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LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
POLICE TECHNICAL ASSISTANCE REPORT

Subject: Puerto Rico; CJIS Organizational Structure and
OBTS/CCH Second-Year Grant Application Analysis

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For: Puerto Rico Crime Commission

Contractor: Westinghouse Justice Institute

Consultant: Michael R. Stewart

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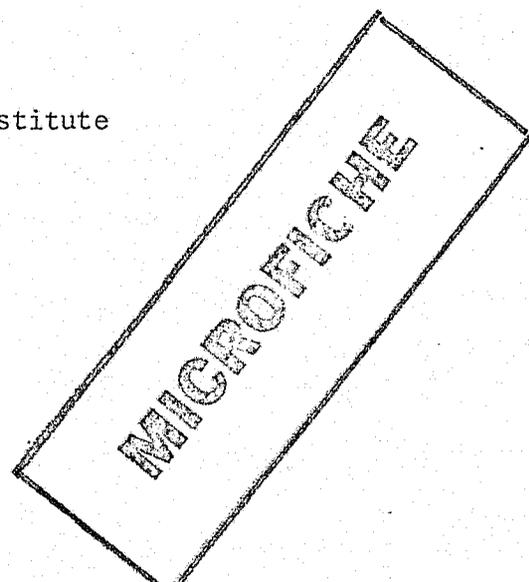


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FOREWORD

This request for technical assistance was made by the Puerto Rico Crime Commission. The requested assistance was concerned with analyzing the organizational structure for Puerto Rico's Criminal Justice Information System (CJIS) and assisting in the preparation of a second-year grant application for Offender-Based Transaction Statistics (OBTS) and Computerized Criminal History (CCH) systems.

Requesting Agency: Puerto Rico Crime Commission,
Mr. Dionisio Manzano, Director

Approving Agency: LEAA Region II (New York),
Mr. Jules Tesler, Regional
Administrator; Mr. Rene Cassagne,
Police Specialist

1. INTRODUCTION AND UNDERSTANDING OF THE PROBLEM

This report is intended to respond to the Puerto Rico Crime Commission's request for technical assistance in analyzing the organizational structure for Puerto Rico's Criminal Justice Information System (CJIS) and assisting in the preparation of a second-year grant application for Offender-Based Transaction Statistics (OBTS) and Computerized Criminal History (CCH) systems. The report is essentially divided into two sections. In the first section the requirements regarding the creation of a CJIS organization to coordinate the development and implementation of criminal justice information systems in Puerto Rico are reviewed and recommendations are provided; the second section contains a revised initial draft second-year grant application.

2. ANALYSIS OF THE PROBLEM

2.1 CJIS Organization

2.1.1 Background

The development of Criminal Justice Information Systems (CJIS) activity in Puerto Rico has been conducted through the CJIS Data Center located in the Puerto Rico Police Department. To date, activity has involved the initial development of agency-level systems for police, justice, courts, and corrections. These systems are vertical in nature and support systems that involve multiple segments of the criminal justice system (e.g., Computerized Criminal History [CCH] record information). In addition, CJIS development has resulted in the test implementation of a subject-in-process system, which will provide the means for data capture to support the CCH and Offender-Based Transaction Statistics Systems (OBTS).

In 1972, the Puerto Rico Police Department began the development of a Law Enforcement Management Information System (LEMIS). In 1973, the Government of Puerto Rico again analyzed the need for information systems in support of the Police, and determined that the LEMIS project should be expanded to include justice, courts, and corrections. Legislation, which was pending in 1973 and has since been passed, called for the certification of certain criminal records, and additional criminal-justice related reporting and recordkeeping. The LEMIS project and this legislation identified a growing need for the development of a CJIS that would serve all agencies. To deal with this growing need, a CJIS advisory committee was established in 1974, and a CJIS project team was assembled and began development work on offender-related systems in police, justice, courts, and corrections. This development included CCH- and OBTS-related applications.

Since Puerto Rico is fully committed to developing a CJIS that will include all components of LEAA's Comprehensive Data Center program, it is evident that a complete CJIS operational structure should be established.

A CJIS structure should perform the following functions relative to criminal justice information:

- Coordinate the development of Criminal Justice Information Systems that have utility to more than one agency (e.g., CCH, OBTS, MAS, and Uniform Crime Reports [UCR] data).
- Provide operational and maintenance support, including computer hardware for processing and telecommunications, to all CJIS's that have been implemented.

- Provide technical support upon request to individual agencies to assist in the development and maintenance of internal information systems.
- Provide a statistical analysis capability that would serve all criminal justice agencies, as well as the Legislature and other units of government, in conducting special statistical studies using the CJIS data base and sampling techniques.

2.1.2 Recommendations

The organizational structure for CJIS should be in a governmental position so that it would not be overly influenced by a single segment of the criminal justice system. Furthermore, since the CJIS serves all segments of the criminal justice system, a board, which is representative of all components of the System, should set and enforce policies that govern the activities of the CJIS organization. The CJIS Executive Board presently meets all of the requirements necessary for representative governing of a CJIS; however, the present organizational structure of CJIS is inadequate to meet present and future demands for information systems development and support.

A CJIS organizational structure should be established within the Puerto Rico Crime Commission (see Figure 2-1), with a CJIS Director who would be directly responsible for all CJIS activities. The CJIS Director should answer directly to the Executive Director of the Crime Commission, who should also serve as the Executive Secretary to the CJIS Executive Board (see Figure 2-2). This organizational configuration would provide for the coordination of planning, operations, and funding. To provide the most efficient structure to meet the needs of criminal justice users, the CJIS organization should be divided into three separate sections that are directly under the CJIS Director.

