and activities of the various agencies.

Organizational Resources

There are, in general, six levels of response against organized crime in Connecticut: (1) local police agencies; (2) regional efforts within Connecticut; (3) state agencies; (4) multi-state regional agencies such as the New England Organized Crime Intelligence System (NEOCIS); (5) federal agencies; and (6) private agencies. Any successful comprehensive attack against organized crime should include provision for maximum coordination of these levels. A brief summary of these levels, their activities, operations, and capabilities follows.

(1) Local Police Agencies

At the first level of enforcement, within the context of this report, are the individual municipal police departments. The overwhelming majority of arrests for crimes that can be said to be associated with organized crime (e.g., gambling, horsebetting, loansharking), are made by local police departments (see Table 4).

Local police agencies are involved in dealing with organized criminal activity in five ways:

- (1) Operation of "vice squads" that deal with crimes such as gambling, prostitution, liquor and drug laws, and pornography;
- (2) Involvement and even assignment of detectives, where there is no separate "vice squad" to deal with the above listed crimes;
- (3) Operation of intelligence units;
- (4) Assignment of manpower to work with regional crime squads; and
- (5) Assignment of personnel on a full-time or part-time basis to work with special operations, such as the New Haven County Organized Crime Task Force or the former Office of Drug Abuse Law Enforcement (ODALE).

Approximately 15 departments have separate divisions that carry responsibility for the local enforcement of laws pertaining to organized criminal activities. Statewide, there are about 90 police officers assigned to such units. The officers are usually of detective rank or they operate as plainclothesmen. In the state's largest cities, these "vice" squads may vary in size from 10 to 20 officers who usually are experienced professionals capable of dealing with the "vice" type of crimes. In at least two cities, there are units within the

detective division that specialize in check fraud, a crime often committed in Connecticut by organized "check rings." In many cases, a great deal of effort is devoted to enforcement of the state's narcotics laws.

A rough estimate of the time spent by members of special squads to enforce various laws is:

<u>Type of Activity</u>	<u>% of Time Spent (approx.)</u>
Narcotics and Dangerous Drugs	50%
Gambling	25%
Prostitution	10%
Liquor	10%
Pornography and Obscenity	5%

The specific percentages will vary from department to department depending upon the nature, scope and magnitude of the problems and the particular enforcement policies of the department. In the smaller departments, which do not have separate "vice" squads, such activities are usually handled by the detective division. And, there may be within the detective division individuals who work part-time or full-time investigating organized criminal activities.

In addition to "vice" squads, at least five departments have intelligence units, with about 20 to 25 officers assigned. The activities of such units vary from department to department as does the scope and focus of their operations including such things as collection of intelligence, surveillance, special operations, and intelligence support. At least two of the intelligence units possess extensive files and documentation about organized criminal activities in its jurisdiction.

Many departments have also assigned personnel, on a full-time basis, to work with the State's five regional crime squads. More than 30 local police officers are assigned in this way. The regional crime squads, which began in 1969, are discussed separately (see Paragraph 2).

Finally, there are a number of departments who have assigned personnel to work with special units such as the New Haven County Organized Crime Task Force and the former Office of Drug Abuse Law Enforcement. In the case of OCTAFORCE, three to four local police officers are assigned on a full-time basis and others are assigned from area departments (in New Haven County) on an as-needed basis.

The major vehicles for cooperative efforts at this level include, on a statewide basis, the Connecticut Police Intelligence Unit (CPIU), the regional crime squads, and participation in the national police intelligence organization, the Law Enforcement Intelligence Unit (LEIU). CPIU is an informal group of 76 local police chiefs and their intelligence officers (or officers responsible for that particular function) and the Connecticut State Police. Its major efforts appear to be in the area of promoting the sharing of criminal intelligence information.

The second major vehicle is the regional crime squads operating under their governing body, the Statewide Enforcement Coordinating Committee (SECC). The

continuous contact with college security units and other investigative agencies and attempts to collect advance information about demonstrations, and other activities, that might disrupt state government or pose a threat to any individual thereof. This information is disseminated to all agencies concerned so that they may be prepared for any and all eventualities. This section also maintains contact with various groups that are planning demonstrations so that the demonstrations may be conducted with a minimum of disruption or unlawful action.

The Criminal Intelligence Section is also responsible for the collection and dissemination of information to local, state and federal enforcement agencies and maintains extensive and comprehensive files about organized crime and other criminal elements. This Section participates in the mutual exchange of information with other members of the Metropolitan Regional Council, the Connecticut Police Intelligence Unit, the Law Enforcement Intelligence Unit, the New England State Police Administrators Conference, and the New England Organized Crime Intelligence System (N.E.O.C.I.S.). Within Connecticut, the Criminal Intelligence Section maintains a close working relationship with the offices of the various state's attorneys, the Chief State's Attorney, and Circuit Court prosecutors.

(5) Narcotics Unit

This unit is under the supervision of a sergeant and is composed of 16 investigators. The sergeant is also the liaison officer among the Narcotics units and the various regional squads throughout the state. With respect to State Police operations with the regional squads, investigators are assigned to narcotics intelligence in order to coordinate an attack by regional, local and State Police.

Currently, two troopers are assigned, full time, to the Drug Enforcement Administration (DEA) working out of the Federal Building in Hartford.

Department of Consumer Protection

The State Department of Consumer Protection is, potentially, one of the most important of the non-criminal justice state agencies in any systematic approach to organized crime. This is because of the Commissioner's extremely broad statutory and administrative powers to license, to investigate complaints and violations, and to promulgate regulations. These powers include statutory authority to seize and/or condemn products that are adulterated or misbranded, as well as hazardous substances, incorrect weight, measure or weighing and measuring devices, etc.

The department has eight divisions that are of direct interest in efforts to control organized crime, particularly those aspects concerned with the penetration of legitimate enterprises, with consumer fraud, with adulteration of food and drugs, with diversion and/or misuse of drug products, and with fixing of boxing and wrestling exhibitions. The eight divisions include the following:

(1) Food Division - General Section

This division is responsible for safeguarding consumers from injury, filth and deception pertaining to the manufacture, sale and storage of foods in intra-state commerce. Among the laws administered by this division are: the Pure Food and Drug statutes, the Unit Pricing Act, and certain provisions of the Uniform Food, Drug and Cosmetic Act.

(2) Food Division - Meat and Poultry Section

This division has jurisdiction over meat and poultry products prepared in state-inspected establishments. It administers the Meat and Poultry Products Inspection Act.

(3) Drug, Device and Cosmetic Division

This division insures that drug products, medical devices, cosmetic products and children's toys are accurately labeled and suitable for the purposes intended. Among the laws administered by this division are the Child Protection Act, the Dependency-Producing Drug Statutes, and certain provisions of the Uniform Food, Drug and Cosmetics Act.

(4) Pharmacy Commission

This division regulates the pharmacy profession, including the handling, storing and dispensing of all drugs, medicines, narcotics and poisons sold in licensed pharmacies.

(5) Weights and Measure Division

This division is responsible for all matters, involving commercial determinations of quantity.

(6) Consumer Frauds Division

This division processes and investigates consumer complaints regarding deceptive trade practices and untrue, misleading or deceptive advertising. It also licenses or otherwise regulates itinerant vendors, going-out-of-business sales, and the sale of cigarettes. It administers the Unfair Sales Practices Act and the Uniform Deceptive Trade Practices Act. This division also has a small investigative staff.

(7) Athletic Division

This division has jurisdiction over all state amateur and professional boxing and wrestling exhibitions except those sponsored by schools, colleges or universities.

(8) Consumer Education Division

This division is responsible for keeping the public informed of potentially hazardous products and deceptive trade practices.

With reference to the organized crime problem, the divisions of immediate importance include the Consumer Fraud, Athletic, and Consumer Education divisions. The department's jurisdiction over the licensing of bakeries, beverage plants and food vending machines are potentially of great use in dealing with the infiltration of legitimate business.

The department also works closely with a number of Federal agencies including:

Consumer Protection Division Works with the Following Federal Agencies

Food and Drug Division	Food and Drug Administration (FDA)
Meat and Poultry Inspection	Department of Agriculture (USDA)
Frauds Division	Federal Trade Commission (FTC)
Weights and Measures	Bureau of Standards
Drug Division	State Narcotics Division Local and State Police Drug Enforcement Administration

Because the penetration of legitimate businesses by organized crime is invariably accompanied by deceptive trade practices, adulteration of products, etc., and since such infiltrated businesses often include food processing industries, bakeries, restaurants, etc., the potential role of Consumer Protection, under its existing authority and jurisdiction, is an important one.

State Tax Department

The State Tax Department administers many types of taxes, including those on alcoholic beverages, cigarettes, amusement, incorporated and unincorporated businesses, etc. Many of these taxes also entail registrations and permits, thus giving the department a number of useful tools. The department's powers, include the power to examine a corporation's books, as well as the ability to bring action to dissolve a corporation for making false statements or filing fraudulent returns. In the case of unstamped cigarettes, for example, the statute provides that these must be confiscated. False statements can be dealt with by application of various penalties.

The four main divisions of the department that are of interest here include: the Collection and Accounting Division, the Business and Personal Tax Division, the Sales, Use and Excise Taxes Division, and the Municipal Division.

Each of the divisions includes examiners and/or investigators. There are a total of 40 investigators in the department, 18 of them assigned to the Sales, Use and Excise Tax Division. The investigators in this division have primarily dealt with evasion of taxes on cigarettes and alcohol, and particularly with alcoholic beverage purchases in other states (especially New Hampshire) by Connecticut residents trying to take advantage of the tax differential (more



than \$6 per gallon). The department is currently organizing its own special unit to combat bootlegging of cigarettes and alcohol into Connecticut. Ultimately, this unit is expected to also deal with the organized smuggling operations at Bradley Field.

The Municipal Division does not collect any taxes. It performs audits on tax collectors' records. This division offers some potential in dealing with matters of official corruption since the accountant auditing a municipality, if he has reason to believe that the municipal funds are not being properly accounted for, must notify the Tax Commissioner. This is done through the Municipal Division. The department then usually instructs the auditor to continue with the audit in detail and, under statutory provision (Section 7-395), advises the state's attorney in the county in which the municipality is located of the auditor's preliminary report. When a final audit report is received, a copy of it is immediately forwarded to the state's attorney for any necessary action.

The Tax Department works closely with the Internal Revenue Service, the Alcohol, Tax and Firearms Division, the Federal Bureau of Investigation, and the Customs Bureau, and has an agreement with the Internal Revenue Service that provides for the exchange of information for tax purposes. The department regulations require the maintenance of records and provide for ready access to these for audit purposes, etc. These records include a number of enterprises that are generally favored by organized crime for penetration and take-over, including cabarets, motor carriers, and contractors of all types. Such records are invaluable for investigative purposes in general.

#### Secretary of State

The major divisions of the Office of Secretary of State that are of interest here include the Elections Division and the Corporations Division. The more important is the Corporations Division that administers the state's corporation laws.

The office possesses and has access to substantial information about incorporated and unincorporated businesses, labor unions and other similar organizations. For example, all labor councils and unions must adhere to the Federal Labor - Management Reporting and Disclosure Act of 1959 and are required to file annual financial statements with the Secretary of State. Also, all corporations doing business in Connecticut are required to file a copy of their certificates of incorporation and annual reports of the Secretary of State.

The Office of Secretary of State appears to offer tremendous potential for investigation into labor racketeering and infiltration of legitimate businesses. The criminal sanctions for perjury as well as fines can be used to punish false statements. However, the Secretary of State's Office has no enforcement or investigatory capabilities and, in effect, must rely on the Attorney General among others for any action. Currently, the major value of this office is as a source of investigative information.

#### Real Estate Commission

The Real Estate Commission is charged with overall responsibility for enforcement of the real estate law through the licensing of real estate brokers,

real estate salesmen, out-of-state land developers, real property security dealers, and mobile home parks. Generally, complaints about licenses and the unauthorized practice of real estate are investigated for compliance with the statutes and regulations under the commission's jurisdiction.

The commission has six staff members responsible for investigating complaints against licenses. It exchanges information and works closely with a number of Federal agencies including the Postal Department, the Justice Department, the Department of Housing and Urban Development, the Office of Interstate Land Sales Registration and the Internal Revenue Service. It also works with the Connecticut State Police Department. In the past, the commission found that one member of an out-of-state land development company was supposed to be involved in organized crime. On that basis, and on the basis of several violations, the commission refused to renew the license of the developer.

#### State Labor Department

The State Labor Department's jurisdiction, activities and operations may be of some use to the investigation of organized crime cases. Its involvement with investigative efforts is primarily confined to the prevention and detection of overpayments made to claimants filing for unemployment compensation, the enforcement of the payroll tax, the minimum wage provisions, and all laws and regulations designed to protect the health and welfare of workers. The department's Employer Status Unit registers and maintains files on all employers who are liable for registration with the department. Currently, there are about 63,000 employers in Connecticut who are covered under the law, that requires registration of employers who employ one or more persons during any thirteen weeks in a calendar year.

The Labor Department has some investigative staff with special state police powers of arrest, and works with the following Federal agencies: the U. S. Department of Labor's Manpower Administration, the U. S. Department of Justice's Treasury Division, the Internal Revenue Service and the Social Security Administration. The Labor Department's major activities are governed by the Connecticut Unemployment Compensation Law, the Unemployment Compensation Regulations, and the Federal Unemployment Tax Act. Its major potential at present is as a source of information for investigative purposes.

#### Motor Vehicle Department

The State Motor Vehicle Department has two major areas of responsibility: (1) the issuance of registrations for all motor vehicles, all-terrain vehicles, and snowmobiles; and (2) the licensing, regulation and supervision of motor vehicle manufacturers, motor vehicle dealers and repairers, junk yards, motor vehicle leasing companies, snowmobiles and all-terrain vehicle dealers, gasoline dealers, automobile clubs and commercial driving schools. Also, the Commissioner investigates all consumer complaints involving any of the above. Investigations are carried out by inspectors assigned to the department's Dealers and Repairers Division or the Driver Licensing Division. Investigation may result in a hearing and possible suspension or revocation of license.

The department's immediate usefulness in dealing with organized crime derives from the latter responsibilities. Through the licensing review function,

it has access to the records of licenses and can thus operate an information-gathering agency. Through its licensing and regulatory authority, it can be of greatest use in cases involving the use, sale or lease of motor vehicles of all types.

#### State Insurance Department

The State Insurance Department has jurisdiction for all insurance operations in the state, including the licensing of a company to do business in the insurance area and the licensing and operations of insurance agents, brokers, adjusters, etc. This authority is of great potential use in dealing with the general area of insurance fraud. The two divisions of major importance here are the License and Claims Division and the Examination Division.

As a practical matter, a thorough review of licenses at renewal time is not possible because there are more than 20,000 insurance agents, brokers and adjusters in the state as well as 637 insurance companies doing business in Connecticut. However, the responsibility for investigating specific cases of fraud against a particular company is not the state's, although the State Insurance Department can revoke the licenses of those involved in such activities. The major vehicles for the investigation of insurance fraud and other criminal activities is a private organization, the Insurance Crime Prevention Institute (ICPI). There appears to be little contact between ICPI and the State Insurance Department.

#### Public Works Department

The Public Works Department plans and supervises the construction of all state capital improvements (except highways) in excess of \$25,000. It also has the power to enforce the state building and/or demolition codes. In practice, however, the department has permitted enforcement to shift to the municipalities. The department has no investigators but it does have 25 building inspectors whose major functions are to check adherence to the plans as designed.

#### Liquor Control Commission

The Liquor Control Commission's authority includes the licensing and regulation of sales of alcoholic beverages, investigating and disposition of alleged or actual violations, preventing fraud and unfair or illegal trade practices. The commission has the power to investigate a licensed operation under its control at any time.

Generally, the commission acts on a complaint basis. It has an investigation and control section, of about 24 investigators, for the investigation of new applications and complaints.

#### Department of Consumer Protection

Through its enforcement of consumer protection regulations, the Department has some potential use in investigation and prosecution of organized crime cases where specified health violations are involved. An important division of the Department of Consumer Protection in this regard is the recently expanded Narcotics Control Bureau that has jurisdiction for controlled drugs, including

their storage, dispensation and use.

#### State Banking Department

The State Banking Department has broad authority for the licensing and regulation of all banks and other financial institutions and operations. It also has authority for securities issues, etc. The major legislation enforced by the Banking Commission is the Truth-In-Lending Act.

The department has a number of divisions that are of potential use in dealing with organized crime. These include the Bank Examination Division, the Securities Division and the Consumer Credit Division. The department has broad authority, including full authority to regulate all state banks and trust companies, savings banks, industrial banks, private bankers, buildings on savings and loan associations, credit unions, small loan licenses, etc. The Consumer Credit Division, for example, could be useful in the disclosure of cleverly-concerned loansharking operations that may have connections to legitimate finance operations.

#### State Transportation Department

The State Transportation Department has broad jurisdiction and regulatory powers for a wide range of activities including anything that relates to, affects, or is affected by, highway development and construction. Its jurisdiction includes freight operations at Bradley Field, internal unit audit checking, and the building and maintenance of roads, airports, etc.

The department has a newly-created investigatory division. There are a number of areas in which the department, with its present capabilities can be utilized. Two areas of interest are (1) increasing cargo theft at Bradley Field; and (2) penetration into labor unions that are responsible for the building of highways, or that become involved in bidding on state highway contracts. The department's Bureau of Rail and Motor Carrier Services has jurisdiction for all rail transit, transportation by rail and motor carriers.

#### Occupational Licensing Board

There are four occupational licensing boards covering the following trades: plumbing, heating and cooling, electrical and elevation. The boards generally have jurisdiction for licensing and workmanship standards. They do not have any enforcement or investigatory staff but they do work closely with the Department of Consumer Protection.

In terms of dealing with the penetration of legitimate businesses, this type of licensing authority is essential. There are provisions for revocation of a license for conviction for any felony and/or false statements.

#### Department of Environmental Protection

The Environmental Protection Department administers a number of laws, that if applied to enterprises that have been penetrated or taken over by organized crime, could be used to bring pressure to bear on such enterprises.

State Gaming Commission (Commission on Special Revenue)

Currently, the State Gaming Commission is primarily concerned with insuring internal security, a reduction of potential conflict of interest, and enforcement. It will be necessary, however, for it to become more directly involved in combatting the issuance of "phony" lottery tickets among other things.

Attorney General

While the Attorney General's Office has no criminal jurisdiction per se, it does have the responsibility for administering the State's Anti-Trust Act, the enforcement of the Truth-in-Lending Act, and the recently passed act providing for the suppression of criminally operated corporations. Also, it can provide legal assistance to various state agencies.

(4) Multi-State Regional Agencies

The fourth level of response to the organized crime problem in Connecticut arises out of the state's participation in multi-state regional agencies dealing with one or more aspects of the problem. The two most important such agencies are: (1) the New England State Police Administrators' Conference (NESPAC); and (2) the New England Organized Crime Intelligence System (NEOCIS).

NESPAC has been very instrumental in facilitating the exchange and sharing of intelligence information regarding organized criminal activities that transcend state boundaries. More recently, NESPAC and the New England Association of Attorneys General sponsored the creation of NEOCIS, an experimental regional intelligence collection and analysis organization. To date, the bulk of funding for NEOCIS has come from the Law Enforcement Assistance Administration. In addition, each state contributes manpower and lately, proportionate shares of Federal block grant funds.

NEOCIS operates under the supervision of a joint board consisting of the State Police Commissioners from each of the New England states and the Attorneys General from each state except Connecticut because Connecticut's Attorney General does not have any criminal jurisdiction. NEOCIS employs a number of intelligence officers to collect information in the field. In addition, state troopers are assigned by each state to work with NEOCIS. Connecticut, for example, has assigned three State Police officers. The information and intelligence thus collected is sent to the NEOCIS office where it is centrally processed, collated and disseminated to the member agencies. Since its files include information and intelligence about organized crime activities throughout New England, NEOCIS's most important use is as a central file against which inquiries can be made concerning individuals, events, and places as well as the "organized crime content" of specific cases. In this way, NEOCIS can provide the insights into, and information about, Connecticut's ties to organized crime elsewhere.

(5) Federal Agencies

The fifth level of response to organized crime in Connecticut consists of

those Federal agencies which have offices either in Connecticut or in New England. Generally, the Federal agencies can bring the following broad capabilities to bear on the organized crime problem, where such activities also violate (or involve) Federal statutes and regulations:

- (1) Access to greater intelligence resources maintained by the various agencies;
- (2) Broader and more powerful statutes;
- (3) Greater investigative resources, both in terms of manpower, equipment and techniques;
- (4) Extensive administrative and regulatory powers;
- (5) Access to special training programs;
- (6) Technical literature, manuals and handbooks;
- (7) Federal investigative grand juries; and
- (8) Witness protection capabilities (through the U. S. Marshals).

The following is a brief summary of the capabilities and resources that can be brought to bear on organized crime as possessed by the major Federal agencies with offices either in Connecticut or New England. These capabilities and resources exist now.

Department of Justice

The most important Federal agency with respect to the investigation and control of organized crime in Connecticut is the Justice Department. The offices of major divisions located in Connecticut are:

(a) Federal Bureau of Investigation (FBI)

Field office located in New Haven. Major capabilities include: intelligence and information gathering and dissemination, investigative capabilities with respect to gambling (as a result of the illegal gambling provisions of the Organized Crime Control Act of 1970); and access to the FBI laboratory facilities.

(b) Immigration and Naturalization Service (INS)

District office located in Hartford. Has investigative responsibility with regard to violations of laws relating to immigration, naturalization, and nationality. Grounds for deportation include convictions for crimes involving moral turpitude, involvement in or conviction for illegal narcotics activities, and involvement in commercialized vice, prostitution, and other immoral acts; failure to report an alien address, etc.

(c) Drug Enforcement Administration (DEA)

Regional office in Boston and field office in Hartford. DEA conducts investigation of heroin and dangerous drug trafficking. Manpower and participation in major "bugs" and intelligence resources. DEA was developed to coordinate the various federal efforts aimed at narcotics.

(d) Organized Crime Strike Force

Representative in Hartford with main office in Boston. The strike force, that falls under the Organized Crime and Racketeering Section (OCRS) of the department's Criminal Division, has a number of capabilities including access to electronic surveillance, provision of protection for witnesses in organized crime cases, and intelligence files that include information about the scope and membership of organized crime syndicates throughout the nation. The strike force can also provide access to training for intelligence analysts in state and local agencies. It is the key element in prosecuting organized crime cases.

(e) U. S. Attorney

Office in Bridgeport. Provides prosecution for Federal offenses, and access to grand jury capabilities.

Divisions of the Justice Department that do not have offices in Connecticut include: The General Crimes Division that enforces criminal statutes covering a wide range of organized crime activities; the Management and Labor Division that enforces statutes relating to organized crime activity in labor unions; and the Tax Division that conducts criminal and civil litigation involving violations of tax laws including violation by organized crime elements who derive income from illicit sources such as heroin traffic. The Tax Division assists the Internal Revenue Service in grand jury investigation, preparation, and prosecution of criminal tax violations. More recently, anti-trust statutes have been utilized in the prosecution of specific cases involving organized criminal activity.

Treasury Department

The Treasury Department has law enforcement responsibility in a number of areas involving fiscal matters, smuggling, counterfeiting, illegal importation of goods, forging of government checks and securities and internal revenue offenses. The major offices located in Connecticut include the following:

(a) Bureau of Customs

District office in Bridgeport.

(b) Internal Revenue Service

District office in Hartford. At the same location is the Intelligence Division, the Bureau of Alcohol, Tobacco and Firearms, and the Secret Service.

U. S. Postal Service

The Postal Service has responsibility for investigating violations of the postal laws, including the mail fraud statute (see 18 USC 1341). The mail fraud statute is rather broad including the use of counterfeit, lost or stolen credit cards. These capabilities are very important because organized crime syndicates make heavy use of stolen or counterfeit credit cards in their operations. There is a postal inspector in Hartford whose office often works with state and local police departments. There is a special Organized Crime Division in Washington.

Department of Labor

The Labor Department has two major sanctions against labor racketeering. There are: (1) the Labor-Management Reporting and Disclosure Act of 1959 as amended (29 USC 401 et seq. referred to as LMRDA); and (2) the Welfare and Pension Plans Disclosure Act as amended (29 USC 301-309, referred to as WPPDA). Their acts are administered and enforced by the Labor-Management Services Administration (LMSA) in the Department of Labor. There is an LMSA field office in Hartford.

Securities and Exchange Commission (SEC)

The Securities and Exchange Commission (SEC) has broad powers, under the Securities and Exchange Act of 1934 as amended (48 Stat. 881, 15 USC 78a-78jj), over malpractice in the securities and financial markets, including fraud and deception in the purchase and sale of securities. Possible use, in Connecticut, might be in connection with the use of stolen, fraudulent, or counterfeit securities or commercial paper to obtain bank credit, etc.

There is a regional office in Boston.

Small Business Administration (SBA)

There is an office of the Small Business Administration in Hartford. This agency has responsibility for checking the eligibility of businesses applying for loans, licenses, contracts and other financial assistance. Also, it maintains liaison with the Justice Department's strike forces, through the Organized Crime and Racketeering Section. Its major use would be in investigation of possible infiltration of legitimate business.

Department of Transportation

The Department of Transportation, through its Office of Air Transportation Security, in the Federal Aviation Administration, among other things, keeps track of persons of interest to the Organized Crime and Racketeering Section, who are certified pilots and/or owners of aircraft. There is an office of the Federal Aviation Administration at the Bridgeport Municipal Airport in Stratford, Connecticut.

Federal Communications Commission (FCC)

There are a number of areas where the Federal Communications Commission could provide assistance in dealing with organized crime. These include



denying the use of radio communications for transmission of illegal lottery and wagering information and some control over assignment of radio frequencies to firms that are known to be infiltrated, or run as "fronts," by organized crime figures. One could, for example, imagine the difficulties that would be faced by a trucking company infiltrated by organized crime if it were unable to get a radio frequency assignment.

Other Federal Agencies

There are a number of other Federal agencies whose jurisdiction and capabilities may be applicable to specific organized crime cases where administrative or other regulations are violated. These include the following:

<u>Agency</u>	<u>Nearest Office</u>
Environment Protection Agency	Boston, Massachusetts
Federal Trade Commission	New York, New York
Housing and Urban Development Act	Loson, Mass. - office in Hartford also
Interstate Commerce Commission	Hartford
Health Educational Welfare Food and Drug Administration	Bridgeport and Hartford

The jurisdiction and authority of the Interstate Commerce Commission over interstate movers and truckers should have great potential in dealing with infiltration into moving and trucking as well as in hijacking, cargo theft, etc.

(6) Private Agencies

The sixth level of response to the organized problem consists of private agencies that are either concerned with some aspects of the problem or that have resources that can be brought to bear on the problem. Nearly all authorities in this field have emphasized the key role that private agencies must play in the overall effort to control and combat organized crime.

Such private agencies would include corporations, gas and electric utilities, and professional and trade associations. The types of resources that such agencies in Connecticut can bring to bear on the problem include:

- (1) Peer group pressure through imposition and enforcement of codes of ethics and behavior to guide members in conduct of their business, etc.;
- (2) Provision of specialized services;
- (3) Coordination of business and professional activities so as to minimize profit opportunities for organized crime elements; and
- (4) Public education efforts to make the public and the private sector aware of the organized crime problem and of methods for dealing with

and controlling it;

- (5) Deprivation of certain essential services to enterprises and individuals engaged in organized crime activities;
- (6) Functioning as a "pressure group" to bring about changes in governmental policies, legislation and approaches to dealing with organized crime; and
- (7) Providing facilities and goods for investigative and undercover efforts.

It should be noted that these capabilities and resources exist now. They do not have to be developed before they can be utilized. The principal private agencies in Connecticut that possess these resources now include:

- (1) Local and state chambers of commerce that have distributed some materials developed nationally in this connection;
- (2) Better business bureaus;
- (3) Connecticut Bar Association;
- (4) Southern New England Telephone Company that, through its Security Representative System, provides specialized services to police (particularly the Connecticut State Police); and
- (5) Other professional and trade operations.

These efforts should, of course, be closely coordinated with investigative and prosecution efforts at all levels.

Existing Statutes

As part of the description of Connecticut's existing capabilities for dealing with organized crime, a comprehensive survey of current statutes that could be brought to bear on this was carried out, building upon a similar but earlier survey (carried out in 1970-71). There are three major statutory areas of interest here: (1) statutes dealing with substantive areas such as gambling, loan-sharking, pornography, etc.; (2) statutes dealing with procedural matters to facilitate enforcement of the substantive laws; and (3) statutes that define the jurisdiction, powers and authority of state agencies. The second group, procedural statutes, define procedures such as electronic surveillance, convening and operation of investigative grand juries, and witness immunity among others.

It should be noted that the nature of organized crime cases are such that special procedural laws are needed to facilitate a lawful process of compulsion and evidence gathering. Without such tools, the body of substantive law, relating to specific crimes, cannot be effectively used and there will be few if any witnesses and possibly no convictions.

This section includes a listing of the existing substantive law that has been found to be applicable in dealing with organized crime, and a brief

discussion of the existing procedural law that can be of greatest help in approaching the problem of organized crime in Connecticut. The section about state agencies has already touched upon some of the powers of those state agencies that are of potential use in any coordinated effort against organized crime and these are discussed in greater detail in the section on Specific Recommendations for Action.

Substantive Laws

A complete survey of Connecticut's existing statutes was made with the aim of identifying those statutes that would be of use in dealing with substantive areas of organized crime. The statutes so identified were then grouped according to 14 major areas of organized criminal activity:

- (1) gambling
- (2) labor racketeering
- (3) prostitution
- (4) fencing
- (5) pornography
- (6) forgery and counterfeiting
- (7) conspiracy
- (8) credit card fraud
- (9) loansharking
- (10) narcotics
- (11) frauds
- (12) official corruption and bribery
- (13) tax offenses
- (14) sentencing (appellate review)

Not covered here are those statutes related to the considerable powers of the Liquor Control Commission. The use of these powers are covered in the section called Specific Recommendations for Action. Below is a summary of applicable state statutes arranged by substantive area.

This listing is primarily intended to acquaint the reader with the range of substantive law that can be brought to bear on the problem and to provide an authoritative listing that later sections will refer. It should be noted that the section about Specific Recommendations for Action includes a more detailed discussion of the substantive statutes as well as recommendations for changes and modifications.

Gambling

- 12-571 Off-track betting systems
- 12-572 Branch offices. Deposit of daily receipts (P.A.73-344)
- 12-574 Licenses for race meets on concessions. Suspension, revocation
- 12-575 Pari-mutuel betting. Tax. Uncashed tickets (P.A.73-401)
- 12-576 Gambling by person under eighteen (P.A.73-247)
- 19-338 Betting prohibited (at boxing and wrestling)
- P.A.73-455 Model Anti-Gambling Act

Labor Racketeering

- 9-365 Threats by employer to influence voting
- 31-48(a) Recruitments of professional strikebreakers restricted
- 31-48(b) Use of electronic surveillance devices by employers limited
- 31-71(e) Withholding of part of wages
- 31-90 Attempt to prevent laborers from joining labor organizations
- 31-105 Unfair labor practices defined
- 31-126 Unfair employment practices (P.A.73-647)

The following portions of the Penal Code also apply:

- 53a-62 Threatening
- 63 Reckless endangerment - first degree
- 64 Reckless endangerment - second degree
- 127 Diversion from state to benefit of labor of employees
- 158 Bribery of a labor official
- 159 Bribe receiving by a labor official
- 160 Commercial bribery
- 161 Receiving a commercial bribe

Prostitution

- 19-316 House as Nuisance (civil)

The following portions of Part VI of the Penal Code entitled Sex Offenses also apply:

- 53a-82 Prostitution
- 83 Patronizing a prostitute
- 84 Sex of parties immaterial
- 85 Promoting prostitution, definitions
- 86 Promoting prostitution, in first degree
- 87 Promoting prostitution, in second degree
- 88 Promoting prostitution, in third degree
- 89 Permitting prostitution

Fencing

- 53-131 Removal of identifying marks on electrical devices
- 132 Sale of equipment with defective identification marks
- 53a-119(8) Larceny by receiving stolen property

Pornography

- 29-117 Moving pictures license. Penalty
- 117a Exhibition of preview of "x" rated films
- 53-21 Injury or risk of injury to children

The following portions of Part XX of the Penal Code, entitled Obscenity and Related Offenses, also apply:



- 53a-193 Definitions
- 194 Obscenity
- 196 Obscenity as to minors
- 197 Disseminating indecent comic books

Forgery and Counterfeiture

- 12-570 Forging, counterfeiture or altering of tickets
- 53-347a Prohibited acts relative to stamps, labels, trademarks, servicemarks and certificate marks

The following portions of Part X of the Penal Code, entitled Forgery and Related Offenses also apply:

- 53a-137 Forgery and related offenses; definitions
- 138 Forgery in the first degree
- 139 Forgery in the second degree
- 140 Forgery in the third degree
- 141 Criminal simulation
- 142 Forgery of symbols

Conspiracy

All of Part III of the Penal Code, entitled Inchoate Offenses applies:

- 53a-48 Conspiracy
- 49 Criminal attempt
- 50 Effect of motivation after renunciation
- 51 Classification of attempt and conspiracy

Credit Card Fraud

- 36-393 through 36-417 Truth in Lending Act
- 53-389 through 53-392 Extortionate Credit Transaction
- 53-389 Definitions
- 390 Extortionate extension of credit, conspiracy
- 391 Advances of money or property to be used in extortionate extension of credit
- 392 Participation or conspiracy in use of extortionate means, evidence

The following portions of Part IX of the Penal Code entitled Larceny, Robbery, and Related Offenses also apply:

- 53a-121 Credit card defined
- 128(a) Credit card crimes; definitions
- 128(b) False statement to procure issuance of credit card
- 128(c) Credit card theft, illegal transfer; fraud; forgery
- 128(d) Illegal use of credit cards
- 128(e) Illegal furnishing of money, goods or services on credit cards
- 128(f) Unlawful completion or reproduction of credit cards
- 128(g) Receipt of money, goods or services obtained by illegal use of credit cards

- P.A.73-466 An act concerning defenses on instruments in consumer sales transactions

Also, Articles II and IX of the Uniform Commercial Code, especially 42a-2-100 through 42a-2-725 Sales and 42a-9-101 through 42a-9-507 Secured Transactions.

Loansharking

- 21-44 Rates of interest (pawnbrokers)
- 36-225 Loan business to be licensed
- 36-233 Interest rates; loan restrictions (P.A.73-419)
- 36-243 Charge of greater than legal interest
- 36-393 through 36-417 The Truth-in-Lending Act
- 37-1 Legal Rate
- 37-4 Loans at greater rates than 12% restricted
- 37-5 Notes not to be accepted for greater amounts than loaned
- 37-6 Certain expenses not to be charged to borrower
- 42-85 Maximum finance charge on motor vehicle sales

Narcotics

- 19-66a Sale of hypodermic needles and syringes restricted
- 53a-45 The death penalty (P.A.73-137)
- P.A.73-681 An act providing for a drug division within the Department of Consumer Protection

Frauds

- 52-552 Fraudulent conveyances, when void
- 562 Liability for fraud in contracting debt; concealing property
- 588 Suit on note obtained by fraud
- 53-130 Concealment or destroying attached property
- 131 Removal of identifying marks on electrical devices
- 132 Sale of equipment with defective identification
- 270 Fortune telling and other fraudulent practices
- 289 Sale of tickets of admission at advanced price
- 314 Keeping a bucket shop
- 315 Keeping a bucket shop - accessory
- 323 Coercion in placing insurance on real or personal property

The following portions of Part V of the Penal Code, entitled Assault and Related Offenses also apply:

- 53a-62 Threatening
- 63 Reckless endangerment in the first degree
- 64 Reckless endangerment in the second degree

The following portions of Part IX of the Penal Code entitled Larceny, Robbery, and Related Offenses also apply:

- 53a-118 Definitions
- 119 Larceny defined

53a-120	Theft of services
121	Value of theft of services
122	Larceny in first degree (P.A.73-63a)
123	Larceny in second degree " "
124	Larceny in third degree " "
125	Larceny in fourth degree
128	Issuing a bad check
129	Misapplication of prop.
130	Criminal impersonation
162	Rigging
163	Soliciting or accepting benefit for rigging
164	Participation in a rigged contest
P.A.73-615	An act concerning unfair trade practices

Official Corruption and Bribery

1-66 through 1-78	Code of Ethics for Legislators
4-116	Director and staff not to be interested in contract
9-333 through 9-348	Corrupt practices
9-349 through 9-368	Prohibited acts and penalties
29-9	Acceptance or offering of gifts or rewards by or to state or local police
53-152	Threats to hinder legislation

The following portions of Part V of the Penal Code entitled Assault and Related Offenses also apply:

53a-62	Threatening
63	Reckless endangerment - first degree
64	Reckless endangerment - second degree

The following portions of Part XI of the Penal Code, entitled Bribery, Offenses against the Administration of Justice and Other Related Offenses, also apply:

53a-146	Definitions
147	Bribery (bribery of executive or legislative officer; attempt to improperly influence legislation)
148	Bribe receiving (bribery of executive or legislative officer; attempt to improperly influence legislation)
149	Bribery of witness
150	Bribe receiving by witness
151	Tampering with a witness
152	Bribery of a juror (P.A.73-639)
153	Bribe receiving by a juror " "
154	Tampering with a juror
155	Tampering with or fabricating physical evidence
156	Perjury
157	False statement
158	Bribery of a labor official
159	Bribe receiving by a labor official
160	Commercial bribery
161	Receiving a commercial bribe

53a-165	Hindering prosecution defined
166	Hindering prosecution in the first degree
167	Hindering prosecution in the second degree

Tax Offenses

This list constitutes only a small portion of the tax laws of the State of Connecticut that could be brought to bear on organized crime.

Corporate Business Tax

12-231	Fraudulent returns
233	Examination of returns

Sales Tax

12-415	Deficiency assessments
419	Interest and penalties
420	Collection of taxes
428	Violations

Cigarette Tax

12-295	Suspension or revocation of license
327	Suspension or revocation of license
306(b)	False entry on invoice or record
309	Taxpayer to keep records; (Commissioner may examine assessment of tax deficiency)
318	Seizure for nonpayment of tax

Gasoline Tax

12-463	Suspension/revocation of license (distributor's)
464	Penalty (false return)
469	Penalty for failure to file report, pay tax or obtain license
474	Penalty

Admissions and Cabaret Tax

12-547	Returns, payment of tax penalty
548	Examination of records, deficiency assessment penalty
551	Willful violations

Taxation of Alcoholic Beverages

In general, §12-433 through §12-454 inclusive are applicable here. More specifically, the following are of use:

12-433	Definitions
434	Administration by (tax) commissioner
439	Payment of tax. Penalties for nonpayment
442	Power to examine (records/books)

- 12-449 Regulations and rulings
- 450 Cooperation with Liquor Control Commission
- 454 Seizure and sale for nonpayment of taxes

Sentencing

- 51-194 Review division; appointment (of division), meetings, etc.
- 195 Application for (appellate) review
- 196 (Appellate) review; decisions
- 197 Forms and rules of procedure

Procedural Laws

In dealing with organized crime, there is a need for substantive laws and for the legal tools needed to enforce these laws. Such tools, or procedural laws, are necessary and essential in order to facilitate the lawful process of evidence gathering to organized crime.

Connecticut has a number of procedural laws already on the books that can be used to deal with organized criminal activity. These could be improved and recommended changes are discussed in the section about Specific Recommendations for Action. Five of the more important areas where statutes already exist are:

- (1) Electronic Surveillance
- (2) Witness Immunity
- (3) Grand Jury
- (4) Motions to Suppress Evidence; and
- (5) Perjury

A brief survey of these follows:

(1) Electronic Surveillance

Connecticut's present statutes (§54-41a et. seq.) provide for 35 wiretaps a year and restrict both the carrying out of the taps as well as disclosure for the Connecticut State Police Department. The present act is very restrictive in terms of number of taps, collection of evidence, etc., to support requests for a court order, the requirement for approval by a three-judge panel, and restriction in use of gambling, crimes of violence and certain drug-related crimes.

(2) Witness Immunity

Connecticut's immunity statute (§54-47a) provides for compelling the testimony of a witness and provides for immunity from prosecution on an order from the Superior or Circuit Court. Its use is restricted, again, to criminal proceedings involving narcotics, gambling, or felonious crimes of violence. The statute provides for "transactional" immunity, despite the fact that "use" immunity is all that is constitutionally required.

(3) Grand Jury

Connecticut's Constitution provides for a grand jury in the case

of capital crimes. The state's statutes (§54-45) spell out when a grand jury is required. While a one-man grand jury can be appointed for purposes of investigation, the fact is that this has only been done on a limited scale.

(4) Motions to Suppress Evidence

In general, this is of concern in dealing with evidence obtained from wiretap sources. §54-41a contains some information on this.

(5) Perjury

Under the state's perjury statutes (see §53a-156 and §53a-167), several elements must be established to prove perjury. These include the existence of an oath to tell the truth, administration of the oath by legal authority, the falsity of testimony, an intention to give it willfully and with full knowledge of its falsity and the materiality of the falsehood to the matter at issue. In establishing falsity, there must be direct testimony of two witnesses or of one witness plus very strong circumstantial corroboration of his testimony.

Specific recommendations concerning these as well as some other areas of need with regard to procedural laws are given in the section about Specific Recommendations for Action.

NEEDS AND PROBLEMS OF THE CONNECTICUT CRIMINAL JUSTICE SYSTEM

Sec. 3: Needs and Problems of the Connecticut Criminal Justice System

Continuing investigation of this state's organized crime problem by the Connecticut Planning Committee on Criminal Administration both as part of its ongoing planning responsibilities and as part of the effort to develop a systematic approach to organized crime control reveals that there are eight general problems characteristic of the Connecticut criminal justice system that must be dealt with. These are:

- (1) The need for greater public awareness of the existence and nature of such activities in the state as well as increased participation by both the public and the private sector in dealing with the problem;
- (2) The lack of detailed knowledge about the overall extent, structure, operational mechanism, spectrum of activities, key personnel and future plans of organized crime in Connecticut;
- (3) The need for a capability to systematically analyze and to effectively utilize the information and intelligence that is available (or becomes available) in the development of strategies and countermeasures to deal with organized crime;
- (4) The inability to utilize intelligence and intelligence analysis facilities for producing legal evidence and other information concerning organized criminal activities;
- (5) The general lack of a broadly-based organized crime investigative capability in Connecticut utilizing the full range of statutes and regulatory authority available at the state level. In particular, there is no single agency committed, on a continuing basis, to the investigation and prosecution of the full range of organized criminal activity, including labor racketeering, corruption, bankruptcy, fraud, organized gambling and the like;
- (6) There is a need for new procedural laws to provide such a unit (or alternatively, existing agencies) with more effective investigative and prosecutorial "tools" so that it can make better use of the substantive law in dealing with organized crime;
- (7) With very few exceptions, there is little or no coordination among criminal justice system agencies in Connecticut concerned with the problem of organized crime let alone with non-criminal justice system agencies concerned with some aspects of the problem (such as the Department of Consumer Protection or the State Tax Department among others); and
- (8) There is no overall unified strategy on the part of the Connecticut criminal justice system for dealing with organized crime.

The Connecticut Planning Committee on Criminal Administration attempted to address these problems in large part in 1971 and 1972 by proposing the establishment and operation of a statewide investigative and prosecutorial unit.

In both years, however, it proved impossible to implement this approach; instead, an experimental organized crime task force was set up under the New Haven County State's Attorney, to work exclusively in New Haven County. Both the experience to date with this unit (and with previously-funded projects) and results of extensive investigation by CPCCA staff into the state's capabilities indicate that the most important immediate needs are for broadly-based investigative capabilities that would be able to utilize the resources and jurisdictional authority of other agencies (both criminal and non-criminal) as well as the entire range of criminal and non-criminal statutes and administrative regulations and for more responsive legislation that could be utilized for both investigative and prosecutorial purposes.

While it was not possible to implement the proposed statewide investigatory and prosecutorial unit during 1971 and 1972, this does not mean that the state has been without any capabilities at all for dealing with organized criminal activity. There are some good on-going operations aimed at particular aspects of the problem but they are fragmented and lack effective coordination. At the local level, most municipal police departments in Connecticut are ill-equipped, from the standpoint of training, experience, and orientation to deal with highly-organized criminal activity, despite the fact that they account for most of the arrests in such cases. Insofar as major response at the local and regional level are concerned, there has been the New Haven Organized Crime Task force (also known as OCTAFORCE), supported by the CPCCA. The state's five regional crime squads, operating under the supervision of SECC, constitute a major investigative and enforcement resource for dealing primarily with the narcotics problem and, occasionally, with other types of regional criminal activities such as burglary and gambling. At the state level, the State Police Department has six units that deal directly with aspects of the problem: the Criminal Intelligence Section and the Organized Crime, Gambling, Electronic Surveillance, Narcotics and Security Investigations Units, all within the Detective Division. In addition, other non-criminal justice agencies deal with very specialized aspects of the organized crime problem.

