

NCJRS

M 6640.1A
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FOREWORD

ACQUISITIONS

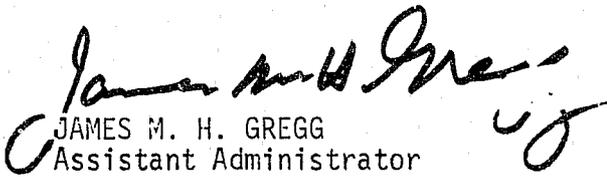
1. PURPOSE. This guideline manual describes the Comprehensive Data Systems (CDS) Program as authorized by the Law Enforcement Assistance Administration (LEAA); sets forth guidelines for the preparation of CDS Action Plans; and indicates the purpose, available funding, and criteria by which subsequent grant applications for CDS component development from participating states will be evaluated.
2. SCOPE. The provisions of this guideline manual (hereinafter called the "guidelines" or the "CDS Guidelines") apply to all CDS Action Plans and CDS component grant applications from participating states.
3. CANCELLATION. Comprehensive Data Systems Program Guidelines, M6640.1 of April 27, 1976, is hereby canceled.
4. REFERENCE TO THE GUIDE FOR DISCRETIONARY GRANT PROGRAMS. Information systems programs for which Part C and E discretionary funds may be made available are discussed briefly and generally in Chapter 5, of the Guide for Discretionary Grant Programs; M 4500.1 (effective edition). This Guideline Manual (M 6640.1A), however, sets forth the full requirements for funding Comprehensive Data Systems programs.
5. ACTION. The CDS Program is designed to encourage each state to develop information system to meet its own criminal justice data needs and, at the same time, to insure uniformity of essential data reported to the national level. While not mandatory, the CDS Program, through discretionary funds, provides the impetus to develop the basic foundation for a criminal justice information system within the state with resultant benefits to the criminal justice community. Additionally the CDS modules become the nucleus for crime analysis, a mandatory requirement for the LEAA comprehensive planning process. Current planning guidelines (M 4100.1F) call for increasing use of reliable data.
6. MINIMUM REQUIREMENTS. The guidelines present the minimum requirements and criteria expected by LEAA from participating states. In all likelihood, however, criminal justice information needs at the state and local levels will dictate the collection and analysis of additional data--justified on the basis of their intrastate utility--which may not necessarily be reported to the national level.
7. FLEXIBILITY. The guidelines are flexible. Requests for deviation from specific requirements and/or criteria, however, must be supported by reasonable explanation and justification.

8. GUIDELINE REQUIREMENTS AND GUIDELINE OPTIONS. This manual distinguishes between what is required and what is optional by the kind of language used in the text. Where the guideline uses the words shall or must or is required to and similar expressions, a requirement is indicated. When the words should or may or is encouraged to, then the guideline indicates an option or an advisory instruction.
9. ORGANIZATION OF THE GUIDELINES. The guidelines contain four basic parts:
 - a. CDS Background and General Information (Chapter 1).
 - b. Guidelines for the CDS Action Plan (Chapter 2).
 - c. CDS Components Grant Application: Basic Procedures and Requirements (Chapter 3). This is essentially the general procedures and requirements to be followed by states applying for LEAA funds to develop and implement one or more of the three components of a statewide CDS.
 - d. CDS Components Grant Application: Detailed Guidelines (Chapter 4). This chapter details the purpose, available funding, and guidelines for grant application preparation for each of the three CDS components:
 - (1) Statistical Analysis Center (SAC).
 - (2) Offender Based Transaction Statistics/Computerized Criminal Histories (OBTS/CCH).
 - (3) Uniform Crime Reports (UCR).
10. REFERENCES.
 - a. Except where they conflict with specific guidelines appearing in this manual, state CDS components shall reflect the standards contained in the following references:
 - (1) National Crime Information Center (NCIC) Operating Manual (FBI)
 - (2) Uniform Crime Reporting (UCR) Handbook (FBI)
 - (3) Department of Justice Regulations on Security and Privacy Criminal Justice Information Systems, 28 CFR Part 20 (May 20, 1975 as amended March 19, 1976 and December 6, 1977).