- CJIS Data Center -- Responsible for the operational support and maintenance of all implemented CJIS's. Provide computer processing and telecommunications hardware necessary to support the systems, including agency-level internal systems support. Responsible for all user training related to ongoing systems.
- CJIS Systems Development Section -- Responsible for all CJIS development, implementation, and existing system modification. Provide design assistance to individual agencies for internal systems development. Responsible for user training related to new systems implementation and design modification of existing systems.

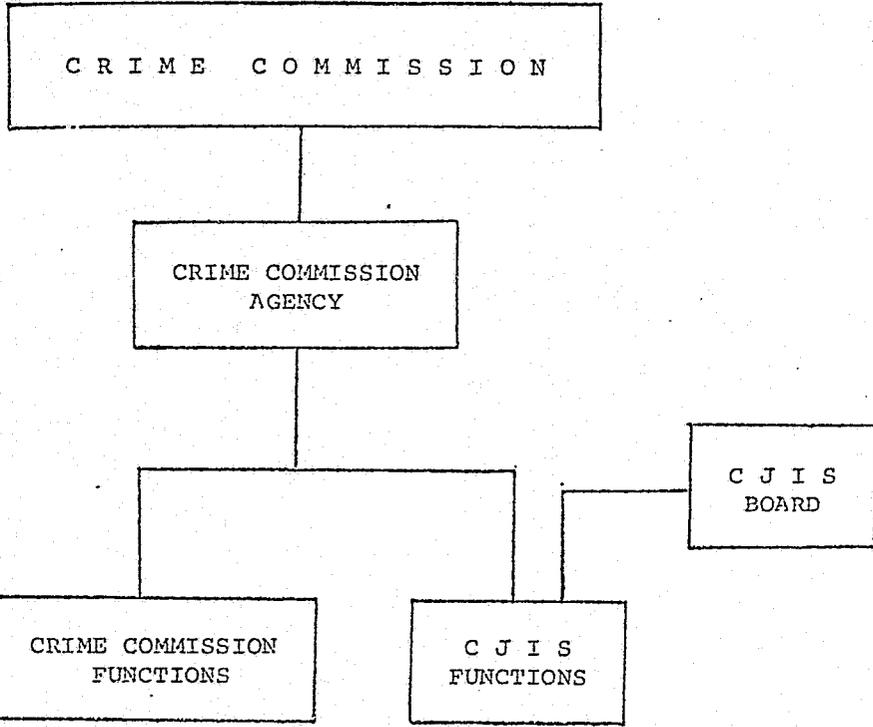


Figure 2-1. Crime Commission Organizational Structure

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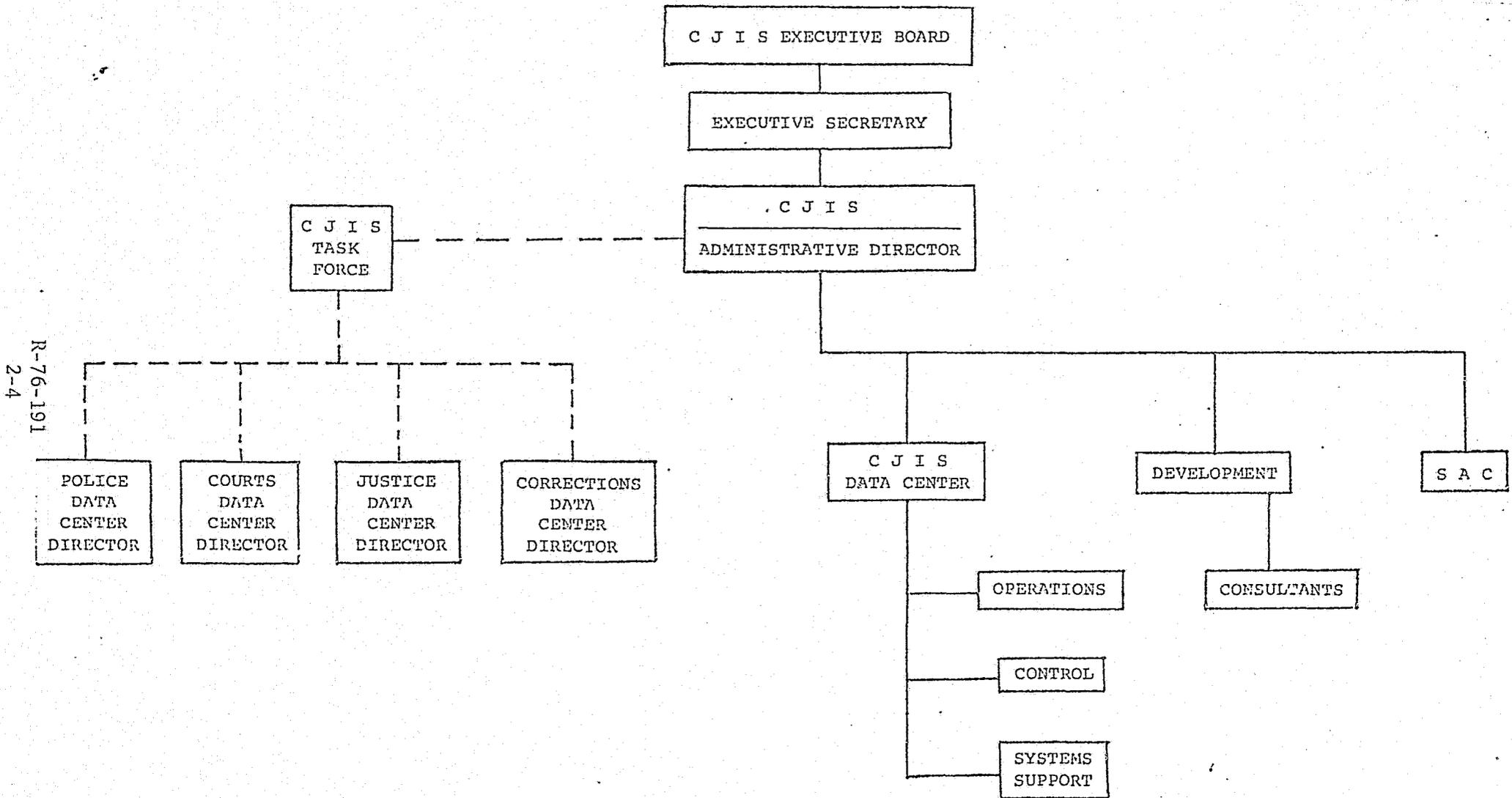