It should be noted that in both the prior discussions of organized crime in Connecticut and the state's existing responses to the problem as well as in the discussion in this section on "Needs and Problems of the Connecticut Criminal Justice System," the distinction between organized crime as the traditional syndicate or "family" pattern of operation and organized criminal activity such as rings of car, jewelry, credit card and check thieves, burglars, and narcotics traffickers should be kept in mind. While both forms of organized crime are addressed here, the distinction between them is important in its implications for enforcement and control as well as for the types of capabilities required.

One important problem faced by the Connecticut criminal justice system in attempting to deal with organized crime is the widespread lack of public awareness of the problem in Connecticut. A thorough public awareness of the existence, nature and scope of organized criminal activities is essential and, in fact, intrinsic to effective law enforcement efforts against them. Public concern and pressure can sometimes play a decisive role in the passage of legislation needed to combat organized crime. Increased public awareness and concern may also cause the public to re-evaluate its priorities in the area of law enforcement. Currently, the major emphasis of law enforcement activities

has been, and is, on combatting "street crime." However, in terms of economic impact and overall effect on society, street crime does not begin to compare with organized crime. Greater public awareness of, and concern for, this fact may dictate some re-ordering of basic law enforcement priorities.

There is a great deal of information that can be related to the public, including recent (and older) historical accounts of organized crime, past and present law enforcement efforts, and the problems faced by law enforcement agencies in dealing with organized crime. This can be done without the need to divulge the contents of intelligence files and the results of confidential investigations. There are a number of approaches that can be undertaken to meet these needs including public discussions and forums. These, in fact, might well be included in the activities of those engaged full time in the investigation and prosecution of organized crime.

Private agencies and the public in general, as pointed out earlier in Section 2 of this report, have a key role to play in the overall efforts to control and combat organized crime in Connecticut. It was also pointed out that there are many steps that can be taken now by private agencies. A major need, however, is for the coordination of private efforts with those of the state and local agencies. Such efforts must include overall planning and education of the public as to its essential role as a participant in the attack on organized crime.

The general lack of detailed knowledge concerning organized crime in Connecticut is an important barrier to any meaningful public understanding of the problem, let alone to the development of effective efforts to control or suppress it. There is no way to measure the extent of the problem objectively.

The use of arrest statistics, as in Table 4, is an after the fact measurement of the efficiency of the criminal justice system in detecting and arresting criminals who have committed offenses characteristic of organized crime. These data still do not indicate the degree of criminal organization nor could they be used to determine whether and to what degree the organization and structure are affected by enforcement and other efforts. One aspect of this problem is that there is no provision for basic research into organized crime in Connecticut. Earlier attempts to develop a research program did not materialize, primarily because of lack of interest and a lack of willingness to commit resources. Ideally, such research should be the byproduct of investigative and prosecutorial activities.

There is a pressing need to develop techniques for measuring both the level of organized criminal activity as well as for assessing the impact of various strategies and countermeasures on it. This type of capability is of more than academic interest. The lack of a means for measuring organized criminal activity in an objective manner constitutes a major stumbling block in the development of a plan for its control and reduction. What cannot be measured also cannot be projected for the future. Also, its costs cannot be computed and, as a consequence, the selection of countermeasures becomes a subjective process. Measurements of investigative, enforcement and prosecutorial activity in terms of numbers of cases handled, numbers arrested, and number of cases successfully prosecuted become meaningless. The effects of such recent developments as the state lottery and legalized off-track betting and other



forms of gambling, for example, cannot be assessed either. Recent evidence, according to the State Police Department, indicates the development in Connecticut of a new form of illegal gambling, based on a combination of winning numbers in the state lottery, with higher payoffs as well as the development of parallel illegal lotteries. Presumably, when legalized off-track betting goes into operation, this too will be utilized by gambling operators perhaps as a "lay-off" facility. Developments like these underscore the need for better planning and intelligence with respect to organized crime activities and operations.

As a practical matter, however, the state cannot postpone an operational response to the organized crime problem in order to await the results of basic research. In 1971, the CPCCA staff undertook an examination of the question of measuring organized criminal activity using the products of day-to-day investigative operations. Twelve basic methods used by investigators were examined:

- (1) Informer information
- (2) Arrests
- (3) Dispositions
- (4) Surveillance
- (5) Victim reports
- (6) Infiltration
- (7) Wiretaps
- (8) Witness information
- (9) Field surveys
- (10) Spot examination
- (11) Examination of records of various types
- (12) Economic analyses

The eight types of activities that were looked at were: (1) gambling; (2) legitimate business infiltration; (3) extortion; (4) labor racketeering; (5) loan sharking; (6) fencing; (7) theft, hot car and forgery rings; and (8) drugs and other black markets. These problems were also looked at in terms of what information is required to deal with them, and their economic, social and political impacts. The conclusion was that while this would be a major undertaking, it could be carried out as part of on-going enforcement and investigative activities and the operational data generated by such activities on the part of both criminal justice and non-criminal justice agencies could potentially be of great use in developing methods for measuring organized crime and related criminal activity. Such data could, when combined and analyzed, yield information about the structure, operational mechanisms, spectrum of activities, key personnel and specifics concerning future plans of organized crime in Connecticut. To some extent, this is being done by the New England Organized Crime Intelligence System.

There is only a limited capability among Connecticut criminal justice system agencies to analyze available (or to-be-available) information with the aim of developing strategies and countermeasures. To a large extent, this is due both to the lack of personnel and to lack of a means for storing and analyzing such information. The Connecticut State Police Department, for example, is the state's major repository for information and intelligence about organized crime. Yet, it does not employ any professional intelligence analysts.

There is of course some "intelligence analysis" activity going on, primarily in response to specific needs. There is not, however, any systematic approach to analyzing existing and in-coming intelligence and other information, and using the results for the purpose of making tactical decisions concerning surveillance, investigation, etc.

To some extent, the limited State Police capability is augmented by its participation in the New England Organized Crime Intelligence System (NEOCIS) and in the New Haven County Organized Crime Task Force that collected a great deal of intelligence and other information about organized crime in New Haven County. Also, a number of state agencies may be collecting information and intelligence, as part of their regular operations, that would be of use to the State Police Department.

On the local level, municipal departments carry out such analysis on a case-by-case basis. The few departments with intelligence units may also be carrying out such analysis on a limited basis. The development and operation of regional crime squads addressed, in part, the need for such a capability at the local level but, again, resource limitations were such that only two of the squads were able to develop a capability. SECC was set up to coordinate the activities of the various regional crime squads. One of its functions is to centralize the intelligence activities of the crime squads and to provide a full time intelligence analysis capability. SECC will provide the mechanism for analyzing the intelligence and other data developed by both the municipal police agencies and the regional crime squads, but on a statewide basis. As a byproduct of these activities, measures and techniques for assessing the volume of drug activity will also be developed.

Existing intelligence facilities at the state and local levels have only a limited capability to yield acceptable evidence and other information that could be used in prosecution. This stems, in large part, from the nature of organized crime as compared to ordinary crime. In ordinary crime cases, the basic objective of the criminal justice system is to identify the offender and establish his association with the offense, to a high degree of certainty; i.e., beyond a reasonable doubt. Organized crime, however, involves unknown events, victims who may be unwilling, usually no complainant, and a criminal who is in a general sense "known." The basic objective of the criminal justice system in such cases, then, is to identify the events and associate the events to the known offender, again with a high degree of certainty. No existing intelligence systems are known to be structured to accomplish this. This may require computerization of selected files as a step toward automated analysis of field intelligence and the development of the correlations and relationships between various pieces of intelligence. Such correlations, in turn, could be used for more informed decision-making with regard to patterns of enforcement, lines of investigation, and prosecutorial strategies. Ideally, an intelligence system is desired that could digest large amounts of data, and establish "probable cause" (or even an "air-tight" case) by reconstructing patterns of events.

Another barrier to the development of effective intelligence systems are the insular tendencies of specialized enforcement units and tendencies that evolve even among the sections of a unit. Other units, even other non-criminal justice agencies, may have information and intelligence that may be relevant



but for various parochial reasons the information and intelligence is never shared. The organization of SECC and of the experimental New Haven County "OCTAFORCE" appear to have resolved some of these problems.

Intelligence files also provide an important input to "targeting" of individuals and operations and to decision-making concerning the allocation of manpower, wiretap and surveillance resources, etc. In the near future, for example, this use of criminal intelligence will become almost as important as its use in investigation and prosecution.

The inability to focus investigative and prosecutorial attention and energies on organized criminal activities covering more than one jurisdiction within the state emerges as a major problem. This is largely because organized crime activities are not necessarily organized along established jurisdictional boundaries. As a consequence, investigative and prosecutorial activities appear to be (and in most cases, are) fragmented. Except for the OCTAFORCE project, there has been no single unit committed, on a continuing basis, to the investigation and prosecution of the full range of organized criminal activity, including labor racketeering, corruption, fraudulent schemes, bankruptcy fraud, organized gambling and the like. There are, of course, agencies dealing with some of these, either from the investigative or the enforcement aspects but, as demonstrated in the previous section, the approach is generally fragmented.

The inability to focus efforts on organized crime is a major problem even within a single jurisdiction. Reasons for this include: (1) shortage of manpower at the local police level; and (2) inability to commit manpower on a full-time basis. In the one case where the CPCCA supported a large city's organized crime control unit, the city was only able to assign one officer to the unit. In those few agencies where investigators may be assigned to work on organized crime cases, this is often only so long as a murder or other emergency does not require their services elsewhere.

There is, however, an organizational aspect to this problem. Investigative and prosecutorial units, as now organized, follow the traditional "violation response" strategy. That is, when a complaint or a situation exists, the investigative response is directed toward making an arrest while the prosecutorial response is largely directed toward using available knowledge and information to effect a conviction. Consequently, the orientation of such units is traditionally towards volume of arrests, number of convictions and an almost total reliance on criminal violations.

The state's response to this type of need has been OCTAFORCE. The operation of this unit (OCTAFORCE) provided some guidelines for the operation and management of the statewide unit currently being set up.

Even after establishing such a unit, there is still a lack of the investigative and prosecutorial "tools" needed to make effective use of existing and new substantive laws. The following are some of the more important procedural changes that are needed:

- (1) A more effective statute permitting court-controlled wiretapping and electronic surveillance. At the same time, more severe penalties

should be imposed for the use by private individuals or firms, for whatever purpose, of electronic surveillance devices, perhaps at the felony level.

- (2) The present immunity law should be broadened. It is too limited as enacted, because it applies only to cases involving narcotics, gambling, and felonious acts of violence. See Title II of the Organized Crime Control Act of 1970.
- (3) Legislation is needed to establish a witness immunity fund for protection and/or relocation of cooperative witnesses, with strict accounting controls consistent with maintaining the security of the witness.
- (4) A statute permitting interlocutory appeal by prosecutors from adverse court rulings on motions to suppress evidence. See p. 8, 3rd report, and p. 14, 4th report, of the Governor's Committee on Gambling.
- (5) The state's search and seizure statute, 54-33 et seq., should be amended to provide for seizure of "mere evidence."
- (6) The recently-enacted grand jury statute should be amended so as to set definite standards for the calling of grand juries. The wording of the statute is vague since it enables a grand jury to be called when the Chief Court Administrator is "satisfied." The exact meaning of "satisfied" should be spelled out and criteria established. Title I of the Organized Crime Control Act of 1970 could be a model here.
- (7) Consideration should be given to easing the rigid two-witnesses rules and direct evidence rules in perjury prosecutions. The requirement to prove an intentional false statement should, however, be maintained. This can be done in accordance with Title IV of the Organized Crime Control Act of 1970 (P.L. 91-452).
- (8) Legislation should be enacted to protect the identity of, and to recompense injuries to, undercover agents in the line of duty.
- (9) Uniform licensing procedures should be established; and
- (10) A uniform "cease and desist" order (and procedures) should be developed for administrative use.

There are also a number of substantive laws that should be modified in order to enable the state to deal more effectively with organized crime. Some of the more prominent ones are as follows:

- (1) The state's usury laws should be made stronger to impose heavier penalties. Currently, violations are only misdemeanors, despite the fact that loan-sharking is a major means for penetration of legitimate businesses by organized criminal elements. Consideration should also be given to the possibility of making it a crime to borrow from a known loanshark or at more than some statutorially-determined rate of interest.

- (2) Legislation to prohibit all types of illegal transportation of taxable commodities such as cigarettes and liquor.
- (3) Legislation to prohibit the investments of income from certain criminal activities in any business enterprises registered and/or licensed in Connecticut. A statute was passed by the 1971 legislature that partially addresses this need. Such income could even be taxed at confiscatory levels.
- (4) Legislation to prohibit the use, receipt, and sale of fraudulent, counterfeit, lost or stolen credit cards that would also require all credit cards issued to state residents or to addresses in Connecticut to have a current photograph of the owner.
- (5) Statutory guidelines for the discipline and punishment of corrupt public officials, police officers, etc.
- (6) Statutes requiring strict financial and personal disclosures by all candidates for public office, current holders of public office, all appointive officials and all chiefs of police.
- (7) The President's Task Force Report on Organized Crime, on p. 19, recommends the following: "Legislation should be enacted to provide for extended prison terms where the evidence, presentence report, or sentence hearing shows that a felony was committed as part of a continuing illegal business in which the convicted offender occupied a supervisory or other management position."
- (8) Much stiffer penalties for second and subsequent offenses in gambling, usury, fraud and extortion cases should be imposed. In the case of chronic offenders, increasingly long prison sentences should be considered as well as other forms of punishment. Mandatory sentences could be established for those who are convicted of acting in a supervisory or managerial capacity with respect to an organized crime enterprise.

In the area of statutory needs, the jurisdiction and authority of those state agencies that would be of greater potential use in dealing with organized criminal activity should be both expanded and clearly spelled out as appropriate.

A major problem in implementing any statewide approach to organized crime is the system-wide shortage of trained and experienced personnel who would be needed to staff any such statewide unit and who would be able to use effectively the existing statutes as well as those new procedural and substantive laws that may become available. The number of investigative and prosecutorial personnel in Connecticut who are experienced in working with organized crime cases is small. While there are a relatively large number of local police officers assigned to vice squads or to intelligence units, there are probably no more than thirty to forty experienced investigators throughout the state who can be said to have had any significant exposure to the whole range of organized criminal activity. The majority of these are employed by the Connecticut State Police, and the New Haven Police Department, or were employed by OCTAFORCE.

In the prosecutorial field, there is even less experience. The state's major reserve of prosecutors experienced in handling organized crime cases is in New Haven County. Except for the special training programs conducted by the Federal government, either directly (such as IRS, ATF and OCRS), or through consultants, there are no facilities for training new personnel.

The shortage of skilled and experienced personnel also extends to the provision of supportive services and is underscored by the following example of this problem. The Connecticut State Police, under Public Act No. 68 (of the 1971 Regular Session of the General Assembly), were granted the authority to conduct and provide electronic surveillance and wiretapping, potentially one of the most useful tool in organized crime investigations. The equipment needs for such a capability were easily met, in large part, but the State Police had very few persons who were trained in the technical skills of conducting this type of surveillance. To a large extent, the same problem will face the members of the statewide unit when it is fully set up because there is a shortage of personnel experienced in working as part of a combined investigative and prosecutorial unit. One approach to this is some sort of on-the-job training, involving both formal training and actual assignment to work in specific problem cases.

One of the major hurdles facing any Connecticut response to organized crime is the fact that there is little or no coordination among criminal justice system agencies and other non-criminal justice system governmental agencies that are concerned with some aspect of the problem. Investigation of the capabilities, jurisdiction, and resources of these other agencies indicates that there is a great potential value in such coordination. In addition, there are other professional organizations, private detective agencies, industry associations, trade associations, and labor unions and councils. Citizens' groups to deal with the problem could be formed. There is a need to increase the involvement of the private sector in dealing with the organized crime problem, particularly in the area of prevention and public education.

Another need of the Connecticut criminal justice system is for an overall strategy to deal with organized crime. This is a major weakness of the past response to the problems and is accentuated by the nature of organized criminal activities. The location of such operations may be inter-state, intra-state or local, and these in turn may be carried out by a continuing organization, such as loansharking or infiltration of legitimate businesses, or they may be conducted as occasional operations such as hijacking of thefts, where the "organization" is put together for the purpose of carrying out a specific operation. Given the complexity of criminal organization, the first question to be considered is: what is the primary objective in dealing with organized crime? Is it to break down large organizations and syndicates into manageable pieces that can be handled by ordinary investigative and enforcement strategies?

There still appears to be no agreement on exactly what the totality of efforts on the part of criminal justice system agencies is supposed to achieve nor of how to achieve it. This in turn is tied into the subject of appropriate response patterns to the organized crime problem. These response patterns to organized crime can be classified into three groups: enforcement response, preventive response, and treatment and rehabilitation response.

The enforcement response encompasses three basic strategies, the main focus at each being either the "event," the "person," or the "structure." These are: (1) the "violation response" strategy, a basically reactive strategy where the focus is on the event and offenders are arrested and prosecuted whenever they break any laws (as in the case of ordinary cases); (2) the "attrition" strategy, an affirmative strategy where enforcement efforts are concentrated on identifying, arresting and prosecuting key individuals with the idea that once these people are out of the way (e.g., in prison) then the criminal organization or apparatus which they headed would fall apart; and (3) the "market" strategy, again a basically affirmative strategy where the focus of attention is on market structures and on the supply of and demand for illicit or controlled services and goods. Since organized crime generally involves unknown events, a victim who may be willing, no complainant, and a criminal who is in a general sense "known," the basic objective is to identify the events and associate them to the known offender with a high degree of certainty (i.e., beyond a reasonable doubt) and to arrest the offender. It is clear from this typology that the violation-response strategy, to which most law enforcement agencies in Connecticut are oriented, requires specifics about the events (crimes) and is, consequently, not adequate to deal with organized crime. The attrition strategy, that entails the identification of the events and the individuals involved, would be more effective in coping with the problem. However, in Connecticut, no one is currently using this type of strategy, largely because of the lack of funds, manpower and more accurate information and intelligence that could be used to achieve convictions.

The prevention response generally includes four approaches with the main focus of each being on the "people," the "event," or the "environment." These are: (1) the public education approach, that aims at informing the public on the nature, dangers, and implications of organized criminal activity in the hope of increasing support for more active measures against it; (2) eliminating opportunities for organized criminal activities by removing the stimuli and *raison d'etre* for their existence through such means as legalization of activities and goods now proscribed; (3) the restructuring of the urban and governmental environments as a means of preventing organized criminal activities, an approach which is based on the hypothesis that such activities are a product of certain aspects of the urban environment and that they can be controlled or suppressed by modifying or eliminating the contributing factors; and (4) involvement of private agencies in an active way to deal with organized crime.

The treatment and rehabilitation response is still largely a theoretical one and deals with the question of what to do with persons arrested and convicted for organized criminal activity. There is as yet no analytical or empirical rationale for treating and rehabilitating persons convicted and sentenced for organized criminal activity in any very different way from persons convicted and sentenced for ordinary crimes. There are two main aspects to this response: (1) sentencing strategy; and (2) treatment and rehabilitation. Of these, the one having immediate importance is that of sentencing strategy, where extended prison terms are provided where the evidence, presentence report, or sentence hearing shows that a felony was committed as part of a continuing illegal business where the convicted offender occupied a supervisory or other management position. The legality of this type of approach is not in question. Federal statutes now provide for additional or extended sentences. Much work needs to be done with respect to developing and implementing sentence strategies.

With respect to treatment and rehabilitation, this poses some serious problems because in many cases, it may be necessary to house such individuals separately or else the pattern of correctional institution routine be altered by the presence of a ranking racketeer. The "isolation" approach represents still another refinement whereby an effort is made to separate the convicted organized crime leader from the scene and locale of his activity (e.g., through deportation, as in the case of Luciano).

Much work remains to be done in regard to the whole area of organized crime. The major needs, in the long run, as stated throughout this report, are for more information and data on organized crime and for the development and implementation of overall comprehensive strategies.

SPECIFIC RECOMMENDATIONS FOR ACTION

Sec. 4: Specific Recommendations for Action

4.0 Introduction

The previous three sections of this report have reviewed, in greater detail than has ever been done before, the organized crime problem in Connecticut, the state's existing capabilities for dealing with the problem, and the needs and problems of the state's criminal justice system with respect to the organized crime problems.

To reiterate, the major types of activities in which organized criminal syndicates are engaged (in Connecticut) include gambling, loansharking, infiltration of legitimate business and cigarette smuggling. The dimensions of these activities for Connecticut appear to be considerable. For example, the volume of off-track betting (on horseraces) has been crudely estimated at more than \$100 million per year while the volume of numbers (policy) activity is estimated at \$34.3 to \$57.2 million annually. Of more direct interest is the state's tax losses from the smuggling of untaxed cigarettes into the state and their sale either with forged tax stamps or without such stamps. This traffic has been shown by investigations of the Connecticut State Police Department, in conjunction with other departments, to be highly organized. The state's losses in cigarette tax revenues are estimated to be as high as \$20 million annually. The costs of infiltration of legitimate businesses by organized crime elements are difficult to estimate, but with an estimate of more than 100 establishments and firms having been taken over so far, this ranks as a major problem.

The ultimate objective of any comprehensive effort on the part of the state should be to significantly reduce the level of organized criminal activity. In Connecticut, that means reduction of the level and scope of gambling, loansharking, infiltration of legitimate business, and cigarette smuggling among others since these constitute the bulk of organized criminal activity. By achieving significant reductions in these activities, it is expected that the overall impact will be greater than by concentrating on other types of activities.

It should be noted that the narcotics traffic is not included as a target activity. This is because it is already the target of a number of efforts on different levels of government, including Federal strike forces, regional crime squads within the state, and local cooperative efforts, not to mention the activities of both the Connecticut State Police Department and the Department of Consumer Protection

Gambling, loansharking, infiltration of legitimate business, and cigarette smuggling, as engaged in by organized criminal groups, are, in effect, "business activities" where the normal concern of market demand, supply, organizational stability, costs and profits are somewhat applicable. Organized crime syndicates engage in these activities not because of a desire to flout the law but because they are profitable. Funds are invested in usurious loans because there is a market for such loans and because they are immensely profitable and not because the criminal syndicate wants to compete with banking institutions. Efforts to reduce the scope and level of such activities should, in general, take these aspects into consideration.

In this context, the state's comprehensive effort to control organized criminal activity must achieve two principal objectives: (1) major disruption



of organized criminal activities; and (2) increase the cost of doing business (or staying in business) for organized criminal syndicates and enterprises.

Major disruptions of such activities can be brought about through: increased arrests, an expanded use of the legal, administrative and regulatory powers presently available to government agencies; increased public knowledge about the criminal enterprises, and the careful planning of arrest and prosecution strategies to achieve maximum disruption of the organized criminal enterprise. With proper coordination and timing, such efforts would lead to increased instability in a criminal organization through frequent changes in the leadership and in key positions, a loosening of organizational discipline, increased dissidence (and possible internal power struggles), and, ultimately, a reduction in the efficiency of the organization and in the scale of the activities in which it is engaged.

The costs of doing (or staying in) business for organized criminal syndicates can be greatly increased through the increased use of heavy fines and civil penalties, through longer detention of key personnel (whose salaries must usually continue to be paid to their families by the crime syndicate while they are incarcerated), through increased costs of protection from legal action (by attacking official corruption), and by forcing the criminal syndicates to divert money, time and other resources to deal with state and local legal, administrative, and regulatory actions (resulting, for example, in a sharp increase in legal expenses for the syndicate). Since, as pointed out earlier, profit and loss considerations are as important for specific types of criminal enterprises as they are for the legitimate business world, significant increases in the costs to the syndicate of operating certain types of enterprises can be expected to lead to increased efforts to improve efficiency and cut costs, and possibly result in changes in operating procedures. If such efforts fail and if the costs can be increased to unacceptable levels (which could be determined from intelligence and other data and from analysis of the market structure, and the organization and its economic behavior) the result may be shifts by criminal syndicates into new types of enterprises that are more profitable. Even such shifts are, from the standpoint of organized crime control, highly desirable since the syndicates formerly controlling specific enterprises may be replaced by relatively inexperienced new criminal groups who may also lack the access to adequate levels of protection.

An increased level of costs will also lead to a reduction in the flow of profits to organized criminal syndicates. Since the profits from activities such as gambling are often invested by criminal syndicates in narcotics operations, usurious loans and, increasingly in recent years, in legitimate enterprises, it can be expected that any significant reduction in the amount of such profits and the regularity with which they are available would lead to a much wider reduction of organized criminal activity in these other areas as well. This does not mean that criminals will not find ways to compensate for the increased costs in doing business. Any statewide effort must, therefore, also be capable of anticipating and acting on such developments.

The investigations and analyses conducted as part of the process of developing a comprehensive program for the control of organized crime in Connecticut indicate that these two subobjectives cannot be achieved with present resources and policies. For example, in the case of gambling, present

enforcement doctrine stresses an increased frequency of arrests as a means of controlling gambling activity. Notwithstanding the fact that the penalties for gambling offenses in Connecticut are relatively light, the reports of the Governor's Committee on Gambling, to cite one example, have underscored the ability of Connecticut's organized gambling enterprises to absorb a high rate of raids, arrests, and heavy fines and still remain viable and profitable enterprises from the point of view of organized crime. Further, these findings indicated that where persons were incarcerated for gambling offenses, the organized crime syndicates could continue to pay their salaries and still remain profitable. Without detailed information about the costs and profits considerations for organized crime syndicates of conducting a large gambling enterprise, it is difficult, if not impossible, to gauge what level of arrest activity would ultimately convince the syndicate that continuing the gambling activity is no longer profitable. Since arrest activity is, in turn, a function of available resources, manpower, confidential funds and departmental enforcement policies, information about costs and profits considerations of gambling operations is of more than academic interest.

At this stage, then, no one even knows what level of arrest activity would be required to significantly affect organized gambling (as one example). Given increased penalties and longer incarceration, and even more important, a willingness to utilize these in gambling cases, for example, a more fundamental question is raised, namely "what do we do with persons arrested and convicted for organized criminal activity?" If they are incarcerated for any length of time, is the objective one of treating and rehabilitating them? Should they be treated like other prisoners sentenced for "ordinary" crimes? Or should they be isolated? Because of their connection with organized criminal syndicates, this type of offender is likely to return immediately to his prior activities upon release so that the recidivism rate for this type of offender is probably close to 100 percent. As pointed out in Section 3 of this report, there is no coordinated or systematic approach to handling this type of offender. Experience at the Federal level indicates that very long sentences may be somewhat effective in reducing the likelihood that this type of offender will return to his prior activities. It should be noted, however, that even with the long sentences meted out to the late Vito Genovese, for example, the crime family that he ran did not immediately go out of business and the criminal enterprises in which they were engaged continued to be profitable.

It should be obvious, at this stage, that continuation of the present "arrest and incarceration" cycle is not going to result in any significant reduction of organized criminal activity, because of its inability to achieve the requisite level of disruption of the organizations involved or to greatly increase the costs of doing business for criminal enterprises. Consequently, the state should develop and implement new types of capabilities and approaches. These new capabilities must include the following:

- (1) Broadly-based investigative and prosecutorial options (i.e., more innovative ways in which cases can be investigated and prosecuted) through the use of the entire range of statutory laws and regulations that can be brought to bear on the problem and through improvement in the substantive and procedural laws.
- (2) Increased utilization of the expertise and capabilities of non-law enforcement agencies and of outside technical expertise as well as in



such areas as accounting, tax matters, economics and other disciplines through the definition and establishment of specific roles and responsibilities for such agencies in the fight against organized crime in Connecticut.

- (3) Improved coordination of the activities and operations of law enforcement agencies with those of non-law enforcement agencies whose jurisdictions and expertise are relevant and applicable to aspects of the organized crime problem.
- (4) Improved decision-making by the state concerning the allocation of investigative and prosecutorial resources through the increased utilization of intelligence and other information resources.
- (5) Improved ability to develop strategies and countermeasures to deal with organized crime by utilizing information, intelligence and procedural and substantive laws.
- (6) Increased public awareness of and active participation in the state's efforts to control organized crime in Connecticut, particularly of the business community.
- (7) Development of an ability to analyze technological developments, existing and pending legislation, and changes in administrative procedures with the aim of identifying (and taking steps to eliminate or reduce) potential profit opportunities for organized crime.
- (8) Development of a systematic approach to the sentencing and treatment of organized crime offenders.

It should be clearly understood that even if the state develops all of these capabilities, they will not result in complete elimination of organized crime in Connecticut. It is more realistic to expect that implementation of these capabilities will result in a significant reduction of organized criminal activity in some areas. To a large extent, the problem is analogous to cancer: there are many kinds of this disorder and while complete elimination is an ideal goal, it does not appear to be feasible. Similarly, there are many kinds of activities in which organized criminal groups are engaged. However, even under ideal circumstances, there does not appear to be any possibility of eliminating all forms of organized criminal activity. In fact, problems of order maintenance may be caused by eliminating or reducing the level of organization in certain types of enterprises. Without organized crime, for example, the frequent overt violence that is characteristic of some aspects of the narcotics trade might also occur with respect to such activities as gambling and cigarette bootlegging. This by no means implies that efforts to attack organized crime should be in any way curtailed; it merely means that careful planning in non-organized crime areas must accompany new approaches to organized activity.

Based on a thorough analysis of Connecticut's needs and problems with respect to organized crime, the state's present options for dealing with organized crime and the kinds of capabilities that could be developed, the Connecticut Planning Committee on Criminal Administration and the Connecticut State Police Department recommend a comprehensive four-part program as the best way to achieve a significant reduction in the level of organized criminal

activity in Connecticut. The four components of this program are:

- (1) Creation of a permanent statewide organized crime investigative task force to coordinate the state's investigative and prosecutorial efforts against organized crime.
- (2) Revision and improvement of the state's procedural and substantive laws that can be brought to bear on organized crime.
- (3) Definition and establishment of specific roles and responsibilities for state and local agencies in the fight against organized crime in Connecticut.
- (4) Expansion and increased participation of the public and of private organizations in the state's efforts to deal with organized crime, through research, education, and other activities.

A number of specific recommendations have been made under each component and these are discussed in subsections 4.1, 4.2, 4.3, and 4.4 respectively. Each subsection also includes a description of the means by which the recommendations can be implemented.

It is not meaningful, at this stage, to state an expected quantitative impact for this program such as the reduction of gambling by X percent in Y years. There are two major reasons for this: (1) the present state of knowledge about organized crime and its activities do not permit measurement of the level of any one activity in any meaningful fashion; and (2) there is no means of relating specific resource inputs (such as increased manpower) to a result such as "reduction in gambling." The extent of such a reduction could be estimated in large part through intelligence assessments, information reports, data from raids, peripheral investigations, comparative analysis with known organizational structures, and informed estimates by investigators. The reduction of such activity could thus be measured in terms of changes in the number and scope of major operations, volume of activity, profitability of various enterprises and so forth. The specific methods, however, will have to be developed. They do not now exist. The National Institute of Law Enforcement and Criminal Justice has sponsored a small number of studies aimed at estimating the pattern and volume of specific types of organized criminal activity such as bookmaking and at developing and evaluating effective measures for organized crime control efforts. However, examination of these studies does not indicate anything of great use for application in the operational sense.

This report does not include any recommendations concerning the reduction of organized criminal activity in certain types of operations, such as gambling and loansharking, through government-supported or government-operated competition. Examples of such an approach would be legalized off-track horse betting and the operation of a state lottery. Connecticut already has a lottery and is about to establish off-track betting parlors. There are a number of reasons for not discussing this type of approach as a means of controlling or reducing organized criminal activity in these areas. First, lack of knowledge about the market structure of, and the demand for, illegal services of this type in Connecticut is a barrier to any serious discussion of this type of approach. Second, the present lottery cannot be compared with criminally-operated "policy" operations

since in the case of the criminal "numbers" operation, the customer can choose a number to be played whereas in the state lottery, there is almost no choice unless one is lucky enough to find a ticket with a favorite number on it. Finally, early indications, in the case of the lottery, are that the numbers issued by the Connecticut state lottery are themselves being used as the number basis for a number of new illegally-operated lotteries. Similarly, when off-track betting parlors are established, there is every indication that they might also be used as part of a "lay off" operation whereby a bookmaker, faced with a very large number of bets on a horse that is likely to win, hedges his bets. To conclude, not enough is really known about the structure and economics of illegal activities themselves let alone how to develop competitive legalized alternatives.

This report does, however, make some recommendations that would hopefully cover situations in which legalized gambling operations may be used for illegal purposes.

Sec. 4.1 Specific Recommendation: Creation of a Permanent Statewide Organized Crime Investigative Task Force

To provide Connecticut with a broadly-based investigative and prosecutorial capability and with the degree of coordination required for the state's organized crime control efforts to be more effective, it is recommended that a statewide organized crime investigative task force be established through appropriate legislation as a permanent unit within the Connecticut State Police Department and that this task force function as the state's principal agency to investigate and prosecute organized crime. It is recommended that the task force be located within a new State Police Division of Investigative Services and that it incorporate the functions and resources of two existing State Police units, the Gambling Unit and the Organized Crime Unit. The task force should include experienced State and local police investigators, prosecutors, legal staff and other special personnel and would be headed by an appointed Director. The task force would also include an extensive liaison capability, particularly with local and state agencies.

The proposed task force would provide a statewide capability to investigate and prosecute organized criminal activity and to coordinate organized crime control activities throughout the state. The proposed task force would, in its organizational structure, consist of an advisory board to provide the Director and the Connecticut State Police Commissioner with guidance and advice about the organized crime problem and four major units: (1) Interagency Liaison Unit; (2) Legal Research Unit; (3) Investigative Unit; and (4) Prosecutorial Support Services Unit. At a later date, this structure may be modified. The details of both the structure and the task force's operations are detailed in Section 5 of this report.

The task force, as outlined here, will incorporate five major innovations in organized crime control. These include: (1) case screening for "organized crime content;" (2) case element identification and analysis; (3) close inter-agency liaison and coordination (including case monitoring, coordination of investigations with other agencies, and orientation, through training and technical assistance, of those agencies to a high degree of awareness of organized

criminal activities related to the particular agency's jurisdiction; (4) use of intelligence and other information as an aid in decision-making concerning the allocation of manpower, prosecutorial and wiretap resources (among others) to organized crime cases; and (5) the use of both criminal and non-criminal statutes in the investigation and prosecution of organized crime.

Before going on, we should note that a Statewide Organized Crime Task Force was approved in this past session of the state legislature and that the CPCCA has awarded \$193,045 to the State Police so that it can begin operating the task force. Additionally, LEAA approved \$220,859 in discretionary funds to support the task force which will be in operation in the fall, 1973.

The need for more innovative approaches in organized crime control was immediately recognized as a consequence of the Connecticut Planning Committee on Criminal Administration's initial efforts to formulate plans for the task force. As part of this effort, the operations of a number of organized crime units around the country were surveyed. The general organizational pattern for such units included a separate office, surveillance equipment, the development of criminal intelligence files (of widely-varying sophistication), the assignment of additional investigative personnel (involving in some cases the hiring of civilian investigators), the employment of specialists in tax and accountancy investigations, the rental of vehicles, and the provision of funds for confidential purposes and for case preparation.

Generally, these units were set up in one or more of the following agencies within each state: (1) Attorney General's Office, particularly where the Attorney General has criminal jurisdiction; (2) State Police Department, where its role is not limited to highway patrol functions; (3) State Bureau of Investigation, where there is such a separate body; (4) State Investigations Commission; (5) Prosecutor's Office; (6) Governor's Office; (7) Special Grand Jury; and (8) independent agency set up for that purpose. In many states, there was a degree of overlap and such units had been set up in more than one place with no effective requirement (or provision) for coordination of activities. In at least two Midwestern states, where units were set up in both the State Police and the Attorney General's Office, this resulted in great hostility and strong competition between the agencies leading, in turn, to little progress in efforts to control organized crime. In at least one Midwestern state, organized crime units were set up in a number of local and regional agencies as well as in several state agencies, again without provision for coordination.

With few exceptions, the majority of these units set up around the country rely primarily on criminal statutes as the basis for both investigation and prosecution. The mode of operation, as far as investigation goes, is not very much different from that of a regular detective division operation except for the availability of more sophisticated equipment, intelligence files, non-sworn law enforcement specialists and, hopefully, a mandate to concentrate on organized crime activity without the risk of being pulled off temporarily to handle a homicide or other problem requiring the concentration of manpower.

Where an agency does utilize other statutes such as the tax laws, consumer fraud statutes, and so forth, the operation will generally involve some limited exchange of information and personnel. However, in the units examined, there was no evidence to indicate that there had been any systematic analysis of the

potential contributions of state and local agencies as well as of their resources, jurisdiction, and capabilities. Similarly, there does not seem to have been any examination of the critical issue of the respective responsibilities of local and state organized crime agencies, i.e., what should they concentrate on and what should be left to the Federal agencies? For example, does it make sense for a state to develop a capability for labor investigations if the existing statutes are extremely weak and if there is no chance at all of making any improvements there? Similarly, it does not make sense for a state to set up a postal frauds investigation capability because it has no jurisdiction in that area. These are, of course, obvious examples. Nevertheless, except in Connecticut, no real analysis of this issue appears to have been carried out despite the implications that such analysis has for the development of an effective program.

The task force's operation will constitute a test of the five major innovations in the fight against organized crime stated at the beginning of this section. Following is a brief description of these innovations and how they differ from, and represent an important advance over, the operations of the traditional law enforcement agencies vis-a-vis organized crime:

(1) Case Screening for Organized Crime Content

The task force's Legal Research Unit will screen all incoming cases and will examine them to determine whether the case has an "organized crime content," that is whether the individuals, places or events; or the type of activity described therein are referred to in other intelligence reports, are known to be connected with organized criminal activities, or are possibly indicative of a new type of operation. Currently, in traditional law enforcement operations, cases are assigned as they come in directly to investigators for followup and it is left to the investigator to make his own determination. The case screening technique envisioned here will depend upon ready access to State Police CIS files and to other agency files, including NEOCIS files. In most local departments, a major resource, if available, are city registers. Police records are also referred to, and credit union sources may also be checked.

(2) Case Elements Identification and Analysis

In traditional law enforcement agencies, cases are referred to investigators who are then expected, on the basis of their training and experience, to identify the major case elements, carry out the necessary investigations, weigh the evidentiary needs, and complete the case file so that it can then go to the prosecutor for further action. Also, investigators are expected to do all of this in accordance with court rules governing evidence, investigative procedures, etc. While this traditional approach may suffice for the cases where they are dealing with a narrow range of criminal code violations, it is obviously not sufficient for organized crime cases where not only are the legal issues and statutes involved more complex but where there may also be very difficult technical aspects such as financial transactions, fraudulent schemes, etc.

In developing the task force's operational procedure, this fact was taken into account. It was decided that rather than refer complex cases to investigators and expect them to do as well as they can, it would be better to screen the cases, identify the basic case elements, enumerate those already available from the facts and other information, and then provide a checklist for the investigator so that he would address the required elements that are missing or need further investigation. It was thought that by adopting this approach, the use of investigative resources, that are limited at best in any case because of manpower shortages, would be much more efficient. This type of procedure will also, hopefully, reduce the common type of situation where a case is investigated and developed by an investigator and then sent to the prosecutor where it may be nolleed or rejected on the grounds of poor preparation, lack of completeness, violation of some court procedure, etc. Within the context of ordinary criminal code violations, that type of occurrence may be acceptable as a hazard but in the case of organized crime cases, where the investigations and other preparation may involve many months of intensive efforts, where electronic surveillance may have been used at great difficulty and cost, and where the opportunities for utilizing technicalities to destroy a prosecutor's case are much greater, this is not acceptable.

(3) Interagency Liaison and Coordination

As part of the effort to insure coordination of the task force's activities and operations with those of other agencies, a strong Interagency Liaison capability will be set up. In the more traditional agencies, interagency liaison is more often handled on an informal basis and will usually consist of a pattern of contacts among individuals who have worked together and who share information and data. In Connecticut, there is a major crimes' coordinator for the Connecticut State Police Department and his activities are: (1) coordination and investigations and other efforts in the case of major crimes; (2) periodic visits to local departments to keep them abreast of developments, new techniques, etc. He does not, however, maintain continuous contact with the whole range of agencies that might be brought to bear on ordinary (non-systematic) crime -- his contacts are primarily with the local police departments. He does not act as the focal point for exchanging intelligence, referring cases, or keeping track of the status of cases that have been referred to other agencies. Also, he does not necessarily keep track of the activities of the other agencies with respect to organized crime problems.

The task force's Interagency Liaison Unit will, however, develop and maintain liaison with other state, local and Federal agencies that may be dealing with some aspect of the organized crime problem. It will maintain detailed information on the capabilities and resources of these other agencies, coordinate interagency operations and joint activities, act as the focal point for exchange of information and intelligence, and personnel, and for the referral of cases to other agencies where analysis indicates that the case elements are clearly within the purview and jurisdiction of these other agencies. It will, in this connection, also maintain a followup monitoring system to

keep track of the status of these "referred cases" and will develop guidelines for other agencies with respect to recognition of organized crime elements in their operations. It will also attempt to establish and maintain liaison with out-of-state agencies and with private groups and organizations that may have a role to play in the organized crime control effort. None of these functions are now provided by any agency or combination of agencies in Connecticut.

As part of this effort, the Interagency Liaison Unit is expected to greatly increase the awareness on the part of state, local, Federal and private agencies as to what role they can play in the control of organized criminal activity.

(4) Increased Use of Intelligence as an Aid in Decision-Making and Evaluation

A major aspect of the task force operation will be the increased use of intelligence for decision-making purposes and for evaluation of the task force's efforts. In the majority of organized crime units that have been set up around the country, there is what appears to be an unreasonable emphasis on the collection and dissemination of intelligence. Collecting and disseminating intelligence, in and of itself might be of some value, but to date, it does not appear to have had much impact on the organized crime problem. It is, perhaps, intrinsically good for law enforcement officials to know that they have so many members of organized crime families living in their midst, but unless this information and the other data can be utilized in improving the investigation and prosecution of these organized crime figures, it is extremely difficult to justify the expense of developing, collecting and maintaining intelligence files.

The task force operation envisions using intelligence and other information collected in the field in four ways: (1) for decision-making purposes regarding the allocation of manpower, surveillance and prosecutorial resources; (2) for developing overall strategies and countermeasures for the control and suppression of organized criminal activity; (3) for evaluating the effects (impact) of the task force and other enforcement operations and of such measures as revised or strengthened legislation on organized criminal activity, in the form of intelligence assessments; and (4) for educating and increasing the awareness of the problem of other agencies and organizations, and of the public. Again, as with the other innovations, no agency in Connecticut is presently doing these and, as far as is known, none in the country is either.

(5) Wider Use of Both Criminal and Non-Criminal Statutes

The traditional law enforcement agencies in Connecticut (and outside of the state as well) rely primarily upon the criminal statutes. In fact, based on the state's experience in developing materials for the retraining of police officers in the new Penal Code which became effective in 1971, the majority of police activities concerns a very narrow range of substantive law. The state's traditional agencies

are not equipped to utilize the broad range of substantive laws that could be brought to bear on the organized crime problem.

By employing attorneys, legal research assistants, and prosecutors, and by providing legal research facilities in the form of a comprehensive law library, the task force's operations will differ considerably from those of the traditional agencies. It will develop the capability to examine a case not merely in terms of an obvious violation of a criminal law but also in terms of what other laws or regulations are involved, particularly where the case involves organized crime. The Legal Research Unit, in particular, will play the major role in this aspect of the task force's operation because it will have the responsibility for screening and analyzing all cases coming in. In addition, through close coordination of the efforts of other agencies, the task force will be the only agency that will not only be able to identify almost all of the statutes that may be applicable to a particular case, but also the only agency that will be able to use that information profitably -- by referring those aspects of the case to the other agencies with appropriate jurisdiction and authority. It will also, as has already been explained earlier, be able to keep track of the status of such cases. No other agency in the state has this capability at present.

Sec. 4.2 Specific Recommendation: Revision of Available Procedural and Substantive Laws to Deal with Organized Crime

PROCEDURAL:

- (1) A more effective statute permitting court-controlled wiretapping and electronic surveillance. At the same time, more severe penalties should be imposed for the use by private individuals or firms, for whatever purpose, of electronic surveillance devices, perhaps at the felony level.
- (2) The present immunity law should be broadened. It is too limited as enacted, because it applies only to cases involving narcotics, gambling, and felonious acts of violence. See Title II of the Organized Crime Control Act of 1970.
- (3) A statute permitting interlocutory appeal by prosecutors from adverse court rulings on motions to suppress evidence. See p. 8, 3rd report, and p. 14, 4th report of the Governor's Committee on Gambling; Judicial Council Reports Nos. 22, 23.
- (4) The state's search and seizure statute, 54-33 et seq., should be amended to provide for seizure of "mere evidence."
- (5) The recently-enacted grand jury statute should be amended so as to set definite standards for the calling of grand juries. The wording of the statute is vague since it enables a grand jury to be called when the Chief Court Administrator is "satisfied." The exact meaning of "satisfied" should be spelled out and criteria established. Title I



of the Organized Crime Act of 1970 could be a model here.

- (6) Consideration should be given to easing the rigid two-witnesses rules and direct evidence rules in perjury prosecutions. The requirement to prove an intentional false statement should, however be maintained. This can be done in accordance with Title IV of the Organized Crime Control Act of 1970 (P.L. 91-452).
- (7) Legislation should be enacted to protect the identify of, and to recompense injuries to, undercover agents in the line of duty.
- (8) Uniform licensing procedures should be established.
- (9) A uniform "cease and desist" order (and procedures) should be developed for administrative use.