- b. Other documents which provide useful background on implementation are:
- (1) National Advisory Commission on Criminal Justice Standards and Goals Criminal Justice System (Part II pp. 33-162).
 - (2) SEARCH Technical Report No. 2: Security and Privacy Considerations in Criminal History Information Systems.
 - (3) SEARCH Technical Report No. 3: Designing Statewide Criminal Justice Systems--The Demonstration of a Prototype.
 - (4) SEARCH Technical Report No. 4: Implementing Statewide Criminal Justice Statistics The Model and Implementation Environment.
 - (5) SEARCH Technical Report No. 5: Designing Statewide Criminal Justice Statistics Systems--An Examination of the Five State Implementation.
 - (6) SEARCH Technical Memorandum No. 3: A Model State Act for Criminal Offender Record Information.
 - (7) SEARCH Technical Memorandum No. 4: Model Administrative Regulations for Criminal Offender Record Information.
 - (8) SEARCH Technical Report No. 10, (Volumes 1-5): Offender-Based State Corrections Information System (OBSCIS).
 - (9) SEARCH Technical Report No. 16, (Volume 6): Offender-Based State Correction Information System (OBSCIS) - The OBSCIS Experience.
 - (10) SEARCH Technical Memorandum No. 13, (Volume 7): Offender-Based State Corrections Information System (OBSCIS) - OBSCIS Data Dictionary (Revised August 1977)
 - (11) SEARCH Technical Report No. 11: State Judicial Information System - State of the Art.
 - (12) SEARCH Technical Report No. 12: State Judicial Information System - Final Report (Phase I).
 - (13) SEARCH Technical Report No. 17: SJIS State Judicial Information System Final Report (Phase II).

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- (14) SEARCH Technical Report No. 21: Volume I SJIS Documentation, Volume II Topics in Data Utilization, and Volume III Proceedings of the National Judicial Data Utilization Workshop.
- (15) SEARCH Technical Report No. 13: Standards for Security and Privacy of Criminal Justice Information.
- (16) Crime in the United States, 1976, Federal Bureau of Investigation "Summary of Uniform Crime Reporting Program."
- (17) Expenditure and Employment Data for the Criminal Justice System 1975, SD-EE No. 9.


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CHAPTER 1. CDS BACKGROUND AND GENERAL INFORMATION

1. BACKGROUND.

- a. "Accurate data...the beginning of wisdom." In 1932 the Wickersham Commission used these words as a rationale for recommending development of a plan for a "complete body of statistics covering crime, criminals, criminal justice and penal treatments." These recommendations are yet to be fully implemented, and continue to be the ultimate goal for criminal justice information and statistics systems.
- b. Today, over 45 years later, state and national criminal justice data resources are beginning to provide reliable information on such basic needs as offender-based statistics about activities of the criminal justice system, complete criminal history records, and crime occurrence data.
- c. The Wickersham Commission, recognizing the tradition that primary responsibility for crime control rests with the individual states, recommended that the federal government deal only with state statistical bureaus. These state bureaus, it was thought, could specify and ensure the quality of reported information through training programs and monitoring activities.
- d. A more detailed statement on the need for criminal justice data is contained in Chapter 2, Criminal Justice System, of the Report of the National Advisory Commission on Criminal Justice Standards and Goals. This publication is instructive as to the range of both users and uses for data to be produced by the CDS program.

2. CURRENT STATUS.

- a. While almost all states collect some criminal justice statistics, the collection often is fragmented among various agencies whose statistics are not readily compatible. Most of the individual states have not developed a criminal justice statistical capability to ensure the systematic and accurate collection of data from operating agencies, or to ensure data reliability through systematic quality control procedures.
- b. The basic problem still exists. Within the states, some criminal justice data and statistical information is being gathered by the different operating agencies; i.e., police departments, prosecutors, courts, and correctional agencies.

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But in most states, in terms of quality and quantity, the resulting information often is not comparable even among similar agencies, nor is it exchangeable in any useful form from one part of the state's criminal justice system to another.

- c. Comparative analysis of similar data on an interstate basis, or in relation to national "norms", or from one period to the next within a state, is rendered less useful because of the unsystematic and non-uniform manner of collecting and reporting the data.

3. RECENT ADVANCES.

- a. Systems analysis and recent advances in data processing, computer technology, and telecommunications systems now permit development of reliable systems for collecting and analyzing data from the various criminal justice agencies within a state in a manner that makes the data useful, not only to the agencies themselves, but also to the state, to other states, and to national programs.
- b. The systematic collection of Uniform Crime Reports (UCR) by the FBI from the nation's state and local police agencies has proven its usefulness to operational personnel as well as to managers and planners at all levels of responsibility in local, state, and national government. In like manner, efforts to develop a Computerized Criminal History (CCH) program, to assist state and local criminal justice agencies and the operation of the FBI's National Crime Information Center (NCIC), are demonstrating the valuable assistance that computer technology and telecommunications can provide for the criminal justice system.