Figure 2-2. CJIS Organizational Structure

- Statistical Analysis Center (SAC) -- Responsible for conducting statistical studies using the CJIS data base, as well as sampling techniques, to extract study-related data not contained in the CJIS data base. SAC should be available upon request to conduct special studies for all criminal justice agencies, other governmental agencies, and the Legislature.

The placement of SAC on the same organizational level as the CJIS Data Center is necessary because of SAC's necessity to constantly use the CJIS data base. The Systems Development Section will use SAC to conduct special studies necessary to make design decisions, and the SAC will use the Systems Development Section to develop custom software necessary to support SAC activities. Moreover, the most frequent user of SAC is expected to be the Crime Commission. SAC should be staffed with persons who have formal training in statistical techniques.

To ensure proper feedback and involvement from systems users, a users task force should be established, consisting of representatives from each of the vertical systems of police, justice, courts, and corrections. The primary role of this task force would be to advise the CJIS organization regarding development needs and to assist in identifying and solving problems that exist in operational systems applications.

2.2 OBTS/CCH Grant Application

The document that is attached as Appendix A represents a revised initial draft of the Puerto Rico Crime Commission's OBTS/CCH grant application. The changes have been incorporated into the language of the grant and deal with redirecting project activities from the first year to define requirements for OBTS data, refine requirements for CCH data, and to add computer center power backup to improve system reliability.

APPENDIX A

Puerto Rico OBTS/CCH Grant Application

PREFACE

This document represents the plan and grant application for the continued development of the Puerto Rico OBTS/CCH component of the Comprehensive Data System (CDS). It includes an update of several sections of the original (year 1) OBTS/CCH plan followed by the following:

- Accomplishments to Date
- Continuing Tasks
- Budget Items.

The OBTS/CCH project began in _____ of 1975 and continues until _____. This plan is an extension covering _____ through _____, 1977.

1.

INTRODUCTION

The Law Enforcement Assistance Administration (LEAA) has, for the past several years, sponsored the Comprehensive Data Systems (CDS) Program. This program encourages the development of an integrated system at the state (Commonwealth) level for the collection of data in a uniform and auditable manner, which may be processed into criminal justice information and statistics. This information may then be used by state (Commonwealth) and federal agencies in the evaluation, planning, monitoring and administration of the criminal justice process.

The Commonwealth of Puerto Rico has long recognized the benefits to be derived from such a system and has undertaken a major multi-year project to develop a total Criminal Justice Information System (CJIS) for the Commonwealth which includes, as an integral part of that system, the OBTS, CCH, MAS/SAC and UCR components of CDS as envisioned by Puerto Rico and LEAA.

The purpose of this grant is to request continuing CDS Discretionary Funds in support of the development of the OBTS and the CCH components of the Puerto Rico CJIS.

In order that the reader may better understand the purpose and intent of this project, information is provided concerning:

- The problem(s) to be addressed by the grant
- The proposed solutions to those problems
- The unique environment which exists in Puerto Rico

- A discussion of the concept of OBTS and CCH in Puerto Rico
- A step-by-step task description of the project
- The measurable objectives and expected results associated with the project
- A discussion of the administrative organization of the project
- A discussion of the history of CJIS/CDS activity to date
- A discussion of the method by which the project will be evaluated.

2.

STATEMENT OF THE PROBLEM(S)

The Island of Puerto Rico has, over the past twenty-five years, undergone a major reorganization of its economic structure from one based primarily on agriculture to one based upon industry, tourism, services, etc. This has resulted in extensive urban and population growth which has taxed the social and economic structure to its limits..... this is particularly true in the area of criminal justice. As population density has increased, so has the crime rate. Police, Courts and Corrections, and other associated criminal justice agencies have pressed to keep up with the workload associated with the increasing crime index. In the process, they have been forced to let many necessary operational and management needs fall by the wayside. One of these needs has been in the area of records keeping and information retrieval. Each of the components (Police, Courts, Justice and Corrections) have gone their separate ways in attempting to develop methods by which to keep records and to process management and statistical information. The results of these efforts have been ineffective. To date, none of the components have developed what can be considered as an acceptable system for internal records keeping and information processing and reporting.

Looking at the problem across agencies on a system-wide basis, it becomes even more acute. The marked deficiency in internal agency records and information processing makes it virtually impossible to obtain any kind of accurate data on the criminal justice system as a whole. Any attempt to compare arrest (police) records with prosecutor filing records and with court

disposition records will result in discrepancies which are unexplainable and which defy correlation.

This problem has had its impact upon the legislative process. Numerous progressive legislative bills have been passed in recent years in such areas as pre-trial intervention, pre-sentence investigation, bonding, etc. Unfortunately, many of these bills have been unimplementable because data is not available on criminal justice activities and volumes by which the Legislature may determine adequate funding. The result -- progressive legislation has become stalled due to inadequate information.