SUBSTANTIVE:

- (1) The state's usury laws should be made stronger to impose heavier penalties. Currently, violations are only misdemeanors, despite the fact that loan-sharking is a major means for penetration of legitimate businesses by organized criminal elements. Consideration should also be given to the possibility of making it a crime to borrow from a known loanshark or at more than some statutorially-determined rate of interest.
- (2) Legislation to prohibit all types of illegal transportation of taxable commodities such as cigarettes and liquor.
- (3) Legislation to prohibit the investments of income from certain criminal activities in any business enterprises registered and/or licensed in Connecticut. A statute was passed by the 1971 legislature that partially addresses this need. Such income could even be taxed at confiscatory levels.
- (4) Legislation to prohibit the use, receipt, and sale of fraudulent, counterfeit, lost or stolen credit cards that would also require all credit cards issued to state residents or to addresses in Connecticut to have a current photograph of the owner.
- (5) Statutory guidelines for the discipline and punishment of corrupt officials, police officers, etc.
- (6) Statutes requiring strict financial and personal disclosures by all candidates for public office, current holders of public office, all appointive officials and all chiefs of police.
- (7) The President's Task Force Report on Organized Crime, on p. 19, recommends the following: "Legislation should be enacted to provide for extended prison terms where the evidence, presentence report, or sentence hearing shows that a felony was committed as part of a continuing illegal business in which the convicted offender occupied

a supervisory or other management position."

- (8) Much stiffer penalties for second and subsequent offenses in gambling, usury, fraud and extortion cases should be imposed. In the case of chronic offenders, increasingly long prison sentences should be considered as well as other forms of punishment. Mandatory sentences could be established for those who are convicted of acting in a supervisory or managerial capacity with respect to an organized crime enterprise.

In the area of statutory needs, the jurisdiction and authority of those state agencies that would be of greater potential use in dealing with organized criminal activity should be both expanded and clearly spelled out as appropriate.

In order to implement these legislative revisions, it is recommended that the Office of Chief State's Attorney, in conjunction with the Statewide Organized Crime Investigative Task Force and the State Police Department, prepare a package of appropriate bills for submission to the General Assembly.

Sec. 4.3 Specific Recommendation: Definition and Establishment of Specific Roles and Responsibilities for State and Local Agencies in the Fight Against Organized Crime in Connecticut.

In preparing this report, the resources and capabilities of those state and local agencies that may be of potential use in dealing with organized crime were carefully surveyed and analyzed by both questionnaire and on-site visit. In general, state agencies can bring the following resources to bear on the state's organized crime problem: (See Section 2 for a list of these agencies)

- (1) Extensive administrative and regulatory powers;
- (2) Access to the full range of state statutes rather than just criminal statutes;
- (3) Enhanced intelligence and information resources; and
- (4) Greater investigative resources in terms of both manpower and jurisdiction.

However, most of these state agencies can not now be genuinely considered a part of the state's response to organized crime. If greater coordination of their efforts and operations with those of the state's law enforcement agencies could be achieved, there would be a major improvement in the effectiveness of the state's fight against organized crime.

Therefore, it is recommended that the State Advisory Committee on Organized Crime Prevention and Control specifically define, establish, and coordinate roles and responsibilities for state and local agencies as a means of strengthening the fight against organized crime in Connecticut.



Sec. 4.4 Specific Recommendation: Expansion of the Participation of Public and Private Organizations in the Fight Against Organized Crime.

On important problem faced by the Connecticut criminal justice system in attempting to deal with organized crime is the widespread lack of public awareness of the problem in Connecticut. A thorough public awareness of the existence, nature and scope of organized criminal activities is essential and, in fact, intrinsic to effective law enforcement efforts against them. Public concern and pressure can sometimes play a decisive role in the passage of legislation needed to combat organized crime. Increased public awareness and concern may also cause the public to re-evaluate its priorities in the area of law enforcement. Currently, the major elements of law enforcement activities has been on combatting "street crime." However, in terms of economic impact and overall effect on society, street crime does not begin to compare with organized crime. Greater public awareness of this fact may dictate a re-ordering of basic law enforcement functions and priorities.

There is a great deal of information that can be related to the public, including recent (and older) historical accounts of organized crime, past and present law enforcement efforts, and the problems faced by law enforcement agencies in dealing with organized crime. This can be done without the need to divulge the contents of intelligence files and the results of confidential investigations. There are a number of approaches that can be undertaken to meet these needs such as public discussions and forums. These, in fact, might well be included in the activities of those engaged full time in the investigation and prosecution of organized crime.

Private agencies and the public in general, as indicated earlier in Section 2 of this report, have a key role to play in the overall efforts to combat organized crime in Connecticut. It was also pointed out that there are many steps that can be taken now by private agencies. A major need, however, is for the coordination of private efforts with those of state and local agencies. Such efforts must include overall planning and education of the public as to its essential role as a participant in the attack on organized crime.

The primary obstacle to an effective campaign to involve the public is the general lack of detailed knowledge concerning organized crime in Connecticut. Therefore, it is recommended that one of the first tasks of the Statewide Organized Crime Investigative Task Force should be to develop sufficiently detailed data to enable the SOCITF Advisory Committee, the Director, and other key project personnel to undertake an intense public information effort.

STATEWIDE ORGANIZED CRIME INVESTIGATIVE TASK FORCE DEVELOPMENT AND IMPLEMENTATION

Sec. 5: SOCITF Development and Implementation

The following are the three grant funding applications which deal specifically with the development and implementation of the Statewide Organized Crime Investigative Task Force:

- (1) 1972 SOCITF CPCA Program
- (2) 1973 SOCITF CPCA Program
- (3) 1973 SOCITF LEAA Discretionary Program



STATE OF CONNECTICUT

PLANNING COMMITTEE ON CRIMINAL ADMINISTRATION

75 ELM STREET, HARTFORD, CONN. 06115

TELEPHONE (203) 566-3020

GOVERNOR THOMAS J. MESKILL

EXECUTIVE DIRECTOR  
H. R. STERRETT

O. CHAIRMEN  
ON. HERBERT S. MACDONALD  
ON. CLEVELAND B. FUESSENICH

July 10, 1973

EMBERS  
 EERRY CAPSHAW  
 ON. ADOLF CARLSON  
 ODRIGO A. CORREA  
 ON. JOHN J. DALY  
 AWRENCE DAVIDSON  
 MAGIO DILieto  
 ION. RUBEN FIGUEROA  
 GEORGE GILMAN  
 ION. ROBERT D. GLASS  
 JOSEPH T. GORMLEY, JR.  
 ARTHUR L. GREEN  
 STEWART H. JONES  
 JOHN J. KERRIGAN  
 HON. ROBERT K. KILLIAN  
 JOE W. KINSELLA  
 ROBERT C. LEUBA  
 HON. FRANCIS H. MALONEY  
 HON. JOHN R. MANSON  
 HON. NICHOLAS A. PANUZIO  
 BRIG. GEN. GAETANO A. RUSSO, JR.  
 HON. GEORGE SADEN  
 BARRY R. SCHALLER  
 HON. ERNEST A. SHEPHERD  
 BARBARA J. TERKUILLE  
 BERNARD H. TRAGER  
 G. ROBERT TRIANO

The Honorable Cleveland B. Fuessenich  
Commissioner  
Connecticut State Police  
100 Washington Street  
Hartford, Connecticut 06115

Dear Commissioner Fuessenich:

Your application for funding under the Omnibus Crime Control and Safe Streets Act (1968 - as amended) was approved by the Executive Committee of the Connecticut Planning Committee on Criminal Administration at its meeting on July 10, 1973.

The Executive Committee approved an award of \$65,158 subject to any conditions on the Grant Award which is enclosed.

With this funding award, the Planning Committee on Criminal Administration is proud to join with you in a partnership to reduce crime and improve Connecticut's criminal justice system.

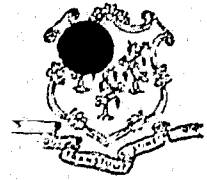
Sincerely,  
  
H. R. STERRETT  
Executive Director

HRS/akl

Enclosure

Project Title: Statewide Organized Crime Investigative Task Force

Grant Number: A72-2001-37001



# STATE OF CONNECTICUT

PLANNING COMMITTEE ON CRIMINAL ADMINISTRATION

75 ELM STREET, HARTFORD, CONN. 06115

TELEPHONE (203) 566-3020

GOVERNOR THOMAS J. MESKILL

EXECUTIVE DIRECTOR  
H. R. STERRETT

## STATEMENT OF GRANT AWARD

Grantee: Connecticut State Police

Grant Number: A72-2001-37001

Date of Approval: July 10, 1973 Amount: \$65,158

Program Category: 3.1

Period of Award: June 1, 1973 - May 31, 1973

Project: Statewide Organized Crime Investigative Task Force

The Connecticut State Police is awarded \$65,158 under Title I, Part C, of the Omnibus Crime Control and Safe Streets Act of 1968 (P.L. 90-351, STAT. 197). Funds are awarded for Statewide Organized Crime Investigative Task Force subject to grant conditions and guidelines established by the Connecticut Planning Committee on Criminal Administration and the Law Enforcement Assistance Administration of the United States Department of Justice, as well as those specific conditions spelled out below.

*[Signature]*  
\_\_\_\_\_  
13 July 1973  
\_\_\_\_\_  
(Director)

The undersigned represents, on behalf of the applicant, that this grant award shall be subject to and will be administered in conformity with the conditions of the award of the action grant and accepts all general and special conditions of this grant award.

Signed *[Signature]* Title Commissioner  
Date July 10, 1973

Connecticut Planning Committee  
on Criminal Administration

REV. 11-72  
(FOR CPCCA USE ONLY)

ACTION  
GRANT APPLICATION

Control Number

PAGE 1

Directions: Follow instructions in Part 1 in completing this application and forward the original and 19 copies to the Planning Committee on Criminal Administration, 75 Elm Street, Hartford, Connecticut 06115. One copy should be sent the planner serving your region.

NEW

CONTINUATION OF

GRANT NO: \_\_\_\_\_

A. Applicant City or State Agency  
Connecticut State Police Department

Name of Chief Executive  
Commissioner Cleveland E. Fuessenich

B. Project Title  
Statewide Organized Crime Investigative Task Force I

C. Category Number  
3.7

D. Expected Duration of Project <u>13</u> MONTHS	E. Starting Date (Est.) 6/1/73	F. Federal (CPCCA) Funds Requested \$ <u>65,158</u>	G. Project Will Require \$ <u>200,000</u> of CPCCA Funds Annually for the next <u>3</u> years.
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H. Name of implementing agency  
Connecticut State Police Department  
Address 100 Washington Street  
Hartford, CT ~~06115~~ 06110  
203/566-3200

Name of Chief Executive  
Cleveland E. Fuessenich  
Title Commissioner

I. Name of Project Director  
Lt. O. P. Raganzi (temporary)  
Title Connecticut State Police Dept.  
Address 100 Washington Street,  
Hartford, CT 06115  
Telephone Number 203/566-2250

J. Name of Financial Officer  
Jacob Domowitz  
Title Financial Officer  
Address 100 Washington Street  
Hartford, CT 06115  
Telephone Number 203/566-4767

K. Agencies, other than "H" (above), providing the required matching contribution.  
None. All match for this subgrant will be provided by the Connecticut State Police Department.

L. Are you presently receiving, or have you applied for, or do you intend to apply for funds from any other source with which to finance this project? If so, is the source federal, state, local, or private? Describe the source and state the amount.  
Yes, This application is one of three being submitted for Federal funds. Two of these (including this one) are being submitted to the FBI. While one third, a request for discretionary funds, is being submitted directly to LEA. The sums requested are as follows:

FY 1972 funds	\$ 65,158
FY 1973 funds	127,887
Discretionary funds	251,469

ACTION GRANT APPLICATION

Control Number

PAGE 1A

M. It is understood and agreed by the undersigned that any grant received as a result of this application is subject to the following conditions:

1. Funds granted as a result of this application are to be expended only for the purposes and activities covered by the approved plan and budget. The approved project will be carried out in accordance with all guidelines applicable to the administration of action grants as may be required by the State of Connecticut, the Law Enforcement Assistance Administration, and the Planning Committee on Criminal Administration, and all General (see list of General Conditions) and Special conditions as may be established for this project.
2. The grant may be revoked in whole or in part by the Connecticut Planning Committee on Criminal Administration (CPCCA) at any time for failure to satisfy or comply with any applicable condition or term of grant, provided that a revocation shall not include any amount obligated previous to the effective date of the revocation if such obligations were made solely for the project as approved.
3. Reports will be made as required.
4. Necessary records and accounts including financial and property controls will be maintained and made available to CPCCA for audit purposes.
5. Assurance of Compliance with Title VI of the Civil Rights Act of 1964 applies to this application and is attached.

N. Personal Signatures (in ink)

(1) Project Director (Same as "I", Page 1) \_\_\_\_\_

Date \_\_\_\_\_

(2) Authorized Official (Chief Executive of "A", Page 1) \_\_\_\_\_

Date \_\_\_\_\_

ACTION GRANT APPLICATION

Control Number

PAGE 2

Directions: Complete (refer to Instructions) and forward to the Connecticut Planning Committee on Criminal Administration, 75 Elm Street, Hartford, Conn. 06115

A. Project Title  
Statewide Organized Crime Investigative Task Force - I

(Two hundred (200) words or less. Omit confidential data. NOTE: This part of application is most easily done after completion of Project Narrative - Page 8.)

PROJECT SUMMARY

A Statewide Organized Crime Investigative Task Force (hereinafter SOCITF) will be set up under the Connecticut State Police Department with the capability to investigate cases based on the utilization of available intelligence resources and of the full range of criminal and non-criminal statutes. It will, in this connection, coordinate the investigative activities of other state agencies that involve organized criminal activity to any extent.

SOCITF will be set up under a revision of the state statutes concerning the Connecticut State Police Department's organization. Its activities and operations will employ a number of innovative approaches and its emphasis will be on using intelligence resources rather than just on collecting and disseminating it. Intelligence analyses will also be used to evaluate the project and its activities. An Advisory Board, set up under statute, will advise the Director on policy and operational matters.

Funds are requested under this application to cover part of the cost of SOCITF's operations. More specifically, the funds to be made available under this grant will be used to defray the costs of the Director's salary and of certain essential equipment as well as renovations in a proposed facility. This application is one of three being submitted. Together, these will defray the cost of SOCITF's operations.

ACTION GRANT APPLICATION  
PAGE 3  
BUDGET ITEMIZATION

Control Number

Project Title

Applicant

	JOB TITLE	ANNUAL SALARY	PERCENT TIME	COST		
				TOTAL	FEDERAL SHARE	NON-FED SHARE
A. PERSONNEL	Project Director (temporary)	15,344	15%	2,301	-	2,301
	Director of SOCITF	20,000	100%	20,000	20,000	-
	Investigative Unit Commander	15,344	100%	15,344	-	15,344
	SUB TOTAL			37,615	20,000	17,615
	Social Security and Fringe Benefits	29.3%		11,029	5,860	5,169
TOTALS				48,644	25,860	22,814
B. EQUIPMENT PURCHASE, LEASE, OR RENTAL	Quantity	Description				
	3	State cars @ \$68/month = \$204/mo.		2,448.00	2,448.00	-
	4	Rental cars @ \$200/month including insurance		9,600.00	9,600.00	-
	1	Office alarm system including installation and line charge rental		2,000.00	2,000.00	-
TOTALS				14,048.00	14,048.00	
C. CONSULTANT AND CONTRACTUAL SERVICES	DESCRIBE					
	TOTALS					

ACTION GRANT APPLICATION  
PAGE 4  
BUDGET ITEMIZATION (con't.)

Control Number

	JOB TITLE	COST		
		TOTAL	FEDERAL SHARE	NON-FED SHARE
D. TRAVEL	Ms. PERSONS, RATE MILE, SUBSISTENCE			
	Attendance of conferences and meetings by project staff	2,000	2,000	-
TOTALS		2,000	2,000	
E. CONSUMABLE SUPPLIES, POSTAGE, REPRODUCTION	LIST SEPARATELY			
	Gas and oil for automobiles @ 1,250/year	5,000	5,000	-
TOTALS		5,000	5,000	
F. RENT	INCLUDE COST PER SQUARE FOOT			
	TOTALS			
G. EVALUATION (should be as much as 10% of the total project cost.)				
	TOTALS			
H. OTHER	INCLUDE TELEPHONE			
	1. Moving expenses	1,000	1,000	-
	2. Renovations	9,000	9,000	-
	3. Subscriptions, books and other publications	3,000	3,000	-
	4. City directories	5,000	5,000	-
	5. Insurance (office and contents)	250	250	-
TOTALS		18,250	18,250	
GRAND TOTAL		87,972	65,158	22,814
Chief Executive		DATE		



ACTION GRANT APPLICATION

PAGE 5

Control Number

Applicant

Connecticut State Police Department

Project Title

Statewide Organized Crime Investigative Task Force

BUDGET NARRATIVE - By Line Item

NOTE: This budget narrative only covers those items being paid for under this grant.

PERSONNEL

Project Director (Temporary)

Pending the selection and hiring of a full-time SOCITF Director, the Commander of the Connecticut State Police Detective Division will serve as the Temporary Project Director for the purposes of implementing this project. After the Director is hired, the Detective Division Commander will continue in an advisory and technical assistance role and will assist the SOCITF Director during the project period of award. The Commander is presently of the rank of lieutenant and the top of the scale is \$15,344 per year plus fringe benefits of approximately 29.3%. It is estimated that during the course of the project, the commander will contribute at least 15% of his time on an annual basis.

Director, SOCITF

The duties of the SOCITF Director will include: responsibility for organization, administration and operation of the SOCITF, hiring and supervision of necessary personnel, administration of Federal grants for SOCITF, development of overall strategies for control of organized crime in Connecticut including legislative recommendations, and a certain amount of public education and contact work with Federal, state and local agency heads. The SOCITF Director will also be responsible for the preparation of required reports. Organizationally, he will be attached to the new Division of Investigative Services, in the Connecticut State Police Department. An Advisory Board, set up by statute, will provide the Director with recommendations on policy and other operational matters. He will, however, report directly to the Commissioner of the Connecticut State Police Department.

It is expected that a civilian will be hired to fill this position. In the event that a ranking State Police Officer is assigned, the salary figure will be adjusted to correspond to the salary grade for that rank. The salary and applicable social security and other fringe benefits (computed at 29.3%) will be paid for under this grant. See also "Biographical Sketches" for a summary of the qualifications of the Director.

Investigative Unit Commander (match)

A Connecticut State Police Officer of the rank of lieutenant or higher will be assigned as Commander of the SOCITF Investigative Unit, hereinafter referred to as the Investigative Unit Commander, and will provide a matching contribution equivalent

A. PERSONNEL (Continued)

to his salary and applicable social security and other fringe benefits (computed at 29.3%). The duties of the Investigative Unit Commander will include direction and supervision of all investigative activities, supervision of all staff assigned to the Investigative Unit, and liaison with local, state and federal investigative and law enforcement agencies.

The Investigative Unit Commander will report directly to the Director of SOCITF.

B. EQUIPMENT

Cars

SOCITF will utilize at least seven vehicles. Three of these will be official state cars and they will be paid for under this grant. They will be assigned as needed for regular office use in accordance with both State guidelines governing the use of official cars and any special guidelines to be established by the Director of SOCITF.

At least four additional vehicles will be rented, with changeover option (where the car can be changed a number of times during the month) will be rented. These vehicles will be assigned for use only by members of the SOCITF Investigative Unit and by staff who may be assigned to the Investigative Unit on a temporary basis. Guidelines for the use of these vehicles will be established by the SOCITF Director.

Office Alarm System

To insure the security of the SOCITF offices, an alarm system will be installed. The cost estimate includes the price of the equipment, installation, and line charges.

D. TRAVEL

In all cases, travel allowances will be limited to those permitted by the State of Connecticut. Currently, these provide for up to \$19 per day for travel, including \$7 per day for meals.

Attendance at Conferences and Meetings

This item is intended to cover the cost of attendance by staff members for non-training purposes at: (1) meetings of the Law Enforcement Intelligence Unit; (2) special conferences and symposia the subjects of which are pertinent to the SOCITF mission; (3) multi-state regional meetings; (4) Federal-level briefings and meetings; and (5) meetings with specific individuals in counterpart agencies and organizations in other states. The Director of SOCITF will establish guidelines and procedures governing attendance of staff at such meetings. It should be noted that an additional sum of money is being requested in the Discretionary Grant application for this item. In the past, a major obstacle to effective coordination and cooperation has been the

D. TRAVEL (Continued)

Lack of funds to permit travel of this type by Connecticut criminal justice system personnel. With proper controls, this type of activity is expected to yield major benefits to the state's efforts against organized crime.

E. CONSUMABLE SUPPLIES

Gas and Oil for Automobiles

The cost of gas and oil and other consumables for the rental vehicles is, based on past experience and the contemplated rise in gas and oil prices, estimated at approximately \$1250 per vehicles per year.

II. OTHER

Moving Expenses

At the present time, the Connecticut State Police Department is contemplating a move to an appropriate facility that will permit, for the first time, the grouping of all investigative services units under one roof. From the point of view of organization, promotion of exchange of intelligence and other information, and operational convenience, this contemplated move will be of enormous potential benefit to the state's organized crime control efforts. The cost of moving SOCITF and related activities to a new site is estimated at approximately \$1,000. This includes the cost of moving central criminal intelligence files, equipment already procured under previous grants to the New Haven County Organized Crime Task Force, and other equipment.

Renovations

This amount is reserved to cover the cost of renovations, including the partitioning of offices, installation of shelving, etc. The estimate of \$9,000 for such renovations is based on a move to a facility requiring partitions, shelves, etc., to accommodate the various investigative services units of the Connecticut State Police Department which will be working with the SOCITF unit.

Subscriptions, Books and Other Publications

Three major types of items are covered under this heading: (1) subscriptions to important periodicals and bulletins that may be of potential use either as sources of information for SOCITF operations or as sources of technical and operational information; (2) cost of periodicals, amendments, etc., for keeping the Law Library up to date; and (3) books and other technical works as well as reference works that are of use. The receptionist who is to be hired under another block grant will also serve as an interim part-time librarian, performing routine cataloging and sorting of books, periodicals, etc., in accordance with the Connecticut State Library procedures. Technical assistance will be sought from the Connecticut State Library to set up an indexing and check-in-check-out system. SOCITF's Director will also take steps to insure that all relevant LEAA and NILECJ publications are made

available as well and that books and other reference materials purchased under related grants will be made available to SOCITF.

City Directories

City directories are, potentially, an important investigative tool. Sets for several cities have already been purchased under previous grants, particularly to the New Haven County State's Attorney's Office, and the Connecticut State Police Department. Funds will be made available for the purpose of obtaining sets of city directories for the major cities in the state and for updating this collection. Old city directories, moreover, can be useful in tracing the movements of individuals and firms over a period of time.

Insurance

Based on prior experience, it is important to insure that the SOCITF office and its contents are insured against fire, theft and other loss. The cost figure is based on the rates paid by the New Haven County Organized Crime Task Force.

Project Title Statewide Organized Crime Investigative Task Force Applicant Connecticut State Police Department

BUDGET CATEGORY (CPCA Funds Only)	1st Year	2nd Year	Beyond 2nd Year	Total
Personnel	139,146	152,000	160,000	551,146
Equipment	20,048	5,000	3,000	28,048
Consultants	5,000	5,000	3,000	13,000
Travel	2,000	2,000	2,000	6,000
Consumables	6,300	7,000	7,700	21,000
Rent	-	-	-	-
Evaluation	-	-	-	-
Other	22,850	24,000	26,000	72,850
TOTAL CPCA FUNDS REQUESTED	195,344	195,000	201,700	592,044
SOURCE OF MATCHING SHARE				
GUARANTEE				
Cash				
In-kind	33,800			
OTHER				
In-kind				
TOTAL PROJECT COST				

Project Title Statewide Organized Crime Investigative Task Force Applicant Connecticut State Police Department

NAME Lt. Orlando P. Ragazzi POSITION Project Director (temporary)

Current Occupation Commander, State Police Detective Division Experience, especially that establishing qualifications in area covered by application.

Education, include higher education, training and service schools and special courses.

NAME (to be chosen) POSITION Director, SOCITF

Current Occupation Experience, especially that establishing qualifications in area covered by application. Qualifications for the Director should include (but not be limited to) the following:  
 (a) Demonstrated proficiency and knowledge with respect to organized crime control and approaches to it.  
 (b) At least five years' experience in a criminal justice system agency concerned with one or more of the following: prosecution, investigation, organization and administration.  
 (c) Demonstrated knowledge of the relationship of procedural and substantive laws to the objectives of this project.

Education, include higher education, training and service schools and special courses. Candidates should have a four-year college degree and advanced training in relevant areas. Preference will be given to persons with the above qualifications and with prosecution-related experience. Final qualifications and selection criteria will be established by the SOCITF Board in conjunction with the Connecticut State Police Department and the Connecticut Planning Committee on Criminal Administration.

Project Title

Applicant

## PROJECT NARRATIVE

## Goals

Continuing investigation and study by both the Connecticut Planning Committee on Criminal Administration and by the Connecticut State Police Department indicate the existence of major organized criminal activities in Connecticut. These are, to a larger extent than ever before, described in some detail in the state's 1972 and 1973 Comprehensive Plans to the extent that it is feasible to describe organized criminal activity. The major types of activities in which organized criminal syndicates are engaged in (in Connecticut) include gambling, loansharking, infiltration of legitimate business and cigarette smuggling. The dimensions of these activities for a state the size of Connecticut are considerable. For example, the volume of off-track betting has been crudely estimated at over \$100 million per year while the volume of numbers (policy) activity is estimated at between \$34.3 and \$57.2 million annually. Of more direct interest is the state's tax losses from the smuggling of untaxed cigarettes into the state and their sale either with forged tax stamps or without such stamps. This traffic has been shown by investigations of the Connecticut State Police Department and other departments to be highly organized. The state's losses estimated to be as high as \$20 million annually. In the case of infiltration of legitimate businesses by organized crime elements, it is estimated that there are over 100 establishments and firms that have been taken over so far.

The major problem with respect to the control of organized criminal activities in Connecticut is the general lack of broadly-based investigative capabilities. This problem actually has three aspects: (1) present control activities are limited in both scope and sophistication; (2) intelligence resources and other information are not being adequately used; and (3) there is a noticeable lack of coordination of organized crime control efforts in the state at the Federal, state and local level and with private organizations' efforts. With respect to the first aspect, present efforts to investigate organized criminal activity in Connecticut is primarily a function of police departments and is based on utilization of criminal statutes. In fact, present efforts only utilize a small part of the criminal statutes that could be used. Investigations are aimed at identifying the perpetrator and then connecting him with a specific violation of criminal law. While this approach does result in some arrest activity, the question does remain of how many ranking members of organized criminal syndicates are careless enough to commit gross violations of criminal laws? In general, such individuals are extremely careful not to commit criminal code violations. On the occasions when they do, and are caught, it is more a result of carelessness on their part than it is the result of investigative efforts of law enforcement agencies. In Connecticut, there is only limited use of other (non-criminal) statutes and administrative regulations such as the tax statutes, regulations on financial transactions various types and liquor laws (among others) in the investigation and prosecution of organized crime. Investigation by the Connecticut Planning Committee on Criminal Administration of this matter indicated that, to a large extent, the state's traditional agencies are not equipped from the point of view of training, experience, or orientation, and resources to utilize a broad range of criminal statutes let alone the much wider range of non-criminal statutes and administrative regulations that could potentially be brought to bear on the organized crime problem.

## Goals (Continued)

With respect to the second aspect, namely the inadequate use of intelligence resources and other information, there is only an extremely limited capability among Connecticut criminal justice system agencies to analyze available information and intelligence resources with the aim of developing strategies and countermeasures to deal with organized crime. To a large extent, this is due to the lack both of personnel and of an effective mechanism for storing and analyzing such information. The Connecticut State Police Department is the major repository of intelligence and other information on organized crime in the state. In 1969 and 1970, it attempted to computerize some of the files that it possessed so that these could be more readily available for use but these efforts did not come to pass because the cost estimates of such computerization were very high. Despite these efforts, however, the Connecticut State Police Department, as of this writing, does not employ any full-time intelligence analysts whose role it would be to analyze and process incoming information from field sources and from other agencies, informants, etc., and to integrate this into existing files for use in decision-making and in the evaluation of enforcement and prosecutorial activities. There is, of course, some "intelligence analysis" going on all of the time, primarily in response to specific needs but there is no systematic approach to analyzing existing and incoming information and using the resulting analyses for the purpose of making tactical decisions concerning such activities as surveillance, investigation, etc. In an environment where manpower and other resources are, at best, in tight supply, the ability to utilize intelligence resources as an aid in decision-making concerning the allocation of manpower is an important factor in the effective use of such resources.

With respect to the lack of effective coordination of both existing efforts to investigate organized criminal activity, and of the efforts of those agencies with potential resources and jurisdiction over aspects of the problem, at present the investigation of organized crime cases (as stated above) is still largely a police function. While there may be some non-law enforcement agencies with something to contribute (in the form of their own investigative capabilities, broader jurisdiction, useful regulatory powers, etc.) there is no formal mechanism for making use of these results in a systematic fashion. There are two ongoing efforts in the state which provide a limited degree of coordination: the Statewide Enforcement Coordinating Committee (SECC) which coordinates the operations of the state's regional crime squads and those of the State Police Department with respect to narcotics offenses, and the New Haven County Organized Crime Task Force (OCTAFORCE) which coordinates the activities of police departments in New Haven County (including the New Haven Police Department), the State Police Department, and the State's Attorney's Office for New Haven County.

The ultimate overall objective of the project, as conceived here, is to reduce the level of organized criminal activity in Connecticut. This, in Connecticut, means a reduction in the level and scope of gambling, loansharking, infiltration of legitimate business, and cigarette smuggling among others. By reducing these activities, it is expected that the overall impact will be greater than by concentrating on other types of activities.

To achieve this overall objective, there are two subobjectives as follows:

Goals (Continued)

(1) causing major disruption of organized criminal activity; and (2) increasing the cost of doing business for organized criminal syndicates and enterprises. This project requests discretionary funds which will be combined with block grant funds to establish and operate a Statewide Organized Crime Investigative Task Force (referred to hereinafter as SOCITF). SOCITF will be established as a unit within the Connecticut State Police Department by statute and will include intelligence, investigative and prosecutorial elements.

While SOCITF will be the state's major response to the organized crime problem and will be aimed at reducing the level of the problem, it will also address the major problem defined earlier of the lack of a broadly-based investigative capability, and, specifically, the three aspects of this problem as follows:

Problem Aspect 1: Limited Scope and Sophistication of Control Activities

The proposed SOCITF unit will be set up in such a way as to take into account all relevant criminal and non-criminal statutes that can be brought to bear on the problem of organized crime. At present, the majority of arrests for these crimes are made by local police departments relying primarily on criminal statutes. By broadening the statutory base for both investigation and prosecution, this will in effect increase the number of options available to both investigators and prosecutors and thereby expand and increase the sophistication of the state's capability to investigate and prosecute organized crime cases. By doing this, it is expected that the resultant investigative, apprehension and prosecution activities will result in a major disruption of organized criminal activity in Connecticut.

Problem Aspect 2: Inadequate Utilization of Information and Intelligence Resources

The proposed SOCITF unit will address the need for an improved capability on the part of the state to analyze, process and use intelligence. A major aspect, in fact, of the SOCITF operation will be the increased use of intelligence for decision-making purposes and for evaluation of the SOCITF efforts. The SOCITF operation envisions using intelligence and other information collected in the field in four ways: (1) for decision-making purposes regarding the allocation of manpower, surveillance resources, prosecutorial resources; (2) developing overall strategies and countermeasures for the control and suppression of organized criminal activity; (3) evaluating the impact of SOCITF and other enforcement and intelligence operations and of such measures as revised or strengthened legislation on organized criminal activity in the form of intelligence assessments; and (4) educating other agencies, organizations and the public with regard to the specific problem of organized crime.

By improving the state's capability to analyze, process and use intelligence resources profitably, this will lead to greater improvement in the state's ability to develop legal, investigative and statutory countermeasures for the control and suppression of organized criminal activity. This, in turn, is expected to lead to improved efficiency in

the operation of those agencies engaged in or participating in organized crime control activities; and (2) increased and expanded capabilities as a result.

Problem Aspect 3: Lack of Coordination of Efforts

The proposed SOCITF unit will have statutory authority to coordinate the activities and operations of other state and local agencies insofar as they are concerned with problem aspects related to organized crime. An Interagency Liaison Unit will be set up within SOCITF with the purpose of developing and maintaining liaison with other state, local, federal and private organizations and agencies, and maintaining detailed information on the capabilities and resources of these other agencies. It will coordinate interagency operations and joint activities, act as the focal point for exchange of information and intelligence, and personnel and for the referral of cases to other agencies where analysis indicates that the case elements are clearly within their purview and jurisdiction. It will also maintain a followup monitoring system to keep track of the status of these "referred" cases and will develop guidelines for other agencies with respect to recognition of organized crime elements in their operations. One of the more important activities of this Interagency Liaison Unit will be to expand and maintain contacts with private and out-of-state organizations and agencies.

A major result of this coordination effort will be the definition and establishment of specific roles and responsibilities for the various state and local agencies resulting in more effective use of investigative and regulatory resources of various state agencies, less duplication and, in turn, some disruption of organized criminal activities.

PROJECT NARRATIVE

In preparing Connecticut's application for discretionary funds, a detailed attachment was produced which addressed the Statewide Organized Crime Investigative Task Force operation in its entirety.

In view of the existence and availability of this attachment, it was felt that it would be more appropriate to include this as the "Narrative" section of this application. Accordingly, it is inserted herein.



SEE SUPPLEMENT TO THE DISCRETIONARY GRANT APPLICATION

**CONTINUED**

**1 OF 3**

METHODS AND TIMETABLE

The following is a work plan for the implementation of this project. As can be seen, some of the milestones to be accomplished will be completed after July 1st.

<u>Milestones</u>	<u>Begin Date</u>	<u>Ending Date</u>	<u>Assigned To</u>
<u>Personnel</u>			
1. Hire Project Director	6-1	7-1	State Police, Advisory Board
2. Hire remaining staff	7-1	7-15	Project Director, State Police
3. Assign staff under matching	7-1	7-30	Chief State's Attorney
4. Establish internal procedures	8-1	8-30	Project Director
5. Train Intelligence Analysts	9-1	9-30	Project Director

Project Organization

1. Establish four units: Legal Research, Interagency Liaison, Prosecutorial Support Services, Investigative Unit	7-1	7-15	Project Director
2. Establish working relationships with other agencies	8-1	8-15	Project Director, Interagency Liaison Unit
3. Establish initial procedures for case referral, exchange of intelligence, etc.	8-1	8-15	Interagency Liaison Unit, Project Director
4. Establish final procedures for case referral, exchange of intelligence, etc.	8-1	12-15	Project Director, Interagency Liaison Unit
5. Develop forms and materials for internal operation	7-1	8-15	Unit heads, Project Director

Equipment

1. Purchase or lease equipment	6-15	7-1	Project Director (temp.)
2. Lease cars	7-1	8-15	Investigative Unit Commander
3. Transfer OCTAFORCE equipment to SOCITF	7-1	7-15	Project Director

Consultants

1. Arrange for information system specialists	7-15	8-15	Project Director
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Consultants (Continued)

2. Report and recommendations on information system needs	9-1	10-1	Consultant
3. Technical Assistance on Evaluation Data Needs	8-1	9-1	Project Director, CPCCA, LEAA Technical Assistance Personnel

ACTION GRANT APPLICATION

Control Number

PAGE 9

Project Title	Applicant
Statewide Organized Crime Investigative Task Force	Connecticut State Police
EVALUATION	

As stated earlier, the ultimate program objective is to reduce the level and scope of organized criminal activity in Connecticut. To achieve this overall objective, this project has been developed with the specific goal of bringing about a major disruption of organized criminal activity, as a subobjective.

By setting up and operating the Statewide Organized Crime Investigative Task Force, five intermediate objectives will be addressed. These are as follows:

- (1) Improved and expanded capability to investigate organized crime;
- (2) Improved capabilities to analyze and process intelligence;
- (3) Improved coordination of public and private efforts;
- (4) Improved ability to develop strategies and countermeasures to deal with organized crime; and
- (5) Definition and establishment of specific roles and responsibilities for the various state and local agencies in the fight against organized crime in Connecticut.

There are thus three levels of assessment in this evaluation process. There is, first, an assessment of the extent to which organized criminal activity has been reduced in Connecticut. Since, as was shown earlier, the major activities include gambling, loan-sharking, the infiltration of legitimate business, and cigarette smuggling, it will be sufficient here to show some reduction in these. This can be accomplished through the use of intelligence as well as from data. The grantee will attempt to structure data collection efforts so that the requisite data can be collected.

The second level of assessment will be the extent to which the subobjective of disruption of organized criminal activity has been achieved. Again, as stated earlier, there are four ways in which this can be assessed: (1) frequency of changes in leadership of organized crime syndicates; (2) changes in nature of activities that are organized; (3) changes in tightness of discipline within the organization such as manifestations of carelessness, indiscretion, dissidence; and (4) changes in ranks, structure of the organization, and stability. The assessment of these cannot be carried out without resort to intelligence files and intelligence analyses. Again, the grantee will make efforts to assess these.

The third level of assessment concerns the extent to which the five intermediate objectives have been achieved. A summary of these, together with methods of assessment and source of information follows: (the objective number refers to the list above)

Page 9A

Intermediate Objective	Means of Assessment	Data Source
(1)	a. Scope and type of statutes being used.	a. Case activity summaries.
	b. Type and quality of arrests and prosecutions.	b. do.
	c. Level of investigative and prosecutorial activity.	c. do., intelligence files.
(2)	a. Types of intelligence and other info collected.	a. Intelligence files.
	b. Uses of such intelligence and info.	b. Case files, case element check lists.
	c. Relative importance and usefulness of such info.	c. Subjective assessment by project staff.
(3)	a. Type and frequency of relations, contacts with other agencies.	a. Interagency Liaison Unit records.
	b. Quality and usefulness of such contacts.	b. Subjective assessments by staff.
(4)	a. Types of strategies developed.	a. Direct observation.
	b. Development of a framework for utilizing and evaluating strategies and countermeasures.	b. Direct observation, subjective assessment of staff.
	c. No., type and quality of recommendations made by SOCITF staff.	c. SOCITF reports, Director, Advisory Board.
	d. New techniques developed by SOCITF.	d. Direct observation, subjective assessments by persons working with or familiar with SOCITF.
(5)	a. Definition of clear and specific roles for each of the agencies insofar as SOCITF is concerned.	a. Interagency liaison records and files.
	b. Existence of close liaison.	b. Interagency Liaison records.
	c. Existence of guidelines governing joint operations, referral of cases, etc.	c. Direct inspection. Interagency Liaison Unit records.

d. Organized Crime Awareness  
among other agencies.

d. Surveys of other  
agencies, interviews,  
subjective assessments.

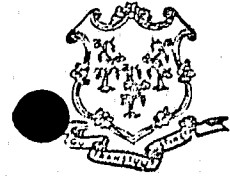
It should be noted that this is only a first cut at the development of an evaluation design for this project. It should be noted that it is not meaningful at this stage to attempt to evaluate the quantitative impact of a project such as SOCITF in terms, for example, of a reduction in gambling by x per cent in y years. There are two major reasons for this: (1) there is no means of measuring the level of organized criminal activity in any meaningful fashion; and (2) there is no means of relating specific resource inputs (such as increased manpower) to a result, such as "reduction in gambling." The proposed project, in examining the above assessments, will attempt to address the question of measurement of impact.

LEAA technical assistance and outside consultant assistance will be sought for this project and the Grantee will consult closely with the Connecticut Planning Committee on Criminal Administration's evaluation section.

SPECIAL CONDITIONS

PLANNING DIVISION

1. The subgrantee shall obtain written approval of the Connecticut Planning Committee on Criminal Administration prior to undertaking any renovations with project funds.
2. The attorney directing the Prosecutorial Support Unit shall also supervise the Legal Research Unit.
3. In the event discretionary funds are not available, the subgrantee shall immediately provide the CPCCA with a revised budget for the expenditure of 1972 and 1973 Part C funds awarded to it for this project. Said revised budget shall not provide for the expenditure of awarded funds for the purpose of hiring sworn State Police Department Personnel.
4. The period of award for this project, funded with 1972 money, is July 1, 1973 to May 31, 1974. This project may not be extended beyond this date since unobligated 1972 funds must be returned to the federal government at this time.



STATE OF CONNECTICUT

PLANNING COMMITTEE ON CRIMINAL ADMINISTRATION

75 ELM STREET, HARTFORD, CONN. 06115

TELEPHONE (203) 566-3020

GOVERNOR THOMAS J. MESKILL

CO-CHAIRMEN

HON. HERBERT S. MACDONALD  
HON. CLEVELAND B. FUESSENICH

EXECUTIVE DIRECTOR

H. R. STERRETT

July 10, 1973

MEMBERS

TERRY CAPSHAW  
HON. ADOLF CARLSON  
RODRIGO A. CORREA  
HON. JOHN J. DALY  
LAWRENCE DAVIDSON  
BIAGIO DILIETO  
HON. RUBEN FIGUEROA  
GEORGE GILMAN  
HON. ROBERT D. GLASS  
JOSEPH T. GORMLEY, JR.  
ARTHUR L. GREEN  
STEWART H. JONES  
JOHN J. KERRIGAN  
HON. ROBERT K. KILLIAN  
JOSEPH W. KINSELLA  
ROBERT C. LEUBA  
HON. FRANCIS H. MALONEY  
HON. JOHN R. MANSON  
HON. NICHOLAS A. PANUZIO  
BRIG. GEN. GAETANO A. RUSSO, JR.  
HON. GEORGE SADEN  
BARRY R. SCHALLER  
HON. ERNEST A. SHEPHERD  
BARBARA J. TERKUILE  
BERNARD H. TRAGER  
G. ROBERT TRIANO

The Honorable Cleveland B. Fuessenich  
Commissioner  
Connecticut State Police  
100 Washington Street  
Hartford, Connecticut 06115

Dear Commissioner Fuessenich:

Your application for funding under the Omnibus Crime Control and Safe Streets Act (1968 - as amended) was approved by the Executive Committee of the Connecticut Planning Committee on Criminal Administration at its meeting on July 10, 1973.

The Executive Committee approved an award of \$127,887 subject to any conditions on the Grant Award which is enclosed.

With this funding award, the Planning Committee on Criminal Administration is proud to join with you in a partnership to reduce crime and improve Connecticut's criminal justice system.

Sincerely,  
*H. R. Sterrett*

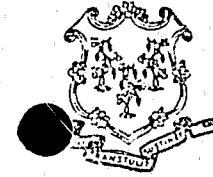
H. R. STERRETT  
Executive Director

HRS/akl

Enclosure

Project Title: Statewide Organized Crime Investigative Task Force

Grant Number: A73-2001-37001-2



STATE OF CONNECTICUT

PLANNING COMMITTEE ON CRIMINAL ADMINISTRATION

75 ELM STREET, HARTFORD, CONN. 06115

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HON. ERNEST A. SHEPHERD  
BARBARA J. TERKUILE  
BERNARD H. TRAGER  
G. ROBERT TRIANO

GRANT AWARD

The Connecticut Planning Committee on Criminal Administration (hereinafter called the "Planning Committee") hereby awards to Conn. State Police (hereinafter called the "Grantee") grant number A73-2001-37001-2 in an amount not to exceed \$ 144,938.

This grant shall commence on 7/1/73 and may be used until 6/30/74, and shall be applied solely to the program or project described in the Application.

Program Category: 3.7

Date of Award: July 10, 1973

Project Title: Statewide Organized Crime Investigative Task Force

Period of Award: July 1, 1973 - June 30, 1974

Budget Breakdown:

\$ 127,887 Federal (to be sent by CPCCA)  
\$ 17,051 State buy-in (to be sent by CPCCA)  
\$ 0 Grantee's minimum cash contribution  
\$ 25,578 Grantee's in-kind contribution min. required  
\$ 170,516 Total Project Cost

Refer to special conditions for line item budget to be included in Revised Budget (PCA-1)

Conditions of Grant

The Grantee shall administer the program or project, for which this grant is awarded, in accordance with CPCCA Financial Guide and with the Conditions of the Grant hereinafter set forth. The Conditions of the Grant also shall govern the administration of and accountability for all funds granted hereunder and all funds or in-kind contributions required as the Grantee's contributions required as the Grantee's contribution for the program or project.