4. UNIFORMITY OF DATA.

- a. An agency normally gathers and uses whatever information it needs to meet its own responsibilities. The same information, if collected in a uniform and consistent manner, allows the agency to evaluate its own progress on a year-to-year basis. If similar agencies are collecting similar data in a uniform manner, it is also possible to compare operations and programs (intra and interstate) for their relative effectiveness and efficiency.
- b. Certain criminal justice information, moreover, is of importance to all parts of the criminal justice system--police, prosecution and defense, courts, and correctional agencies. The same data need not, and should not, be collected over and over again by each succeeding agency dealing with an offender.

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- c. The development of a Comprehensive Data System will not, in most instances, require the collection of new information. It will take advantage of data already being collected and used by operating criminal justice agencies. Data that are common to more than one agency, and critical to the understanding of the whole criminal justice process, must be collected and reported in conformance with common definitions. The methods used for collecting, retaining, and reporting this core information will usually require some restructuring of procedures and responsibility.
 - d. Operating agencies will continue to have for their own use whatever information they now collect. However, uniform reporting procedures will be a prerequisite to the generation of a core of common data needed to make future evaluations more accurate, to make comparisons with similar operating agencies more reliable, to make agency-to-agency analysis of the state's operating criminal justice system possible, to create criminal histories and to provide uniform data to national centers on significant national questions.
 - e. Standardization of data elements. Sources of standardized data elements are covered in the discussions of the various CDS components in subsequent sections of this manual.
 - f. To provide for standardization of criminal justice statistical data elements nationally, LEAA will offer guidance to the states by sponsoring the design of specific criminal justice information systems for various components of the criminal justice systems in the states.
 - g. LEAA recognizes that crime is primarily a concern of state and local government. The capabilities which LEAA seeks to have developed are primarily for state and local utility. Standardization of data elements and providing for the use of such data for national programs is consistent with the emphasis on state needs. Each state can benefit by being able to compare its data with other states and with national norms. Furthermore, data that will be requested from states for national aggregations systems, are expected to be only a small subset of the more complete and detailed data needed by the individual states.
5. THE NUCLEUS OF CDS: THE STATISTICAL ANALYSIS CENTER. A Statistical Analysis Center (SAC) in each state becomes the logical nucleus around which to develop a comprehensive criminal justice statistics system. Its mission of providing objective, interpretive analyses of criminal justice problems and prospects is supported by the

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systems which comprise the other parts of the Comprehensive Data Systems program. These include: collection and reporting of uniform crime reports; data about criminal justice resources and their utilization; provision of criminal histories to responsible agencies; and information about how the criminal justice system deals with offenders. The SAC may also provide coordination of the various components of the criminal justice data systems.

6. CDS OBJECTIVES. The objectives of the Comprehensive Data Systems program are:
 - a. To assist the states in establishing an integrated state-level criminal justice information and statistics system, and to encourage uniformity in the reporting of information agency-by-agency, state-by-state, and on a national basis.
 - b. To enable the state to collect systematically and to report criminal justice information and statistics in order to provide uniform and reliable data on a year-to-year, agency-to-agency, state-by-state, and national basis. Criminal justice data collected and analyzed in this manner will provide a wide range of significant information of high reliability to agency directors and managers, to operational personnel, to the public, to governmental decision makers, and to those charged with the responsibility of research and planning for a more effective and efficient criminal justice system. State Planning Agencies (SPAs) then will have at their disposal an invaluable planning tool in the form of up-to-date, reliable data indicating the problems and criminal justice needs of their respective states.
 - c. To eliminate unnecessary duplication of data collection when data from a state is reported to the Federal government. A coordinated national program provides this important benefit, while allowing the state to go beyond the minimum Federal criteria in meeting its own needs.
7. NCJISS MISSION. To fulfill the foregoing objectives, the National Criminal Justice Information and Statistics Service (NCJISS) of LEAA has developed the concept of the Comprehensive Data Systems (CDS) program, and will assist states in funding the development of the program. The support of state systems, in addition to the benefits derived by the states themselves, is intended to result in the production of criminal justice statistics consistent with a long range plan for national criminal justice statistics which NCJISS is developing.