2.1 OBTS/CCH SPECIFIC PROBLEMS

A closer review reveals some critical problem(s) which fall within the realm of OBTS and CCH as a solution. The following are a few of the more critical ones:

- Arrest Processing:

- There are currently several procedures associated with the recording of facts concerning arrests by the police. This contributes to a lack of uniformity and serves as an initial breakdown in the criminal justice data gathering process. Once records are recorded, they are not passed on to prosecution. The result is that not only is information not available to the prosecutor, but he/she must re-investigate (duplicate) the efforts which have been previously completed by the police.
- The police operate out of six area commands. There are inconsistencies between the different areas on the submission of arrest data (including fingerprint cards) and also inconsistencies on the forms and documents submitted and the files maintained.

• Criminal I. D. :

- The procedures associated with criminal identification and analysis are an area of critical concern. A lack of uniformity results in gaps in the I. D. process and thus, missing links in the criminal history process.
- The current level of arrest reports submitted exceeds 60,000 records per year. The sheer volume alone creates a problem in a manual environment and accordingly, large backlogs have developed. As a result, the Police Records and Identification Unit is unable to supply needed criminal record information.

• Criminal History Information:

- Criminal history information may only be obtained via a long and complex (manual) search process which, in essence, eliminates it as a viable information source for criminal justice agencies.
- There is little to no interaction with the FBI Criminal History program, therefore, there is no information in Puerto Rico concerning the scope of interstate criminal activity.
- There is currently no method by which to assure that dispositions are provided for all criminal history arrest entries. With the passage of recent Commonwealth legislation regarding limitations on obtaining only criminal histories with dispositions, the criminal history system has been rendered, in effect, useless. This same legislation, of course, has the potential of eliminating the possibility of Commonwealth participation in the NCIC/CCH program until disposition reporting is developed.

• Disposition Reporting:

- A system was developed whereby the courts would submit disposition data to the police via a computerized court file. Unfortunately, there is no common control number to match court data with police data. As a result, this effort has been a failure.

Not only is there no method currently available to link arrest information with dispositions, but attempts within the agencies to collect and correlate offender transaction data have been confronted with significant problems. The courts have implemented a system of case filing and disposition reporting which is, in effect, a data collection process superimposed on the court case process. A card is prepared at the time a case is filed which notes the charge and the offender's name and case identification. Another card is prepared at the point of final court disposition. These cards are forwarded to Central Courts Administration where they are key-punched and stored on a magnetic tape file. Because there is no direct payoff to the courts associated with this system, there is a hesitancy to submit data on time. As a result, data is late in getting to Courts Administration, making the preparation of statistical reports difficult and untimely (the data for 1973 is currently being processed for the Annual Court Report).

Another shortcoming of this data collection system is that there is no information collected at the individual steps within the judicial process. The courts can only analyze the number and types of cases and not what happens to cases in terms of motions, delays, continuances, etc. In other words, there is insufficient information to analyze, evaluate, and plan within even this single component of the system.

As noted earlier, the prosecutors do not receive basic arrest data to aid in preparation of cases. From a disposition reporting standpoint, there is no method of reporting and tying with other case records those cases which are disposed of by the prosecutors via such avenues as pre-trial release. This has become a critical problem in that Puerto Rico has passed legislation making certain programs available for first offenders; however, there is no practical means of determining "first offender" status. From an evaluation and planning standpoint, there is no data available to analyze the prosecution segment of criminal justice.

Currently, once a person reaches corrections, the disposition recordkeeping stops. There is no means available to compile statistics relating to offender transactions for those persons incarcerated, on probation, or on parole. As a result, the Corrections

Administration has no means available to analyze the functioning of their agency and its programs.

- Of a more immediate nature is the problem within corrections of determining a person's status. Due to a problem of interagency information flow concerning an offender, persons show up at the correctional institution before the sentencing records. Also, there is no practical means available to ascertain inmate population for a particular program or institution or the exact status of an offender.

Summary:

- There have been attempts in Puerto Rico to conduct studies associated with the dispositions of persons arrested and, in such a manner, analyze specific operations within criminal justice. These attempts have been met with one major obstacle -- there is no means currently available to tie information of one agency to that of other agencies. The majority of police arrest records do not have association disposition information. The courts data collection system for internal statistics usually lags behind the occurrence of the court event by several months. Further, the court dispositions are incompatible with the police recordkeeping system; therefore, there is no practical means of associating these records. There is no system to submit, receive, correlate, nor store prosecution dispositions. There have been cases where the information associated with an offender lags the occurrence of events to such an extent that offenders end up at the corrections institution long before the sentence document arrives. Once within corrections, it is difficult to determine an offender's status.
- There is currently no practical method by which to easily obtain the status of an individual in the criminal justice system, much less to obtain data on his or her progress through the system for purposes of planning, evaluation, control and administration.
- Finally, because of the relative independence of agencies, the level of inter-agency cooperation is extremely low. There is no "common tie" such as a Subject-In-Process (SIP) system which may serve to develop "information dependence" and from there, hopefully "operational trust".

These points are presented to document that not only is there data needed concerning offender status and disposition for evaluation and planning, but the agencies need this information to carry out their responsibilities.

3.

PROPOSED SOLUTIONS

The solutions to the problems previously discussed are dependent upon development of the Offender Based Transaction Statistics and Computerized Criminal History component of the CDS program. This section describes the OBTS/CCH component relative to the features that will be fully implemented after the project period covered by this grant application.