1. Nature of the Grant. This grant is awarded under a Federally sponsored program pursuant to the Omnibus Crime Control and Safe Streets Act of 1968 (Public Law 90-351, 82 Stat. 197). Although the funds granted hereunder are furnished by the Federal "Law Enforcement Assistance Administration" (hereinafter called the "L.E.A.A."), the award is a grant from the State of Connecticut. LEAA funds are transmitted to the State as a grant to the State with a provision that a certain portion of the total granted for any fiscal year be made available by the State to units of local government or combination of such units or State Agencies.
2. Role of the Connecticut Planning Committee on Criminal Administration. The Planning Committee on Criminal Administration has been designated by the Governor as the State planning agency to administer grants and programs for the State of Connecticut under the Omnibus Crime Control and Safe Streets Act of 1968 as amended.
3. Reallocation of Grant. Due to the fact that the grant hereby awarded has been allocated from funds that are intended for use by the State and by all localities within the State, any portion of this award that is not actually required for use in the program or project described in the Application may, in the discretion of the Planning Committee, be withdrawn. In the event of any such withdrawal, the Planning Committee may use the amount so withdrawn for any such program or project of the Grantee or of any other unit of local government or of any combination of such units or of the State.
4. Grantee's Contribution. As its share of the program or project for which this grant is awarded, the Grantee shall provide from a source or sources other than this grant, or any Federal grant (except federal grants awarded pursuant to the Demonstration Cities Act of 1966), an amount sufficient to finance 25 percent of the total cost of the project minus State buy-in (hereinafter called the "Grantee's Contribution"). Such contribution shall be provided in the manner specified in the Budget, and must be completed no later than the end of the grant award period. In the event that the Grantee's contribution is not furnished as herein provided, the amount of the grant shall be reduced so that the amount of the program or project financed by the grant does not exceed 75 percent of the total cost of program or project. The Grantee's contribution may consist of cash, appropriated funds, or contributions in-kind (i.e., goods, services, facilities) in the amounts and in the manner described in the budget.
5. Purchases of Equipment. All purchases of furniture, fixtures, equipment materials, and supplies for the program or project described in the Application shall be made at the lowest possible price. In fixing the price or value to be allowed for any such purchase as an item to be financed in whole or in part with this grant award, or as an item to be included as all or part of the Grantee's contribution, the following principles shall apply:

#### Municipalities

(1) It is the intent of the Planning Committee on Criminal Administration to have its subgrantees secure the purchase of equipment, goods, and services through competitive bidding. In instances where the Grantee is a municipality, and the municipality has a documented purchasing procedure involving the securing

of competitive bids for the leasing or purchasing of equipment goods or services in excess of \$250, the municipality's purchasing requirements must be complied with. Advertising for bids is the preferred method.

In instances where the municipality does not require competitive bidding for the purchase of equipment, goods and services or does not have a documented formal purchasing arrangement, three bids will be required for the purchase, lease, or acquisition of equipment, goods, and services in excess of \$100. Advertising for bids is the preferred method.

(2) In case of a formalized municipal purchasing procedure, documentation must be retained by the Grantee that indicates the purchase, lease, or acquisition of equipment, goods, or services were procured according to the municipality's formalized purchasing arrangements.

(3) In the case of the purchase, lease, or acquisition of equipment, goods, or services where a formalized municipal purchasing arrangement does not exist, documentation must be retained indicating the date of quotation, bidder's name and address, description of item, net price (including discounts, trade-ins, etc.), shipping terms (F.O.B. destination or other) and terms or payment (cash, 2/10 - Net/30, etc.)

#### (4) SOLE SOURCE EQUIPMENT PURCHASE

In those situations where the equipment item or services are unique, and cost in excess of \$100, prior approval from the Connecticut Planning Committee on Criminal Administration is required. A letter requesting such approval stating the reasons for the sole source purchase must be forwarded to Connecticut Planning Committee on Criminal Administration's Financial Division prior to such sole source purchase.

#### (5) BUYING FROM OTHER THAN LOWEST BIDDER

In those instances where Grantees desire to accept a bid other than the lowest for equipment or services in excess of \$100, prior permission is required from the Connecticut Planning Committee on Criminal Administration. A letter requesting such permission outlining the reasons for such request must be submitted to the Planning Committee on Criminal Administration prior to purchase.

(6) In circumstances where the Grantee is merely a conduit for the Planning Committee on Criminal Administration funds or where the Grantee has contracted the program to a private implementing agency, the purchase of equipment is to be governed by the rules for the municipal subgrantee, if such Grantee actually performs the purchasing for the implementing agency. If the implementing agency performs its own purchasing, three competitive bids are required for purchases in excess of \$100. These must be documented in accordance with the rules set out in Paragraph (3) of this section.

#### (7) CENTRAL & GSA PURCHASING

Where the Grantee, or its implementing agency purchases through an acceptable agency such as the following, no additional bidding is required.

The General Services Administration List Price  
Contracts of State Purchasing Division  
State of Connecticut Central Warehouse  
Various Federal and State Surplus Property Program

ALL CONTRACTS SHOULD BE AWARDED TO THE LOWEST RESPONSIBLE BIDDER, TAKING INTO CONSIDERATION QUALITY, TIME OF PERFORMANCE AND PROBABILITY OF PERFORMANCE.

Any and all bids may be rejected. Where bids are rejected and the proposed purchase is not abandoned, and the circumstances indicate that further solicitation for bids would be in the best interest of the program, new bids must be called for.

6. Purchases of Services of Consultants

(1) Consultants

Specific Costs Requiring Approval - Professional (including contract and consultant) Services

It is LEAA and CPCA policy that as a general rule the maximum daily rate for consultants and specialists will be \$135 per 8 hour day including fringe benefits, preparation and travel time. Under rare and unusual and extreme circumstances, exceptions will be made to the rule, and under the exception aspect the maximum payment under any clause, contract or grant will be \$200 per day including fringe benefits, and will require prior LEAA and CPCA approval.

Prior approval is not required where:

(2) Individual Services. With respect to arrangements with individuals, (i) the daily or hourly rate does not exceed \$135 per day, (ii) the individual is not an employee of the executive branch of state government, (iii) dual compensation is not involved (i.e., the individual may not receive compensation from his regular employer and the retaining LEAA grantee or subgrantee for work performed during a single period of time even though the services performed benefit both), (iv) the compensation is reasonable and consistent with that paid for similar work in other activities of the State or local government, (v) the retainer arrangement is formal and proper and otherwise consistent with the grantee's usual practices for obtaining such services, (vi) time and/or services for which payment will be made and rates of compensation will be supported by adequate documentation, and (vii) transportation and subsistence costs for travel performed are at an identified rate consistent with the grantee's general travel reimbursement practices.

Also, the rates charged to the grant funds should approximate the rates listed on page 37 of The Financial Guide.

(3) Non-government Organizations. With respect to arrangements with non-government organizations: (i) the arrangement is formal and proper and consistent with the usual practice and policies of the grantee or subgrantee government in contracting for or otherwise obtaining services of the type required; (ii) selection of contractors has involved the securing of competitive bids or proposals from a group of qualified organizations; (iii) indirect costs or overhead charges in cost-type arrangements are based on an audited or negotiated rate previously approved by a State or Federal agency or are

based on an indirect cost submission, preferably incorporating a wage and salary base, reflecting actual cost experience during the contractor's last annual or other recently completed fiscal period; and (iv) the fixed fee or profit allowance, in cost-type arrangements, does not exceed 10 percent of total costs.

(4) Bidding for Consultant Firms (Non-government Organizations)

It is the intent of the Planning Committee on Criminal Administration to have its Grantees secure the services of consultant firms through competitive bidding. The use of the Municipality or State purchasing organization should be used if appropriate. Three bids are to be secured if possible, based on a proposal drafted in letter form or in "Request for Proposal" form, a model of which may be obtained on request from the Connecticut Planning Committee on Criminal Administration.

(a) All contracts should be awarded to the lowest responsible bidder, taking into consideration bidder's past performance, expertise, and reputation. If the lowest bidder is not chosen, the reasons for choosing another bidder must be sent in letter form to the Connecticut Planning Committee on Criminal Administration for its approval prior to employment. All documentation concerning the choosing of the consultant including the specifications, bid proposal submission, and reasons for choosing the particular bidder must be retained in subgrantee's file until the final audit of the grant has been approved by the Connecticut Planning Committee on Criminal Administration.

7. Sole Source Needs Prior CPCA Approval

In some special instances, the specialized nature of the services to be performed precludes competitive bidding. In these situations the reasons for securing the services of one consultant firm without the benefit of competitive bidding must be documented. These reasons in the form of a letter, together with a breakdown of the consultant firm's cost, must be submitted to the CPCA prior to employing the firm. Sole source procurement in excess of \$5,000 will be forwarded to LEAA for prior approval.

8. Records and Documentation. The Grantee shall keep books and records which fully disclose the amount and disposition of the proceeds of this grant, the total cost of the program or project for which this grant is awarded and the amount and disposition of the Grantee's contribution. The procedures developed by the Grantee must provide for the accurate and timely recordation of the receipt of funds, expenditures, and unexpended balances. Adequate documentation of each transaction shall be maintained to permit determination, through an audit, of the accuracy of the records and allowability of an expenditure cannot be determined because records or documentation are inadequate, the questionable cost shall be disallowed.

9. Allowable Costs. Any cost to be financed in whole or in part by this grant or to be included in whole or in part as the Grantee's contribution may be disallowed if it is not in compliance with principles and standards set forth by the Federal Bureau of the Budget in its Circular No. A-87, "Principles for Determining Costs Applicable to Grants and Contracts with State and Local Governments" (May 9, 1968) and Federal Bureau of the Budget (Cir. A-102).

10. Financial Reports. The Grantee shall submit monthly or quarterly expenditure reports regarding the program or project in accordance with instructions to be furnished by the CPCCA. Such reports shall fully itemize the disposition of the proceeds of this grant and expenditures made for the Grantee's contribution either cash or in kind. The Grantee will comply with all provisions regarding the submission of monthly drawdown reports and financial reports.
11. Grant Reductions. In the event that any cost to be financed in whole or in part by funds from this grant is disallowed, the CPCCA may, in its sole discretion: (a) reduce the amount of the grant by the amount of the cost that is disallowed; or (b) apply the amount of the cost that is disallowed to some other cost of the program or project funded by CPCCA. If any portion of the Grantee's contribution is disallowed, and the Grantee does not make an allowable compensating contribution which is at least equal to the amount disallowed, the amount of the grant shall be reduced so that the grant award does not exceed 75 percent of the total allowable cost of the program or project. Any funds produced by the reduction in the grant award may be reallocated by the CPCCA.
- The amount of any reduction in the grant award shall, in the discretion of the CPCCA, immediately be recoverable from the Grantee by the CPCCA in the following cases: (a) if the grant award is reduced due to disallowance and the Grantee already has received grant funds pertaining to the disallowed cost; or (b) if the Grantee fails to make any portion of the required Grantee's contribution and the Grantee already has received grant funds pertaining to the item or period for which the Grantee was required to make the contribution.
12. Project Income. Any income, including interest arising from grant funds paid hereunder to the Grantee, which develops from the conduct of the program or project for which this grant was awarded shall inure to the benefit of the United States. At the end of the period during which grant funds may be obligated, such income shall be paid over to the CPCCA by check drawn to the order of the CPCCA for transmittal to the United States.
13. Copyrights. If the program or project for which this grant is awarded should result in the production of original books, manuals, films, or other material for which a copyright may be granted, the Grantee may secure copyright protection for them. However, LEAA and the CPCCA reserve, and the Grantee hereby gives them, an irrevocable, royalty-free, non-exclusive license to produce, reproduce, publish, translate or otherwise use such materials. This license includes the right to authorize others to publish and use any such materials.
14. Patents. If the Grantee, or a contractor of the Grantee, makes any discovery or invention in the course of or as a result of work performed on a program or project for which this grant is awarded, the Grantee shall refer the discovery or invention to the CPCCA for transmittal to LEAA. LEAA shall determine whether or not patent protection shall be sought, how any rights therein, including patent rights, will be disposed of and administered, and whether any other action is necessary in order to protect the public interest in work supported with the Grant funds. LEAA shall make its determinations in accordance with the Presidential memorandum of October 9, 1963, on Government Patent Policy (28FR 10943).

15. Deviations Between and Within Budget Categories in Excess of 10% of Budget Category. No actual expenditure of project funds in any budget category may exceed the budget amount by more than 10% without prior written CPCCA approval. This requirement is waived if the total dollar value of the budget category being increased is less than two hundred dollars.

Any line item change in excess of \$200 within a budget category involving CPCCA or State Buy-in funds requires prior CPCCA approval if it results in a substantial change in the items or services to be purchased.

16. Conditions. Grantee shall comply with all general and special conditions and guidelines applicable to the administration of action grants as may be required by the Law Enforcement Assistance Administration or the Planning Committee on Criminal Administration.
17. Fiscal Administration. Grantee will establish fiscal control and fund accounting procedures assuring proper accounting for grant funds and non-federal expenditures. Fiscal administration of grants shall be subject to such further rules, regulations, and policies concerning accounting and records, payment of funds, cost allowability, submission of financial reports, etc. as may be prescribed by the Connecticut Planning Committee on Criminal Administration.
- Inspection and Audit. Accounts and records of the grantee will be accessible to authorized state and federal officials for the purpose of audit and examination. Staff members of the Planning Committee specifically designated by its Executive Director shall have the right to inspect all records, including but not limited to fiscal, financial, timetables, rosters, materials generated or produced by project and all purchases, including invoices for the purpose of evaluating the project.
19. On-site Visits. Staff members of the Planning Committee specifically designated by its Executive Director shall have the right to interview project participants and to conduct on-site visits, with reasonable notice.
20. Liability. It is understood that the grantee will be held primarily liable for the rectification of any exception found upon audit of grantee's program and financial records.
21. Maintenance of Records. All required records shall be maintained until an audit is completed and all questions arising therefrom are resolved, or three (3) years after completion of a project, whichever is sooner.
22. Obligation of Grant Funds. Grant funds may not, without advance written approval by CPCCA, be obligated prior to the effective date or subsequent to the termination date of the grant period. Obligations outstanding as of the termination date shall be liquidated within 90 days. Such obligations must be related to goods or services provided and utilized within the grant period.

23. Expenses not Allowable. Grant funds may not be expended for (a) items not part of the approved budget or separately approved by CPCCA; (b) purchase or construction of land and buildings or improvements thereon, or payment of real estate mortgages or taxes; (c) dues to organizations or federations; (d) entertainment including luncheons, banquets, gratuities or decorations; (e) purchase of automobiles or other automotive vehicles unless provided for in the grant agreement; or (f) indirect (overhead) costs, where the grantee does not have an audited indirect expense allocation system and rate acceptable to CPCCA. Rent for publicly-owned buildings cannot be charged to grant funds or used as the grantee's matching share. A use allowance is permissible.
24. Written Approval of Changes. Grantees must obtain prior written approval from CPCCA for major project changes. These include (a) changes of substance in project activities, designs, or research plans set forth in the approved Application; (b) changes in project director or key professional personnel identified in the approved Application; and (c) changes in the approved project budget as specified in the preceding conditions.
25. Timing of Contributions. The full grantee matching share must be contributed no later than the date at which the Period of Award terminates.
26. Receipt of Other Grants. Grantee will transmit to the Planning Committee a report of each grant, loan or advance for law enforcement purposes, pertinent to awarded CPCCA grants, it receives from any state or federal agency other than the Planning Committee which will include a statement of the purpose of such funding.
27. Non-Supplanting Certification. Funds awarded by the Planning Committee will be used to supplement and not supplant funds otherwise available for law enforcement purposes.
28. Third Party Participation. No contract or agreement may be entered into by the grantee for execution of project activities or provisions of services to a grant project (other than purchase of supplies or standard commercial or maintenance services) which is not incorporated in the approved proposal or approved in advance by CPCCA. Any such arrangements shall provide that the grantee will retain ultimate control and responsibility for the grant project and that the contractor shall be bound by these grant conditions and any other requirements applicable to the grantee in the conduct of the project. CPCCA shall receive at least one copy of any reports or studies developed as the result of contractual services.
29. Evaluation. The Grantee will participate in evaluation efforts as required by the CPCCA or its designee. Prior to contracting for evaluation services the Evaluation Division of the CPCCA must:  
(1) review and approve all requests for proposal,  
(2) review and approve all contracts.  
The Evaluation Division will participate in project evaluation efforts to the degree it deems necessary.
30. Coordination. Action projects will be coordinated with other programs within the state, such as those funded by the Department of Community Affairs under the Community Development Action Plan, the Model Cities Program, and any other state or federal assistance programs.

31. Publications. Grantee may publish, at its own expense, the results of grant activity without prior review by CPCCA provided that any publication (written, visual, or sound) contains an acknowledgment of CPCCA grant support. At least 5 copies of any such publication must be furnished to CPCCA, except as otherwise requested or approved by CPCCA. Publication of documents or reports with grant funds beyond quantities required to meet standard report requirements must be provided for in approved project plans or budgets or otherwise approved by CPCCA, and for large quantity publication, manuscripts must be submitted in advance to CPCCA.
32. Executive Order Number Three. This contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill promulgated June 16, 1971 and, as such, this contract may be cancelled, terminated or suspended by the state labor commissioner for violation of or noncompliance with said Executive Order No. Three, or any state or federal law concerning nondiscrimination, notwithstanding that the labor commissioner is not a party to this contract. The parties to this contract, as part of the consideration hereof, agree that said Executive Order No. Three is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the state labor commissioner shall have continuing jurisdiction in respect to contract performance in regard to nondiscrimination until the contract is completed or terminated prior to completion.
- The grantee agrees, as part consideration hereof, that this contract is subject to the Guidelines and Rules issued by the state labor commissioner to implement Executive Order No. Three, and that he will not discriminate in his employment practices or policies, will file all reports as required, and will fully cooperate with the State of Connecticut and the state labor commissioner.
33. Continued Funding. The initial funding of an Action Grant in no way obligates the CPCCA to continue its support of a particular program or project in ensuing years. The grantee should be prepared to assume the total cost of the project after a reasonable period of federal assistance.
34. Personnel Approval. Connecticut Planning Committee on Criminal Administration staff reserves the right to disapprove employment of any non-qualified personnel hired through CPCCA grant funds.
35. Grant Implementation Deadline. Any action grant not implemented within 90 days of the inception of the Period of Award may be terminated through Executive Committee action unless the grantee provides sufficient reason for project delay.
36. Hiring of CPCCA Staff. The Executive Committee of the CPCCA established a policy that all Connecticut Planning Committee on Criminal Administration employees, including regional planners, are ineligible to be employed in a salaried capacity under any CPCCA grants which have a Period of Award starting within one calendar year from the date of termination from the CPCCA staff, unless waived through special Executive Committee action.
37. CPCCA Acknowledgment. Books, manuals, films, or other informational and/or educational materials produced with the aid of CPCCA funding must contain an acknowledgment of such funding.



38. National Environmental Policy Act of 1969. For any project that requires: (1) construction, renovation or modification of facilities which will significantly affect the environment, or costs \$5,000 or more; (2) the implementation of programs involving the use of pesticides or herbicides; or (3) any other actions which affect the quality of the environment, the Grantee must submit a negative environmental declaration. Contact CPCA's Assistant Director of Administration for assistance, if necessary.
39. Uniform Relocation Assistance and Real Property Acquisition Policy Act of 1970. In the event that any proposed project would involve the displacement of any persons from any dwelling or building, the Grantee must inform the CPCA of the number of persons to be displaced and detail the necessity for such displacement, and must agree to cooperate with the CPCA in providing any relocation assistance necessary to comply with the Act. The costs of such assistance will be included in the costs of the project.
40. All Grantees must adhere to LEAA freedom of information requirements as outlined in LEAA guidelines M 4100.1 Chapter 28 - Freedom of Information Requirements. Determination concerning the confidentiality of any information which a Grantee wishes to withhold will be determined by the Planning Committee.
41. Executive Order Number 17. This award is subject to the provisions of Executive Order No. 17 of Governor Thomas J. Meskill promulgated February 15, 1973 requiring the listing of all employment opportunities with the State Employment Service, and, as such, this award may be cancelled, terminated or suspended by the contracting agency or the State Labor Commissioner for violation of or non-compliance with said Executive Order No. 17, notwithstanding that the Labor Commissioner may not be a party to this award. The parties to this award, as part of the consideration hereof, agree that Executive Order No. 17 is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the contracting agency and the State Labor Commissioner shall have joint and several continuing jurisdiction in respect to award performance in regard to listing all employment openings with the Connecticut State Employment Service.
42. The Connecticut State Police (agency title) hereby signifies its acceptance of the above described grant award and the above stated conditions of the grant on the terms and conditions set forth or incorporated by reference in this document.

SPECIAL CONDITIONSPLANNING DIVISION

1. The positions vacated by the state police officers paid by this grant will be filled at the earliest opportunity.
2. Subgrantee will meet all CPCA, state and federal requirements relating to the fiscal administration of confidential funds.
3. The attorney directing the Prosecutorial Support Unit shall also supervise the Legal Research Unit.
4. In the event discretionary funds are not available, the subgrantee shall immediately provide the CPCA with a revised budget for the expenditure of 1972 and 1973 Part C funds awarded to it for this project. Said revised budget shall not provide for the expenditure of awarded funds for the purpose of hiring sworn State Police Department Personnel.

Dept. of State Police  
Grantee

July 19, 1973  
Date

By:

Name:

Title: Commissioner (Chief Executive)

By:

Name: Harold R. Sterrett III

Title: Executive Director - Connecticut  
Planning Committee on Criminal  
Administration

13 July 73  
Date



CONNECTICUT BOARDING OFFICE OF CRIMINAL ADMINISTRATION

Action Grant Application: FACE SHEET

New  Continuation of Grant No. \_\_\_\_\_

Control Number

CPCCA use only

<p><b>A. Applicant City or State Agency</b></p> <p>Name: Connecticut State Police Department                  Address: 100 Washington Street                  Hartford, Connecticut 06115                  203-566-3200</p> <p>Chief Elected Official/Head of State Agency:</p> <p>Name: Cleveland B. Fvasenich                  Title: Commissioner</p> <p>Phone No. 203/566-3200</p>	<p><b>B. Implementing Agency/Organization</b></p> <p>Full Legal Name: Same</p> <p>Address:</p> <p>Head of Implementing Agency:</p> <p>Name: Same                  Title:</p> <p>Phone No.</p>
<p><b>C. Project Director</b></p> <p>Name: Lt. O. P. Ragazzi (temporary)                  Title: Commanding Officer, Detective Div.                  Address: 100 Washington Street                  Hartford, CT 06115</p> <p>Phone No. 203/566-2250</p>	<p><b>D. Financial Officer</b></p> <p>Name: Jacob Demowitz                  Title: Financial Officer                  Address: Conn. State Police Department                  100 Washington Street                  Hartford, CT 06115</p> <p>Phone No. 203/566-4767</p>
<p><b>E. Project Title:</b>                  Statewide Organized Crime Investigative Task                  Force II (SOCIIF II)</p>	<p><b>F. Program Number and Title:</b>                  3.7, Organized Crime Investigative Support</p>
<p><b>G. Project duration, this funding period:</b>                  (maximum 12 months) <u>12 months</u></p>	<p><b>L. APPLICANT CHECKLIST</b></p> <p>Face Sheet _____</p> <p>Project summary _____</p> <p>Budget itemization _____</p> <p>Budget narrative _____</p> <p>Supplementary budget data _____</p> <p>Project narrative: _____</p> <p>    Problem/need _____</p> <p>    Goals/objectives _____</p> <p>    Methods/procedures _____</p> <p>    Past progress _____</p> <p>Work Plan _____</p> <p>Evaluation design _____</p> <p>Key personnel _____</p> <p>CPCCA Regional Planner review _____</p> <p>Clearinghouse review _____</p> <p>Budget Itemization (p.4) signed _____</p> <p>Statement of Intent (p.5) signed _____</p>
<p><b>H. Total project duration (months)</b> <u>60</u></p>	
<p><b>I. Estimated starting date, this period (item G):</b> <u>July 1, 1973</u></p>	
<p><b>J. Federal (CPCCA) funds requested:</b>  <u>\$127,887</u></p>	
<p><b>K. Total project cost (this period):</b>                  _____</p>	

CPCCA Action Grant Application: PROJECT SUMMARY

Program 73:

Project: SOCIIF II

Applicant: Connecticut State Police Department

A Statewide Organized Crime Investigative Task Force (hereinafter referred to as SOCIIF) will be set up under the Connecticut State Police Department with the capability to investigate cases based on the utilization of intelligence and other information resources, the full range of criminal and non-criminal statutes, and with close coordination of the related efforts of other state and local agencies.

SOCIIF will be set up under a revision of the statutes concerning the Connecticut State Police Department's organization. Its activities and operations will employ a number of innovative approaches and its emphases will be on using intelligence resources not just on collecting and disseminating it. Intelligence assessments will also be used to evaluate the project and its activities as well as the impact of these activities on organized crime.

An Advisory Board, set up under the statute, will advise the Commissioner of State Police on policy and operational matters.

Funds are requested under this application to cover part of the cost of SOCIIF's operations. More specifically, the funds to be made available under this application will pay the salaries of some of the personnel involved in the unit as well as supplies, consultant costs, etc. This application is one of three being submitted. Together, these will defray the cost of SOCIIF's operations.

Project: SOCITF II

Applicant: Connecticut State Police Department

PERSONNEL (Job Title)	Annual Salary	Percent Time	Total Budget	CPCCA Funds	Matching Contribution		
					In-Kind	Cash	Source (by name)
Project Director(temporary)	15,344	10	1,534	-	1,534	-	Ct. State Police
1 Secretary	7,000	100	7,000	7,000	-	-	-
1 Typist	6,500	100	6,500	6,500	-	-	-
1 Receptionist (parttime librarian)	6,000	100	6,000	6,000	-	-	-
1 Staff Attorney	12,500	100	12,500	12,500	-	-	-
2 Legal Research Assistants (parttime; 20 hrs/wk @ 3.50/hr.)	3,640	100	7,280	7,280	-	-	-
4 State Police Investigators	11,939	100	47,756	47,756	-	-	-
12 Meetings of SOCITF Advisory Board (Chmn. and 8 members)	-	-	9,720	-	9,720	-	SOCITF Advisory Board
<b>Subtotals</b>			98,290	87,036	11,254		
<b>SOCIAL SECURITY AND OTHER FRINGE</b>							
Social security and other fringe, computed at 29.3%			26,175	25,501	674		Conn. State Police
<b>Subtotals</b>			26,175	25,501	674		
<b>B. EQUIPMENT PURCHASES (Description, quantity, unit price)</b>							
Law library			2,000	2,000	-	-	-
<b>Subtotals</b>			2,000	2,000	-	-	
<b>TOTAL</b>			126,465	114,537	11,928		

Project: SOCITF II

Applicant: Connecticut State Police Department

C. EQUIPMENT LEASE AND RENTAL, CONSULTING AND CONTRACTUAL	Total Budget	CPCCA Funds	Matching Contributions		
			In-Kind	Cash	Source (by name)
Expert Specialist - 35 man-days @ \$100/day	3,500	3,500			
Information System Specialist - 15 days @ \$100/day	1,500	1,500			
<b>Subtotals</b>	5,000	5,000	-	-	
<b>D. TRAVEL</b>					
Consultant travel expenses	1,000	1,000	-	-	
<b>Subtotals</b>	1,000	1,000			
<b>E. CONSUMABLES</b>					
Office supplies	1,800	1,800	-	-	
Postage and box rental	1,000	1,000	-	-	
Batteries for tape recorders, radio and electronic equipment	950	950	-	-	
<b>Subtotals</b>	3,750	3,750			
<b>F. RENT</b>					
2500 sq. feet @ \$5/sq. ft./yr.	12,500	-	12,500	-	Conn. State Police
<b>Subtotals</b>	12,500	-	12,500		
<b>G. OTHER</b>					
Telephone service @ \$300/mo.	3,600	3,600	-	-	
Equipment repair and maintenance	1,000	-	-	1,000	State Appropriation
Maintenance Services	1,500	-	-	1,500	State Appropriation
Utilities	1,200	-	-	1,200	State Appropriation
Witness protection and case preparation	13,351	-	-	13,351	State Appropriation
<b>Subtotals</b>	20,651	3,600	-	17,051	
<b>GRAND TOTALS</b>					
	169,356	127,837	24,428	17,051	
<b>Subgrantee Cash Contribution</b>					
<b>State of Connecticut Cash Contribution</b>				17,051	State of Conn.

Signature: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_  
 Chief Municipal Official,  
 Head of State Agency

If grantee cash match requirement cannot be met before June 30, 1974, indicate the earliest date that this project (or funding increment) can be completed.

Project: SOCITF II

Applicant: Connecticut State Police Department

NOTE: This budget only covers those items being paid for under this grant.

A. PERSONNELProject Director (temporary)

Pending the selection and hiring of a full-time SOCITF Director, the commander of the Connecticut State Police Detective Division will serve as the Temporary Project Director for the purpose of implementing this project and taking care of necessary preliminary arrangements. After the Director is hired, the Detective Division Commander will continue in an advisory and technical assistance role and will assist the SOCITF Director during the project period of award. The commander is presently of the rank of lieutenant and the top of the pay grade for that rank is \$15,344 per year plus fringe benefits of approximately 29.3%. It is estimated that during the course of this project, the commander will contribute at least 10% of his time to the component of the project being covered under this grant.

Secretary, Typist and Receptionist-Librarian

A secretary, typist and receptionist-part-time librarian will be hired under this grant. The secretary will be assigned to the Director of SOCITF and will also be shared with the Attorney in charge of the Interagency Liaison Unit. The typist will be assigned to the Legal Research Unit but will be shared with the Interagency Liaison Unit. In addition, a receptionist will also be hired who will also serve as a part-time librarian, to keep track of books checked out, purchased, etc. She is expected to have some limited typing duties as well. Later on, it is expected that a more permanent arrangement will be made concerning the library.

Staff Attorney

One staff attorney will be hired under this grant and will be assigned to the Legal Research Unit, reporting to the Attorney in Charge. He (she) will assist the Attorney in Charge in carrying out the duties and responsibilities of the Legal Research Unit for case screening, the identification of case elements to be addressed by the investigators, and the development of guidelines and procedures.

Legal Research Assistants

Two Legal Research Assistants will be hired under this grant and assigned to the Interagency Liaison Unit and the Prosecutorial Support Services Unit respectively. They will assist the attorneys in charge of those units and perform necessary tasks. The Legal Research Assistant will be a second or third-year law student and will work approximately 20 hours per week at a rate of not more than \$3.50 per hour (note: if the hourly rate is less than \$3.50, the Legal Research Assistant may work more than 20 hours). Primary activities will include routine research and provision of support to the Attorney in Charge and other staff. The basic rationale for hiring law students as Part-time Legal Research Assistants is the flexibility with which such personnel can be used and the fact that for many routine tasks which have to be performed in such units, it is difficult if not impossible to justify the hiring of a fully-qualified lawyer. In general, past experience of Connecticut criminal justice agencies with part-time legal assistants appears to have been favorable.

e 5A

A. PERSONNEL (Continued)Investigators

The Connecticut State Police Department will assign four State Police Officers as investigators under this grant, all of whom will be supported under it. Appropriately qualified personnel who are either experienced in organized crime investigations and/or who have attended one or more of the various courses conducted by the Federal Government (including BDD, ATF, IRS or one of the Organized Crime Law Enforcement Training Courses) will be assigned on a full-time basis. These personnel will be divided among the two shifts as may be necessary and they will report directly to the shift commander for the shift to which they are assigned. As part of this project, the existing Organized Crime and Gambling sections (in the State Police Criminal Intelligence Division) will be abolished and it is expected that the personnel in those units would be assigned to SOCITF.

State Police Officers up to and including the ranks of corporal and detective are in pay grade 16 and have a maximum salary of \$11,939 per year. In addition to State Police personnel, it is expected that additional investigative personnel and specialists from other agencies will be assigned on an as-needed basis. This would include local police officers, county detectives, and specialists from such agencies as the State Tax Department. These are not accounted for here because it is not possible to predict with any level of accuracy the amount of time that such officers will be involved in SOCITF activities. The feasibility of full-time liaison personnel from the largest departments who would be assigned to SOCITF on a full-time basis will be explored with those departments during the course of the project.

Meetings of the SOCITF Advisory Board (match)

The SOCITF Advisory Board is composed of eight members and a chairman, none of whose salaries are paid for by Federal funds. It is planned that the SOCITF Advisory Board will meet on a monthly basis and that meetings and the preparation for them will take approximately one day per month. The estimated minimum salary of the persons to be appointed to the SOCITF Board is approximately \$90 per day. On the basis of 12 meetings per year, requiring one day's preparation and attendance, a matching contribution of \$9,720 is arrived at.

B. EQUIPMENT PURCHASES

The SOCITF concept is based on the use of all relevant statutes and regulations in the investigation and prosecution of organized criminal activity and in the development of strategies and countermeasures for dealing with organized criminal activity. The unit must therefore have its own legal research capability and this, in turn, requires a good law library. Since present plans will result in the SOCITF unit being physically separate from existing law libraries, it is clear that such a library will have to be established. The receptionist to be hired under this grant will serve as a part-time librarian. This grant provides \$2,000 for such a library while additional (and much greater) funds are provided under the Discretionary Grant application.

C. EQUIPMENT LEASE AND RENTAL, CONSULTING AND CONTRACTUAL

Expert Specialists

Both at its outset and during its operation, SOCITF will, as a new operation, require the expertise of various specialists. These fall into three categories: (1) persons who are specialists in various technical and professional areas such as doctors, accountants, engineers, etc., whose expertise can be profitably used by SOCITF in investigating and/or prosecuting cases; (2) persons who are expert in those technical areas relating to the organization and operation of an organized crime investigative and prosecutorial unit; and (3) those persons who may be able to provide instruction and training to SOCITF staff members. The estimated cost item here is for 35 days at \$100 per man day.

Information System Specialist

An Information System Specialist will be hired on a contractual basis to survey information and intelligence capabilities and needs and to formulate a specific plan for meeting these, including specifications for the proposed computerized information system. Based on an analysis of work to be performed in this area, 15 man days appears to be sufficient.

D. TRAVEL

Consultant Travel Expenses

These funds will be used to cover the travel expenses for the consultants to be hired for this project under Budget Item C. In consulting agreements, the standard arrangement calls for a per diem rate (usually \$100 per day) plus expenses. The expenses to be covered include travel, subsistence and lodging. The \$1000 item here is purely an estimate. Based on the estimated 50 days of consultant time to be contracted for, it is not meant to cover all costs as it is expected that locally-available expertise will be used. In the case of an information systems specialist(s), these may have to be brought in from out of state.

E. CONSUMABLES

Office Supplies

This item will cover the costs of paper, stationery, and other standard office supplies and the cost estimate is based on experience with the New Haven County Organized Crime Task Force. It should be remembered, however, that the scale of activities for SOCITF as well as the number of personnel to be assigned on a full-time basis greatly exceeds that of the New Haven County unit.

Postage and Box Rental

The estimate here is based on experience with the New Haven County Organized Crime Task Force. A post office box will be rented. Postage

expenses will be monitored through the use of postage meters. Since many documents will be sent through the mails using certified mail and/or special delivery, the \$1,000 estimate may be conservative. If modifications are necessary later on, they will be made.

Batteries for tape recorders, radio and electronic equipment

SOCITF will be utilizing the equipment formerly assigned to the New Haven County State's Attorney's Organized Crime Task Force and this includes tape recorders, radio and other electronic equipment. The estimate of \$950 here is based on normal expenditures under previous grants to the New Haven County Organized Crime Task Force for these replaceables.

F. RENT

Present plans call for relocating the SOCITF, the Detective Division, the Criminal Intelligence Division and other State Police investigative units in a new and separate facility. The facility, which will be owned by the state, will constitute an allocation of new floor space to this operation. A minimum of 2,500 square feet of space, valued at approximately \$5 per square foot per year, will be made available for SOCITF. This will allow approximately 70 to 75 square feet per person, including all facilities.

G. OTHER

Telephone service expenses are expected to be in excess of \$300 per month because of the nature of SOCITF's operations. The unit is expected to use the telephone for long-distance calls on a large scale and this figure may in fact prove to be conservative later on. The other four items will be cash contributions by the State of Connecticut to this program. This will include equipment repair and maintenance, maintenance services for the new facility, utilities at the new facility, and the costs of witness protection and case preparation. This latter item is best handled as a cash contribution on the part of the state because of the restrictiveness of current Federal regulations requiring signed receipts, etc. The SOCITF Director will consult with the appropriate State fiscal authorities to work out a standard operating procedure and guidelines for the use of such funds.

Project: SOCITE II Applicant: Connecticut State Police

BUDGET CATEGORY (CPCA Funds Only)	Prior CPCA Funding (this project)					Request				Projected CPCA Request		
	1970 <sup>a</sup>	1970 <sup>b</sup>	1971	1972	1973	1974	1975	1976	1974	1975	1976	
A. Personnel				25,360	87,035	120,000	126,000	130,000				
B. Equipment				14,048	2,000	3,000	3,000	3,000				
C. Eqipt. Lease, Rental; Contractual					5,000	15,000	15,000	16,000				
D. Travel				2,000	1,000	2,000	2,000	2,000				
E. Consumables				5,000	3,750	8,000	8,000	8,000				
F. Rent				-	-	-	-	-				
G. Other				18,250	3,600	22,000	23,000	23,000				
Total CPCA Funding				65,158	127,887	170,000	177,000	182,000				

OTHER FUNDING SOURCES:

Have you applied for funds from other sources with which to finance this project?

No  Yes  . If so, show the following:

FUNDING SOURCE	TITLE	STATUS	AMOUNT REQUESTED	GRANT DURATION
LEAA	Discretionary Fund Grant Program	Submitted	\$251,469	12 months
*CPCA	FY 1972 Grant Funds	Submitted	65,158	13 months

\*Note: The FY 1972 funds will be used simultaneously with the FY 1973 funds. The Discretionary Funds Grant will supplement these.

NOTE: FAILURE TO DISCLOSE THIS INFORMATION MAY BE GROUNDS FOR REJECTION OF THIS APPLICATION.

Project: SOCITE II Applicant: Connecticut State Police Department

Continuing investigation and study by both the Connecticut Planning Committee on Criminal Administration and by the Connecticut State Police Department indicate the existence of major organized criminal activities in Connecticut. These are, to a large extent, more extensive than ever before, described in some detail in the state's 1972 and 1973 Comprehensive Plans to the extent that it is feasible to describe organized criminal activity. The major types of activities in which organized criminal syndicates are engaged in (in Connecticut) include gambling, loansharking, infiltration of legitimate business and cigarette smuggling. The dimensions of these activities for a state the size of Connecticut are considerable. For example, the volume of off-track betting has been crudely estimated at over \$100 million per year while the volume of numbers (policy) activity is estimated at between \$34.3 and \$57.2 million annually. Of more direct interest is the state's tax losses from the smuggling of untaxed cigarettes into the state and their sale either with forged tax stamps or without such stamps. This traffic has been shown by investigations of the Connecticut State Police Department and other departments to be highly organized. The state's losses are estimated to be as high as \$20 million annually. In the case of infiltration of legitimate businesses by organized crime elements, it is estimated that there are over 100 establishments and firms that have been taken over so far.

The major problem with respect to the control of organized criminal activities in Connecticut is the general lack of broadly-based investigative capabilities. This problem actually has three aspects: (1) present control activities are limited in both scope and sophistication; (2) intelligence resources and other information are not being adequately used; and (3) there is a noticeable lack of coordination of organized crime control efforts in the state at the Federal, state and local level and with private organizations' efforts. With respect to the first aspect, present efforts to investigate organized criminal activity in Connecticut is primarily a function of police departments and is based on utilization of criminal statutes. In fact, present efforts only utilize a small part of the criminal statutes that could be used. Investigations are aimed at identifying the perpetrator and then connecting him with a specific violation of criminal law. While this approach does result in some arrest activity, the question does remain of how many ranking members of organized criminal syndicates are careless enough to commit gross violations of criminal laws. In general, such individuals are extremely careful not to commit criminal code violations. On the occasions when they do, and are caught, it is more a result of carelessness on their part than it is the result of investigative efforts of law enforcement agencies. In Connecticut, there is only limited use of other (non-criminal) statutes and administrative regulations such as the tax statutes, regulations on financial transactions of various types and liquor laws (among others) in the investigation and prosecution of organized crime. Investigation by the Connecticut Planning Committee on Criminal Administration of this matter indicated that, to a large extent, the state's traditional agencies are not equipped from the point of view of training, experience, or orientation, and resources to utilize and broad range of criminal statutes let alone the much wider range of non-criminal statutes and administrative regulations that could potentially be brought to bear on the organized crime problem.

With respect to the second aspect, namely the inadequate use of intelligence resources and other information, there is only an extremely limited capability among Connecticut criminal justice system agencies to analyze available information and intelligence resources with the aim of developing strategies and countermeasures to deal with organized crime. To a large extent, this is due to the lack both of personnel and of an effective mechanism for storing and analyzing such information. The Connecticut State Police Department is the major repository of intelligence and other information on organized crime in the state. In 1969 and 1970, it attempted to computerize some of the files that it possessed so that these could be more readily available for use but these efforts did not



## STATEMENT OF PROBLEM/NEED (Continued)

come to pass because the cost estimates of such computerization were very high. Despite these efforts, however, the Connecticut State Police Department, as of this writing, does not employ any full-time intelligence analysts whose role it would be to analyze and process incoming information from field sources and from other agencies, informants, etc., and to integrate this into existing files for use in decision-making and in the evaluation of enforcement and prosecutorial activities. There is, of course, some "intelligence analysis" going on all of the time, primarily in response to specific needs but there is no systematic approach to analyzing existing and incoming information and using the resulting analyses for the purpose of making tactical decisions concerning such activities as surveillance, investigation, etc. In an environment where manpower and other resources are, at best, in tight supply, the ability to utilize intelligence resources as an aid in decision-making concerning the allocation of manpower is an important factor in the effective use of such resources.

With respect to the lack of effective coordination of both existing efforts to investigate organized criminal activity, and of the efforts of those agencies with potential resources and jurisdiction over aspects of the problem, at present the investigation of organized crime cases (as stated above) is still largely a police function. While there may be some non-law enforcement agencies with something to contribute (in the form of their own investigative capabilities, broader jurisdiction, useful regulatory powers, etc.) there is no formal mechanism for making use of these results in a systematic fashion. There are two ongoing efforts in the state which provide a limited degree of coordination: the State's Enforcement Coordinating Committee (SECC) which coordinates the operations of the state's regional crime squads and those of the State Police Department with respect to narcotic offenses, and the New Haven County Organized Crime Task Force (OCTAFORCE) which coordinates the activities of police departments in New Haven County (including the New Haven Police Department), the State Police Department, and the State's Attorney's Office for New Haven County. However, their approach is limited to police and prosecutorial agencies at best. They do not include the other state and local agencies which potentially could make important contributions to any statewide effort.

Project: SOCI II

Applicant: Connecticut State Police Department

The ultimate overall objective of the project, as conceived here, is to reduce the level of organized criminal activity in Connecticut. This, in Connecticut, means a reduction in the level and scope of gambling, loansharking, infiltration of legitimate business, and cigarette smuggling among others. By reducing these activities, it is expected that the overall impact will be greater than by concentrating on other types of activities.

To achieve this overall objective, there are two subobjectives as follows:

(1) causing major disruption of organized criminal activity; and (2) increasing the cost of doing business for organized criminal syndicates and enterprises. This project requests discretionary funds which will be combined with block grant funds to establish and operate a Statewide Organized Crime Investigative Task Force (referred to hereinafter as SOCI). SOCI will be established as a unit within the Connecticut State Police Department by statute and will include intelligence, investigative and prosecutorial elements.

While SOCI will be the state's major response to the organized crime problem and will be aimed at reducing the level of the problem, it will also address the major problem defined earlier of the lack of a broadly-based investigative capability, and, specifically, the three aspects of this problem as follows:

Problem Aspect 1: Limited Scope and Sophistication of Control Activities

The proposed SOCI unit will be set up in such a way as to take into account all relevant criminal and non-criminal statutes that can be brought to bear on the problem of organized crime. At present, the majority of arrests for these crimes are made by local police departments relying primarily on criminal statutes. By broadening the statutory base for both investigation and prosecution, this will in effect increase the number of options available to both investigators and prosecutors and thereby expand and increase the sophistication of the state's capability to investigate and prosecute organized crime cases. By doing this, it is expected that the resultant investigative, apprehension and prosecution activities will result in a major disruption of organized criminal activity in Connecticut.

Problem Aspect 2: Inadequate Utilization of Information and Intelligence Resources

The proposed SOCI unit will address the need for an improved capability on the part of the state to analyze, process and use intelligence. A major aspect, in fact, of the SOCI operation will be the increased use of intelligence for decision-making purposes and for evaluation of the SOCI efforts. The SOCI operation envisions using intelligence and other information collected in the field in four ways: (1) for decision-making purposes regarding the allocation of manpower, surveillance resources, prosecutorial resources; (2) developing overall strategies and countermeasures for the control and suppression of organized criminal activity; (3) evaluating the impact of SOCI and other enforcement and intelligence operations and of such measures as revised or strengthened legislation on organized criminal activity in the form of intelligence assessments; and (4) educating other agencies, organizations and the public with regard to the specific problem of organized crime.

By improving the state's capability to analyze, process and use intelligence resources profitably, this will lead to greater improvement in the state's ability to develop legal, investigative and statutory countermeasures for the control and suppression of organized criminal activity. This, in turn, is expected to lead to improved efficiency in the operation of those agencies engaged in or participating in organized

GOALS AND OBJECTIVES (Continued)

crime control activities; and (2) increased and expanded capabilities as a result.