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8. CDS--A BRIEF OVERVIEW. A Comprehensive Data System for criminal justice will be developed by each participating state, using a modular approach. The CDS components that will constitute a state's Comprehensive Data System are:

- a. Statistical Analysis Center (SAC): A professional staff, whose policy is guided by a CDS advisory committee, to provide interpretive analysis of collected data, to assist in ensuring quality control of data that is collected and reported, and to produce reports on crime and the activities of criminal justice agencies in the state. Management and Administrative Statistics (MAS) and Technical Assistance (TA) were formerly separate CDS components. These now are integrated into the responsibilities of the SAC. MAS is an activity which the SAC must address; TA is a function which the SAC may perform if consistent with the state's needs, priorities, and available funds.

The SAC may be charged with coordinating the implementation of the state's CDS program if the state has not created or mandated another agency to perform this task.

- b. Offender Based Transaction Statistics and Computerized Criminal Histories (OBTS/CCH): A systematic collection of significant data by police, prosecution, court, and correctional agencies about each person arrested on a serious charge, from the time of arrest to final exit from the criminal justice system. OBTS will provide an accurate and up-to-date profile of the state's criminal justice system for planning and analysis. CCH will provide accurate data on an individual's involvement in the criminal justice process, for subsequent use by various officials in making decisions concerning the individual.
- c. Uniform Crime Reports (UCR): The centralization in a single state agency of the collection and reporting of uniform crime report data gathered by law enforcement agencies within the state. The state agency forwards the collected data to the FBI for inclusion in its national UCR program.

9. STATE JUDICIAL INFORMATION SYSTEM (SJIS) AND OFFENDER BASED STATE CORRECTIONS INFORMATION SYSTEM (OBSCIS).

- a. Although not basic CDS components, SJIS and OBSCIS are state-level information systems under concurrent development to provide courts and corrections agencies with improved operational and administrative information, while also supporting overall, integrated national reporting and analysis capabilities. They will interface with the CDS by providing data elements

necessary for implementing OBTS/CCH and by supplying information to the SAC, particularly in the area of management and administrative statistics. SJIS and OBSCIS should be considered when the OBTS/CCH component is designed and developed, in order to avoid the cost of collecting and processing duplicate data.

- b. Funding for SJIS and OBSCIS systems will therefore require that these systems be covered in the most recent CDS action plan update and status report.
- c. Currently, SJIS and OBSCIS are being developed and implemented in a number of states with LEAA's support. Program descriptions, funding limitations, and selection criteria are discussed in the LEAA guideline manual Guide for Discretionary Grant Programs (M 4500.1 series). References 8 through 14 and 18, listed in the foreword herein, should be consulted before grant applications are submitted.

10. - 19. RESERVED.

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CHAPTER 2. GUIDELINES FOR THE CDS ACTION PLAN

20. ELIGIBILITY. To become eligible to receive LEAA funds for a criminal justice Comprehensive Data System, or any of its components, a state must first submit a CDS Action Plan and have it approved. The CDS Action Plan is the first step in the state's commitment to the program.
21. LETTER OF COMMITMENT. The CDS action plan should include a letter of commitment from the governor of the state. This letter should indicate that the governor intends to implement all components of the CDS program, to use the persuasive powers of his office to optimize state/local cooperation, and to assure that continuation of the program after federal funding has ceased will not be jeopardized. In lieu of the governor's commitment, letters of commitment from the law enforcement, judiciary and corrections components of the state's criminal justice system are acceptable.
22. STATE PLANNING AGENCY APPROVAL. The CDS Action Plan must include a statement from the SPA approving the CDS Action Plan as consistent with the state's comprehensive criminal justice plan and annual action program.
23. CDS ACTION PLAN ROUTING. The original and two copies of the CDS Action Plan are to be submitted to the National Criminal Justice Information and Statistics Service (NCJISS), LEAA.
24. CDS ACTION PLAN ELEMENTS. The CDS Action Plan shall consist of three basic elements; (1) A description of existing state and local information and statistical systems; (2) a description of the state's status with respect to the CDS components; and (3) a statement of CDS development strategy.
 - a. Existing Systems. The plan must include an inventory and brief description of existing state, regional, and local criminal justice information and statistical systems.
 - b. Description of the Current Status. The CDS Action Plan shall clearly describe the status of the state's current collection, analysis, and distribution of criminal justice data to criminal justice agencies and other bodies, including the procedures which are in effect to ensure privacy and security of data pertaining to individuals. This description, like the CDS Action Plan itself, need not be lengthy. It should be complete, however, and should present a clear picture of the state's current criminal justice information and statistics systems as they relate to each other and the components of the Comprehensive Data System.