The major vehicle for data capture to support the OBTS and CCH data bases is the Subject-In-Process (SIP) system. SIP data input is initiated when the criminal justice system begins the formal processing of an offender and is completed when the case involving the offender is terminated. The SIP system will assist in the processing and moving of an offender through the criminal justice process and will capture all data necessary to support the OBTS and CCH systems. The Subject-In-Process system will store data only on individuals that are being processed by the criminal justice system.

OBTS/CCH AS A SOLUTION

The OBTS/CCH system in Puerto Rico will address previously defined problems by providing the following features.

- o Arrest Processing - The OBTS/CCH system relies on the out-line input of arrest details which are generated by the SIP system. This SIP data not only starts offender tracking but in addition is used to "trigger" other functions such as case prosecution. The steps established for the immediate input of arrest data standardize the reporting procedure for all seven police areas.

- ① Criminal I.D. - The automation of CCH records does much to alleviate the backlog which has developed during the manual processing of fingerprint records. Terminals installed in the Records and Identification Bureau provide aids to name and fingerprint indexing as well as immediate access to the records stored on-line containing disposition data. Once a positive identification is made (via fingerprints), the criminal identification number becomes input to the SIP system which provides a unique link to CCH and OBTS files. An additional fingerprint card is forwarded to the FBI for update of the National Crime Information Center Files.
- ② Disposition Reporting-Prosecution - An on-line data collection system provides information via terminals installed in key locations. Prosecutors provide details of all disposition information to the SIP system which will be used to support both OBTS and CCH data bases. The inclusion of this data into the SIP will enable the analysis of offender activity through the prosecutorial process.
- ③ Disposition Reporting-Courts - The court data collection system is an on-line function which is tied to the calendaring process, thereby collecting the data more rapidly and offering the incentive of immediate operational payoff. The SIP number is linked at the point of the first court event (Probable Cause Hearing) through an on-line update to the SIP record. All offender related transactions within Courts provide input to SIP to enable evaluation of the internal functioning of the Courts as well as an analysis of general caseloads. Final court dispositions are posted to SIP and automatically passed on to the OBTS and CCH data bases.
- ④ Disposition Reporting-Corrections - In the corrections system the SIP data provides an on-line status file for offenders under corrections jurisdiction. The initiation and termination of each status (i.e. probation, parole, incarceration) is input to SIP which enables the analysis of offender's activities and effectiveness of various correctional programs.
- ⑤ Subject In-Process data base - The SIP information maintained by the system will assist the criminal justice system in processing and moving offenders efficiently through each stage of the criminal justice process. Additionally SIP will provide the mechanism for gathering data to support the OBTS and CCH components. The SIP data base will contain data on offenders only during the period in which they are being processed by some segment of the Criminal Justice System in Puerto Rico.

- o Computerized Criminal History component - The CCH component will provide historical criminal history related information on offenders processed by the Puerto Rico Criminal Justice System. This component will contain only formal criminal justice event related information. CCH will also have the capability to link, using fingerprints as a positive means of identification, separate arrest and disposition events involving the same offender. The generation of CCH information will also provide Puerto Rico with the capacity to directly participate in the NCIC CCH systems.
- o Offender Based Transaction Statistics component - The OBTS component will provide a data base to be used for statistical application as required by all criminal justice information users. OBTS output can be divided into three major categories. These are:
 - Specialized statistical reports generated on a periodic basis - This type of report will be custom designed for specific agencies based on their requirements for OBTS information and prepared on a schedule established by the user agency.
 - Specialized statistical reports generated upon request of user agencies - This type of report will be custom designed for specific users to be used more than once, however will be generated only upon request of the user.
 - Special studies related reports - This type of report will be generated on a one-time basis using the most expedient means of data manipulation and utilization such as statistical sampling and report generator type software.

SUMMARY OF CCH SPECIFIC SOLUTIONS

Information contained in the Puerto Rico CCH files will:

- Provide a chronological record complete with dispositions on all formal transactions occurring within the Puerto Rico Criminal Justice System.
- Assist Courts in rendering sentence determinations.
- Assist Corrections in determining which programs to make specific offender assignments.
- Assist police in determining the potential danger of persons to be contacted.

- Assist police in the investigation of criminal events.
- Provide more accurate storage of criminal history file and index information through use of the computer.
- Provide immediate access of criminal history information, via computer terminals, to all user agencies and individuals that have a need to know and are authorized to access such information.
- Facilitate the full scale participation by Puerto Rico in the interstate interchange of CCH information via the national NCIC CCH system.

SUMMARY OF OBTS SPECIFIC SOLUTIONS

Information contained in the OBTS data base will provide the capability to:

- Study the impact of various decisions made by any one agency upon the activities of other agencies.
- Measure the time required to process an offender from point-to-point within the criminal justice process.
- Provide administrators with data concerning the operation and effectiveness of the criminal justice system, highlighting the impact of legislative or other variables upon the criminal justice process.
- Measure the workload and effectiveness of criminal justice functions individually and as part of the criminal justice process.
- Analyze the factors contributing to the success or failure in rehabilitation of offenders by criminal justice agencies.
- Provide data to criminal justice administrators to assist in decision making, cost benefit analysis, evaluation, planning, and management of criminal justice activities on an island-wide and agency specific basis.
- Provide critical base data for SAC, the Judicial Reform Council, the Legislature, and the Crime Commission in their planning and analysis activities.

SUMMARY OF SUBJECT-IN-PROCESS SOLUTIONS

The SIP application will perform the following functions:

- Provide the mechanism to capture data necessary to support the OBTS and CCH components.
- Provide a means of uniquely capturing and storing criminal justice data related to a specific offender.
- Track and provide current status information on an individual within the criminal justice cycle.