Problem Aspect 3: Lack of Coordination of Efforts

The proposed SOCITF unit will have statutory authority to coordinate the activities and operations of other state and local agencies insofar as they are concerned with problem aspects related to organized crime. An Interagency Liaison Unit will be set up within SOCITF with the purpose of developing and maintaining liaison with other state, local, federal and private organizations and agencies, and maintaining detailed information on the capabilities and resources of these other agencies. It will coordinate interagency operations and joint activities, act as the focal point for exchange of information and intelligence, and personnel and for the referral of cases to other agencies where analysis indicates that the case elements are clearly within their purview and jurisdiction. It will also maintain a followup monitoring system to keep track of the status of these "referred" cases and will develop guidelines for other agencies with respect to recognition of organized crime elements in their operations. One of the more important activities of this Interagency Liaison Unit will be to expand and maintain contacts with private and out-of-state organizations and agencies.

A major result of this coordination effort will be the definition and establishment of specific roles and responsibilities for the various state and local agencies resulting in more effective use of investigative and regulatory resources of various state agencies, less duplication and, in turn, some disruption of organized criminal activities.

Project: SOCITF

Applicant: Connecticut State Police Department

In setting up SOCITF, the following preliminary steps were taken by the CPCA and the Connecticut State Police Department:

- (1) The resources, capabilities and activities of most of the principal state agencies were surveyed in detail with the aim of determining their present jurisdiction, their present capabilities, the resources they possessed and what arrangements could be made for cooperation in the development of an integrated approach to organized crime control.
- (2) Existing criminal and non-criminal statutes were examined and those statutes that could be brought to bear on the various aspects of organized criminal activity were identified and grouped by substantive area, i.e., fraud, loan-sharking, etc. As a minimum this provided the state's law enforcement and prosecution of such activities even if SOCITF were not to be set up.
- (3) The capabilities and resources of various federal agencies and bureaus operating in Connecticut were examined with the aim of identifying what contribution they could make to the state's efforts.
- (4) The capabilities and resources of various local and private agencies were examined with the aim of determining their respective roles and responsibilities for organized crime control efforts in Connecticut.

It should be added that this type of systematic examination and assessment of existing agencies had never before been carried out in Connecticut. By including almost all of the major state agencies and an examination of all statutes, both substantive and procedural, this preliminary planning effort greatly exceeded in scope anything that had been done elsewhere.

Within the Head of page 11, enter the project title, name of the applicant municipality, region or state agency, and the program number.

The purpose of the WORK PLAN is to help applicants pre-plan realistically by breaking down the major elements and phases identified under the previous section into more detailed steps or "milestones," within a specific time frame. Past experience has shown that it is careful attention (or lack of it) to just such detailed operational procedures that has been a major factor in determining the smooth implementation or ongoing difficulties of a particular project. The Work Plan is designed to elicit the applicant's knowledge of local conditions or implementing agency procedures that might affect project implementation, particularly in the crucial startup phase. Additionally, the Work Plan provides the applicant and the funding agency with a realistic basis for project monitoring and required progress reporting once the project is funded.

**FORMAT GUIDE:** "Milestones" will vary according to type of project. You may wish to group tasks under broad headings such as 1. Startup, 2. Operational, etc. Under "Assigned to" indicate by title the person responsible for carrying out the particular task.

Dates need not be progressive (e.g., Evaluation tasks may begin on the project starting date and continue through project). **EXAMPLES:**

1. STARTUP:

<u>MILESTONES</u>	<u>Begin Date</u>	<u>End Date</u>	<u>Assigned to</u>
<b>PERSONNEL</b>	6-1	10-30	
Hire Project Director	6-1	7-1	Advisory Committee
Hire Staff	7-1	9-1	Advisory Comm., Project Dir.
Establish Admin. Procedures	7-1	10-30	Project Dir., Admin. Asst.
Retain Consultant	7-15	9-1	Project Director
Train staff, participants	9-1	9-30	Consultant, Proj. Dir.
<b>EQUIPMENT</b>	7-15	9-30	
Requisition			Admin. Assistant
Purchase			Admin. Assistant
Deliver			Municipal agent
<b>CONSULTANT</b>	9-1	6-1	
Prog. Eval: Eval. design	9-1	9-30	Consultant
Testing (quarterly)	9-30	6-1	"
Data Collection & Analysis	9-30	6-1	Project participants
Report Writing		7-1	Consultant

**NOTE:** Applicants should check carefully the program under which they are applying, for instructions on possible required milestones for projects funded under that category.

Project: SOCLIN II

Applicant: Connecticut State Police Department

In preparing the state's application for discretionary funds, a detailed attachment was produced which addressed a broad range of questions and issues concerning the Statewide Organized Crime Investigative Task Force operation, particularly its means of operation, its objectives, subobjectives and intermediate objectives, the functions and responsibilities of the various sub-units, its relationship with other agencies, etc. It also addresses in some detail the duties of the project staff. In view of the existence and availability of this attachment, it was felt that it would be appropriate to include this under "Methods and Procedures" rather than duplicating much of the content. Accordingly, it is inserted herein.

Milestones	Begin Date	Ending Date	Assigned To:
<u>PERSONNEL</u>			
1. Hire Project Director	6-1	7-1	State Police, Advisory Board
2. Hire remaining staff	7-1	7-15	Project Director
3. Assign staff under matching	7-1	7-30	State Police Chief St's Atty
4. Establish internal procedures	8-1	8-30	Project Director
5. Train Intelligence Analysts	9-1	9-30	Project Director
<u>PROJECT ORGANIZATION</u>			
1. Establish four units: Legal research, Interagency Liaison, Prosecutorial Support Services, Investigative Unit	7-1	7-15	Project Director
2. Establish working relationships with other agencies	8-1	8-15	Project Director, Interagency Liaison Unit
3. Establish initial procedures for case referral, exchange of intelligence, etc.	8-1	8-15	Interagency Liaison Unit, Project Director
4. Establish final procedures for case referral, exchange of intelligence, etc.	8-1	12-15	Project Director, Interagency Liaison Unit
5. Develop forms and materials for internal operations	7-1	8-15	Unit heads, Project Director
<u>EQUIPMENT</u>			
1. Purchase or lease equipment	6-15	7-1	Project Director
2. Lease cars	7-1	8-15	Investigator Unit Commander
3. Transfer OCTAFORCE equipment to SOCITF	7-1	7-15	Project Director
<u>CONSULTANTS</u>			
1. Arrange for information system specialists	7-15	8-15	Project Director
2. Report and recommendation on information system needs	9-1	10-1	Consultant
3. Technical Assistance on Evaluation Data needs	8-1	9-1	Project Director, Technical Assistance Personnel

As stated earlier, the ultimate program objective is to reduce the level and scope of organized criminal activity in Connecticut. To achieve this overall objective, this project has been developed with the specific goal of bringing about a major disruption of organized criminal activity, as a subobjective.

By setting up and operating the Statewide Organized Crime Investigative Task Force, five intermediate objectives will be addressed. These are as follows:

- (1) Improved and expanded capability to investigate organized crime;
- (2) Improved capabilities to analyze and process intelligence;
- (3) Improved coordination of public and private efforts;
- (4) Improved ability to develop strategies and countermeasures to deal with organized crime; and
- (5) Definition and establishment of specific roles and responsibilities for the various state and local agencies in the fight against organized crime in Connecticut.

There are thus three levels of assessment in this evaluation process. There is, first, an assessment of the extent to which organized criminal activity has been reduced in Connecticut. Since, as was shown earlier, the major activities include gambling, loan-sharking, the infiltration of legitimate business, and cigarette smuggling, it will be sufficient here to show some reduction in these. This can be accomplished through the use of intelligence as well as from data. The grantee will attempt to structure data collection efforts so that the requisite data can be collected.

The second level of assessment will be the extent to which the subobjective of disruption of organized criminal activity has been achieved. Again, as stated earlier, there are four ways in which this can be assessed: (1) frequency of changes in leadership of organized crime syndicates; (2) changes in nature of activities that are organized; (3) changes in tightness of discipline within the organization such as manifestations of carelessness, indifference, dissidence; and (4) changes in ranks, structure of the organization, and stability. The assessment of these cannot be carried out without resort to intelligence files and intelligence analyses. Again, the grantee will make efforts to assess these.

The third level of assessment concerns the extent to which the five intermediate objectives have been achieved. A summary of these, together with methods of assessment and source of information follows: (the objective number refers to the list above)

Intermediate Objective	Means of Assessment	Data Source
(1)	a. Scope and type of statutes being used.	a. Case activity summaries.
	b. Type and quality of arrests and prosecutions.	b. do.
	c. Level of investigative and prosecutorial activity.	c. do., intelligence files.

EVALUATION DESIGN (Continued)

<u>Intermediate Objective</u>	<u>Means of Assessment</u>	<u>Data Source</u>
(2)	<ul style="list-style-type: none"> <li>a. Types of intelligence and other info collected.</li> <li>b. Uses of such intelligence and info</li> <li>c. Relative importance and usefulness of such info.</li> </ul>	<ul style="list-style-type: none"> <li>a. Intelligence files</li> <li>b. Case files, case element check lists.</li> <li>c. Subjective assessment by project staff.</li> </ul>
(3)	<ul style="list-style-type: none"> <li>a. Type and frequency of relations, contacts with other agencies</li> <li>b. Quality and usefulness of such contacts</li> </ul>	<ul style="list-style-type: none"> <li>a. Interagency Liaison Unit records.</li> <li>b. Subjective assessments by staff</li> </ul>
(4)	<ul style="list-style-type: none"> <li>a. Types of strategies developed</li> <li>b. Development of a framework for utilizing and evaluating strategies and countermeasures</li> <li>c. No., type and quality of recommendations made by SOCITF staff.</li> <li>d. New techniques developed by SOCITF</li> </ul>	<ul style="list-style-type: none"> <li>a. Direct observation.</li> <li>b. Direct observation, subjective assessment of staff.</li> <li>c. SOCITF reports, Director, Advisory Board</li> <li>d. Director observation, subjective assessments by persons working with or familiar with SOCITF.</li> </ul>
(5)	<ul style="list-style-type: none"> <li>a. Definition of clear and specific roles for each of the agencies insofar as SOCITF is concerned.</li> <li>b. Existence of close liaison.</li> <li>c. Existence of guidelines governing joint operations, referral of cases, etc.</li> <li>d. Organized Crime Awareness among other agencies.</li> </ul>	<ul style="list-style-type: none"> <li>a. Interagency liaison records and files.</li> <li>b. Interagency Liaison records.</li> <li>c. Direct inspection. Interagency Liaison Unit records.</li> <li>d. Surveys of other agencies, interviews, subjective assessments.</li> </ul>

It should be noted that this is only a first cut at the development of an evaluation design for this project. It should be noted that it is not meaningful

EVALUATION DESIGN (Continued)

at this stage to attempt to evaluate the quantitative impact of a project such as SOCITF in terms of, for example, a reduction in gambling by x per cent in y years. There are two major reasons for this: (1) there is no means of measuring the level of organized criminal activity in any meaningful fashion; and (2) there is no means of relating specific resource inputs (such as increased manpower) to a result, such as "reduction in gambling." The proposed project, in examining the above assessments, will attempt to address the question of measurement of impact.

LEAA technical assistance and outside consultant assistance will be sought for this project and the Grantee will consult closely with the Connecticut Planning Committee on Criminal Administration's evaluation section.





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Application is hereby made for a grant under Sections 303 and/or 455 of the Omnibus Crime Control and Safe Streets Act of 1968 (P. L. 90-351), as amended in the amount and for the purposes set forth in this application.

(LEAVE BLANK FOR OFFICIAL USE ONLY)

Application Number

Date Received

Region Assigned

1. Short Title of Project: (Do not exceed one typed line)  
 Statewide Organized Crime Investigative Task Force (SOCITF)
2. Type of Application: (Check One)  Original  Revision  Continuation of Grant No. \_\_\_\_\_
3. Discretionary Program Under Which Application is Made:  
 I-2, Statewide Organized Crime Intelligence Units
4. Project Duration: Total Length 12 months  
 7/1/73-6/30/74
5. LEAA Support Sought \$ 220,859
6. Applicant or Implementing Agency or Governmental Unit:  
 (Name, address, and telephone)  
 Connecticut State Police Department  
 100 Washington Street  
 Hartford, Connecticut 06115  
 203/566-3200
7. Project Director (Name, title, address, and telephone)  
 Lt. Orlando P. Ragazzi  
 Commanding Officer, Detective Division  
 Connecticut State Police  
 100 Washington St., Hartford, CT 06115  
 203/566-2610
8. Financial Officer (Name, title, address, and telephone)  
 Jacob Donowitz, Fiscal Officer  
 Connecticut State Police Department  
 100 Washington Street  
 Hartford, Connecticut 06115  
 203/566-4767
9. Official Authorized to Sign Application (Name, title, address, and telephone)  
 Hon. Cleveland B. Fuessenich, Comsr.  
 Connecticut State Police Department  
 100 Washington St., Hartford, CT 06115  
 203/566-3207
10. Project Summary - Summarize, in approximately 200 words, the most important parts of the statement of project plan presented in application item 21 (page 7), briefly covering project goals and program methods, impact, scope, and evaluation.

The specific goal of this project is to bring about a major disruption of organized criminal activities in Connecticut by improving and expanding the state's investigative capabilities. A Statewide Organized Crime Investigative Task Force (SOCITF) will be set up under the Connecticut State Police Department with the capability to investigate cases based on the utilization of available intelligence resources and of the full range of criminal and non-criminal statutes and administrative regulations. It will, in this regard, coordinate those investigative activities carried out by other state agencies that involve organized criminal activity to any extent.

SOCITF will be set up under a revision of the state statutes concerning the Connecticut State Police Department's organization. Its activities and operations will employ a number of innovative approaches including: (1) the screening of incoming cases for an "organized crime content" by referral to intelligence files and other sources of information; (2) the use of legal analysts to identify case elements that are to be addressed by investigative personnel; (3) the development of an interagency liaison capability that will include case monitoring, coordination of investigations, and orientation of other state agencies to a high degree of awareness of organized criminal activities related to the particular agency's jurisdiction; and (4) the increased use of intelligence and other information as an aid in decision-making concerning the allocation of manpower, prosecutorial and wiretap resources (among others) to organized crime investigation.

The emphasis, then, of SOCITF will be on using intelligence resources rather than just on collecting and disseminating it, as is the case with the majority of intelligence units set up. Intelligence files and other information will also be used to evaluate

10. (Continued) the project (SOCITF). This will be accomplished in large part by developing intelligence estimates to determine the extent to which organized criminal activity has been disrupted or otherwise effected in Connecticut



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11. DETAILED PROJECT BUDGET - Include the estimated cost or value of all resources necessary to undertake the project.

Personnel (Employees) (1) Salary list each position with salary rate and percentage of time devoted	LEAA SUPPORT	GRANTEE CONTRIBU- TION	GRANTEE HARD MATCH	CATEGORY TOTAL
(Continued)	\$	\$	\$	
Overtime pay for State Police personnel; approximately 10% of base time	14,373			
Local Police Investigators 1320 days @ \$45/day	59,400			
(2) FICA, Retirement, etc.	\$	\$	\$	\$
B. Professional Services (Itemize)				
(1) Individual Consultants list by individual or type with fee basis and amount of time devoted	\$	\$	\$	
(2) Construction Contracts	\$	\$	\$	\$
C. Travel (Transportation and Subsistence) (Itemize)				
Travel (Transportation and Subsistence) (Itemize)	\$	\$	\$	\$
D. Equipment (Itemize)				
Equipment (Itemize)	\$	\$	\$	\$
E. Supplies and Other Operating Expenses (communications, reproduction, indirect costs) (Itemize)				
Supplies and Other Operating Expenses (communications, reproduction, indirect costs) (Itemize)	\$	\$	\$	\$
<b>TOTAL PROJECT COST</b>	\$	\$	\$	\$



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11. DETAILED PROJECT BUDGET - Include the estimated cost or value of all resources necessary to undertake the project.

A. Personnel (Employees) (1) Salary list each position with salary rate and percentage of time devoted	LEAA SUPPORT	GRANTEE CONTRIBU- TION	GRANTEE HARD MATCH	CATEGORY TOTAL
2 Intelligence Analysts @ 10,000/year	100%	\$ 20,000	\$	\$
2 Asst. Prosecutors @ 18,000/year	100%		36,000	
1 Secretary @ 7,000/year	100%	7,000		
1 Staff Attorney @ 15,000/year	100%	15,000		
1 Legal Research Asst. @ 3.50/hour, 20 hours/week		3,640		
2 Shift Supervisors (Sergeants) @ 13,172/year	100%		26,344	
6 Investigators @ 11,939/year	100%	59,695		11,939
(2) FICA, Retirement, etc.	\$ 212,403	\$ 80,611	\$ 11,939	\$ 304,953
B. Professional Services (Itemize)				
(1) Individual Consultants list by individual or type with fee basis and amount of time devoted				
Training and Investigative Consultants, 20 days at \$100/day	\$	\$		2,000
Account Investigators, 30 days at \$75/day				2,250
(2) Construction Contracts	\$	\$	\$	\$
C. Travel (Transportation and Subsistence) (Itemize)				
Travel (Transportation and Subsistence) (Itemize)	\$	\$	\$	\$
Use of private automobiles				2,167
Attendance at conferences and meetings				3,000
Training--travel and subsistence for staff personnel attending training programs				1,500
D. Equipment (Itemize)				
Equipment (Itemize)				6,667
Office Equipment				1,000
Law Library	\$ 3,000		\$ 1,000	
	4,000		8,000	
	7,000		9,000	\$ 16,000
E. Supplies and Other Operating Expenses (communications, reproduction, indirect costs) (Itemize)				
Supplies and Other Operating Expenses (communications, reproduction, indirect costs) (Itemize)				
Printing and Reproduction				3,511
Film	\$ 356	\$	\$	
Memberships	600			
	500			
<b>TOTAL PROJECT COST</b>	\$ 220,859	\$ 80,611	\$ 35,367	\$ 336,837



## 12. BUDGET NARRATIVE

Begin below and add as many continuation pages (3a, 3b, etc.) as may be necessary to relate the items budgeted to project activities, and complete the required justification and explanation of the project budget.

The budget narrative for this grant refers only to those items listed in its budget. A number of other items are covered by two block grants awarded by the Connecticut Planning Committee on Criminal Administration. An overview of the staffing for the project is given in the attachment to this application.

### A. Personnel

The following personnel will be included under this grant:

#### Intelligence Analysts

Two intelligence analysts will be hired under this grant. They will be organizationally attached to the Director's office.

Where necessary, they will be sent either to the Justice Department's special course for intelligence analysts (under the Organized Crime and Racketeering Section) or to another appropriate school for training. They will then be assigned to work on the Connecticut State Police C.I.D. files. Their initial efforts will include working together with consultants (to be hired under this grant) to design and develop an intelligence file system to support the work of the Statewide Organized Crime Task Force (SOCITF). This intelligence file system will be designed so that it is compatible with the Criminal Justice Information System (CJIS) soon to be implemented by the State of Connecticut. The intelligence analysts will also work closely with other units within SOCITF. Their major tasks will include: (1) development of procedures and forms; (2) analysis of intelligence; and (3) preparation of intelligence assessments. The \$10,000 salary represents an estimate of the cost of obtaining personnel of this type.

The Intelligence Unit will draw on five major resources. The first is the existing State Police files, which at the present time include intelligence data collected by OCTAFORCE in New Haven County. A second source will be from the operational field forces of SOCITF. The third source will be local police departments. This will occur through two channels. At the line-level, SOCITF, through the participation of local investigators, will have a direct intelligence connection with their respective departments. In addition, more informal channels currently exist between the State Police management and the staff of local police departments and this channel will expand as SOCITF is implemented.

A fourth source will be NEOCIS. The Connecticut State Police Department is presently a member of the New England State Police Administrator's Conference (NESAPAC). NEOCIS is a satellite of NESAPAC. The State Police, and SOCITF, will provide NEOCIS with intelligence data that is of concern to other member states in the New England Region. The liaison with NEOCIS will be a responsibility of the Intelligence Unit. It is expected that NEOCIS, in turn, will continue to provide Connecticut with intelligence concerning organized criminal activity having interstate significance.

The existence of NEOCIS, however, does not eliminate the need for a centralized state intelligence collection and analysis capability in Connecticut. SOCITF will require intelligence for strategic, as well as tactical, operations planning. While NEOCIS will provide an input of tactical intelligence data related to interstate criminal activity that would not be available to a purely intrastate collection effort, this input is not sufficiently comprehensive or specific either to support the extensive prosecutorial activity envisioned for SOCITF or to serve as the data base for day-to-day operations and overall strategic planning.

The fifth source of intelligence data will be various state and federal agencies. In the case of drug-related activity, it is expected that formal communications channels will be implemented between the intelligence units of SOCITF and the Statewide Enforcement Coordinating Committee (SECC). SECC, which was developed with the assistance of CPCCA funds, has a mandate to coordinate the intelligence functions of the Regional Crime Squads. The Squads' activities are generally limited to enforcement of the state's controlled drug laws and investigation of drug-related offenses through undercover operations. Since some portion of the drug offenses committed relate to organized criminal activity, close coordination of the two intelligence units is mandatory.

Other agencies, state and federal are expected to provide intelligence, largely in the form of complaints and referrals, through the Interagency Liaison Unit.

#### Prosecutors (Match)

Two Assistant Prosecutors will be assigned to the Prosecutorial Support Services Unit of SOCITF. One of them will be placed in charge of the Prosecutorial Support Services Unit while the second will assist him. They will be assigned as matching contribution under an arrangement with the Chief State's Attorney's Office. This will insure that SOCITF is tied in closely to the prosecution of cases. The salary figures included as an in-kind contribution (\$18,000/year) reflect current legislatively set pay scales.

#### Secretary

A secretary will be hired under this grant. The secretary will be assigned to the Prosecutorial Support Services Unit of SOCITF. Additional clerical and secretarial help will be supported under block grant funds.

#### Staff Attorney

One staff attorney will be hired under this grant. He will be placed in charge of the Legal Research Unit. This will be an operational, rather than administrative, position. The salary figure (\$15,000/year) is equivalent to the compensation paid to attorneys on other existing CPCCA grants, and reflects the amount required to hire a practicing attorney with 2 - 3 years experience. An additional attorney will be hired under block grant funds (CPCCA grant no. A77-2001-37001-2) and assigned to the Legal Research Unit.

#### Legal Research Assistant

One Legal Research Assistant would be hired under this grant and assigned to the Legal Research Unit to assist the attorney in charge of that unit. The Legal Research Assistant will be a second or third year law student and will work approximately 20 hours per week at a rate of not more than \$3.50 per hour. (note: if the hourly rate is less than \$3.50, the Legal Research Assistant may work additional hours). Primary activities will include routine research and provision of support to the attorney in charge. Two additional Legal Research Assistants will be hired under block grant funds with a similar work week. They will be assigned to the Interagency Liaison Unit and the Prosecutorial Support Services Unit respectively. The basis rationale for hiring law students as part-time Legal Research Assistants is based in part on: (1) the favorable experience of other Connecticut state agencies in the use of such personnel; (2) the flexibility with which such personnel can be used; and (3) the fact that for many routine tasks which have to be performed in such a unit, it is difficult to justify the hiring of a full-fledged attorney.

#### Shift Supervisors (match)

Two State Police sergeants will be assigned, as a matching contribution, by the Connecticut State Police Commissioner to supervise the activities of State Police and other police personnel assigned to the Investigative Unit. Appropriately qualified persons who are either experienced in organized crime investigations and/or who have attended one or more of the various courses conducted by the Federal Government (FEDDO, ATF, IRS or one of the Organized Crime Law Enforcement Training Courses) will be assigned on a full-time basis. State Police sergeants fall into pay grade 18, the maximum for which is \$13,172 per year, and this is computed as the amount of matching contribution. A State Police Lieutenant (or higher rank) will be assigned as Commander of the Investigative Unit but this is accounted for as a matching contribution under a block grant. The two shifts will span those periods judged by the SOCITF Director to be consistent with the needs of SOCITF. The two shift supervisors will report to the Commander, Investigative Unit.

#### Investigators

The Connecticut State Police Department will assign at least ten State Police officers as investigators. Five of these will be supported under this grant and an additional one will be assigned as a matching contribution. In addition, four other investigators will be supported under a block grant. Appropriately qualified personnel who are either experienced in organized crime investigations and/or who have attended one or more of the various courses conducted by the Federal Government (BMDD, ATF, IRS or one of the Organized Crime Law Enforcement Training Courses) will be assigned on a full-time basis. These personnel will be divided among the two shifts as may be necessary and they will report directly to the shift commander for the shift to which they are assigned.

As part of this project, the existing Organized Crime section of the State Police Criminal Intelligence Division (CID) will be abolished and it is expected that the personnel in the unit will be assigned to SOCITF. In addition, the existing

Smuggling section of the CID will be cutback, investigating only cases not connected with Organized Crime.

State Police Officers up to and including the ranks of corporal and detective are in pay grade 16 and have a maximum salary of \$11,939 per year. This is computed as the amount of matching contribution.

In addition to State Police personnel, it is expected that additional investigative personnel will be assigned to the Investigative Unit on an as-needed basis. These would include county detectives, and investigative personnel and specialists from other agencies, e.g., the State Tax Department. These are not accounted for here, either as match or as being funded because it is not possible to predict with any level of accuracy the amount of time that such investigators will be involved in SOCITF activities.

#### Overtime

Past experience has shown that personnel assigned to such a unit inevitably must work overtime. The amount of funds requested in this budget for overtime pay is computed on the basis of 10% of the base pay for the State Police personnel assigned to the Investigative Unit. This will allow a bit under 200 hours per year per man of overtime pay although it is expected that the distribution of actual overtime pay will not be nearly so uniform.

#### Local Police Investigators

Funds have been requested to enable SOCITF to utilize the equivalent of six (6) full-time local police investigators. It was agreed upon by representatives of the Connecticut State Police and the CPCCA that this was the best means to insure adequate local participation on a continuous basis at the operating level.

The utilization of local police on a per diem, fee-for-services basis, is designed to give SOCITF the flexibility to draw on this resource where and when needed. It gives the Director and Commander of the Investigative Unit the capability to allocate their investigative resources as the demand for them requires. The manpower would be used on a case-by-case basis.

In this way, SOCITF would prevent a manpower drain on any particular department for long periods of time while allowing for participation by more local departments. This would give more local officers the opportunity to become engaged in this specialized field of investigation.

It is premature to attempt at this time to identify those areas where the investigative efforts of SOCITF will be directed. This would seem to be the purview of the Director of SOCITF, his staff and the Advisory Committee on Organized Crime. We may assume, however, that SOCITF will be involved in investigations in the most populated cities of Connecticut namely; Hartford, Bridgeport, New Haven, Stamford, Waterbury, New Britain, and Norwalk. The Chief of Police of each of these cities has expressed a willingness to cooperate with the State Police on the SOCITF project. The Director of SOCITF through the head of the Interagency Liaison Unit should confer with the Chiefs of Police of these cities and decide on personnel from those police departments who would act as liaison officers with SOCITF both to keep the Chiefs informed as to current trends of Organized Crime, and to provide trusted contact people within major police departments which SOCITF investigators could deal with.



SOCITF will confer with the appropriate Chiefs of Police on a individual case basis to determine how many local police officers might be assigned, for what period of time and who the officers will be. This must of necessity be a mutual agreement and separate arrangements must be made for each operation.

The per diem rate of \$45 is based on an annual salary of \$9,900 for a 220 day year, an amount sufficient to compensate patrolmen and detectives in more than one-half of those departments surveyed to date concerning their cooperation with SOCITF.

#### Fringe

The State of Connecticut requires that fringe benefits be paid out of federal funds for any positions compensated under federal grants. Fringe has been calculated at 29.3%, the normal rate for state employees, for all full-time positions funded by the DF application.

#### B. Professional Services

##### Training and Investigative Consultants (Match)

As part of the efforts to establish the Statewide Organized Crime Investigative Task Force, it will be necessary to provide some orientation training for both SOCITF staff as well as for the personnel and representatives of the various agencies with which SOCITF will be working. It will also be necessary to bring in specialists to advise the Director on the development and setting-up of criminal intelligence files. Based on Connecticut's previous efforts in the area of organized crime training, an earlier survey of criminal intelligence needs for purposes of organized crime investigation and the availability of both training materials and reference works on criminal intelligence (notably a recent publication entitled "Basic Elements of Intelligence" published by the Technical Assistance Division of LEAA among others), the estimate of 20 man-days appears to be sufficient for this purpose.

It should be noted that additional monies for consultants are provided under a block grant to this program.

##### Account Investigators

Several experienced accountant investigators will be recruited, screened, and used on an as needed consultant basis to assist with those investigations which require the tracing of cash flows and other sophisticated financial transactions. When working on an investigation, these investigators will be assigned to the Investigative Unit, under the supervision of the Commander of that unit. It is not expected that such a position is required on a full-time basis during the first year's operations. The per diem rate of \$75 is based on an annual salary of \$16,500 for a 220 day work-year.

#### C. Travel (Transportation and Subsistence)

In all cases, travel allowance will be limited to those permitted by the State of Connecticut. Currently, these provide for up to \$19 per day for travel, including \$7 per day for meals.

##### Use of Private Automobiles

Funds will be reserved here to cover the reasonable use of private automobiles, under proper authorization by project staff. The estimate of \$1,000 represents 10,000 miles at a maximum of 10 cents per mile. The need for staff to use their private vehicles on project business is expected to occur for a number of reasons: (1) emergency situations; (2) situations where an assigned state or agency-rented vehicle is unavailable; and (3) situations where the use of anything other than a private vehicle entails risk. Guidelines governing payment to staff for use of private vehicles will be in accordance with current state regulations. In addition, the Director will establish procedures to insure that this is not misused. It should be noted that block grant funds will be made available to provide vehicles for use by SOCITF.

##### Attendance at Conferences and Meetings

This item is intended to cover the attendances of staff members for non-training purposes at: (1) meetings of the Law Enforcement Intelligence Unit; (2) special conferences and symposia the subjects of which are pertinent to the SOCITF mission; (3) multi-state regional meetings; (4) federal-level briefings and meetings; and (5) meetings with specific individuals in other states. The Director of SOCITF will establish guidelines and procedures governing attendance of staff at such meetings.

##### Training - Travel and Subsistence for Staff Attending Training Programs

This item will provide support for the attendance of staff at a number of major training programs including those conducted by the Bureau of Narcotics and Dangerous Drugs (BNDD), the Alcohol, Tax and Firearms Division (ATF), the Internal Revenue Service (IRS), and the Intelligence Analysis courses conducted by the Justice Department's Organized Crime and Racketeering Section. The two intelligence analysts to be hired under this grant will be sent to an appropriate course for training.

#### D. Equipment

It should be noted that SOCITF will be receiving for use in this project most (if not all) of the equipment purchased to date under previous block grants to the New Haven County Organized Crime Task Force (OCTAFORCE). Initial analysis indicates that two major needs exist: (1) additional office equipment; and (2) a comprehensive law library. These are described below.

##### Office Equipment

The equipment purchased under the block grants to OCTAFORCE will, to a



large, extent, meet most of the equipment needs of SOCITF. There are, however, some additional needs that must be met and these include the following items: (1) sets of city directories and other specialized listings for the state's major cities; (2) card files and cabinets, together with associated equipment for the development of a manual information retrieval system; (3) movable office partitions; and (4) bookshelves for the law library to be set up. In connection with item 2, the intention is to develop for immediate use a manual information retrieval system as a first step towards organizing and setting up a more sophisticated system later on. After the first year of operation, it will be possible to develop more detailed design specifications for a computerized organized crime information retrieval system. The SOCITF Director, in conjunction with the Commander of the Connecticut State Police Criminal Intelligence Division, will take steps and establish guidelines and procedures to insure security and privacy of these files and to prevent their unauthorized use.

#### Law Library

The second major item of "equipment" required for this project is an adequate law library. The SOCITF concept is based on both the use of all relevant statutes and regulations in the investigation and prosecution of organized crime and in the development of strategies to deal with organized criminal activity. The unit must, therefore, have its own legal research capability and this, in turn, necessitates a good law library. Since present plans will result in the SOCITF unit being physically separate from existing law libraries, it is clear that such a library will have to be established. A receptionist will be hired under a separate block grant and will serve, on a part-time basis, as the librarian pending the establishment of a more permanent arrangement. The funds will include purchase of updating services for the library. The \$12,000 item here represents two informed estimates of the cost of such a library.

#### E. Supplies and Other Operating Expenses (Communications, Reproduction, Indirect Costs)

This discretionary grant application lists only three items here: (1) printing and reproduction; (2) film; and (3) memberships. Additional funds are being made available under separate block grants to purchase other required items. A brief description of each follows:

#### Printing and Reproduction

Major printing expenses will include: (1) stationery for the unit; (2) special legal forms; (3) internal forms; and (4) reporting forms and special file cards. Other printing needs may include booklets, guidelines and materials for use by investigators, prosecutors, businessmen, and for dissemination, on a broader scale, to the public.

Reproduction expenses will consist of at least two major components: (1) rental or purchase of copying machinery; and (2) contract reproduction on a demand basis, in which the materials to be reproduced may be taken to a copying facility while waiting. Experience with copying equipment indicates that downtime is a factor to be reckoned with and that at those

times when the machinery is down, there is a need for contract reproduction on a demand basis.

#### Film

These funds are requested to cover the cost of film and its processing for camera equipment purchased under previous block grants to OCTAFORCE.

#### Memberships

These funds are requested to cover the cost of SOCITF membership in various types of reporting services. These, in turn, may provide SOCITF with access to additional information. This item includes membership in credit-reporting services and in business and trade associations, both within Connecticut and outside. Access to such information is expected to materially improve both the quality of intelligence analyses and their effectiveness.



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13. Budget Summary and Projection

Budget Categories	Prior Project Phases	Present Phase	Successive Phases	Successive Phases	Successive Phases	Total
Personnel (Salaries and Benefits)	-	212,403	250,000	265,000	140,000	867,403
Professional Services	-	-	-	-	-	-
A. Individual Consultants	-	-	9,000	2,000	1,000	12,000
B. General Contracts	-	-	-	-	-	-
C. Construction Contracts	-	-	-	-	-	-
Travel (Transportation and Subsistence)	-	-	6,500	8,000	4,000	18,500
Equipment	-	7,000	3,000	2,000	2,000	14,000
Supplies and Other Operating Expenses	-	1,456	6,000	8,000	4,000	19,456
<b>TOTAL</b>	-	<b>220,859</b>	<b>274,500</b>	<b>285,000</b>	<b>151,000</b>	<b>931,359</b>
Duration of Project Phases (in months)	-	12	12	12	12	48

14. Federal Support. Will other Federal support be available for any part of this project? Yes  No   
If yes, identify and explain: FY 72 and 73 block grant funds have been awarded by the CPCCA:  
72: \$65,158; 73: \$127,927

15. Federal Submissions. Have other Federal agencies been contacted for assistance on this or similar projects? Yes  No  If yes, identify and indicate status: \_\_\_\_\_

16. STANDARD GRANT CONDITIONS - Applicant understands and agrees that any grant received, directly or through its State law enforcement planning agency designated under P. L. 90-351 as amended as a result of this application shall be subject to and incorporate the following grant conditions.

- (1) **Reports.** The grantee shall submit, at such times and in such form as may be prescribed, such reports as the Law Enforcement Assistance Administration may reasonably require, including quarterly financial reports and progress reports and final financial and narrative reports.
- (2) **Copyrights and Rights in Data.** Where activities supported by this grant produce original computer programs, writing, sound recordings, pictorial reproductions, drawing or other graphical representation and works of any similar nature (the term "computer programs" includes executable computer programs and supporting data in any form), the government has the right to use, duplicate and distribute, in whole or in part in any manner for any purpose whatsoever and have others do so, if the material is copyrightable, the grantee may copyright such, but the government reserves a royalty-free non-exclusive and irrevocable license to reproduce, publish and use such materials, in whole or in part and to authorize others to do so. The grantee shall include provisions appropriate to effectuate the purposes of this condition in all contracts of employment, consultant's agreements, contracts or subgrants.
- (3) **Patents.** If any discovery or invention arises or is developed in the course of or as a result of work performed under this grant, the grantee shall refer the discovery or invention to LEAA. The grantee hereby agrees that determinations of rights to inventions made under this grant shall be made by the Administrator of Law Enforcement Assistance or his duly authorized representative, who shall have the sole and exclusive powers to determine whether or not and where a patent application should be filed and to determine the disposition of all rights in such inventions, including title to and license rights under any patent application or patent which may issue thereon. The determination of the Administrator, or his duly authorized representative, shall be accepted as final. In addition, the grantee hereby agrees and otherwise recognizes that the Government shall acquire at least an irrevocable non-exclusive royalty-free license in practice and have practiced throughout the world for governmental purposes any invention made in the course of or under this grant. The grantee shall include provisions appropriate to effectuate the purposes of this condition in all contracts of employment, consultant's agreements, contracts, or subgrants.
- (4) **Discrimination Prohibited.** No person shall on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under grants awarded pursuant to P.L. 90-351, as amended or any project, program or activity or subgrant supported by this grant. The grantee must comply with the provisions and requirements of Title VI of the Civil Rights Act of 1964 and regulations issued by the Department of Justice and the Law Enforcement Assistance Administration thereunder as a condition of award of Federal funds and continued grant support. The grantee further must comply with the Department of Justice Equal Employment Opportunity regulations in Federal contracts and subgrants. The grantee shall also comply with the provisions of State Planning Agency, Law Enforcement Agencies, and other agencies or offices administering, operating or participating in any program or activity receiving Federal financial assistance, on the grounds of race, color, creed, sex or national origin, or otherwise. This grant condition shall not be interpreted to require the imposition in State plans or planning agency subgrant programs of any percentage ratio, quota system, or other program to achieve racial balance or eliminate racial imbalance in a law enforcement agency. The United States reserves the right to seek judicial enforcement of this condition.



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STANDARD GRANT CONDITIONS - (Cont'd)

- (5) **Termination of Aid.** This grant may be terminated or fund payments discontinued by LEAA where it finds a substantial failure to comply with the provisions of P. L. 90-351, as amended or regulations promulgated thereunder, including these grant conditions or application obligations, but only after notice and hearing and pursuant to all procedures set forth in Sections 510 and 511 of P. L. 90-351, as amended.
- (6) **Inspection and Audit.** The Administration and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access for purposes of audit and examinations to any books, documents, papers, and records of the grantee, and to relevant books and records of subgrantees and contractors, as provided in Section 521 of P. L. 90-351, as amended. A notice to this effect shall appear in all subgrants and other arrangements for implementation of this project.
- (7) **Maintenance of Records.** All required records shall be maintained until an audit is completed and all questions arising therefrom are resolved, or three years after completion of a project, whichever is sooner.
- (8) **Utilization and Payment of Funds.** Funds awarded are to be expended only for purposes and activities covered by grantee's approved project plan and budget. Project funds may be made available through a letter of credit system pursuant to rules and procedures as to establishment, withdrawals, etc., issued by the Administration and with which grantees must comply. Where grant awards are not sufficiently large to require this system, payments will be made on the basis of periodic requests and estimates of fund needs submitted by the grantee. Payments will be adjusted to correct previous overpayments or underpayments and disallowances resulting from audit.
- (9) **Allowable Costs.** The allowability of costs incurred under any grant shall be determined in accordance with the general principles of allowability and standards for selected cost items set forth in OMB Circular No. A-87, "Principles for Determining Costs Applicable to Grants and Contracts with State and Local Governments", as further defined and delimited in conditions 10 and 11 below, and in the LEAA Financial Guide for Administration of Planning and Action Grants.
- (10) **Expenses Not Allowable.** Grant funds may not be expended for (a) items not part of the approved budget or separately approved by LEAA, (b) purchase or construction of land and buildings or improvements thereon, or payment of real estate mortgages or taxes, unless specifically provided for in the grant agreement; (c) dues to organizations or federations; (d) entertainment including luncheons, banquets, gratuities or decorations; (e) purchase of automobiles or other automotive vehicles unless provided for in the grant agreement; or (f) indirect (overhead) costs, where the grantee does not have an audited indirect expense allocation system and rate acceptable to LEAA, (g) any bonus or commission to any individual for the purpose of obtaining approval of an application for LEAA assistance. Expenditure of funds in excess of the submitted budget is prohibited for any major budget category will be permitted only with LEAA approval where the total amount of such increases is 10 percent in the total category cost estimate. Such increases will be deemed, in effect, to constitute an amendment of the grant application and award requiring grantor concurrence.
- (11) **Written Approval of Changes.** Grantees must obtain prior written approval from LEAA for major project changes. These include (a) changes of substance in project activities, designs, or research plans set forth in the approved application, (b) changes in the project director or key professional personnel identified in the approved application, and (c) changes in the approved project budget as specified in the preceding condition.
- (12) **Project Income.** States and State agencies shall not be held accountable for interest earned on grant funds pending their disbursement for program purposes. All interest earned by units of local government with respect to grant funds must be returned to LEAA. However, in accordance with Department of Treasury Circular No. 1075 funds are not to be drawn until ready for immediate expenditure; therefore, only under unusual circumstances would interest from grant funds be earned. All other income earned with respect to grant funds (royalties, registration fees, service charges or fees, sales, etc.) shall be retained by the grantee; provided, however, that said income is either added to the funds already committed to the project or deducted from the total project for the purpose of determining the net costs on which the Federal share of costs will be based.
- (13) **Title to Property.** Title to property acquired in whole or in part with grant funds in accordance with approved budgets shall vest in the grantee, subject to divestment at the option of LEAA (to the extent of LEAA contribution toward the purchase thereof) exercisable only upon notice within 120 days after the end of the grant period or termination of the grant. Grantees shall exercise due care in the use, maintenance, protection and preservation of such property during the period of project use.
- (14) **Publications.** The grantee may publish, at its own expense, the results of grant activity without prior review by LEAA provided that any publication (written, visual, or sound) contains an acknowledgement of LEAA grant support. At least 10 copies of any such publication must be furnished to LEAA but only 5 copies of training materials (where used in grant project) need be supplied, except as otherwise requested or approved by LEAA. Publication of documents or reports with grant funds beyond quantities required to meet standard report requirements must be provided for in approved project plans or budgets or otherwise approved by LEAA and, for large quantity publication, manuscripts must be submitted in advance to LEAA.
- (15) **Third Party Participation.** No contract or agreement may be entered into by the grantee for execution of project activities or provision of services to a grant project (other than purchase of supplies or standard commercial or maintenance services) which is not incorporated in the approved proposal or approved in advance by LEAA. Any such arrangements shall provide that the grantee will retain ultimate control and responsibility for the grant project and that the contractor or subgrantee shall be bound by these grant conditions and any other requirements applicable to the grantee in the conduct of the project.
- (16) **Obligation of Grant Funds.** Grant funds may not, without advance written approval by LEAA, be obligated prior to the effective date or subsequent to the termination date of the grant period. Obligations outstanding as of the termination date shall be liquidated within 90 days. Such obligations must be related to goods or services received and utilized within the grant period.
- (17) **Fiscal Regulations.** The fiscal administration of grants shall be subject to such further rules, regulations, and policies, concerning accounting and records, payment of funds, cost allowability, submission of financial reports, etc., as may be prescribed by LEAA, including those set forth in the LEAA Financial Guide, OMB Circulars A-21, A-87 and A-102 as well as §15 of FPR (41 CFR §15.000, et. seq.), where applicable.



STANDARD GRANT CONDITIONS - (Cont'd)

- (18.) Release of Information. Pursuant to Section 521 of the Act, as amended all records, papers and other documents kept by recipients of LEAA funds, including State Planning Agencies and their subgrantees and contractors, relating to the receipt and disposition of such funds, are required to be made available to the Administration. These records and other documents submitted to LEAA and State Planning Agencies pursuant to other provisions of the Act, including comprehensive State plans and applications for funds, are required to be made available by LEAA under the terms and conditions of the Federal Freedom of Information Act (5 U.S.C. 552). State Planning Agencies must follow applicable LEAA Guidelines on release of information and State Planning Agency procedures designed to facilitate local government participation.
- (19.) Negative Declaration. Applicant hereby declares that no significant environmental impact, as defined by the National Environmental Policy Act of 1969 and LEAA Guidelines, may result from implementation of this program. Further, the applicant hereby declares that implementation of this program will have no adverse effect on properties listed in the National Register of Historic Places. Where this Declaration cannot be made, the applicant must attach an Environmental Impact Analysis and proceed in accordance with OMB Circular A-95 clearance procedures and appropriate LEAA Guidelines.
- (20.) Assurance of Compliance with Civil Rights Laws. The applicant hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 and all requirements imposed by or pursuant to regulations of the Department of Justice (28 C.F.R. Part 42, subpart C) issued pursuant to that title, to the end that no person shall, on the grounds of race, color, creed, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity which the applicant receives Federal financial assistance from the Department of Justice. The grantee further will comply with and insure compliance by its subgrantees and contractors with Department of Justice equal employment opportunity regulations in federally assisted programs (28 C.F.R. Part 42, subpart D) to the end that employment discrimination in such programs on the grounds of race, color, creed, sex or national origin, shall be eliminated. The grantee recognizes the right of the United States to seek judicial enforcement of the foregoing covenants against discrimination and will include a similar covenant assuring the right of the United States to seek judicial enforcement in its subgrants or contracts.
- (21.) Part E Assurances. Where Part E funding is requested, applicant agrees that all Part E assurances, areas of emphasis, and special requirements as set forth in Discretionary Grant Guide pp. 5 & 6 will be complied with.
- (22.) Use of Airplanes and Helicopters. Airplanes and helicopters purchased in whole or in part with grant funds must be used for the purposes stated in the application and may not be used for non-law enforcement purposes by State and local officials.