4. PROJECT ACTIVITIES

This section identifies the major project activities to be accomplished during the period covered by their grant application. Activities during the initial project period were centered around development of the SIP data base, CCH records, and the telecommunications network. Major activities during this project period will deal with defining requirements for and developing the OBTS component, refining requirements definition for CCH, and completing development of SIP, CCH, and the telecommunications network. Requirements to be determined for CCH and OBTS may have data base impact on the SIP application. It is anticipated that changes, if necessary, will be minor. The following are project activities expected during this project period:

- Define user requirements for the use of offender-based transaction statistics data.
- Design and implement the OBTS component.
- Refine user requirements for CCH data to reflect system efficiencies in off-line and on-line data storage for data that is not time-critical.
- Design and implement modifications to the CCH component.
- Complete implementation of the telecommunications network necessary to support SIP, CCH, and OBTS.
- Complete implementation of the prosecutor disposition reporting system.
- Complete implementation of the courts case status and disposition reporting system.
- Complete implementation of the corrections client status and disposition reporting system.
- Upgrade system hardware to include a backup power source to improve computer system reliability.

5. MEASURABLE OBJECTIVES

The following measurable objectives have been identified which serve as a base line for the quantitative and qualitative evaluation of the project:

- Objective #1 - To upgrade the Telecommunications Network initially established as a part of the Puerto Rico LEMIS project to provide on-line input/access of data to and from the SIP and CCH systems by the various criminal justice agencies.
- Objective #2 - To design and implement a Uniform Arrest Processing System for Puerto Rico which will serve as the initial source of data for OBTS and CCH.
- Objective #3 - To design and implement a Uniform Criminal Identification System, based upon fingerprint classification, which will be the initial source of data and control of the CCH system.
- Objective #4 - To design and implement a Prosecutor Case Disposition Reporting System which will supply data to SIP and CCH on each case filed or disposed of by the prosecutor.
- Objective #5 - The design and implementation of a Court Case Status and Disposition Reporting System which will supply data to SIP on each scheduled court event (time, place, results, etc.) and will supply final disposition and sentencing information to both CCH and OBTS.
- Objective #6 - The design and implementation of a Corrections Client Status and Disposition Reporting System which will provide SIP with information on the current location and status of individuals in prison, on parole or probation or assigned to special work release programs.
- Objective #7 - The design and implementation of a complete SIP file management system which will support inquiries to SIP files and produce information for criminal justice users.
- Objective #8 - The design and implementation of a complete CCH file management system which will support inquiries to the CCH file and will pass new arrest and disposition information to NCIC and to allow inquiries to the national file.
- Objective #9 - The design and implementation of a complete OBTS component which will meet the needs of users for criminal justice statistical data.

6.

RESULTS AND BENEFITS EXPECTED

The development of the Offender Based Transaction Statistics/Computerized Criminal History Systems provides a number of benefits to the Commonwealth of Puerto Rico, including:

- A uniform system for the collection and analysis of criminal justice information, utilizing the benefits to be obtained from computerizing the process.
- Providing a uniform set and definition of specific data elements, which may be uniformly analyzed.
- Providing a medium by which performance may be uniformly measured throughout the criminal justice system.
- Providing a unified definition of each "transaction" in the criminal justice process.
- Establishing a medium for the analysis of interagency relationships.
- Establishing a uniform reporting system which will fill a void of same which currently exists.
- Establishing a medium by which system-wide audits may be conducted.
- Providing a base of information for evaluation (program, administrative and fiscal) of various criminal justice projects.
- Providing improved methods of identifying and tracking individuals through the criminal justice process.
- Providing a medium for interagency communications and sharing of information.
- Providing a medium for "accountability" within the criminal justice system.
- Providing for timely access to information via the SIP/CCH Telecommunications Network.

ACCOMPLISHMENTS TO DATE

The initial OBTS/CCH Grant Application was approved in December, 1975 to cover a one year period. The efforts of several weeks before the grant application approval plus the efforts of the ensuing year have produced many results. The following lists the Puerto Rico OBTS/CCH accomplishments to date.

AGENCY PERSONNEL

Each agency -- Police, Courts, Justice, and Corrections -- has established the organizational structure needed to support the multi-agency OBTS/CCH system. This structure includes an internal Steering Committee made up of key management personnel, an OBTS/CCH project manager, data coding and entry personnel, programmer/analysts, and records management personnel. In light of the fact that two of the agencies had no previous data processing support and that none of the agencies had previously participated on a multi-agency CJIS, this was, in fact, a major accomplishment.

OBTS/CCH ANALYSIS TEAM

Within the CJIS Data Center (state repository), an OBTS/CCH analysis team has been established and is staffed. This team has, as a focal point, two full time programmer/analysts plus the resources of Records and Identification Personnel, Data Entry and the OBTS/CCH representative from each agency. The responsibilities of the team include the following:

- Development and maintenance of Horizontal Systems
- Monitoring and control of the command terminals
- Resolution of all problems concerning the OBTS/CCH Data Base
- Sole responsibility for direct input, modification, and/or deletion of OBTS/CCH records
- Interface coordination with the FBI/NCIC system
- Monitoring of system functions to ensure both data security and integrity
- Control of dissemination reporting in support of privacy and security guidelines
- Monitoring of reporting to ensure timely input of disposition data
- Input of all special data.

This team is the heart of the OBTS/CCH system.

CJIS DATA CENTER

Dual UNIVAC 418 III computers, each with 131K memory, have been installed. These two processors share the workload and provide complete redundancy. Switchover devices are installed to allow selective and/or complete backup in the event of device failure.

The CJIS Data Center is fully staffed and is in operation 24 hours a day, seven days a week. An NCIC interface has been established.