17. Date: Sept. 19, 1973	18. Total Pages in Application: 13	19. State Planning Agency Certification and Approval Effectuated. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable
20. Signature of Authorized Official (Item 9 of Application):		



21. PROJECT PLAN AND SUPPORTING DATA

Please state clearly and in detail, within ten pages if possible, the aims of the project, precisely what will be done, who will be involved and what is expected to result. Use the following major headings:

- P. I. Goals
- P. II. Impact and Results
- P. III. Methods and Timetable
- P. IV. Evaluation
- P. V. Resources

Number subsequent pages consecutively, i.e., Application Page 8, Application Page 9, etc. See page 7 for further guidance.

P. I. GOALS

Continuing investigation and study by both the Connecticut Planning Committee on Criminal Administration and by the Connecticut State Police Department indicate the existence of major organized criminal activities in Connecticut. These are, to a larger extent than ever before, described in some detail in the state's 1972 and 1973 Comprehensive Plans to the extent that it is feasible to describe organized criminal activity. The major types of activities in which organized criminal syndicates are engaged in (in Connecticut) include gambling, loansharking, infiltration of legitimate business and cigarette smuggling. The dimensions of these activities for a state the size of Connecticut are considerable. For example, the volume of off-track betting has been crudely estimated at over \$100 million per year while the volume of numbers (policy) activity is estimated at between \$34.3 and \$57.2 million annually. Of more direct interest is the state's tax losses from the smuggling of untaxed cigarettes into the state and their sale either with forged tax stamps or without such stamps. This traffic has been shown by investigations of the Connecticut State Police Department and other departments to be highly organized. The state's losses are estimated to be as high as \$20 million annually. In the case of infiltration of legitimate businesses by organized crime elements, it is estimated that there are over 100 establishments and firms that have been taken over so far.

The single major problem with respect to the control of organized criminal activities in Connecticut is the general lack of broadly-based investigative capabilities. This problem actually has three aspects: (1) present control activities are limited in both scope and sophistication; (2) intelligence resources and other information are not being adequately used; and (3) there is a noticeable lack of coordination of organized crime control efforts in the state at the Federal, state and local level and with private organizations' efforts. With respect to the first aspect, present efforts to investigate organized criminal activity in Connecticut is primarily a function of police departments and is based on utilization of criminal statutes. In fact, present efforts only utilize a small part of the criminal statutes that could be used. Investigations are aimed at identifying the perpetrator and then connecting him with a specific violation of criminal law. While this approach does result in some arrest activity, the question does remain of how many ranking members of organized criminal syndicates are careless enough to commit gross violations of criminal laws? In general such individuals are extremely careful not to commit criminal code violations. On the occasions when they do, and are caught, it is more a result of carelessness on their part than it is the result of investigative efforts of law enforcement agencies. In Connecticut, there is only limited use of other (non-criminal) statutes and administrative regulations such as the tax statutes, regulations on financial transactions of various types and liquor laws (among others) in the investigation and prosecution of organized crime. Investigation by the Connecticut Planning Committee on Criminal Administration of this matter indicated that, to a large extent, the state's traditional agencies are not equipped from the point of view of training, experience, or orientation, and resources to utilize the broad range of criminal statutes let alone the much wider range of non-criminal statutes and administrative regulations that could potentially be brought to bear on the organized crime problem.

With respect to the second aspect, namely the inadequate use of intelligence resources and other information, there is only an extremely limited capability

among Connecticut criminal justice system agencies to analyze available information and intelligence resources with the aim of developing strategies and countermeasures to deal with organized crime. To a large extent, this is due to the lack both of personnel and of an effective mechanism for storing and analyzing such information. The Connecticut State Police Department is the major repository of intelligence and other information on organized crime in the state. In 1969 and 1970, it attempted to computerize some of the files that it possessed so that these could be more readily available for use but these efforts did not come to pass because the cost estimates of such computerization were very high. Despite these efforts, however, the Connecticut State Police Department, as of this writing, does not employ any full-time intelligence analysts whose role it would be to analyze and process incoming information from field sources and from other agencies, informants, etc., and to integrate this into existing files for use in decision-making and in the evaluation of enforcement and prosecutorial activities. There is, of course, some "intelligence analysis" going on all of the time, primarily in response to specific needs but there is no systematic approach to analyzing existing and incoming information and using the resulting analyses for the purpose of making tactical decisions concerning such activities as surveillance, investigation, etc. In an environment where manpower and other resources are, at best, in tight supply, the ability to utilize intelligence resources as an aid in decision-making concerning the allocation of manpower is an important factor in the effective use of such resources.

With respect to the lack of effective coordination of both existing efforts to investigate organized criminal activity, and of the efforts of those agencies with potential resources and jurisdiction over aspects of the problem, at present the investigation of organized crime cases (as stated above) is still largely a police function. Investigations by the Connecticut Planning Committee on Criminal Administration indicate that there are a number of non-law enforcement agencies which can, potentially, contribute much in the way of technical expertise, investigative resources, broader jurisdiction, and useful regulatory powers. However, there is no formal mechanism within the state for making effective use of these non-law enforcement resources in a systematic fashion.

This should not be interpreted to mean that the state has no coordinated responses to certain types of organized criminal activity. There are, currently, two on-going efforts in the state which provide a limited degree of coordination: the Statewide Enforcement Coordinating Committee (SECC) which coordinates the operations of the state's regional crime squads and those of the State Police Department with respect to narcotics offenses, and the experimental New Haven County Organized Crime Task Force (OCTAFORCE) which coordinates the activities of police departments in New Haven County (including the New Haven Police Department), the State Police Department, and the State's Attorney's Office for New Haven County. Both of these efforts represent major steps forward in the area of law enforcement coordination, and in the case of OCTAFORCE, a unique experiment in which the activities of prosecutors and police officers are carried out in a single unit. They do not, however, include the other agencies which could make a major contribution to the state's efforts to control organized crime.

The ultimate overall objective of the project, as conceived here, is to reduce the level and scope of organized criminal activity in Connecticut. This,



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in Connecticut, means a reduction in the level and scope of gambling, loansharking, infiltration of legitimate business, and cigarette smuggling among others. By reducing these activities, it is expected that the overall impact will be greater than by concentrating on other types of activities.

Analysis of the expected impact of this project on the organized crime problem in Connecticut can be carried out at three levels: (1) at the ultimate program objective level (the reduction of organized crime in Connecticut); (2) the subobjective level; and (3) the intermediate objective level. At the first level, the problems of definition and of measurement arise. With respect to the other two levels, the analysis becomes slightly more tractable. This is especially important for evaluation purposes. (see P.IV, Evaluation).

At the subobjective level, there are two subobjectives as follows:

(1) causing major disruption of organized criminal activity; and (2) increasing the cost of doing business for organized criminal syndicates and enterprises. This project has been developed with the specific goal of bringing about a major disruption of organized crime in Connecticut. It requests discretionary funds which will be combined with block grant funds to establish and operate a Statewide Organized Crime Investigative Task Force (referred to hereinafter as SOCITF). SOCITF will be established as a unit within the Connecticut State Police Department by statute and will include intelligence, investigative and prosecutorial elements.

While SOCITF will be the state's major response to the organized crime problem and will be aimed at reducing the level of the problem, it will also address the major problem (defined earlier), of the lack of a broadly-based investigative capability, and, specifically, the three aspects of this problem as follows:

Problem Aspect 1: Limited Scope and Sophistication of Control Activities

The proposed SOCITF unit will be set up in such a way as to take into account all relevant criminal and non-criminal statutes that can be brought to bear on the problem of organized crime. At present, the majority of arrests for these crimes are made by local police departments relying primarily on criminal statutes. By broadening the statutory base for both investigation and prosecution, this will in effect increase the number of options available to both investigators and prosecutors, and thereby expand and increase the sophistication of the state's capability to investigate and prosecute organized crime cases. By doing this, it is expected that the resultant investigative, apprehensive and prosecution activities will result in a major disruption of organized criminal activity in Connecticut.

Problem Aspect 2: Inadequate Utilization of Information and Intelligence Resources

The proposed SOCITF unit will address the need for an improved capability on the part of the state to analyze, process and use intelligence. A major aspect, in fact, of the SOCITF operation will be the increased use of intelligence for decision-making purposes and for evaluation of the SOCITF efforts. The SOCITF operation envisions

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using intelligence and other information collected in the field in four ways: (1) for decision-making purposes regarding the allocation of manpower, surveillance resources, prosecutorial resources; (2) developing overall strategies and countermeasures for the control and suppression of organized criminal activity; (3) evaluating the impact of SOCITF and other enforcement and intelligence operations and of such measures as revised or strengthened legislation on organized criminal activity in the form of intelligence assessments; and (4) educating other agencies, organizations and the public with regard to the specific problem of organized crime.

By improving the state's capability to analyze, process and use intelligence resources profitably, this will lead to greater improvement in the state's ability to develop legal, investigative and statutory countermeasures for the control and suppression of organized criminal activity. This, in turn, is expected to lead to improved efficiency in the operation of those agencies engaged in or participating in organized crime control activities; and (2) increased and expanded capabilities as a result.

Problem Aspect 3: Lack of Coordination of Efforts

The proposed SOCITF unit will have statutory authority to coordinate the activities and operations of other state and local agencies insofar as they are concerned with problem aspects related to organized crime. An Interagency Liaison Unit will be set up within SOCITF with the purpose of developing and maintaining Liaison with other state, local, federal and private organizations and agencies, and maintaining detailed information on the capabilities and resources of these other agencies. It will coordinate interagency operations and joint activities, act as the focal point for exchange of information and intelligence, and personnel and for the referral of cases to other agencies where analysis indicates that the case elements are clearly within their purview and jurisdiction. It will also maintain a followup monitoring system to keep track of the status of these "referred" cases and will develop guidelines for other agencies with respect to recognition of organized crime elements in their operations. One of the more important activities of this Interagency Liaison Unit will be to expand and maintain contacts with private and out-of-state organizations and agencies.

A major result of this coordination effort will be the definition and establishment of specific roles and responsibilities for the various state and local agencies resulting in more effective use of investigative and regulatory resources of various state agencies, less duplication and, in turn, some disruption of organized criminal activities.

It should be noted that the contribution of SOCITF to improvement of the state's organized crime problem can be addressed in terms of intermediate objectives, which are somewhat measurable and thus, in fact, done in the Attachment to this application. From this point of view, by setting up and operating the Statewide Organized Crime Investigative Task Force, five inter-



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mediate objectives will be addressed. These are as follows:

- (1) Improved and expanded capability to investigate organized crime;
- (2) Improved capabilities to analyze and process intelligence;
- (3) Improved coordination of public and private efforts;
- (4) Improved ability to develop strategies and countermeasures to deal with organized crime; and
- (5) Definition and establishment of specific roles and responsibilities for the various state and local agencies in the fight against organized crime in Connecticut.

A brief description of the ways in which these intermediate objectives are realized by setting up SOCITF and how, thereby, the state's organized crime problems are addressed, follows:

- (1) Improved and expanded capability to investigate organized crime.

By improving and expanding the state's capability to investigate organized crime, it is expected that the resultant investigative, apprehension and prosecution activities will result in a major disruption of organization and of organized criminal activities.

The proposed SOCITF unit will be set up in such a way as to take into account all relevant criminal and non-criminal statutes that can be brought to bear on the problem of organized crime. At present, the majority of arrests for those crimes typically are made by local police utilizing solely the criminal statutes. As has been pointed out earlier, there is not much effort to enlist the use of the large body of non-criminal statutes and in fact there is an almost complete lack of awareness of which statutes can be used, what can be done and what will be done. By broadening the statutory basis for both investigation and prosecution, this will, in effect, increase the number of options available to both investigators and prosecutors. In turn, the state's capability to investigate and prosecute organized crime will thereby be expanded.

- (2) Improved capabilities to analyze and process intelligence.

By improving the state's capability to analyze and process intelligence, it is expected that its ability to develop legal and investigative strategies for the control and suppression of organized criminal activity will be greatly improved. Even more important, the use of intelligence resources in decision-making concerning the allocation of investigative and prosecutorial resources is expected to lead to:

- (1) improved efficiency in the operation of those agencies engaged in or participating in organized crime activities; and
- (2) increased and expanded capabilities as a result.

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The proposed SOCITF unit will include among its personnel intelligence personnel, in particular intelligence analysts, and funds to employ consultants in the development of an organized crime information and intelligence system. The Connecticut State Police and the New Haven County Organized Crime Task Force, among other agencies, already possess considerable intelligence files and other information on organized criminal activity in Connecticut. What is lacking is a means of utilizing this information for both investigative and prosecutorial purposes. A survey of the majority of intelligence units that have been set up around the country using LEAA funds indicates that the majority of these units are primarily concerned with collecting information and then disseminating it to other agencies. SOCITF's emphasis, however, will be on using this intelligence and other information to make decisions concerning such activities as: targeting of individuals and criminal operations, assignment of investigative and prosecutorial personnel, allocation of other resources, and assessment of the effects and impact of the project's (and Connecticut's overall organized crime control program's) operations.

- (3) Improved coordination of public and private efforts.

By improving the coordination of public and private efforts including their increased participation in efforts to control or otherwise deal with organized crime, this is expected to result in additional resources and capabilities as well as in more effective approaches to organized crime. The potential contributions of private agencies include a variety of expertise, the ability to exert peer group pressure, financial and resources, etc., while the public efforts (of other non-governmental agencies) include access to a wider variety of statutes and administrative regulations, data and other information that may be of use in cases analyses, etc.

The proposed SOCITF unit will address the need for improved coordination by setting up an Interagency Liaison Unit with the major responsibility for coordinating investigations and general operations with other agencies, groups, etc. At present, there is no such capability within Connecticut. The survey carried out, by the Connecticut Planning Committee on Criminal Administration, of those state agencies with some possible tie-in to a statewide effort constituted the first attempt to catalog the state's resources in the effort against organized criminal activity. The Interagency Liaison Unit will establish guidelines and procedures governing acceptance of case referrals from other agencies and also will attempt to work out guidelines whereby other agencies would refer cases to SOCITF, assign personnel, etc.

- (4) Improved ability to develop strategies and countermeasures to deal with organized crime.

By improving the state's capability to develop strategies and countermeasures to deal with organized crime, it is expected that the state's overall response to organized crime will improve and, with respect to the project, this will directly contribute to realization of the specific goal of bringing about a major disruption of organized

criminal activity.

SOCITF will include within its organizational structure, two units, a Prosecutorial Support Services Unit and a Legal Research Unit. Both will be heavily involved in taking information, intelligence, case files, and the results of investigations, and integrating these into investigative and prosecutorial strategies. The Legal Research Unit will, for example, examine cases referred to SOCITF (or otherwise coming to its attention) in the light of the statutes that may be involved, the types of activities, their level, the elements needed to develop the case to the point of prosecution, etc. In so doing, it will develop guidelines and a specific outline of activities to be carried out by the Investigative Unit (within SOCITF). The Prosecutorial Support Services Unit will take this a step further and will integrate these cases with the results of investigations by both SOCITF's investigators as well as of other agencies and will utilize this to formulate a prosecutorial strategy, both for individual cases as well as for cases as a group.

Over a period of time, this type of activity and increased experience with the use of the wider range of statutes and of intelligence will enable SOCITF to begin formulating more effective countermeasures including legislative recommendations, organizational changes, improvements in investigative techniques and approaches, and improved capabilities for using intelligence and integrating it into organized crime control strategies.

- (5) Definition and establishment of specific roles and responsibilities for the various state and local agencies in the fight against organized crime in Connecticut.

By setting up SOCITF as a coordinating mechanism, it is expected that a clearer definition of the roles and capabilities of the various state and local agencies will emerge. In turn, by promoting greater integration of these efforts rather than further duplication, the investigative and regulatory resources of a number of state agencies and local departments can be more effectively brought to bear on the organized crime problem in Connecticut. This in turn, will result in disruption of organized criminal activities of certain types.

SOCITF's basic plan calls for a clear definition of the agencies that will be working with it, the development of close liaison with the particular agency, a clear description of what each agency can do in terms of jurisdictional, operational and investigative capabilities that are relevant to control of organized criminal activity, and the development of guidelines governing the circumstances under which agencies can accept cases referred to them, refer cases and information to SOCITF, and assign manpower, including investigators and other specialists.

Approaches to the assessment of these intermediate objectives can be found under P. IV, Evaluation.

P. II. IMPACT AND RESULTS

SOCITF, as outlined here, will be testing the value and utility of five major innovations in organized crime control. These include: (1) case screening for "organized crime content"; (2) case element identification and analysis; (3) close interagency liaison and coordination (including case monitoring, coordination of investigations with other agencies, and orientation, through training and technical assistance, of those agencies to a high degree of awareness of organized criminal activities related to the particular agency's jurisdiction; (4) use of intelligence and other information as an aid in decision-making concerning the allocation of manpower, prosecutorial and wiretap resources (among others) to organized crime cases; and (5) the use of both criminal and non-criminal statutes in the investigation and prosecution of organized crime.

The need for more innovative approaches in organized crime control was immediately recognized as a consequence of the Connecticut Planning Committee on Criminal Administration's initial efforts to formulate plans for SOCITF. As part of this effort, it surveyed the operations of a number of organized crime units around the country. The general organizational pattern for such units included a separate office, surveillance equipment, the development of intelligence files (of widely-varying sophistication), the assignment of additional investigative personnel (involving in some cases the hiring of civilian investigators), the employment of specialists in tax and accountancy investigations, the rental of vehicles, and the provision of funds for confidential purposes and for case preparation.

Generally, these units were set up in one or more of the following agencies within each state: (1) Attorney General's Office, particularly where the Attorney General has criminal jurisdiction; (2) State Police Department, where its role is not limited to highway patrol functions; (3) State Bureau of Investigation, where there is such a separate body; (4) State Investigations Commission; (5) prosecutor's office; (6) Governor's Office; (7) Special Grand Jury; and (8) independent agency set up for that purpose. In many states, there was a degree of overlap and such units had been set up in more than one place with no effective requirement (or provision) for coordination of activities. In at least two Midwestern states, where units were set up in both the State Police and the Attorney General's Office, this resulted in great hostility between the agencies leading, in turn, to little progress in efforts to control organized crime. In at least one midwestern state, too, organized crime units were set up in a number of local and regional agencies as well as in several state agencies, again without provision for coordination.

With few exceptions, the majority of these units set up around the country rely primarily on criminal statutes as the basis for both investigation and prosecution. The mode of operation, insofar as investigation goes, is not very much different from that of a regular detective division operation except for the availability of more sophisticated equipment, intelligence files, non-law enforcement specialists, and (hopefully) a mandate to concentrate on organized crime activity solely without the risk of being pulled off temporarily to handle a homicide or other problem requiring the concentration of large numbers of manpower. Where an agency does utilize other statutes such as the tax laws, consumer fraud statutes, and so forth, the operation will generally involve some limited exchange of information and personnel. However, in the units examined, there was no evidence to indicate that there had been any systematic analysis of

the potential contributions of state and local agencies as well as of their resources, jurisdiction, and capabilities. Similarly, there does not seem to have been any examination of the critical issue of the respective responsibilities of local and state organized crime agencies, i.e., what should they concentrate on and what should be left to the Federal agencies? For example, does it make sense for a state to develop a capability for labor investigations if the existing statutes are extremely weak and if there is no chance at all of making any improvements there? Similarly, it does not make sense for a state to set up a Postal Frauds Investigation capability because it has no jurisdiction in that area. These are, of course, obvious examples. Nevertheless, except in Connecticut, no real analysis of this issue appears to have been carried out anywhere else despite the implications that such an analysis has for the development of an effective program.

SOCITF's operations, as stated earlier, will constitute a test of the five major innovations in the fight against organized crime stated at the beginning of this section. The following is a brief description of these innovations and how they differ from and represent an important advance over the operations of the traditional law enforcement agencies vis-a-vis organized crime:

(1) Case Screening for Organized Crime Content

SOCITF's Legal Research Unit will screen all incoming cases and will examine them to determine whether or not the case has an "organized crime content," that is whether or not the individuals, places or events, or the type of activity described therein are either referred to in other intelligence reports, are known to be connected with organized criminal activities, or are possibly indicative of a new type of operation. At present, in traditional law enforcement operations, cases are assigned as they come in directly to investigators for followup and it is left to the investigator to make his own determination. The case screening technique envisioned here will depend upon ready access to CID files and to other agency files, including NEOCIS (New England Organized Crime Intelligence System) files. In most local departments, a major resource, if available, are city registers. Police records are also referred to and credit union sources may also be checked. However, they are also more often not checked.

(2) Case Element Identification and Analysis

In traditional law enforcement agencies, cases are referred to investigators who are then expected, on the basis of their training and experience, to identify the major case elements, carry out the necessary investigations, weigh the evidentiary needs, and complete the case file so that it can then go to the prosecutor for further action. Also, he is expected to do all of this in accordance with court rules governing evidence, investigative procedures, etc. While this traditional approach may suffice for the cases where the investigator is dealing with a narrow range of criminal code violations, it is obviously not sufficient for organized crime cases where not only are the legal issues and statutes involved more complex but where there may also be very difficult technical aspects such as financial

transactions, fraudulent schemes, etc.

In developing the SOCITF operational procedure, this fact was taken into account. It was decided that rather than refer complex cases to investigators and expect them to do as well as they can, it would be better to screen the cases, identify the basic case elements, enumerate those already available from the facts and other information, and then provide a checklist for the investigator so that he would address the required elements that are missing or need further investigation. It was strongly felt that by adopting this approach, the use of investigative resources, which are limited at best in any case because of manpower shortages, would be much more efficient. This type of procedure will also, hopefully, reduce the common type of situation where a case is investigated and developed by an investigator and then sent to the prosecutor where it may be nolleed or rejected on the grounds of poor preparation, lack of completeness, violation of some court procedure, and so forth. Within the context of ordinary criminal code violations, that type of occurrence may be acceptable as a hazard but in the case of organized crime cases, where the investigations and other preparation may involve many months of intensive efforts, where electronic surveillance may have been used at great difficulty and cost, and where the opportunities for utilizing technicalities to destroy a prosecutor's case are much greater, this is not acceptable.

(3) Interagency Liaison and Coordination

As part of the efforts to insure coordination of SOCITF's activities and operations with those of other agencies, a strong Interagency Liaison capability will be set up. In the more traditional agencies, interagency liaison is more often handled on an informal basis and will usually consist of a pattern of contacts between individuals who have worked together and who share information and data. In Connecticut, there is a Major Crimes Coordinator for the Connecticut State Police Department and his activities fall into two areas: (1) coordination of investigations and other efforts in the case of major crimes; and (2) periodic visitation with local departments to keep them abreast of developments, new techniques, etc. He does not, however, maintain continuous contact with the whole range of agencies which might be brought to bear on ordinary (non-systematic) crime -- his contacts are primarily with the local police departments. He does not act as the focalpoint for exchanging intelligence, referring cases, or keeping track of the status of cases that have been referred to other agencies. Also, he does not necessarily keep track of the activities of the other agencies with respect to organized crime problems.

SOCITF's Interagency Liaison Unit will, however, develop and maintain liaison with other state, local and Federal agencies that may be dealing with some aspect of the organized crime problem. It will maintain detailed information on the capabilities and resources of these other agencies, coordinate interagency operations and joint

activities, act as the focal point for exchange of information and intelligence, and personnel, and for the referral of cases to other agencies where analysis indicates that the case elements are clearly within the purview and jurisdiction of these other agencies. It will, in this connection, also maintain a followup monitoring system to keep track of the status of these "referred cases" and will develop guidelines for other agencies with respect to recognition of organized crime elements in their operations. It will also attempt to establish and maintain liaison with out-of-state agencies and with private groups and organizations that may have a role to play in the organized crime control effort. None of these functions are now provided by any agency or combination of agencies in Connecticut.

As part of this effort, the Interagency Liaison Unit is expected to greatly increase the awareness on the part of state, local, federal, and private agencies as to what role they can play in the control of organized criminal activity.

(4) Increased Use of Intelligence as an Aid in Decision-Making and Evaluation

A major aspect of the SOCITF operation will be the increased use of intelligence for decision-making purposes, and for evaluation of the SOCITF efforts. In the majority of organized crime units, that have been set up around the country, there is what appears to be an unreasonable emphasis on the collection and dissemination of intelligence. Collecting and disseminating intelligence in and of itself might be of some value but to date, it does not appear to have had much impact on the organized crime problem. It is, perhaps, intrinsically good for law enforcement officials to know that they have so many members of organized crime families living in their midst, but unless this information and the other data can be utilized in improving the investigation and prosecution of these organized crime figures, it is extremely difficult to justify the expense of developing, collecting and maintaining intelligence files.

The SOCITF operation envisions using intelligence and other information collected in the field in four ways: (1) for decision-making purposes regarding the allocation of manpower, surveillance and prosecutorial resources; (2) developing overall strategies and countermeasures for the control and suppression of organized criminal activity; (3) evaluating the effects (impact) of SOCITF and other enforcement operations and of such measures as revised or strengthened legislation on organized criminal activity, in the form of intelligence assessments; and (4) educating and increasing the awareness of the problem of other agencies and organizations, and of the public. Again, as with the other innovations, no agency in Connecticut is presently doing these and, as far as is known, none in the country is either.

(5) Wider Use of Both Criminal and Non-Criminal Statutes

The traditional law enforcement agencies in Connecticut (and outside of the state as well) rely primarily upon the criminal statutes.

In fact, based on the state's experience in developing materials for the retraining of police officers in the new Penal Code which became effective in 1971, the majority of police activities concerns a very narrow range of substantive law. The state's traditional agencies are not equipped to utilize the broad range of substantive laws that could be brought to bear on the organized crime problem.

By employing attorneys, legal research assistants, and prosecutors, and by providing legal research facilities in the form of a comprehensive law library, SOCITF's operations will differ considerably from those of the traditional agencies. It will develop the capability to examine a case not merely in terms of an obvious violation of a criminal law but also in terms of what other laws or regulations are involved, particularly where the case involved organized crime. The Legal Research Unit, in particular, will play the major role in this aspect of SOCITF's operation because it will have the responsibility for screening and analyzing all cases coming in. In addition, through close coordination of the efforts of other agencies, SOCITF will be the only agency that will be able to use that information profitably--by referring those aspects of the case to the other agencies with appropriate jurisdiction and authority. It will also, as has already been explained earlier, be able to keep track of the status of such cases. No other agency in the state has this capability.

The project's activities will be well-documented and the new methods and procedures discussed above will thus be available for use elsewhere.



P. III. METHODS AND TIMETABLE

In developing the SOCITF concept, the following preliminary steps were taken by the Connecticut Planning Committee on Criminal Administration and the Connecticut State Police Department:

- (1) The resources, capabilities and activities of most of the principal state agencies were surveyed in detail with the aim of determining their present jurisdiction, their present capabilities, the resources they possessed and what arrangements could be made for cooperation in the development of an integrated approach to organized crime control.
- (2) Existing criminal and non-criminal statutes were examined and those statutes that could be brought to bear on the various aspects of organized criminal activity were identified and grouped by substantive area, i.e., fraud, loansharking, etc. As a minimum, this now provides Connecticut's law enforcement agencies with a guide for the investigation and prosecution of such activities, even if SOCITF were not to be set up.
- (3) The capabilities and resources of various Federal agencies and bureaus operating in Connecticut were examined with the aim of identifying what contribution they could make to the state's efforts.
- (4) The capabilities and resources of various local and private agencies were examined with the aim of determining their respective roles and responsibilities for organized crime control efforts in Connecticut.

It should be added that this type of systematic examination of and assessment of existing resources (i.e., the state's existing response system to the organized crime problem) and never before been carried out in Connecticut. By including almost all of the major state agencies and an examination of all statutes, both substantive and procedural, this preliminary planning effort greatly exceeded anything that has been done elsewhere.

From an examination of both the nature of the state's organized crime problem and the specific needs and problems faced by the state in dealing with this, it became apparent that a new type of unit would be needed, one which would be more flexible in its approach and able to respond to a variety of demands. The five innovations to be incorporated into SOCITF's operations have already been discussed in the previous section of this application (see P. II, Impact and Results).

One major innovation, however, in terms of organization, was the drafting of a statute which set up SOCITF as a unit within the State Police Department and which provided for the setting up of an Advisory Board to provide the Director of SOCITF and the Connecticut State Police Commissioner with guidance and advice on the organized crime problem. A draft of this legislation is included as a second attachment to this application.

The Statewide Organized Crime Investigative Task Force (SOCITF) will be organizationally located within a new State Police Division of Investigative Services together with the Criminal Intelligence Division (CID) and the Detective Division (see Figure 1).

SOCITF, itself will consist of four major units as follows: (1) Interagency Liaison Unit; (2) Legal Research Unit; (3) Investigative Unit, and (4) Prosecutorial Support Services Unit. At a later date, an administrative section may be added. The structure of SOCITF is given in the organizational chart (see Figure 2). This structure is determined, to a large extent, by the types of functions and activities envisioned for SOCITF which are summarized below:

SOCITF Operation

- (1) Cases will be referred from one of five major sources: (1) other state agencies who identify organized crime elements in particular cases; (2) complaints and leads; (3) the Statewide Enforcement Coordinating Committee (SECC) and other police departments; (4) the State Police Criminal Intelligence Division and, possibly, the Detective Division as well; and (5) Federal and multi-state agencies.
- (2) Cases referred to SOCITF will undergo a preliminary screening which will seek to determine whether the case is of organized crime "interest," that is whether or not there are individuals, places or events that are of current interest or which appear in files. The Legal Research Unit will do this initial screening and will also develop a list of case elements to be addressed by the Investigative Unit, utilizing existing statutes, etc.
- (3) The Legal Research Unit will also examine the particular case to determine whether or not there are elements in the case that are of interest to other agencies as well. In such cases, a summary of these elements and recommendations will be referred to the Interagency Liaison Unit which in turn will refer to the appropriate agencies the specific elements of interest to them and will, at the same time, maintain a follow-up on the activities of the particular agency with reference to the case so that these can be coordinated with SOCITF's own operations.
- (4) The case, together with its elements identified in the form of a check list for the investigation aspect is then forwarded to the Investigative Unit together with guidelines on possible strategies to be followed. This is received by the Investigative Unit Commander who will then make all assignments and maintain activities until the case file is completed. Where local and county investigators are attached on a temporary basis, for particular cases, efforts will be made to complete the investigation. If new elements are uncovered in the course of the investigation, i.e., new leads, these will be referred back to the Legal Research Unit for integration into the case.
- (5) On completion of the initial investigations, the case file at this stage will go to the Director's Unit, consisting of the Investigative Unit Commander, the Prosecutorial Support Services head, the Legal Research Head, and the head of the Interagency Liaison Unit, presided over by the Director. This is not a formal division within SOCITF; its primary function will be to review the particular case file and the results to date and make some estimate of its priorities insofar as prosecution and/or further investigation is concerned.



- (6) The case will then be referred to the Prosecutorial Support Services Unit where it will be integrated into the unit's schedule in accordance with the existing priorities and the Director's Unit recommendations.

It should be noted that at all times, there will be close coordination as well as frequent consultation between these units. In particular cases involving special situations or circumstances, the above-described pattern of operations may vary slightly but the major elements of case screening, development of a check list of elements to be addressed by the Investigative Unit, the use of intelligence at all stages of decision-making concerning cases and the allocation of resources to them, and coordination of SOCITF efforts with those of other agencies will remain as an essential part of the SOCITF operation.

On the basis of this description of SOCITF operations, the responsibilities and roles of the four units making up SOCITF, and the duties of the staff assigned to each, can be summarized as follows:

Responsibilities and Roles of SOCITF Units

(1) Interagency Liaison Unit

The Interagency Liaison Unit will consist of three members initially. It will be headed by an attorney and will include a Legal Research Assistant and the joint sharing of a typist with the Legal Research Unit and a secretary with the Director. Its primary functions will include the development and maintenance of liaison with other state, local and Federal agencies that are or may be potentially involved in some aspects of dealing with the organized crime problem or which have potentially-useful jurisdiction and/or powers with respect to certain areas that are necessary to a coordinated approach to organized crime. It will, among other activities, maintain information on the capabilities and resources of these other agencies, coordinate interagency operations and joint activities, arrange for the exchange of personnel and information, and for the referral of cases. It will also maintain a followup monitoring system for those cases (or elements) referred by SOCITF to other agencies to insure close coordination with their efforts. It will also develop guidelines for other agencies with respect to recognition of organized crime elements in those agencies' own operations and cases and through a limited program of both technical assistance and orientation attempt to increase the awareness of the other agencies to the problem of organized criminal activity. It will also maintain liaison with federal and out-of-state agencies as well as with private groups and organizations.

The Attorney in Charge of the Interagency Liaison Unit will play an active part in its operation, particularly since he will be the only full-time staff person in it. He will be expected to become knowledgeable in the types of resources already available in other agencies, including Federal, state and local levels, as well as the capabilities that are available. With the assistance of a Legal Research Assistant to perform routine research, clerical and other tasks, he will maintain files, and carry out the major activities of the unit. Technical assistance will be provided in the form of consultants (under both the Discretionary Fund and block grants to be made available) to assist in setting up the manual files and procedures needed to insure the proper functioning of

this unit. He will share a secretary with the Director and a typist with the Legal Research Unit.

(2) Legal Research Unit

The Legal Research Unit will consist of six staff members initially. It will be headed by an Attorney in Charge and will include a typist (shared with the Interagency Liaison Unit), a staff attorney, two Intelligence Analysts and a Legal Research Assistant. Its primary functions will include the screening and analysis of all cases coming into SOCITF for organized crime "content," and identification of principal case elements based on an analysis of potentially applicable statutes and regulations, and the development of a checklist for the Investigative Unit outlining the case, the statutes involved (or violations of regulations where applicable), the elements required to make the case, the elements already available and those which are needed, together with recommended strategies for addressing this. The term "organized crime content" refers to cases which are on analysis judged to be indicative of organized criminal activity or which includes individuals, events, places, etc., that have been or are involved in organized criminal activity. This particular function will require access to the intelligence files maintained by the Connecticut State Police Department, New England Organized Crime Intelligence System, and other agencies. While the bulk of the legal analysis will be carried out by the Attorney in Charge with the assistance of the staff attorney and the Legal Research Assistant (who will perform routine research, analysis, and other clerical tasks), two Intelligence Analysts will be organizationally attached to this unit. They will be assigned to work on the Connecticut State Police C.I.D. files and their initial efforts will include working together with consultants (to be hired under this program) to design and develop an intelligence file system to properly support the work of SOCITF. The intelligence analysts will also work closely with other units within SOCITF to insure that their needs for intelligence analyses and assessments are being met. Their major tasks in this regard will include: (1) development of procedures and forms; (2) analyses of intelligence and other information; (3) preparation of intelligence assessments involving particular individuals, organizations, locales and operations as well as evaluation of the impact of SOCITF and other state efforts on the problems; and (4) coordination of intelligence collection and analysis in other agencies.

(3) Investigative Unit

The Investigative Unit will consist of at least seventeen staff members and will include a commander, an accountant investigator, two shift commanders, at least twelve State Police Investigators, and a typist. The commander will be a state police officer with the rank of lieutenant or higher. This unit's major responsibilities will include the investigation of all cases referred to it, the completion of case files as per instructions and guidelines provided by the Legal Research Unit, and coordination of investigative efforts with those of other agencies

through the Interagency Liaison Unit. As working relations and arrangements with other state, local and Federal agencies become more established, it is expected that additional investigative personnel and other types of specialists will be assigned to the Investigative Unit on a temporary case-by-case basis. They will, in general, report to the Investigative Unit Commander who, in turn, will make such assignments as are necessary. During the course of this grant, the feasibility of assigning several senior officers from the larger cities in the state on a full time basis, as liaison personnel, to SOCITF will be explored.

The accountant investigator will report directly to the Commander, Investigative Unit but his major functions will be to provide technical expertise and backup in investigations involving financial transactions of any type. There will also be funds available under this program for the hiring of additional types of investigative specialists and experts. The two shift commanders will report directly to the Commander of the Investigative Unit and will be responsible, in turn, for supervision of state police investigators assigned to them. Initially, it is expected that about six officers will be assigned to each shift, all reporting to the shift commander.

The major function of the Investigative Unit Commander will be to manage the allocation of manpower in accordance with investigative needs, as determined in the checklists and other information to be referred to the Unit by the Legal Research Unit, in order to insure that cases are completely and thoroughly investigated.

(4) Prosecutorial Support Services Unit

The Prosecutorial Support Services Unit will consist of at least four staff members including a Prosecutor in Charge, an Assistant Prosecutor in Charge, a secretary and a Legal Research Assistant. Its major functions will include the preparation of cases for prosecution, the identification of prosecution priorities, and maintaining liaison with the regular prosecutorial agencies. The two assistant state's attorneys to be assigned to this unit, one of whom will be the Prosecutor in Charge, may prosecute cases themselves or they may refer them to the State's Attorney's Office in the particular jurisdiction of interest. In this latter case, they would then keep track of the progress of the referred case through the Interagency Liaison Unit. Appropriate guidelines and procedures for the referral of cases for prosecution as opposed to direct prosecution by SOCITF will be worked out in meetings with the SOCITF Advisory Council on which the Chief State's Attorney is represented.

As working relationships become more and more established between SOCITF and the prosecutorial agencies, it is expected that prosecutors and assistant State's Attorneys may be assigned on a temporary basis to work with SOCITF. In such cases, they will report directly to the Prosecutor in Charge who will coordinate their efforts. In this connection too, prosecutorial efforts in cases where the jurisdiction

of more than one state, local or Federal agency is involved will be closely coordinated.

On the basis of the above description of responsibilities and functions of the four major units within SOCITF and the specific activities of their respective staff, the rationale for the proposed SOCITF structure and operation can be discussed.

At this point, the relationship of SOCITF to other organized crime law enforcement units in Connecticut should be briefly discussed.

In preparing this application, the Connecticut Planning Committee on Criminal Administration (CPCCA) had identified a number of different agencies in the state which either have a direct involvement in or a potentially significant contribution to make to the state's efforts against organized criminal activity. The list is rather exhaustive.

In terms of agencies which are specifically set up to deal with organized criminal activity in Connecticut, however, there are only three. These are: (1) the New Haven County Experimental Organized Crime Task Force (known as OCTAFORCE); (2) the Statewide Enforcement Coordinating Committee (known as SECC) which is the umbrella agency for the state's regional crime squads; and (3) the Connecticut State Police Criminal Intelligence Division, in particular its Organized Crime and Gambling sections.

With respect to the first, namely OCTAFORCE, it is planned that as of July 1, 1973, OCTAFORCE will terminate all operations under CPCCA/LEAA funding and be replaced by the Statewide Organized Crime Investigative Task Force (SOCITF) as the state's principal response to the organized crime problem. SOCITF will assume control of all equipment purchased under previous grants by CPCCA to OCTAFORCE.

With respect to the Statewide Enforcement Coordinating Committee (SECC), this agency was set up late in 1971 to coordinate the operations of the regional crime squads by providing a mechanism for centralizing the administrative, intelligence and planning and strategy aspects of their operations. Recently, the State Legislature passed a bill that set it up as a statutory body with certain authority and powers. Its primary responsibility in the areas of intelligence coordination and the coordination of enforcement operations endow it with the capability to provide important intelligence resources for the SOCITF. As with other agencies, SOCITF will make efforts to utilize this important source of information and intelligence. To insure coordination of these efforts, the Connecticut Planning Committee on Criminal Administration, which is a primary source of funding for both SECC and SOCITF, will take steps to insure that there is close collaboration between these two units. It should be recognized that the regional crime squads (which SECC administers) are primarily engaged in enforcement of narcotics laws but are also getting into other areas such as burglary, fencing and gambling.

Once SOCITF is operational, the major relationship with SECC will come about at three points: (1) case screening and analysis, whereby the Legal Research Unit will consult with the SECC Director and staff concerning the

organized crime content of cases referred to SOCITF; (2) coordination of investigative and enforcement operations by means of the SOCITF Interagency Liaison Unit (through which the Investigative Unit will act), particularly in those cases where SOCITF has an overriding interest; and (3) temporary assignment of personnel and exchange of information, etc., through the Investigative Unit (and coordinated through the Interagency Liaison Unit).

With respect to the Connecticut State Police Criminal Intelligence Division (CID), the relationships with SOCITF are somewhat more complicated. There are five sections within CID that are of direct relevance to any statewide effort against organized crime. These are: (1) Organized Crime Section; (2) Gambling Section; (3) Electronic Surveillance Section; (4) Security Investigations Section; and (5) Narcotics Section. In setting up SOCITF, through an act of the legislature, the Connecticut State Police will abolish the Organized Crime and Gambling sections and, where feasible, assign some of the personnel to SOCITF. This action is in recognition of the fact that it is not practical to maintain a large number of units attempting to deal with the same problem.

SOCITF's working relationships with the remaining three sections of CID is expected (and in fact planned) to be extremely close. The Electronic Surveillance Section will provide SOCITF with access to the state's electronic surveillance resources. With respect to the Security Investigations Section, SOCITF, through the Legal Research Unit's case screening and analysis responsibility, will be consulting regularly with the section. The two Intelligence Analysts organizationally attached to the Legal Research Unit within SOCITF will, in fact, be working primarily with the intelligence files in CID that concern organized crime.

To a large extent, SOCITF, through its Legal Research Unit, will also be working with the Investigation Section of the present Detective Division because of that section's activities in functional areas that involve organized crime such as truck hi-jackings, thefts of interstate shipments, etc.

The implementation plan for SOCITF specifies the establishment of close working relations between SOCITF and other agencies. Present plans call for a letter to be sent by the Governor of Connecticut, by the end of May, to all agencies in which the SOCITF concept will be outlined in detail and which will request agencies to designate a liaison person, develop guidelines governing the circumstances under which the agency can accept cases and referrals, refer cases and information to others, and the circumstances under which each agency can lend manpower, assign investigators and make technical experts available on a case basis. This letter, of course, is a first step towards the establishment of general guidelines governing SOCITF's working relationships with other agencies.

To implement the SOCITF project, an initial workplan has been developed and is presented in Figure 3.

SOCITF WORKPLAN

<u>Personnel</u>	<u>Begin Date</u>	<u>Ending Date</u>	<u>Assigned To</u>
<u>Milestones</u>			
1. Hire Project Director	6-1	7-1	State Police, Advisory Board
2. Hire remaining staff	7-1	7-15	Project Director
3. Assign staff under matching	7-1	7-30	State Police, Chief State's Atty.
4. Establish internal procedures	8-1	8-30	Project Director
5. Train Intelligence Analysts	9-1	9-30	Project Director
<u>Project Organization</u>			
1. Establish four units: legal research, Interagency Liaison, Prosecutorial Support Services, Investigative Unit	7-1	7-15	Project Director
2. Establish working relationships with other agencies	8-1	8-15	Project Director, Interagency Liaison Unit
3. Establish initial procedures for case referral, exchange of intelligence, etc.	8-1	8-15	Interagency Liaison Unit, Project Director
4. Establish final procedures for case referral, exchange of intelligence, etc.	8-1	12-15	Project Director, Interagency Liaison Unit
5. Develop forms and materials for internal operations	7-1	8-15	Unit heads, Project Director
<u>Equipment</u>			
1. Purchase or lease equipment	6-15	7-1	Project Director (temp.)
2. Lease cars	7-1	8-15	Investigation Unit Commander
3. Transfer OCTAFORCE equipment to SOCITF	7-1	7-15	Project Director
<u>Consultants</u>			
1. Arrange for information system specialist.	7-15	8-15	Project Director
2. Report and recommendations on information system needs	9-1	10-1	Consultant
3. Technical Assistance on Evaluation Data Needs	8-1	9-1	Project Director, CPMCA, LEAA Technical Assistance Personnel

P. IV. EVALUATION

The Connecticut Planning Committee on Criminal Administration and the Connecticut State Police Department both see this project as an important new approach to the organized crime problem and regard the need for evaluation of the project as a major task and a high priority.

As stated earlier, the ultimate program objective is to reduce the level and scope of organized criminal activity in Connecticut. To achieve this overall objective, this project has been developed with the specific goal of bringing about a major disruption of organized criminal activity, as a subobjective.

By setting up and operating the Statewide Organized Crime Investigative Task Force, five intermediate objectives will be addressed. These are as follows:

- (1) Improved and expanded capability to investigate organized crime;
- (2) Improved capabilities to analyze and process intelligence;
- (3) Improved coordination of public and private efforts;
- (4) Improved ability to develop strategies and countermeasures to deal with organized crime; and
- (5) Definition and establishment of specific roles and responsibilities for the various state and local agencies in the fight against organized crime in Connecticut.

There are thus three levels of assessment in this evaluation process. There is, first, an assessment of the extent to which organized criminal activity has been reduced in Connecticut. Since, as was shown earlier, the major activities include gambling, loansharking, the infiltration of legitimate business, and cigarette smuggling, it will be sufficient here to show some reduction in these. This can be accomplished through the use of intelligence as well as from data. The grantee will attempt to structure data collection efforts so that the requisite data can be collected.

The second level of assessment will be the extent to which the subobjective of disruption of organized criminal activity has been achieved. Again, as stated earlier, there are four ways in which this can be assessed: (1) frequency of changes in leadership of organized crime syndicates; (2) changes in nature of activities that are organized; (3) changes in tightness of discipline within the organization such as manifestations of carelessness, indiscretion, dissidence; and (4) changes in ranks, structure of the organization, and stability. The assessment of these cannot be carried out without resort to intelligence files and intelligence analyses. Again, the grantee will make efforts to assess these.

The third level of assessment concerns the extent to which the five intermediate objectives have been achieved. A summary of these, together with means of assessment and source of information follows: (the objective number refers to the list above)

Intermediate Objective

Means of Assessment

Data Source

- |     |  |   |
|-----|--|---|
| (1) | a. Scope and type of statutes being used.<br>b. Type and quality of arrests and prosecutions.<br>c. Level of investigative and prosecutorial activity.   | a. Case activity summaries<br>b. Do.<br>c. Do., intelligence files.   |
| (2) | a. Types of intelligence and other info collected.<br>b. Uses of such intelligence and info.<br>c. Relative importance and usefulness of such info.  | a. Intelligence files.<br>b. Case files, case element check lists.<br>c. Subjective assessment by project staff.  |
| (3) | a. Type and frequency of relations, contacts with other agencies.<br>b. Quality and usefulness of such contacts.   | a. Interagency liaison Unit records.<br>b. Subjective assessments by staff.   |
| (4) | a. Types of strategies developed.<br>b. Development of a framework for utilizing and evaluating strategies and countermeasures<br>c. No., types and quality of recommendations made by SOCITF staff.<br>d. New techniques developed by SOCITF. | a. Direct observation.<br>b. Director observation, subjective assessment of staff<br>c. SOCITF reports, Director, Advisory Board.<br>d. Direct observation, subjective assessments by persons working with or familiar with SOCITF. |
| (5) | a. Definition of clear and specific roles for each of the agencies insofar as SOCITF is concerned.   | a. Interagency liaison records and files.   |

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| b. Existence of close liaison.   | b. Interagency liaison records.                                   |
| c. Existence of guidelines governing joint operations, referral of cases, etc. | c. Direct inspection. Interagency Liaison Unit records.           |
| d. Organized Crime Awareness among other agencies.                             | d. Surveys of other agencies, interviews, subjective assessments. |

It should be noted that this is only a first cut at the development of an evaluation design for this project. It should be noted that it is not meaningful at this stage to attempt to evaluate the quantitative impact of a project such as SOCITF in terms of, for example, a reduction in gambling by x percent in y years. There are two major reasons for this: (1) there is no means of measuring the level of organized criminal activity in any meaningful fashion; and (2) there is no means of relating specific resource inputs (such as increased manpower) to a result, such as "reduction in gambling." The proposed project, in examining the above assessments, will attempt to address the question of measurement of impact.

To carry out the evaluation of this project, the Grantee will work closely with the Connecticut Planning Committee on Criminal Administration's Evaluation Section. LMA technical assistance will be sought for the evaluation of this project and where appropriate, outside consultants may be brought in.

The following tasks are seen as necessary to any evaluation of this project:

- (1) Collection of information on the situation with respect to the level of organized criminal activity, the stability of such activity, and the status with respect to the five intermediate objectives prior to or at the time of startup of the project.
- (2) Collection of data and other information during project implementation and operation.
- (3) Collection of data after termination of first year of award; and
- (4) Analyses and evaluation of project.

As shown earlier, much of the data that would be needed for evaluation of this project will be collected as part of the regular project operation activities. Initial analyses of this data would be carried out by the Director of SOCITF or his designee and the Evaluation Section of the Connecticut Planning Committee on Criminal Administration.

Because of the time frames within which the project is expected to operate (July 1, 1973 - June 30, 1974), it is expected, at this time, that no evaluation report will be produced for this project until about August 1, 1974. However, interim reports will be produced.

P. V. RESOURCES

(i) Staff Qualifications

The key staff members for this project include the Director, the heads of the four units, the Accountant Investigator, the two shift commanders and the two intelligence analysts. Not all of these are being paid for under this discretionary grant. However, for completeness, a summary of the qualifications and background which will be sought for persons filling all of these positions is included here. In addition, a summary of the desirable qualifications to be sought in the investigators assigned to the SOCITF project is also given below. While these qualifications will generally be used in recruitment and selection of staff personnel, it should be recognized that these may vary due to circumstances later on.

(a) Project Director

The Director of SOCITF will be the Project Director and, as such, will be responsible for organization, administration and operation of SOCITF. The person to be selected for this position will be either a senior Connecticut State Police Officer or an appropriately-qualified civilian. The desirable qualifications for this position should include (but not be limited to) the following:

- (1) Demonstrated proficiency in and knowledge of organized crime control and current approaches to it.
- (2) At least five years' experience in a criminal justice system agency concerned with one or more of the following activities: prosecution, investigation, organization and administration, organized crime program planning.
- (3) Demonstrated knowledge of the relationship of procedural and substantive laws to the objectives of this project, and their use in the development and implementation of organized crime control strategies.

Candidates should have a four-year college degree and some advanced training in the relevant areas. Prosecution-related experience and a knowledge of the constitutional aspects of procedural laws would be most desirable because of the importance of constitutional constraints to SOCITF's proposed activities. Final qualifications and selection criteria will be established by the SOCITF Advisory Board in conjunction with the Connecticut State Police Department and the Connecticut Planning Committee on Criminal Administration.

(b) Unit Heads

The four units in SOCITF are (1) Interagency Liaison Unit; (2) Prosecutorial Support Services Unit; (3) Legal Research Unit;



and (4) Investigative Unit. The functions and responsibilities of these units are discussed in some detail in P. III, Methods and Timetable and need not be repeated here. A summary of the desirable qualifications for each of the unit heads is given below:

Attorney-In-Charge, Interagency Liaison Unit

This person will be the only full-time staff member of the unit. This type of position does not now exist anywhere in any unit, at any level (federal, state or local). For this reason it is difficult to set hard-and-fast criteria for applicants. The person to be recruited for this position will be an attorney and will be expected to become knowledgeable in the type of resources already available in other state agencies in Connecticut, as well as in the federal and local agencies. A knowledge of Connecticut's law enforcement structure and of the interrelationships between agencies is extremely important for this position. Some experience in the prosecutorial field and in the enforcement of either administrative regulations or codes will be of importance in this type of position. The general responsibilities for this unit are discussed in P. III of this application.

Prosecutor-In-Charge, Prosecutorial Support Services Unit

This person will be an Assistant State's Attorney assigned to the SOCITF project under the authority of the Chief State's Attorney for Connecticut. The duties and responsibilities of the Prosecutorial Support Services Unit are discussed in P. III of this application and are not repeated here. Desirable qualifications for this position will include: (1) Experience in the prosecution of cases involving criminal statutes, particularly those related to organized crime; and (2) familiarity with the broad range of state statutes which can be brought to bear on the problem of organized crime. The prosecutor-in-charge will be expected to become knowledgeable about the types of resources and capabilities of state, local and federal agencies as well as about the relationship between the various agencies at all levels.

Attorney-In-Charge, Legal Research Unit

The desirable qualifications of the Attorney-In-Charge of the Legal Research Unit will include: (1) membership in the Connecticut Bar; (2) familiarity with those federal and state statutes that can be brought to bear on organized crime; (3) knowledge of the relationship between the state's procedural and substantive laws and how this can be utilized in the development of organized crime control strategies; (4) familiarity with police and general investigative procedures and methods; and (5) familiarity with intelligence, procedures. Organized crime prosecutorial experience will be given preference. The duties and responsibilities of the Legal Research Unit are discussed in detail in P. III of this application. It should be noted that the staff of this unit will not

have any prosecutorial responsibilities.

Commander, Investigative Unit

The Commander of the Investigative Unit will be a State Police Officer of the rank of lieutenant or higher. The unit's responsibilities and activities are described in detail in P. III of this application and are not repeated here. The Commander of the Investigative Unit should have at least five years' of investigative experience directly related to the investigation of organized criminal activity. This is, however, a flexible requirement. As a minimum, the Commander must have attended at least one of the federal courses (conducted by BNDD, IRS, ATF) or the Organized Crime Law Enforcement Training program. He must also have appropriate clearance from LEIU.

(c) Accountant Investigator

The accountant investigator will be expected to have at least five years experience in law enforcement accountancy investigations and, in particular, this experience should be in the area of organized crime investigations. This person will be expected to provide technical expertise and backup in such investigations as well as to carry these out as may be required. The responsibilities and functions of this position are described in detail in P. III and are not repeated here.

(d) Shift Commanders

The basic qualifications for shift commanders will include the following:

- (1) related experience in organized crime investigations
- (2) supervisory experience in the same general area
- (3) attendance at one or more of the federal courses (conducted by BNDD, IRS, ATF) or the Organized Crime Law Enforcement Training program.
- (4) Appropriate clearance (for security).

The shift commanders will be state police officers of the rank of corporal or sergeant and will function as first-line supervisory personnel.

(e) Intelligence Analysts

The duties and responsibilities of the two intelligence analysts are described both in the Budget Narrative (under Personnel) of this grant and in P. III of the grant application and are not repeated here. Based on an analysis of these duties, the intelligence

analysts should be experienced in the design, establishment and implementation of intelligence control procedures; (2) development of analysis procedures and forms; (3) analysis and collation of intelligence; and (4) preparation of intelligence assessments. Desirable experience would be either in the military intelligence services or in federal or state government organized crime control operations. It is expected that one of the two intelligence analysts will assume a supervisory role with respect to intelligence analysis activities and will be dealing with and supervising consultants who will be brought in to develop an organized crime intelligence system for Connecticut. Where necessary, they will be sent to appropriate federal schools in the event that further training is necessary. At the very least, they will become familiar with existing federal and state capabilities in this area, through field visits to other states which have already developed or are in the process of developing organized crime intelligence systems.

(f) Investigators

As stated in the Budget Narrative section of this application, investigators will be expected to have the following qualifications:

- (1) related experience in organized crime investigations in Connecticut
- (2) attendance at one or more of the federal courses (conducted by ATF, BNDD, IRS) or the Organized Crime Law Enforcement Training Program.
- (3) appropriate clearance (for security).

It is expected that members of the State Police Organized Crime and Gambling sections will meet the qualifications necessary for assignment to SOCITF.

(ii) Staff Organization of the Project

The staff organization of the project is described in detail in this application in the following places: (1) P. III, Methods and Timetable; and (2) Attachment to the Application. See in particular: (3) Organizational Chart for SOCITF; and (4) Organizational Pattern and Duties of Staff Members.

A major aspect of the SOCITF project is the statutory creation of an Advisory Board which will have several major functions as follows: (1) act in an advisory capacity to the State Police Commissioner and the Director of SOCITF; (2) choose a candidate for appointment as Director of SOCITF (thus functioning as a recruiting, screening and selection body); (3) carry on other duties including possibly public education, research, etc. in the area of organized crime control in Connecticut. The Advisory Committee will consist of a chairman to be appointed by the Governor, and the following eight members: the State

Police Commissioner, the Chief State's Attorney, a designee of the Chief Justice; a prosecutor of the Circuit Court appointed by the Chief Prosecutor, or their designees, two police chiefs from urban communities appointed by the Governor, and two civilian members, one to be appointed by the Governor and one by the two leaders of the Connecticut State Legislature (the Speaker of the House and the President Pro-tem of the Senate). The details of this Advisory Committee's appointment, functioning, term of office, etc., are laid out in the draft legislation on SOCITF attached at the end of this application.

It will be noted that to a large extent the functions and duties of the SOCITF Advisory Committee correspond to those recommended by the Law Enforcement Assistance Administration for "State Organized Crime Prevention Councils." The SOCITF Advisory Committee represents a new concept in Connecticut; it will be acting in an advisory capacity with respect to the state's organized crime control effort and it will become a continuing mechanism for the coordination of such efforts. It will also have the potential of acting as a mechanism for public education, and for the coordination of private sector efforts. At a later date, federal funding may be sought to provide a staff capability for the Advisory Committee, either through augmentation of the SOCITF staff or through separate funding that takes into account the special program established for this purpose.

(iii) Achievements, Experience and other Activities of Applicant

The Connecticut State Police Department is qualified by virtue of past experience, available resources and jurisdiction to undertake this project. There are five major reasons why this is so as follows:

- (1) The Connecticut State Police is the only agency in the state that has had, for several years, specialized units and the necessary personnel that deal with such areas as criminal intelligence, organized crime, gambling, and narcotics investigations. It also is the only agency that has the technical capabilities to conduct court-authorized electronic surveillance.
- (2) The Connecticut State Police Department was the recipient of an LEAA Discretionary Grant in 1970 (Grant No. 70-DF-159). Under this grant, the capabilities of the Criminal Intelligence Division were expanded and two important training programs were conducted for local and state law enforcement personnel. A report on the activities carried out under that project was submitted to LEAA earlier in accordance with the terms of that grant. The present application takes into account the terms and results of the earlier grant.
- (3) The State Police has been designated as the repository of the state's efforts to combat organized crime by Governor Meskill. The Connecticut Planning Committee on Criminal Administration and the Connecticut State Police were assigned by the Governor the joint responsibility for formulating plans for and setting

up a statewide unit to combat organized crime late in 1972.

- (4) Through its active participation in the New England State Police Administrator's Conference, the Connecticut State Police has been one of the initiators of action to control organized crime not only in Connecticut but throughout New England.
- (5) The Connecticut State Police Department has been participating actively in the operations and activities of the experimental New Haven County Organized Crime Task Force (OCTAFORCE), the state's first major experiment in organized crime control. It has assigned personnel to that unit who, in turn, have gained practical experience in working within the framework of a prosecution-oriented agency.

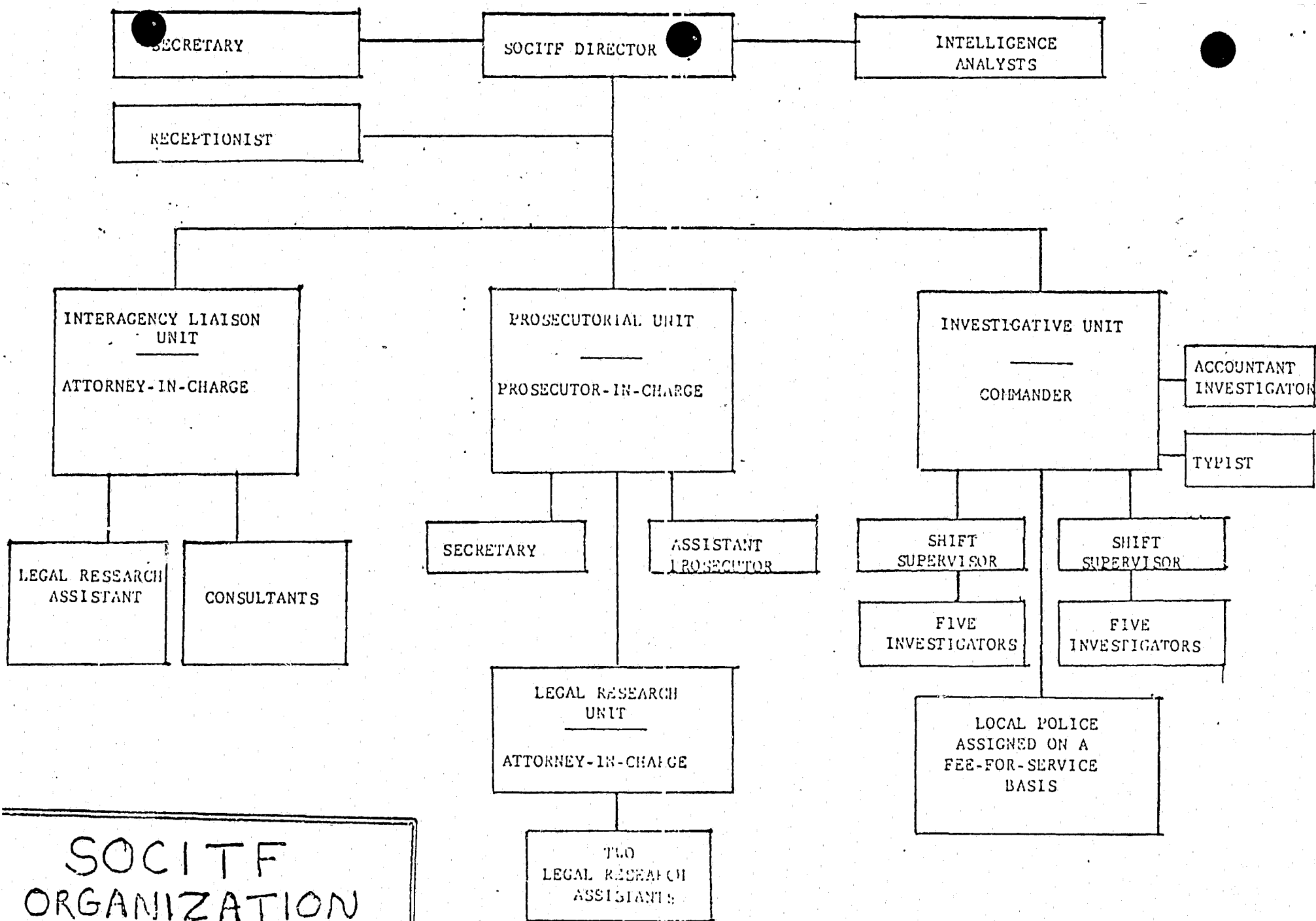
(iv) Cooperation and Support of Other Units

The relationship of SOCITF to other units in the state has already been described in detail in the Attachment to this application (see 5. Relationship to Other Organized Crime Law Enforcement Units in Connecticut). Also, the steps to be taken to insure coordination and cooperation with other state agencies have been described in P.III of this application.

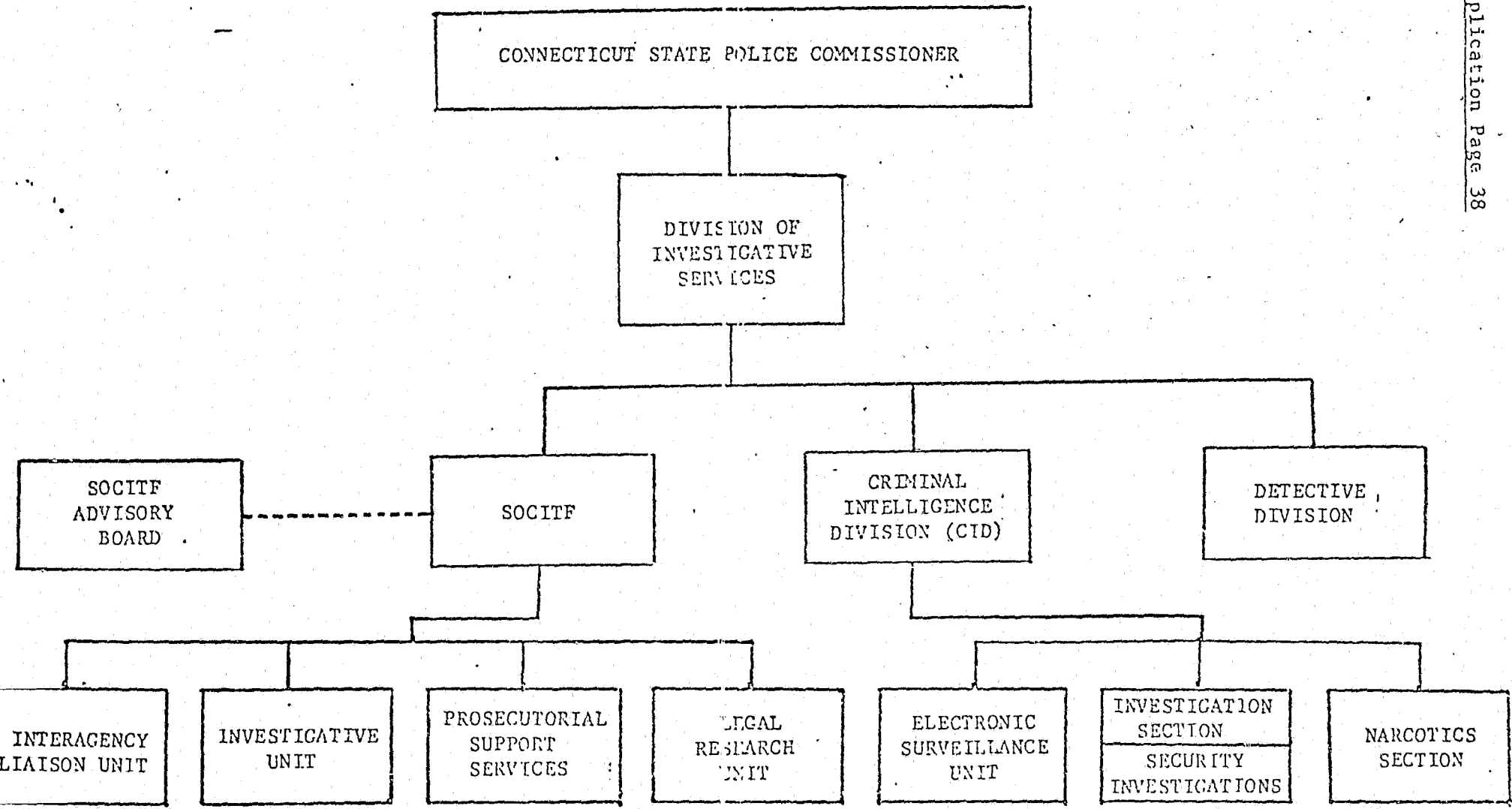
In terms of actual manpower commitments, the two most important types of agencies for this purpose are: (1) the Chief State's Attorney, who has indicated that two prosecutors will be assigned to the SOCITF project; and (2) the state's largest cities, where the possibility of their assigning one or more officers on a liaison basis will be explored.

Insofar as the development of procedures for interagency cooperation and coordination are concerned, it should be noted that SOCITF has a legislative mandate (as well as a gubernatorial assignment to develop such procedures. This will be done in the course of implementing the project and, in particular, under those tasks listed in the SOCITF Work Plan (see P. III) as "Project Organization."

As part of the preparation for this project, the resources, capabilities, and activities of most of the principal state agencies were surveyed in detail with the aim of determining their present jurisdiction, their present capabilities, the resources they possessed, and what arrangements could be made with respect to cooperation and coordination of efforts. (See P. III, Methods and Timetable). All of those responding to the survey were asked to designate temporary liaison persons who could be contacted by a law enforcement agency for assistance and technical expertise.



SOCITF ORGANIZATION CHART





ATTACHMENT TO CONNECTICUT'S ORGANIZED CRIME  
DISCRETIONARY GRANT APPLICATION

(This attachment is submitted in response to the questions in S. Cooley's letter of October 30, 1972. The item numbers here refer and correspond to the question numbers in Colley's letter.)

1. Ultimate Objectives

The ultimate overall objective of the program as conceived here is to reduce the level of organized criminal activity in Connecticut. It is not meaningful, at this stage, to state an expected quantitative impact for this program, such as: the reduction of gambling by x percent in y years. There are two major reasons for this: (1) there is no means of measuring the level of organized criminal activity in any meaningful fashion; and (2) there is no means of relating specific resource inputs (such as increased manpower) to a result, such as "reduction in gambling." With increased manpower, one might be able to increase the number of arrests for gambling offenses, but the question still will remain of the extent to which the level of gambling activity has been reduced. The proposed project will attempt to address the question of measurement of its impact.

The major organized criminal activities in Connecticut include gambling, loansharking, the infiltration of legitimate business, and cigarette smuggling. By reducing these activities in some way, a reduction in the overall level of organized criminal activity can theoretically be achieved. In fact, the extent of such a reduction could be estimated through intelligence assessments of organized criminal activity in those fields. In particular, reduction of such activity could, through the analysis of intelligence reports and other information, be measured in terms of changes in the number and scope of major operations, volume of activity, profitability of various enterprises, and so forth.

The National Institute of Law Enforcement and Criminal Justice has sponsored a number of studies aimed at estimating the pattern and volume of specific types of organized criminal activity such as bookmaking, and at developing and evaluating effectiveness measures for organized crime control efforts. Examination of some of these studies, however, does not indicate anything of great use for application in the operational sense.

For the purposes of this application, the ultimate objective of the program is to reduce the level of organized criminal activity in Connecticut. That, in Connecticut, requires the reduction of the level and scope of gambling, loansharking, infiltration of legitimate business, and cigarette smuggling among others. By reducing these activities, it is expected that the overall impact will be greater than by concentrating on other types of activities.

To achieve this overall objective, there are two principal subobjectives as follows: (1) causing major disruption of organized criminal activity; and (2) increasing the cost of doing business for organized criminal syndicates and enterprises. By causing major disruption, through arrests,

through a policy of attrition involving the arresting and detention of syndicate leaders and key personnel, it is expected that the resulting instability will lead to breakdowns in discipline, organization, and operational efficiency, and ultimately, a reduction in the scale of organization of various criminal activities. By increasing the cost of doing business for organized criminal enterprises, the flow of funds from presently-profitable activities which, in turn, are used for other operations, such as the infiltration of legitimate enterprises, corruption, and so on, may be reduced. These are the premises on which the present project is constructed.

Together with the statement of an objective and of subobjectives, a means of measuring or assessing progress towards the objectives is required. Research by the staff of the Connecticut Planning Committee on Criminal Administration (CPCCA) indicates that these two subobjectives can be assessed as follows:

<u>SUBOBJECTIVE</u>	<u>METHOD OF ASSESSMENT</u>
(1) Cause major disruption of organized criminal activity.	1. Frequency of changes in leadership; 2. Changes in tightness of organization, e.g., discipline within the organization, carelessness, discretion, manifestations of dissidence; 3. Changes in nature of activities that are organized; 4. Changes in ranks, structure of the organization, etc.
(2) Increasing the cost of doing business for organized crime syndicates.	1. Shifts to new types of enterprises; 2. Changes in operating procedures; 3. Increased efforts to improve efficiency; 4. Declining profitability of various types of enterprises; 5. Efforts to cut costs; 6. Increased disorganization in specific types of enterprises (as a result of the shift of the syndicates formerly controlling these into other lines and their replacement by new groups.

7. Increased arrests (indicating lack of tight organization and the protection it can purchase).

As part of the project implementation planning, efforts will be made to develop more precise indicators for the assessment of the extent to which organized crime activities have, in fact, been affected by the proposed project. These indicators, as can be seen, are derivable from either existing or collectible intelligence and other information.

It should be noted, as stated in the body of the application (and later on, in this Attachment) that the proposed Statewide Organized Crime Investigative Task Force (SOCITF) is only one part of Connecticut's overall program for the control and reduction of organized criminal activity. The other component consists of major revisions in existing legislation and in the authority and operations of the various state agencies.

## 2. Intermediate Objectives Leading Towards Ultimate Grant Objectives

The ultimate program objective is to reduce the level and scope of organized criminal activity in Connecticut. To achieve this overall objective, this project has been developed with the specific goal of bringing about a major disruption of organized criminal activity in Connecticut. By setting up and operating the Statewide Organized Crime Investigative Task Force, five intermediate objectives will be addressed. These are as follows:

- (1) Improved and expanded capability to investigate organized crime;
- (2) Improved capabilities to analyze and process intelligence;
- (3) Improved coordination of public and private efforts;
- (4) Improved ability to develop strategies and countermeasures to deal with organized crime; and
- (5) Definition and establishment of specific roles and responsibilities for the various state and local agencies in the fight against organized crime in Connecticut.

A brief definition of these intermediate objectives follows together with a description of how the proposed project will lead towards these.

- (1) Improved and expanded capability to investigate organized crime.

By improving and expanding the state's capability to investigate organized crime, it is expected that the resultant investigative, apprehension and prosecution activities will result in a major disruption of organization and of organized criminal activities.

The proposed SOCITF unit will be set up in such a way as to take into account all relevant criminal and non-criminal statutes that can be brought to bear on the problem of organized crime. At

present, the majority of arrests for those crimes typically are made by local police utilizing solely the criminal statutes. As has been pointed out earlier, there is not much effort to enlist the use of the large body of non-criminal statutes and in fact there is an almost complete lack of awareness of which statutes can be used, what can be done and what will be done. By broadening the statutory basis for both investigation and prosecution, this will, in effect, increase the number of options available to both investigators and prosecutors. In turn, the state's capability to investigate and prosecute organized crime will thereby be expanded.

The attainment of this intermediate objective can be assessed in terms of the scope and type of statutes being used in organized crime cases, the type and quality of arrests and prosecutions and the level of investigative and prosecutorial activity (that is, whether the targets are higher-level personnel or lower-level).

- (2) Improved capabilities to analyze and process intelligence.

By improving the state's capability to analyze and process intelligence, it is expected that its ability to develop legal and investigative strategies for the control and suppression of organized criminal activity will be greatly improved. Even more important, the use of intelligence resources in decision-making concerning the allocation of investigative and prosecutorial resources is expected to lead to: (1) improved efficiency in the operation of those agencies engaged in or participating in organized crime control activities; and (2) increased and expanded capabilities as a result.

The proposed SOCITF unit will include among its personnel intelligence personnel, in particular, intelligence analysts, and funds to employ consultants in the development of an organized crime information and intelligence system. The Connecticut State Police and the New Haven County Organized Crime Task Force, among other agencies, already possess considerable intelligence files and other information on organized criminal activity in Connecticut. What is lacking is a means of utilizing this information for both investigative and prosecutorial purposes. A survey of the majority of intelligence units that have been set up around the country using LEAA funds indicates that the majority of these units are primarily concerned with collecting information and then disseminating it to other agencies. SOCITF's emphasis, however, will be on using this intelligence and other information to make decisions concerning such activities as: targeting of individuals and criminal operations, assignment of investigative and prosecutorial personnel, allocation of other resources, and assessment of the effects and impact of the project's (and Connecticut's overall organized crime control program's) operations.

The attainment of this intermediate objective can be assessed in terms of the types of intelligence and other information collected,

the uses to which it is put, and the importance of this intelligence and other information in decision-making. These assessments are, to a significant extent, subjective.

(3) Improved coordination of public and private efforts.

By improving the coordination of public and private efforts including their increased participation in efforts to control or otherwise deal with organized crime, this is expected to result in additional resources and capabilities as well as in more effective approaches to organized crime. The potential contributions of private agencies include a variety of expertise, the ability to exert peer group pressure, financial and manpower resources, etc., while the public efforts (of other non-governmental agencies) include access to a wider variety of statutes and administrative regulations, data and other information that may be of use in cases analyses, etc.

The proposed SOCITF unit will address the need for improved coordination by including within its organization structure an Interagency Liaison with the major responsibility for coordinating investigations and general operations with other agencies, groups, etc. At present, there is no such capability within Connecticut. The survey carried out, by the Connecticut Planning Committee on Criminal Administration, of those state agencies with some possible tie in to a statewide effort constituted the first attempt to catalog the state's resources in the effort against organized criminal activity. The Interagency Liaison Unit will establish guidelines and procedures governing acceptance of case referrals from other agencies and also will attempt to work out guidelines whereby other agencies would refer cases to SOCITF, assign personnel, etc.

The attainment of this objective can be assessed in terms of analyses of SOCITF's relations with other agencies, the quality of these relations, frequency of contact, subjective assessments of the quality of cooperation by other agencies with SOCITF, etc.

(4) Improved ability to develop strategies and countermeasures to deal with organized crime.

By improving the state's capability to develop strategies and countermeasures to deal with organized crime, it is expected that the state's overall response to organized crime will improve and, with respect to the project, this will directly contribute to realization of the specific goal of bringing about a major disruption of organized criminal activity.

SOCITF will include within its organizational structure, two units, a Prosecutorial Support Services Unit and a Legal Research Unit. Both will be heavily involved in taking information, intelligence, case files, and the results of investigations, and integrating

these into investigative and prosecutorial strategies. The Legal Research Unit will, for example, examine cases referred to SOCITF (or otherwise coming to its attention) in the light of the statutes that may be involved, the types of activities, their level, the elements needed to develop the case to the point of prosecution, etc. In so doing, it will develop guidelines and a specific outline of activities to be carried out by the Investigative Unit (within SOCITF). The Prosecutorial Support Services Unit will take this a step further and will integrate these cases with the results of investigations by both SOCITF's investigators as well as of other agencies and will utilize this to formulate a prosecutorial strategy, both for individual cases as well as for cases as a group.

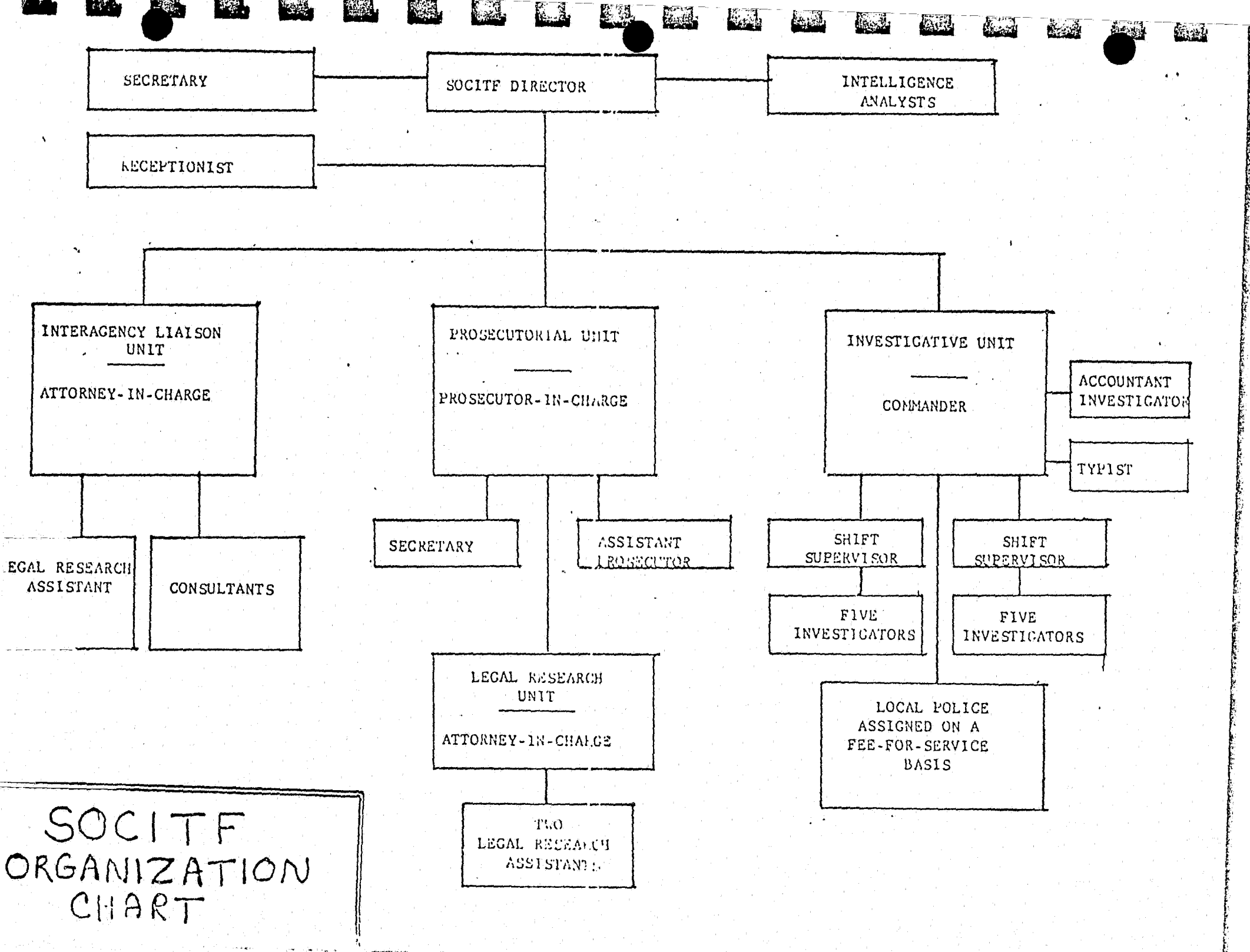
Over a period of time, this type of activity and increased experience with the use of the wider range of statutes and of intelligence will enable SOCITF to begin formulating more effective countermeasures including legislative recommendations, organizational changes, improvements in investigative techniques and approaches, and improved capabilities for using intelligence and integrating it into organized crime control strategies.

The attainment of this intermediate objective can be assessed, in large part, in terms of the development of broad strategies for control of organized crime, the development of a framework for utilizing and even evaluating strategies and countermeasures, and the number, type, and quality of recommendations made by SOCITF and of techniques developed by SOCITF.

(5) Definition and establishment of specific roles and responsibilities for the various state and local agencies in the fight against organized crime in Connecticut.

By setting up SOCITF as a coordinating mechanism, it is expected that a clearer definition of the roles and capabilities of the various state and local agencies will emerge. In turn, by promoting greater integration of these efforts rather than further duplication, the investigative and regulatory resources of a number of state agencies and local departments can be more effectively brought to bear on the organized crime problem in Connecticut. This in turn, will result in disruption of organized criminal activities of certain types.

SOCITF's basic plan calls for a clear definition of the agencies that will be working with it, the development of close liaison with the particular agency, a clear description of what each agency can do in terms of jurisdictional, operational and investigative capabilities that are relevant to control of organized criminal activity, and the development of guidelines governing the circumstances under which agencies can accept cases referred to them, refer cases and information to SOCITF, and assign manpower, including investigators and other specialists.



SOCITF ORGANIZATION CHART

The attainment of this objective is, on the one hand, simple to assess and on the other hand, rather complex. Simply put, it can be ascertained whether or not this intermediate objective has been attained by determining whether or not clear and specific roles and responsibilities for each of the agencies have been developed, whether or not close liaison and guidelines governing joint operations, referrals of cases, etc., have been established, and whether or not the other agencies are in fact aware of the organized crime problem, its nature and their role and responsibility in dealing with it.

4. Organizational Pattern and Duties of Staff Members

The Statewide Organized Crime Investigative Task Force (SOCITF) is organizationally located within the Connecticut State Police Department's Division of Investigative Services along with the Criminal Intelligence Division (CID) and the Detective Division. As proposed here, SOCITF will consist of four major units as follows: (1) Interagency Liaison Unit; (2) Legal Research Unit; (3) Investigative Unit; and (4) Prosecutorial Support Services Unit. At a later date, an administrative section may be added. The structure of SOCITF is given in the organizational chart (see 3. above). This structure is determined, to a large extent, by the types of functions and activities envisioned for SOCITF.

In brief, SOCITF's envisioned operations are as follows:

- (1) Cases will be referred from one of five major sources; (1) other state agencies who identify organized crime elements in particular cases; (2) complaints and leads; (3) the Statewide Enforcement Coordinating Committee (SECC) and other police departments; (4) the State Police Criminal Intelligence Division and, possibly, the Detective Division as well; and (5) Federal and multi-state agencies.
- (2) Cases referred to SOCITF will undergo a preliminary screening which will seek to determine whether the case is of organized crime "interest," that is whether or not there are individuals, places or events that are of current interest or which appear in files. The Legal Research Unit will do this initial screening and will also develop a list of case elements to be addressed by the Investigative Unit, utilizing existing statutes, etc.
- (3) The Legal Reserach Unit will also examine the particular case to determine whether or not there are elements in the case that are of interest to other agencies as well. In such cases, a summary of these elements and recommendations will be referred to the Interagency Liaison Unit which in turn will refer to the appropriate agencies the specific elements of interest to them and will, at the same time, maintain a follow-up on the activities of the particular agency will reference to the case so that these can be coordinated with SOCITF's own operations.

**CONTINUED**

**2 OF 3**



of personnel and information, and for the referral of cases. It will also maintain a follow-up monitoring system for those cases (or elements) referred by SOCITF to other agencies to insure close coordination with their efforts. It will also develop guidelines for other agencies with respect to recognition of organized crime elements in those agencies' own operations and cases and through a limited program of both technical assistance and orientation attempt to increase the awareness of the other agencies to the problem of organized criminal activity. It will also maintain liaison with Federal and out-of-state agencies as well as with private groups and organizations.

The Attorney in Charge of the Interagency Liaison Unit will play an active part in its operation, particularly since he will be the only full-time staff person in it. He will be expected to become knowledgeable in the types of resources already available in other agencies, including Federal, state and local levels, as well as the capabilities that are available. With the assistance of a Legal Research Assistant to perform routine research, clerical and other tasks, he will maintain files, and carry out the major activities of the unit. Technical assistance will be provided, in the form of consultants (under both the Discretionary Fund and block grants to be made available) to assist in setting up the manual files and procedures needed to insure the proper functioning of this unit. He will share a secretary with the Director and a typist with the Legal Research Unit.

#### (2) Legal Research Unit

The Legal Research Unit will consist of six staff members initially. It will be headed by an Attorney in Charge and will include a typist (shared with the Interagency Liaison Unit), a staff attorney, two Intelligence Analysts and a Legal Research Assistant. Its primary functions will include the screening and analysis of all cases coming into SOCITF for organized crime "content," the identification of principal case elements based on an analysis of potentially applicable statutes and regulations, and the development of a checklist for the Investigative Unit outlining the case, the statutes involved (or violations of regulations where applicable), the elements required to make the case, the elements already available and those which are needed, together with recommended strategies for addressing this. The term "organized crime content" refers to cases which are on analysis judged to be indicative of organized criminal activity or which includes individuals, events, places, etc., that have been or are involved in organized criminal activity. This particular function will require access to the intelligence files maintained by the Connecticut State Police Department, New England Organized Crime Intelligence System, and other agencies. While the bulk of the legal analysis will be carried out by the Attorney in Charge with the assistance of the staff attorney and the Legal Research Assistant (who will perform routine research, analysis, and other clerical tasks), two Intelligence Analysts will be organizationally attached to this unit. They will be assigned to work on the Connecticut State Police

- (4) The case, together with its elements identified in the form of a check list for the investigation aspect is then forwarded to the Investigative Unit together with guidelines on possible strategies to be followed. This is received by the Investigative Unit Commander who will then make all assignments and maintain activities until the case file is completed. Where local and county investigators are attached on a temporary basis, for particular cases, efforts will be made to complete the investigation. If new elements are uncovered in the course of the investigation, i.e., new leads, these will be referred back to the Legal Research Unit for integration into the case.
- (5) On completion of the initial investigations, the case file at this stage will go to the Director's Unit, consisting of the Investigative Unit Commander, the Prosecutorial Support Services head, the Legal Research Head, and the head of the Interagency Liaison Unit, presided over by the Director. This is not a formal division within SOCITF; its primary function will be to review the particular case file and the results to date and make some estimate of its priorities insofar as prosecution and/or further investigation is concerned.
- (6) The case will then be referred to the Prosecutorial Support Services Unit where it will be integrated into the unit's schedule in accordance with the existing priorities and the Director's Unit recommendations.

It should be noted that at all times, there will be close coordination as well as frequent consultation between these units. In particular cases involving special situations or circumstances, the above-described pattern of operations may vary slightly but the major elements of case screening, development of a check list of elements to be addressed by the Investigative Unit, the use of intelligence at all stages of decision-making concerning cases and the allocation of resources to them, and coordination of SOCITF efforts with those of other agencies will remain as an essential part of the SOCITF operation.

On the basis of this description of SOCITF operations, the responsibilities and roles of the four units making up SOCITF, and the duties of the staff assigned to each, can be summarized as follows:

#### (1) Interagency Liaison Unit

The Interagency Liaison Unit will consist of three members initially. It will be headed by an attorney and will include a Legal Research Assistant and the joint sharing of a typist with the Legal Research Unit and a secretary with the Director. Its primary functions will include the development and maintenance of liaison with other state, local and federal agencies that are or may be potentially involved in some aspects of dealing with the organized crime problem or which have potentially-useful jurisdiction and/or powers with respect to certain areas that are necessary to a coordinated approach to organized crime. It will, among other activities, maintain information on the capabilities and resources of these other agencies, coordinate interagency operations and joint activities, arrange for the exchange

insure that cases are completely and thoroughly investigated.

(4) Prosecutorial Support Services Unit

The Prosecutorial Support Services Unit will consist of at least four staff members including a Prosecutor in Charge, an Assistant Prosecutor in Charge, a secretary and a Legal Research Assistant. Its major functions will include the preparation of cases for prosecution, the identification of prosecution priorities, and maintaining liaison with the regular prosecutorial agencies. The two assistant state's attorneys to be assigned to this unit, one of whom will be the Prosecutor in Charge, may prosecute cases themselves or they may refer them to the State's Attorney's Office in the particular jurisdiction of interest. In this latter case, they would then keep track of the progress of the referred case through the Interagency Liaison Unit. Appropriate guidelines and procedures for the referral of cases for prosecution as opposed to direct prosecution by SOCITF will be worked out in meetings with the SOCITF Advisory Council on which the Chief State's Attorney is represented.

As working relationships become more and more established between SOCITF and the prosecutorial agencies, it is expected that prosecutors and assistant State's Attorneys may be assigned on a temporary basis to work with SOCITF. In such cases, they will report directly to the Prosecutor in Charge who will coordinate their efforts. In this connection too, prosecutorial efforts in cases where the jurisdiction of more than one state, local or federal agency is involved will be closely coordinated.