DATA COMMUNICATIONS NETWORK

Terminals have been installed in the following locations:

- Police Area Headquarters
- Police Records and Identification
- Data Center (OBTS/CCH Analysis Team)
- Corrections: State Penitentiary
Ponce Institution
- Courts: San Juan Judicial Center (Superior Court)
Courts Administration Center

- Justice: Caguas Judicial Center (Superior Court)
San Juan Judicial Center (D.A. Office)
Justice Administration Center
Caguas Judicial Center (D.A. Office).

SFTWARE

The initial agency input modules and the SIP/CCH programs are operational. The initial central software routines are also operational. The following list summarizes the software modules in use:

- Central Software
 - I/O Control (Queues)
 - Scheduler
 - Input PreProcessor
 - File Management
 - Code Lookup
 - Output Control (and Paging)
- Horizontal
 - OBTS Data Base Processor
 - CCH Data Base Processor
- Police
 - Arrest Processing
 - Identification Processing
- Courts
 - Court Computer Interface
 - Court Case Status
 - Court Calendar

} Disposition Reporting
- Justice
 - Case Acceptance
 - Case Assignment
 - Case Disposition

} Disposition Reporting
- Corrections
 - Offender Status
 - Population Control

} Corrections Status Reporting

RECORDS MANAGEMENT

The paper flow, forms, and filing systems used within each of the agencies have been subjected to extensive review and redesign to provide a smooth interface between the automated and manual OBTS/CCH processes. The result has been the development of formal procedures covering those aspects of the agency's operations which are associated with the OBTS/CCH system.

TRAINING

Government personnel have been trained on the Records Procedures, terminal operations, Input/Output Processing, and Systems Security provisions and procedures. Briefings have been held at Executive Board meetings and for the internal committees of each agency. A formal training program on the use of the system has been integrated into the training program at the Police Academy. Training continues as an integral component of the system.

IMPLEMENTATION

The initial system became operational in August 1976 and was then subjected to a 60 day prototype operation. The prototype operation included the following locations:

- Police Area Headquarters
- Police Records and Identification
- Data Center (OBTS/CCH analysis)

- San Juan Judicial Center (Superior Court)
- San Juan District Attorney's Office
- State Penitentiary.

Next, the system was expanded to include the Ponce jail, the Caguas D. A. office, and the Caguas Superior Court.

Installation at each location includes formal procedures training, records management assistance, terminal operations training, and user training for OBTS/CCH.

EVALUATION

The following paragraphs report on the progress of the OBTS/CCH project in terms of the objectives set for the initial grant.

- Objective #1 - To upgrade the Telecommunications Network initially established as a part of the Puerto Rico LEMIS project to provide on-line input/access of data to and from the SIP and CCH systems by the various criminal justice agencies.

Status - The Network has been expanded to all seven (7) Police areas, two (2) Corrections institutions, two (2) Superior Court Districts, and two (2) District Attorney offices.

- Objective #2 - To design and implement a Uniform Arrest Processing System for Puerto Rico which will serve as the initial source of data for OBTS and CCH.

Status - Accomplished; however, a current backlog and shortage of Records and Identification personnel is threatening the overall integrity of the CCH component of the system. The workforce has been increased to eliminate the backlog and maintain the rate needed to process current records.

- Objective #3 - To design and implement a Uniform Criminal Identification System, based upon fingerprint classification, which will be the initial source of data and control of the CCH system.

Status - Accomplished.

- Objective #4 - To design and implement a Prosecutor Case Disposition Reporting System which will supply data to OBTS and CCH on each case filed or disposed of by the prosecutor.

Status - Accomplished in two District Attorney offices -- needs to be expanded Island-wide.

- Objective #5 - The design and implementation of a Court Case Status and Disposition Reporting System which will supply data to SIP on each scheduled court event (time, place, results, etc.) and will supply final disposition and sentencing information to both CCH and OBTS.

Status - Accomplished in two Superior Court Districts -- needs to be expanded Island-wide.

- Objective #6 - The design and implementation of a Corrections Client Status and Disposition Reporting System which will provide OBTS with information on the current location and status of individuals in prison, on parole or probation or assigned to special work release programs.

Status - Accomplished in two institutions -- needs to be expanded Island-wide.

- Objective #7 - The design and implementation of a complete SIP file management system which will support inquiries to SIP files and produce information for criminal justice users.

Status - Accomplished and Operational.

- Objective #8 - The design and implementation of a complete CCH file management system which will support inquiries to the CCH file and will pass new arrest and disposition information to NCIC.

Status - Accomplished; however, FBI/NCIC interface for CCH data is on a manual basis via exchange of fingerprint cards.

Objective #9 - The design and implementation of a complete OBIS component which will meet the needs of users for criminal justice statistical data.

Status - Not completed.

8. | CONTINUING OBTS/CCH PLANS

The initial OBTS/CCH accomplishments have been well received by the Puerto Rico criminal justice community. The major emphasis during this continuing year will be to extend OBTS/CCH coverage Island-wide to get full disposition reporting.

Once consistent reporting has been achieved, the criminal justice agencies will begin to use the OBTS/CCH data. Therefore; the emphasis of this phase of OBTS/CCH development is expansion of reporting and the creation of programs to provide analysis data for management and future planning.

The following paragraphs present the plans for the coming year.

PERSONNEL

The Criminal Records (state repository) is behind in processing of criminal records and fingerprint cards. Additional personnel has been added to process OBTS/CCH related inputs. Other agency personnel will continue to install the system in more locations to provide Island-wide reporting.

OBTS/CCH ANALYSIS TEAM

This group will continue serving all participants of the program in resolving error conditions, controlling dissemination, etc.

DATA CENTER

The Data Center will continue providing on-line services to the four (4) major criminal justice agencies.

DATA COMMUNICATIONS NETWORK

The terminal network will be expanded to include all of the planned criminal justice data support centers. Island-wide disposition reporting will be possible via the expanded network.

SOFTWARE

The software in support of the OBTS/CCH program will be expanded to include more comprehensive reporting and the analysis of OBTS/CCH data within each of the agencies (cross-agency analysis is reserved for the SAC).

The following functions are planned:

- Central Software
 - Communications expansion to integrate communications module with OBTS/CCH.
 - Restart capability will be expanded to include file protection in the case of systems error, power outage, or hardware crash.
- Horizontal
 - In order to conform to Security and Privacy measures:
 - SIP/CCH disposition alert system (automatic notification of arrests lacking disposition within prescribed time limits).
 - SIP/CCH dissemination control system (the addition of a data module containing dissemination information to non-criminal justice agencies).

RECORDS MANAGEMENT

This function will be formalized to be an on-going task of the OBTS/CCH analysis team.

TRAINING

Training will continue as per the first year.

IMPLEMENTATION

The OBTS/CCH reporting system is designed to be an integral component of the operation of each criminal justice agency. Accordingly, implementation entails training, institution of new records management procedures, and in most cases, a revised workflow and "way of doing things". Implementation will continue with the installation of the OBTS/CCH system in the following locations:

- 9 Superior Court Districts
- 9 District Attorney Offices
- 9 Corrections Institutions and Probation/Parole Offices.

EVALUATION

Evaluation is discussed in Section 8 of this application.

TASKS

The following chart depicts the task schedule envisioned to support the foregoing plans.

EVALUATION

Project evaluation will take two forms in regards to this project:

- First, each project deliverable product (i. e., reports, designs, etc.) will be reviewed by Information Systems Directors Task Force and the Project Advisory Board to determine acceptability. Each member will determine if a particular product is responsive to his needs. In this way, evaluation will be continuous throughout the project and alterations or changes will be made as the project continues.
- Second, the Crime Commission in consultation with LEAA will draft a formal evaluation design for use in measuring project success at the termination of the discretionary grant period. Technical assistance in this effort will be requested from LEAA to ensure that all federal and Commonwealth concerns will be addressed. Accomplishment or degree of accomplishment of the objectives set forth in Section 4.0 will be used as evaluative criteria. In addition, relevant standards adopted by the National Advisory Commission on Criminal Justice Standards and Goals will be applied as evaluative criteria. As the Crime Commission is directly involved with development policy decisions, an independent firm or organization will be contracted for this evaluation.

10. BUDGET

This section will be prepared by the grant applicant.

11. OBTS/CCH SYSTEMS CONCEPT

This section will be prepared by the grant applicant.

The governmental organization and environment in Puerto Rico differs considerably from that found within any of the continental states. In Puerto Rico, government is single tiered in that there is a Commonwealth government constructed of three branches (Legislative, Judicial and Executive). There are no provisions for county or municipal governments as such. Consequently, all government functions are centrally controlled. Within the criminal justice system there are:

- A Police Department which is centrally administered by the Superintendent who is appointed by and reports to the Governor.
- A Department of Justice which is centrally administered by the Secretary who is appointed by and reports to the Governor. This Department is responsible for the prosecution of all criminal charges brought within the Commonwealth (excluding the federal court system).
- A four tier Court System with eleven (11) judicial districts consisting of:
 - Justice of the Peace Courts - which have limited Probable Cause jurisdiction.
 - District Courts - which are the courts of original jurisdiction for misdemeanors and felony preliminary hearings.
 - Superior Courts - which are the courts of felony jurisdiction and appeals on District Court cases.
 - Supreme Court - which is the court of final appeals.

The Judicial Branch is administered by the Chief Justice. All judicial positions are appointed by the Governor with the advice and consent of the Senate.

• A Correctional Administration which is responsible for all activities concerning prisoners and persons on probation and parole. Corrections is also responsible for pre-sentence investigations on all convicted persons.

The government organization is particularly conducive to implementation of CDS in Puerto Rico since many of the administrative and coordinative problems encountered between municipal, county and state criminal justice agencies do not exist.

PROJECT ENVIRONMENT

The figure on the following page provides a graphic description of the administrative and technical organization of the CJIS project. The CJIS Executive Board which is established by Executive Order maintains direct administrative control over:

- The CJIS Development Team and Project Manager. This team includes both government and contractor personnel.
- The CJIS Data Center and Data Center Director. The CJIS Data Center is positioned operationally within the Police Department for security reasons. However, the CJIS Data Center Director reports to the CJIS Executive Board which maintains full policy and budget control over that center's operation.
- The CJIS Agency Information Systems Director Task Force.

Each of the four criminal justice components (Police, Courts, Justice and Corrections) has its own independent systems staff, servicing internal agency data processing needs. During the development of the CJIS (and CDS), the analysts and programmers are assigned to project teams under the CJIS Development Team Project Manager.

Under Discretionary (CDS) funding, each agency supplies at least one systems programmer to work on the CDS (OBTS/CCH) applications. Continued

funding is requested for these positions as part of this grant. Also, under this program, the two full-time members of the OBTS/CCH analysis team are funded.

Under block grant funding, two (2) analysts are assigned from each agency for development of the Vertical agency systems.

The Information System Directors from the individual agencies act as a task force to review project development team recommendations from a technical standpoint and review proposed internal agency Vertical applications for compatibility with the basic CJIS design. The Task Force responds directly to the CJIS Executive Board.

ADMINISTRATIVE AND TECHNICAL ORGANIZATION

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