On the basis of the above description of responsibilities and functions of the four major units within SOCITF and the specific activities of their respective staff, the rationale for the proposed SOCITF structure and operation can be discerned.

5. Relationship to Other Organized Crime Law Enforcement Units in Connecticut

At the time of filing of this application, the Connecticut Planning Committee on Criminal Administration (CPCCA) had, in its report on Organized Crime in Connecticut, identified a number of different agencies in the state which either have a direct involvement in or a potentially significant contribution to make to the state's efforts against organized criminal activity. The list is rather exhaustive.

In terms of agencies which are specifically set up to deal with organized criminal activity in Connecticut, however, there are only three. These are: (1) the New Haven County Experimental Organized Crime Task Force (known as OCTAFORCE); (2) the Statewide Enforcement Coordinating Committee (known as SECC) which is the umbrella agency for the state's regional crime squads; and (3) the Connecticut State Police Criminal Intelligence Division, in particular its Organized Crime and Gambling sections.

With respect to the first, namely OCTAFORCE, it is planned that as of July 1, 1973, OCTAFORCE will terminate all operations under CPCCA/LEAA

C.I.D. files and their initial efforts will include working together with consultants (to be hired under this program) to design and develop an intelligence file system to properly support the work of SOCITF. The intelligence analysts will also work closely with other units within SOCITF to insure that their needs for intelligence analyses and assessments are being met. Their major tasks in this regard will include: (1) development of procedures and forms; (2) analyses of intelligence and other information; (3) preparation of intelligence assessments involving particular individuals, organizations, locales and operations as well as evaluation of the impact of SOCITF and other state efforts on the problems; and (4) coordination of intelligence collection and analysis in other agencies.

(3) Investigative Unit

The Investigative Unit will consist of at least seventeen staff members and will include a commander, an accountant investigator, two shift commanders, at least twelve State Police Investigators, and a typist. The commander will be a State Police Officer with the rank of lieutenant or higher. This unit's major responsibilities will include the investigation of all cases referred to it, the completion of case files as per instructions and guidelines provided by the Legal Research Unit, and coordination of investigative efforts with those of other agencies through the Interagency Liaison Unit. As working relations and arrangements with other state, local and federal agencies become more established, it is expected that additional investigative personnel and other types of specialists will be assigned to the Investigative Unit on a temporary case-by-case basis. They will, in general, report to the Investigative Unit Commander who, in turn, will make such assignments as are necessary. During the course of this grant, the feasibility of assigning several senior officers from the larger cities in the state on a full time basis, as liaison personnel, to SOCITF will be explored.

The accountant investigator will report directly to the Commander, Investigative Unit but his major functions will be to provide technical expertise and backup in investigations involving financial transactions of any type. There will also be funds available under this program for the hiring of additional types of investigative specialists and experts. The two shift commanders will report directly to the Commander of the Investigative Unit and will be responsible, in turn, for supervision of state police investigators assigned to them. Initially, it is expected that about six officers will be assigned to each shift, all reporting to the shift commander.

The major function of the Investigative Unit Commander will be to manage the allocation of manpower in accordance with investigative needs, as determined in the checklists and other information to be referred to the Unit by the Legal Research Unit, in order to

funding and be replaced by the Statewide Organized Crime Investigative Task Force (SOCITF) as the state's principal response to the organized crime problem. SOCITF will assume control of all equipment purchased under previous grants by CPCA to OCTAFORCE.

With respect to the Statewide Enforcement Coordinating Committee (SECC), this agency was set up late in 1971 to coordinate the operations of the regional crime squads by providing a mechanism for centralizing the administrative, intelligence and planning and strategy aspects of their operations. Recently, the State Legislature passed a bill that set it up as a statutory body with certain authority and powers. Its primary responsibility in the areas of intelligence coordination and the coordination of enforcement operations endow it with the capability to provide important intelligence resources for the SOCITF. As with other agencies, SOCITF will make efforts to utilize this important source of information and intelligence. To insure coordination of these efforts, the Connecticut Planning Committee on Criminal Administration, which is a primary source of funding for both SECC and SOCITF, will take steps to insure that there is close collaboration between these two units. It should be recognized that the regional crime squads (which SECC administers) are primarily engaged in enforcement of narcotics laws but are also getting into other areas such as burglary, fencing and gambling.

Once SOCITF is operational, the major relationship with SECC will come about at three points: (1) case screening and analysis, whereby the Legal Research Unit will consult with the SECC Director and staff concerning the organized crime content of cases referred to SOCITF; (2) coordination of investigative and enforcement operations by means of the SOCITF Interagency Liaison Unit (through which the Investigative Unit will act), particularly in those cases where SOCITF has an overriding interest; and (3) temporary assignment of personnel and exchange of information, etc., through the Investigative Unit (and coordinated through the Interagency Liaison Unit).

With respect to the Connecticut State Police Criminal Intelligence Division (CID), the relationships with SOCITF are somewhat more complicated. There are five sections within CID that are of direct relevance to any statewide effort against organized crime. These are: (1) Organized Crime Section; (2) Gambling Section; (3) Electronic Surveillance Section; (4) Security Investigations Section; and (5) Narcotics Section. In setting up SOCITF, through an act of the legislature, the Connecticut State Police will abolish the Organized Crime and Gambling sections and, where feasible, assign some of the personnel to SOCITF. This action is in recognition of the fact that it is not practical to maintain a large number of units attempting to deal with the same problem.

SOCITF's working relationships with the remaining three sections of CID is expected (and in fact planned) to be extremely close. The Electronic Surveillance Section will provide SOCITF with access to the state's electronic surveillance resources. With respect to the Security Investigations section, SOCITF, through the Legal Research Unit's case screening and analysis responsibility, will be consulting regularly

with that section. The two intelligence analysts organizationally attached to the Legal Research Unit within SOCITF will, in fact, be working primarily with the intelligence files in CID that concern organized crime.

To a large extent, SOCITF, through its Legal Research Unit, will also be working with the Investigation Section of the present Detective Division because of that section's activities in functional areas that involve organized crime such as truck hi-jackings, thefts of interstate shipments, etc.

The implementation plan for SOCITF specifies the establishment of close working relations between SOCITF and other agencies. Present plans call for a letter to be sent by the Governor of Connecticut, by the end of May, to all agencies in which the SOCITF concept will be outlined in detail and which will request agencies to designate a liaison person, develop guidelines governing the circumstances under which the agency can accept cases and referrals, refer cases and information to others, and the circumstances under which each agency can lend manpower, assign investigators and make technical experts available on a case basis. This letter, of course, is a first step towards the establishment of general guidelines governing SOCITF's working relationships with other agencies.

#### 6. Location of Fiscal and Program Records

The fiscal and program records for this project will be kept by both the Connecticut Planning Committee on Criminal Administration and by the Connecticut State Police Department. Primary financial records will be kept by the State Police and will be provided for examination as may be required. More specifically, the State Police will maintain complete fiscal and program records at its headquarters, 100 Washington Street, Hartford, Connecticut, while the Connecticut Planning Committee on Criminal Administration will maintain its records at 75 Elm Street, Hartford, Connecticut. Both of these addresses are subject to changes which may arise from required moves, shifts in responsibilities, etc.

#### 7. Proposed Management of Funds

The financial officer for this grant, Mr. Jacob Domowitz, is the Fiscal Officer for the Connecticut State Police Department and has experience in the handling of Federal grants to that Department under the Omnibus Crime Control and Safe Streets Act. The Connecticut State Police currently are the recipients of a number of grants from CPCA and, in the opinion of CPCA, Mr. Domowitz has exhibited great skill and initiative in managing these grants in accordance with both LEAA and CPCA fiscal guidelines. A brief resume of his background is included in this application.

Mr. Domowitz will have available to him technical assistance from Mr. Manuel Jainchill, the CPCA Assistant Director - Administration. Mr. Jainchill is in charge of the financial section at CPCA and is a major author of the CPCA financial guidelines.

(4) Prosecutorial Support Services Unit

As with the Investigative Unit, the Prosecutorial Support Services Unit will be keeping lists of assignments, case summaries, completed case files, and reports on case activity by members of this unit. If the prosecutorial unit becomes involved in activities involving the granting of immunity, the detention of material witnesses, and Grand Jury proceedings, precautions have to be taken regarding access to these files. Here again, consultants will be called in to assist in the development of procedures, etc.

On the basis of the above summaries, an initial list of the types of records that will be maintained by SOCITF can be compiled with the understanding that as a result of employment of outside consultants, these may be modified and new types of files may be added. The following is a brief listing:

	<u>Maintained By</u>
1. List of cases referred.	All SOCITF units
2. Abstracts of summaries of cases.	All SOCITF units
3. Summary of capabilities and resources of cooperating agencies.	Interagency Liaison Unit
4. Status Report on Cases Referred to Other Agencies.	Interagency Liaison Unit
5. Summary of Activity by Other Agencies with regard to referred cases.	Interagency Liaison Unit
6. Intelligence Analysis Report on Cases Referred to SOCITF.	Legal Research Unit
7. Organized Crime Content of Cases.	Legal Research Unit
8. Name file - active cases.	Legal Research Unit
9. Event file - active cases.	Legal Research Unit
10. Place file - active cases.	Legal Research Unit
11. Personnel Assignment to Cases.	All SOCITF units
12. Informant List.	Investigative Unit
13. Case Element Checklists.	Legal Research, Investigative Unit
14. Unit Log of Activities.	All Units
15. Abstracts of data and information on cases contained in CID and other files.	Legal Research Unit

8. Description of Program Records and Files to be Developed

A basic premise of the SOCITF effort is that there are an enormous amount of information and intelligence in files of one sort or another but that there is no mechanism for extracting this information and utilizing it in the investigation and prosecution of organized crime cases. SOCITF will rely upon existing intelligence files possessed by CID and other agencies. For its own internal operations, however, special files will be developed and a summary of what is contemplated, in very brief form, will be given here, by unit.

(1) Interagency Liaison Unit

As a consequence of this unit's broad responsibilities, it will develop a monitoring system to keep track of cases referred by it to other agencies. It will also develop detailed files on the capabilities and resources of the various agencies, indexed by type of principal activity, and so on.

(2) Legal Research Unit

As a consequence of its specific functions, the Legal Research Unit is expected to maintain a file of all analyses that it performs on incoming cases, including the results of referral to intelligence sources for the purpose of checking out the organized crime "content" of a case as well as the resultant check list of case elements. In addition, with the hiring of consultants, new types of files may also be developed. It should be noted that any new types of files developed here will be used in one of two ways: (1) as inputs to SOCITF operations; and (2) as information for improved management of SOCITF operations.

At some later stage, it is expected that a terminal hookup to organized crime intelligence files in Connecticut or out-of-state will become available. This would give SOCITF ready access to new information. There is currently a hookup between the present experimental New Haven County Organized Crime Task Force and records contained in the New Haven Police Department. The usefulness of these records and their potential contribution to SOCITF capabilities has not been assessed as of this writing.

(3) Investigative Unit

Other than lists of assignments, case summaries, and a file of case element checklists, and reports on case activity, by the Investigative Unit personnel, it is not completely clear what additional files will have to be kept by this unit. With the use of confidential funds, however, there will be a need to keep confidential files on informants, undercover agents, and so on. Procedures will have to be developed in order to insure the absolute confidentiality of these files and for this reason, consultants will be brought in to advise on procedures, etc.



The safety and security of such records and other information gathered by SOCITF in the course of its operations will be insured in four ways: (1) a statute governing unauthorized disclosure of such information; (2) limiting access to this information to those persons with a need to know (or refer to) the information and providing a means for keeping track of who accessed the information at any time; (3) providing for physical security of the information; and (4) providing for the establishment of guidelines and procedures governing access to the information, its use and dissemination and its abuse. In connection with the statute mentioned above governing unauthorized disclosure, the legislation which sets up SOCITF as part of the Connecticut State Police Department includes that provision and classifies such unauthorized disclosure as a crime. More specific arrangements with respect to the security and confidentiality of the information to be collected and used by SOCITF will be developed after the consultants to be hired under this project have completed their review and recommended a specific course of action.

It should be noted that SOCITF will not engage in unrestricted dissemination of information collected by it. The majority of intelligence units set up around the country for the purpose of dealing with organized criminal activity almost invariably include a program of dissemination of intelligence to law enforcement agencies and the controls over the type and scope of information being re-disseminated vary considerably. As stated earlier, the implementation plan for SOCITF includes provision for determining policies and guidelines under which information can be exchanged. Unrestricted dissemination is unnecessary, expensive, and may even be unwise. As the state's only agency for dealing with organized criminal activity, there will be less of a reason for SOCITF to disseminate information on an unrestricted basis.

#### 9. Difference Between SOCITF Activities and Those of Traditional Law Enforcement Agencies

In its activities and operations, SOCITF will employ a number of innovative approaches to organized crime control. These include: (1) the screening of incoming cases for an "organized crime content"; (2) the use of legal analysis to identify case elements that are to be addressed by investigative personnel; (3) the development of an interagency liaison capability that will include case monitoring, coordination of investigations with other agencies and orientation of those agencies to a high degree of awareness of organized criminal activities related to the particular agency's jurisdiction; (4) the increased use of intelligence and other information as an aid in decision-making concerning the allocation of manpower, prosecutorial and wiretap resources (among others) to organized crime cases; and (5) the wider use of both criminal and non-criminal statutes in the investigation and prosecution of organized crime.

The Connecticut Planning Committee on Criminal Administration, in formulating plans for the SOCITF, surveyed the operations of a number of organized crime units around the country. The general pattern for such units included a separate office, surveillance equipment, the development of intelligence files (of widely-varying sophistication), the assignment of additional investigative personnel (involving in some cases the hiring of civilian

investigators), the employment of specialists in tax and accountancy investigations, the rental of vehicles, and the provision of funds for confidential purposes and for case preparation.

Generally, the organized crime units have been set up in one or more of the following agencies within each state: (1) Attorney General's Office, particularly where the Attorney General has criminal jurisdiction; (2) State Police Department, where its role is not limited to highway patrol functions; (3) State Bureau of Investigation, where there is such a separate body; (4) State Investigations Commission; (5) prosecutor's office; (6) Governor's Office; (7) Special Grand Jury; and (8) independent agency set up for that purpose. In many states, it appears that there is an overlap and that such units have been set up in more than one place with no apparent requirement or provision for coordination of activities. In at least two Midwestern states, where units were set up in both the State Police and the Attorney General's Office, this has resulted in great hostility between the agencies leading, in turn, to lack of any progress at all. In at least one Midwestern state, too, organized crime units were set up in a number of local and regional agencies as well as in several state agencies.

With few exceptions, the majority of the units set up around the country rely primarily on criminal statutes as the basis for both investigation and prosecution. The mode of operation, insofar as investigation goes, is not very much different from that of a regular detective division operation except for the availability of more sophisticated equipment, intelligence files, non-law enforcement specialists, and (hopefully) a mandate to concentrate on organized crime activity solely without the risk of being pulled off temporarily to handle a homicide or other problem requiring the concentration of large numbers of manpower. Where an agency does utilize other statutes such as the tax laws, consumer fraud statutes, and so forth, the operation will generally involve some limited exchange of information and personnel. There has, however, been no systematic analysis of the potential contributions of state and local agencies as well as of their resources, jurisdiction, and capabilities. Similarly, there does not seem to have been any examination of the problem of just what local and state organized crime agencies should concentrate on and what should be left to the Federal agencies. For example, it makes sense for a state not to develop a capability for labor investigations if the existing statutes are extremely weak and if there is no chance at all of making any improvements there. Similarly, it does not make sense for a state to set up a Postal Frauds Investigation capability because it has no jurisdiction in that area. These are, of course, obvious examples.

The proposed Statewide Organized Crime Investigative Task Force, however, will take a very different approach to organized crime as already mentioned at the beginning of this section. To begin with, in setting up the SOCITF, the following preliminary steps were taken by the CPCA and by the Connecticut State Police Department:

- (1) The resources, capabilities and activities of most of the principal state agencies were surveyed in detail with the aim of determining their present jurisdiction, their present capabilities, the resources they possessed and what arrangements could be made for



Organized Crime Intelligence System) files. In most local departments, a major resource, if available, are city registers. Police records are also referred to and credit union sources may also be checked. However, they are also more often not checked.

(2) Identification of Case Elements to be Addressed by Investigators

In traditional law enforcement agencies, cases are referred to investigators who are then expected, on the basis of their training and experience, to identify the major case elements, carry out the necessary investigations, weigh the evidentiary needs, and complete the case file so that it can then go to the prosecutor for further action. Also, he is expected to do all of this in accordance with court rules governing evidence, investigative procedures, etc. While this traditional approach may suffice for the cases where the investigator is dealing with a narrow range of criminal code violations, it is obviously not sufficient for organized crime cases where not only are the legal issues and statutes involved more complex but where there may also be very difficult technical aspects such as financial transactions, fraudulent schemes, etc.

In developing the SOCITF operational procedure, this fact was taken into account. It was decided that rather than refer complex cases to investigators and expect them to do as well as they can, it would be better to screen the cases, identify the basic case elements, enumerate those already available from the facts and other information, and then provide a checklist for the investigator so that he would address the required elements that are missing or need further investigation. It was strongly felt that by adopting this approach, the use of investigative resources, which are limited at best in any case because of manpower shortages, would be much more efficient. This type of procedure will also, hopefully, reduce the common type of situation where a case is investigated and developed by an investigator and then sent to the prosecutor where it may be nolleed or rejected on the grounds of poor preparation, lack of completeness, violation of some court procedure, and so forth. Within the context of ordinary criminal code violations, that type of occurrence may be acceptable as a hazard but in the case of organized crime cases, where the investigations and other preparation may involve many months of intensive efforts, where electronic surveillance may have been used at great difficulty and cost, and where the opportunities for utilizing technicalities to destroy a prosecutor's case are much greater, this is not acceptable.

(3) Interagency Liaison

As part of the efforts to insure coordination of SOCITF's activities and operations with those of other agencies, a strong Interagency Liaison capability will be set up. In the more traditional agencies, interagency liaison is more often handled on an informal basis and will usually consist of a pattern of contacts between individuals

cooperation in the development of an integrated approach to organized crime control.

- (2) Existing criminal and non-criminal statutes were examined and those statutes that could be brought to bear on the various aspects of organized criminal activity were identified and grouped by substantive area, i.e., fraud, loansharking, etc. As a minimum, this now provides Connecticut's law enforcement agencies with a guide for the investigation and prosecution of such activities, even of SOCITF were not to be set up.
- (3) The capabilities and resources of various Federal agencies and burcaus operating in Connecticut were examined with the aim of identifying what contribution they could make to the state's efforts.
- (4) The capabilities and resources of various local and private agencies were examined with the aim of determining their respective roles and responsibilities for organized crime control efforts in Connecticut.

It should be added that this type of systematic examination of and assessment of existing resources (i.e., the state's existing response system to the organized crime problem) had never before been carried out in Connecticut. By including almost all of the major state agencies and an examination of all statutes, both substantive and procedural, this preliminary planning effort greatly exceeded anything that has been done elsewhere.

From an examination of both the nature of the state's organized crime problem and the specific needs and problems faced by the state in dealing with this, it became apparent that a new type of unit would be needed, one which would be more flexible in its approach and able to respond to a variety of demands.

SOCITF's operations, as stated earlier, will include five major innovations. The following is a discussion of how these differ from and, in fact, represent an important advance over the operations of the traditional law enforcement agencies:

(1) Case Screening for Organized Crime Content

SOCITF's Legal Research Unit will screen all incoming cases and will examine them to determine whether or not the case has an "organized crime content," that is whether or not the individuals, places or events, or the type of activity described therein are either referred to in other intelligence reports, are known to be connected with organized criminal activities, or are possibly indicative of a new type of operation. At present, in traditional law enforcement operations, cases are assigned as they come in directly to investigators for followup and it is left to the investigator to make his own determination. The case screening technique envisioned here will depend upon ready access to CID files and to other agency files, including NEOCIS (New England

The SOCITF operation envisions using intelligence and other information collected in the field in four ways: (1) for decision-making purposes regarding the allocation of manpower, surveillance and prosecutorial resources; (2) developing overall strategies and countermeasures for the control and suppression of organized criminal activity; (3) evaluating the effects (impact) of SOCITF and other enforcement operations and of such measures as revised or strengthened legislation on organized criminal activity, in the form of intelligence assessments; and (3) educating and increasing the awareness of the problem of other agencies and organizations, and of the public. Again, as with the other innovations, no agency in Connecticut is presently doing these and, as far as is known, none in the country is either.

#### 5. Wider Use of Both Criminal and Non-Criminal Statutes

The traditional law enforcement agencies in Connecticut (and outside of the state as well) rely primarily upon the criminal statutes. In fact, based on the state's experience in developing materials for the retraining of police officers in the new Penal Code which became effective in 1971, the majority of police activities concerns a very narrow range of substantive law. The state's traditional agencies are not equipped to utilize the broad range of substantive laws that could be brought to bear on the organized crime problem.

By employing attorneys, legal research assistants, and prosecutors, and by providing legal research facilities in the form of a comprehensive law library, SOCITF's operations will differ considerably from those of the traditional agencies. It will develop the capability to examine a case not merely in terms of an obvious violation of a criminal law but also in terms of what other laws or regulations are involved, particularly where the case involves organized crime. The Legal Research Unit, in particular, will play the major role in this aspect of SOCITF's operation because it will have the responsibility for screening and analyzing all cases coming in. In addition, through close coordination of the efforts of other agencies, SOCITF will be the only agency that will not only be able to identify almost all of the statutes that may be applicable to a particular case, but also the only agency that will be able to use that information profitably -- by referring those aspects of the case to the other agencies with appropriate jurisdiction and authority. It will also, as has already been explained earlier, be able to keep track of the status of such cases. No other agency in the state has this capability.

#### 10. Utilization of Non-LEAA Sources of Funds

The state has considered very seriously the need for non-LEAA sources of funding for SOCITF in the future. To a large extent, it has already taken two important steps towards dealing with that need: (1) SOCITF is being set up by statute; and (2) the state is contributing a sizeable amount of cash match to this project. Present project plans also call for the state to assume half of the cost of the Discretionary Funds component of SOCITF in three years, and complete assumption of cost of the Discretionary Grant component at the end of the fourth year.

who have worked together and who share information and data. In Connecticut, there is a Major Crimes Coordinator for the Connecticut State Police Department and its activities fall into two areas: (1) coordination of investigations and other efforts in the case of major crimes; and (2) periodic visitation with local departments to keep them abreast of developments, new techniques, etc. He does not, however, maintain continuous contact with the whole range of agencies which might be brought to bear on ordinary (non-systematic) crime -- his contacts are primarily with the local police departments. He does not act as the focal-point for exchanging intelligence, referring cases, or keeping track of the status of cases that have been referred to other agencies. Also, he does not necessarily keep track of the activities of the other agencies with respect to organized crime problems.

SOCITF's Interagency Liaison will, however, develop and maintain liaison with other state, local and federal agencies that may be dealing with some aspect of the organized crime problem. It will maintain detailed information on the capabilities and resources of these other agencies, coordinate interagency operations and joint activities, act as the focal point for exchange of information and intelligence, and personnel, and for the referral of cases of other agencies where analysis indicates that the case elements are clearly within the purview and jurisdiction of these other agencies. It will, in this connection, also maintain a followup monitoring system to keep track of the status of these "referred cases" and will develop guidelines for other agencies with respect to recognition of organized crime elements in their operations. It will also attempt to establish and maintain liaison with out-of-state agencies and with private groups and organizations that may have a role to play in the organized crime control effort. None of these functions are now provided by any agency or combination of agencies in Connecticut.

- (4) As part of this effort, the Interagency Liaison Unit is expected to greatly increase the awareness on the part of state, local, federal and private agencies as to what role they can play in the control of organized criminal activity.

#### 4. Increased Use of Intelligence as an Aid in Decision-Making and Evaluation

A major aspect of the SOCITF operation will be the increased use of intelligence for decision-making purposes, and for evaluation of the SOCITF efforts. In the majority of organized crime units, that have been set up around the country, there is what appears to be an unreasonable emphasis on the collection and dissemination of intelligence. Collecting and disseminating intelligence in and of itself might be of some value but to date, it does not appear to have had much impact on the organized crime problem. It is, perhaps, intrinsically good for law enforcement officials to know that they have so many members of organized crime families living in their midst, but unless this information and the other data can be utilized in improving the investigation and prosecution of these organized crime figures, it is extremely difficult to justify the expense of developing, collecting and maintaining intelligence files.

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It is expected that after SOCITF has operated for several years, the state will, if the concept is successful, reallocate resources and make organizational changes that will institutionalize SOCITF. It should be recognized that SOCITF is an experimental project and involves the introduction of several new techniques (see 9. above).

11. Investigative Equipment to be Purchased under Grant

No investigative equipment will be purchased by SOCITF under the terms of this discretionary fund grant.

12. Part-time Employees

The only part-time employees contemplated under this grant is a Legal Research Assistant. The Legal Research Assistant will work approximately 20 hours per week at a rate not to exceed \$3.50 per hour although if the rate is less than \$3.50 per hour, he may be employed for more hours. His background will be that of a second or third year law student and under this grant he will be assigned to the Legal Research Unit to assist the Attorney in Charge and the staff lawyer assigned to that unit. His primary duties will include routine research and provision of assistance to the personnel assigned to the unit.

The basic rationale for hiring law students as Legal Research Assistants on a part-time basis for this type of work includes the flexibility with which such personnel can be used, the favorable experience of other Connecticut state agencies with the use of such part-time personnel and the fact that for many routine tasks which have to be performed in such a unit, it is difficult to justify the cost and expense of a full-fledged attorney.

13. SOCITF's Jurisdiction

The statute which sets up SOCITF reads as follows:

Sec. 5: "The statewide organized crime investigative task force shall have the duty and power to conduct and coordinate investigations in connection with: (1) the faithful execution and effective enforcement of the laws of the state, with particular reference, but not limited to, those laws controlling organized crime and racketeering; (2) the conduct of public officers and public employees, and of officers and employees of public corporations and authorities; (3) any matter concerning the public peace, public safety and public justice. With respect to the performance of its function, duties and powers, the statewide organized crime investigative task force shall be authorized to conduct any investigation authorized by this section at any place within the state and to function at any place within the state as it may deem necessary."

14. Additional Information

In considering this application, it is hoped that LEAA will take into account the significance of what is proposed here. It was not the state's intention to set up the typical unit in which federal funds are used to add personnel and purchase equipment, and in which the present procedures and techniques continue to be used. The SOCITF concept is based on extensive research into the nature of Connecticut's organized crime problems, the kinds of efforts conducted elsewhere, and a recognition of the fact that successful investigation and prosecution of organized crime requires a considerably more sophisticated approach than what is now being used around the country.

The CPMCA and the Connecticut State Police, in submitting this application, believe a new and more effective approach to organized crime control is needed and that the SOCITF concept proposed here will supply that. The state would, otherwise, not have made the commitment of a sizable cash match nor of the manpower and other resources required to implement this project.

15. Recommendations on Strengthening Statewide Organized Crime Efforts

As described in the preceding sections of this attachment, SOCITF's structure and organization is designed to address the problems of duplication of efforts and expenditures in the area of organized crime control. SOCITF, it should be noted, is not the only state effort. In fact, it is one part of a statewide program aimed at the control and suppression of organized crime in Connecticut. The other components of this program include the following:

(a) Revision of procedural and substantive laws

As part of the state's effort against organized crime, the existing procedural and substantive laws have been reviewed and recommendations for changes and improvements are being formulated in a report to the Governor. Without effective and useful laws, no organized crime control unit can function at any level higher than that of an augmented detective division dealing with ordinary types of crime. The nature of organized criminal activity, where cooperation and testimony have to compel and where there are no complainants requires a wide range of procedural laws. Similarly, the wide range of activities in which organized crime engages, as well as their relatively greater sophistication, requires well-constructed substantive laws. In some cases, crimes now being perpetrated by syndicates are not even defined in law.

(b) Definition of Specific Roles and Responsibilities

As part of the state's effort, recommendations are being formulated for a definition of specific roles and responsibilities for the various state and local agencies in the fight against organized crime. This is an essential component in any statewide effort against organized crime and, in fact, it is one that is often overlooked. Part of the reason for this is that the approach to organized crime is often conceived of in terms of criminal statutes and in terms of getting syndicate personnel and leaders of violations of the criminal law. As a consequence, the

potential utility of non-criminal statutes and of the broad regulatory and administrative powers of many state and local agencies are often overlooked. In planning SOCITF, the capabilities and resources of many state and local agencies were carefully surveyed and have been taken into account in the SOCITF concept. In its operational phase, SOCITF will, over a period of time, work out a more concrete definition of the respective roles and responsibilities of the various state and local agencies.

(c) Expansion and Increased Participation of Public Education and Awareness

SOCITF will address this need in part through its Advisory Board which is required to address this. Public awareness of the organized crime problem is a principal prerequisite to any coordinated and effective approach to the problem. When the public is aware of the problem and of its ramifications, it is much easier for law enforcement and criminal justice agencies to obtain support for specific measures and approaches to the problem. Similarly, it is also much easier to get laws passed that reduce the profit opportunities of organized criminal syndicates and which cut into the profits and income of organized criminal syndicates.

(d) Expansion and Participation of the Private Sector

The involvement of the private sector in any statewide effort against organized crime is essential. These agencies can provide specialized services to criminal justice agencies, they can coordinate business and professional activities so as to minimize the profit opportunities for organized crime elements, they can deprive enterprises and individuals engaged in organized crime activities of certain essential services, and they can act as a pressure group to bring about changes in governmental policies, legislation and approaches to the problem. They can also provide facilities and goods for investigative and undercover effort. SOCITF, through its Interagency Liaison Unit, will be working closely with private groups and agencies to develop more fully these capabilities and to define a framework for participation by the private sector in efforts to control organized criminal activities.

As stated many times in the previous section of this Attachment, these components are essential to the success of any statewide organized crime control effort. LEAA, as a rule, should consider requiring prospective applicants to address these aspects in their applications for funding in the future. After much analysis and investigation, the Connecticut Planning Committee on Criminal Administration and the Connecticut State Police view these as necessary co-requisites to any meaningful effort to combat organized criminal activity.

File No. 872

Substitute Senate Bill No. 1791



Senate, May 8, 1973. The Committee on Judiciary reported through Senator Guidera of the 26th District, Chairman of the Committee on the part of the Senate, that the substitute bill ought to pass.

AN ACT CREATING A STATEWIDE ORGANIZED CRIME INVESTIGATIVE TASK FORCE WITHIN THE STATE POLICE DEPARTMENT AND CONCERNING THE ESTABLISHMENT OF REGIONAL CRIME SQUADS AND A STATEWIDE ENFORCEMENT COORDINATING COMMITTEE.

Be it enacted by the Senate and House of Representatives in General Assembly convened:

1 Section 1. Section 29-4 of the 1969  
2 supplement to the general statutes, as amended by  
3 section 13 of number 53 of the special acts of  
4 1972 and section 1 of house bill 8102 of the  
5 current session, is repealed and the following is  
6 substituted in lieu thereof: The commissioner of  
7 state police may appoint an adequate number of  
8 state police personnel to efficiently maintain the  
9 operation of the department in keeping with  
10 budgetary allowances. The commissioner shall  
11 appoint therefrom a lieutenant colonel as  
12 executive officer of the department and such  
13 numbers of majors, captains, lieutenants,  
14 sergeants, detectives and corporals as he deems  
15 necessary to officer efficiently the state police  
16 force. One of such officers may be detailed by  
17 the commissioner as deputy fire marshal. The  
18 commissioner shall establish such divisions as he  
19 deems necessary for effective operation of the

20 state police force and consistent with budgetary  
 21 allotments, A CRIMINAL INTELLIGENCE DIVISION AND A  
 22 STATEWIDE ORGANIZED CRIME INVESTIGATIVE TASK FORCE  
 23 to be engaged throughout the state for the purpose  
 24 of preventing and detecting any violation of the  
 25 criminal law. THE HEAD OF THE CRIMINAL  
 26 INTELLIGENCE DIVISION SHALL BE OF THE RANK OF  
 27 SERGEANT OR ABOVE. THE HEAD OF THE STATEWIDE  
 28 ORGANIZED CRIME INVESTIGATIVE TASK FORCE MAY BE  
 29 EITHER A CIVILIAN OR A POLICE OFFICER, APPOINTED  
 30 IN ACCORDANCE WITH THE PROVISIONS OF SECTION 2 OF  
 31 THIS ACT. Salaries of the members of the state  
 32 police department shall be fixed by the personnel  
 33 policy board as provided in section 4-40.  
 34 Subsistence shall be maintained for state police  
 35 personnel at the expense of the state, and said  
 36 police personnel shall be reimbursed for all  
 37 expenses incurred in the performance of official  
 38 duty. Said police personnel may be promoted,  
 39 demoted, suspended or removed by the commissioner;  
 40 but no final dismissal from the service shall be  
 41 ordered until a hearing has been had before said  
 42 commissioner on charges preferred against such  
 43 officer. Each state police officer shall, before  
 44 entering upon his duties, be sworn to the faithful  
 45 performance thereof. The commissioner of state  
 46 police shall designate an adequate patrol force  
 47 for motor patrol work exclusively.

48 Sec. 2. (NEW) There shall be an advisory  
 49 committee on organized crime prevention and  
 50 control hereinafter referred to as the advisory  
 51 committee. Such committee shall advise the state  
 52 police commissioner and the head of the statewide  
 53 organized crime investigative task force on  
 54 matters related to organized crime and may carry  
 55 on such activities as the state police  
 56 commissioner and the head of the statewide  
 57 organized crime investigative task force determine  
 58 to be necessary to improve the state's  
 59 capabilities to control organized criminal  
 60 activity. The advisory committee shall consist of  
 61 nine members including the following: The state  
 62 police commissioner, the chief state's attorney or  
 63 his designee, a retired judge of the supreme or  
 64 superior court appointed by the chief justice, a  
 65 prosecutor of the circuit court appointed by the  
 66 chief state's attorney and two police chiefs  
 67 appointed by the governor from urban communities

68 in different counties, one civilian member  
 69 appointed by the governor, and one civilian member  
 70 to be appointed by the president pro tempore of  
 71 the senate and the speaker of the house of  
 72 representatives, jointly, and a chairman to be  
 73 appointed by the governor to preside at all  
 74 meetings. None of the members of the advisory  
 75 committee shall hold elective public office in  
 76 this state or any political subdivision thereof.  
 77 Appointments to the advisory committee shall be  
 78 made on or before July first annually for two-year  
 79 terms from July first in the year of appointment  
 80 and until successors are appointed and have  
 81 qualified, except that the appointments under this  
 82 section to be made on July 1, 1973, shall be as  
 83 follows: Appointments by the governor and the  
 84 president pro tempore and speaker shall be for  
 85 terms of two years, and all other appointments  
 86 shall be for one year, in each case until  
 87 successors are appointed and have qualified.  
 88 Vacancies on the advisory committee shall be  
 89 filled as original appointments for the unexpired  
 90 portion of the term. A vacancy on the advisory  
 91 committee shall not impair the right of the  
 92 remaining members of the advisory committee to  
 93 exercise the powers of the advisory committee  
 94 under this act. On or before August 1, 1973, the  
 95 state police commissioner shall submit to the  
 96 advisory committee a name to be considered for  
 97 appointment by the committee as director of the  
 98 organized crime investigative task force, who  
 99 shall serve at the pleasure of the commissioner  
 100 and shall assure the duties and responsibilities  
 101 of the position of head of the statewide organized  
 102 crime investigative task force.

103 Sec. 3. (NEW) The members of the advisory  
 104 committee shall not be entitled to compensation  
 105 for their services but all members, except state  
 106 officials, serving on the advisory committee shall  
 107 be entitled to receive reimbursement, in  
 108 accordance with state regulations, for expenses  
 109 incurred in the performance of their duties.

110 Sec. 4. (NEW) (a) The director of the  
 111 statewide organized crime investigative task force  
 112 may employ, and at his pleasure remove, with the  
 113 approval of the state police commissioner, such  
 114 persons as he deems necessary for the performance  
 115 of his duties under this act, none of whom shall



116 hold any elective public office in the state or  
 117 any political subdivision thereof.  
 118 (b) The director of the statewide organized  
 119 crime investigative task force may contract for  
 120 such services as he deems necessary in the  
 121 performance of his duties. Such contracts shall be  
 122 in accordance with state regulations.  
 123 Sec. 5. (NEW) The statewide organized crime  
 124 investigative task force shall have the duty and  
 125 power to conduct and coordinate investigations in  
 126 connection with: (1) The faithful execution and  
 127 effective enforcement of the laws of the state,  
 128 with particular reference to those laws  
 129 controlling organized crime and racketeering; (2)  
 130 the conduct of public officers and public  
 131 employees, and of officers and employees of public  
 132 corporations and authorities; and (3) any matter  
 133 concerning the public peace, public safety and  
 134 public justice. With respect to the performance  
 135 of its functions, duties and powers, the statewide  
 136 organized crime investigative task force shall be  
 137 authorized to conduct any investigation authorized  
 138 by this section at any place within the state and  
 139 to function at any place within the state as it  
 140 may deem necessary.  
 141 Sec. 6. (NEW) (a) The statewide organized  
 142 crime investigative task force may duly request  
 143 and may receive from every department, division,  
 144 board, bureau, commission or other agency of the  
 145 state, or of any political subdivision thereof,  
 146 cooperation and assistance in the performance of  
 147 its duties, including the temporary assignment of  
 148 personnel to the statewide organized crime  
 149 investigative task force which might be necessary  
 150 in order to carry out its duties and  
 151 responsibilities.  
 152 (b) The statewide organized crime  
 153 investigative task force may enter into mutual  
 154 assistance and cooperation agreements with other  
 155 states pertaining to those law enforcement matters  
 156 extending across the boundaries of the state into  
 157 other states; and may consult and exchange  
 158 information with officers and agencies of other  
 159 states with respect to law enforcement problems of  
 160 mutual concern.  
 161 (c) The task force shall cooperate with  
 162 departments and officers of the United States

163 government in the investigation of violations of  
 164 the federal laws within this state.  
 165 (d) Whenever it appears to the director of  
 166 the statewide organized crime investigative task  
 167 force that there is cause for prosecution for a  
 168 crime, or for the removal of a public officer for  
 169 misconduct, he shall refer the evidence of such  
 170 crime or misconduct to the chief state's attorney.  
 171 Sec. 7. (NEW) Nothing contained in section 5  
 172 of this act shall be construed to supersede,  
 173 repeal or limit any power, duty or function of the  
 174 executive department or any other department or  
 175 agency of the state, or any political subdivision  
 176 thereof, as prescribed or defined by law.  
 177 Sec. 8. (NEW) Any person conducting or  
 178 participating in any investigation under this act  
 179 who discloses to any person other than the  
 180 director or a member of the statewide organized  
 181 crime investigative task force or the advisory  
 182 committee the name of any informant or any  
 183 information obtained or given upon any  
 184 investigation, except as directed by the director  
 185 of the statewide organized crime investigative  
 186 task force, shall be guilty of a Class A  
 187 misdemeanor.  
 188 Sec. 9. (NEW) In order to keep the public  
 189 informed as to the operations of organized crime  
 190 and the problems encountered by the state in  
 191 dealing with organized crime, the statewide  
 192 organized crime investigative task force may  
 193 disseminate such information by such means and to  
 194 such extent as it deems appropriate.  
 195 Sec. 10. (NEW) Upon the application of the  
 196 director of the statewide organized crime  
 197 investigative task force, the superior court or  
 198 any judge thereof may impound any exhibit held in  
 199 connection with an investigation conducted by the  
 200 statewide organized crime investigative task force  
 201 and may order such exhibit to be retained by, or  
 202 delivered to and placed in the custody of, the  
 203 statewide organized crime investigative task  
 204 force. When so impounded, such exhibit or  
 205 exhibits shall not be taken from the custody of  
 206 the statewide organized crime investigative task  
 207 force except upon further order of the court or a  
 208 judge thereof made upon five days' notice to the  
 209 statewide organized crime investigative task force  
 210 or upon the application of said task force or with

211 its consent. The provisions of this section shall  
212 be subject to the provisions of section 54-33f of  
213 the 1969 supplement to the general statutes.

214 Sec. 11. (NEW) Any two or more towns, cities  
215 or boroughs having an organized police department  
216 may enter into agreement to form a regional crime  
217 squad cooperatively to combine police  
218 investigative services for the enforcement of  
219 narcotics and controlled drug laws of the state  
220 and the investigation of related criminal  
221 activity. Such agreement shall be signed and  
222 executed by the chief executive officer of each  
223 participating municipality, and approved, where  
224 required by charter or ordinance, by the governing  
225 body of such municipalities. To the extent that  
226 formal interlocal investigative police services  
227 have been organized for these purposes and exist  
228 at the time of passage of this act within defined  
229 geographical areas, said agreements are confirmed  
230 and shall be executed within such defined  
231 geographical areas in accordance with the  
232 provisions of this act.

233 Sec. 12. (NEW) Each such agreement shall  
234 contain provisions for the following: (1) A  
235 coordinating and supervisory body of chiefs of  
236 police from the participating municipalities; (2)  
237 statement of the duration of the agreement and  
238 provisions relating to termination of  
239 participation by a municipality which is party to  
240 the agreement; (3) provision for the financing of  
241 activities of the regional crime squads by the  
242 participating municipalities on a prorated basis  
243 according to a reasonable formula agreeable to the  
244 respective parties; (4) such provisions as may be  
245 feasible for indemnification of regional crime  
246 squad personnel and the participating towns and  
247 municipalities against any losses, damages or  
248 liabilities arising out of the services and  
249 activities of the regional crime squad; (5)  
250 provisions governing the adjudication or  
251 settlement of disputes arising from participation  
252 in such agreement.

253 Sec. 13. (NEW) (a) The coordinating and  
254 supervisory body of chiefs of police shall be  
255 annually accountable to the chief executive  
256 officers of the participating municipalities.

257 (b) Each municipality may assign duly sworn  
258 police officers from its organized police

259 departments to duty with the regional crime squads  
260 with the approval of the chief of police and chief  
261 executive officer.

262 (c) The coordinating and supervisory body of  
263 chiefs of police shall appoint an appropriate  
264 person who is a duly sworn police officer to be  
265 the commanding officer of the regional crime  
266 squad.

267 (d) Any duly sworn police officer, while  
268 assigned to duty with the regional crime squad as  
269 herein provided and working at the direction of  
270 the commanding officer of the regional crime squad  
271 and pursuant to the purposes and activities of the  
272 regional crime squad, shall have the same powers,  
273 duties, privileges and immunities as are conferred  
274 upon him as a police officer in his own  
275 municipality, in any municipality participating in  
276 the regional crime squad.

277 (e) Said powers, duties, privileges and  
278 immunities of police officers assigned to regional  
279 crime squads may be extended to other towns at the  
280 discretion of the commissioner of state police  
281 according to procedures established by him and  
282 pursuant to an investigation whose origin is  
283 within a municipality participating in a regional  
284 crime squad.

285 (f) The coordinating and supervisory body of  
286 chiefs of police shall select two persons from  
287 their membership to serve as representatives to  
288 the statewide enforcement coordinating committee  
289 as hereinafter provided.

290 Sec. 14. (NEW) (a) There shall be a  
291 statewide enforcement coordinating committee  
292 composed of up to fifteen persons for the  
293 coordination of regional crime squads and their  
294 activities, consisting of the commissioner of  
295 state police; two persons appointed by the  
296 planning committee on criminal administration; two  
297 chiefs of police representing each regional crime  
298 squad appointed from among its membership by the  
299 coordinating and supervisory body of police chiefs  
300 of such regional crime squad, and such other  
301 chiefs of police as may be designated as members  
302 by these persons.

303 (b) The statewide enforcement coordinating  
304 committee shall coordinate the formulation of  
305 policies and operating procedures, investigation  
306 and enforcement activities and manpower usage

307 among the various regional crime squads and shall  
308 coordinate the activities of the regional crime  
309 squads with other law enforcement agencies within  
310 and without the state.

311 (c) The statewide enforcement coordinating  
312 committee may apply for and receive, and shall  
313 administer, any federal, state, local or private  
314 appropriations or grant funds made available for  
315 operations of the regional crime squads.

316 (d) Said committee may employ such staff as  
317 may be required to assist it in the conduct of its  
318 business.

319 (e) The operations of the committee shall be  
320 financed from funds of the regional crime squads  
321 on a prorated basis according to a reasonable  
322 formula agreeable to the regional crime squad  
323 supervisory boards.

324 (f) The committee shall report to the state  
325 drug advisory council annually, not later than the  
326 first day of October, concerning the activities of  
327 the regional crime squads in the area of narcotics  
328 and controlled drugs.

329 (g) To the extent that a formal coordinating  
330 committee for interlocal investigative police  
331 services was organized and existed on a statewide  
332 basis at the time of passage of this act, and is  
333 consistent with the provisions contained herein,  
334 it shall continue to exist and shall be the  
335 statewide enforcement coordinating committee for  
336 regional crime squads.

337 Sec. 15. (NEW) Sections 1 to 10, inclusive,  
338 of this act shall take effect July 1, 1973;  
339 sections 11 to 14, inclusive, shall take effect  
340 from their passage.

**END**