- c. CDS Development Strategy. The CDS Action Plan must clearly describe how the state intends to proceed in developing and implementing the components of CDS. The following items should be described systematically:
- (1) Conceptual Approach. Describe generally how criminal justice data is to be collected, analyzed, distributed to the appropriate criminal justice agencies, and reported to LEAA (NCJISS) and to the FBI as appropriate. Describe generally what premises or priority considerations have shaped the conceptual approach, including the relationship of the proposed program to the state's privacy and security plan.
 - (2) Component Description. Describe the operational characteristics of each of component of the state's CDS program.
 - (3) Organizational Placement. The organizational placement within a state of each CDS component must be clearly defined; the rationale must be given for the organizational placement; and the responsibilities and interrelationships of the various agencies in program development, implementation, and operation must be explained.
 - (4) Schedule. A general schedule for implementing the CDS program must be provided. It should show major milestones for each component of CDS and indicate when state funding will commence. For the OBTS/CCH component, these milestones will include, at a minimum, the date at which responsibility for reporting data will be accepted by contributing agencies statewide; the date when the state repository's computer will be ready to receive data; and the date at which statewide reporting will begin, for both arrest and dispositions. For the UCR component, the milestones will include at a minimum the date on which the reporting responsibilities will be accepted by law enforcement agencies statewide; the dates when state data processing capabilities will be tested and will be in operation; and the dates on which statewide reporting will begin for each of the major portions of UCR (crimes known, arrests, personnel, etc.). For the SAC, the milestones will include at least the date on which the staff will be on board and the date on which regular statistical reports and analyses will begin. More detailed milestones, of course, are desirable. If the state intends to apply for SJIS, OBSCIS or PROMIS grants, the schedule for these projects and their relation to the OBTS/CCH and SAC activities must be included in the plan.

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- (5) Cost Estimates. Cost projections (as detailed as possible) must be provided for each of the CDS components; however, not all components must be funded at one time. Estimates should include all costs directly identified with developing and implementing each component. Costs must be presented by major milestones (as described above), and by year. For each component of CDS, the cost estimate for each year shall identify the projected sources of funds and the amount from each source. (e.g., CDS funds, state appropriation, LEAA block grant funds, etc.)
- (6) State Legislative Documentation. Documentation of legislative action is needed. Statutory enactments should provide:
- (a) Authority to operate a state-level criminal justice information and statistical system.
 - (b) Mandatory reporting of data necessary to operate the authorized system.
25. STANDARDS AND GOALS. The CDS Action Plan and CDS Component grant applications shall be consistent with relevant Standards and Goals for Information Systems and Statistics, as proposed by the National Advisory Commission on Criminal Justice Standards and Goals in its publication Criminal Justice System, Part II.
26. CDS ACTION PLAN PROCESSING.
- a. Approval of the Plan must precede CDS grant applications. Grant applications are not to be submitted until the CDS Action Plan has been approved. Grant applications must be consistent with the approved CDS Action Plan and any approved amendments or modifications.
 - b. Amendments and/or Modifications. All proposed amendments or modifications to the state's CDS Action Plan must be submitted to LEAA (NCJISS) for review and approval.
27. CDS ACTION PLAN CHECKLIST. The CDS Action Plan will be evaluated in terms of the following questions:
- a. Does the Plan evidence understanding of CDS objectives? Are additional objectives sought?
 - b. Is there sufficient evidence of intention to implement the program?

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- c. Is there evidence of intention and commitment by the state to continue funding the program after reasonable federal funding terminates?
 - d. Is the organizational location of each component clearly defined?
 - e. What methods will be employed to gather criminal justice data?
 - f. Are the implementation milestones clearly set forth and are they realistic?
 - g. Are costs clearly indicated and reasonable? Are other resources, in addition to CDS funds, clearly indicated and are the amounts indicated?
 - h. Is there indication that the program is intended to serve the entire criminal justice system and general government, including judicial, legislative and executive policy makers, by showing how the data needs of all will be identified and how data will support planning, evaluation, and management.
28. ANNUAL CDS ACTION PLAN UPDATE AND STATUS REPORT. As long as a state is receiving funds to support one or more CDS components and other state level criminal justice information systems such as SJIS and OBSCIS, the SPA must provide a status report to LEAA (NCJISS) by June 30 of each year. This report will constitute an update of the CDS Action Plan, and it must include a description of progress toward attaining the objectives that were identified in the grant applications for each CDS component. The report shall include:
- a. A listing of accomplishments since the last report, by CDS component.
 - b. An updated inventory of criminal justice information systems and statistical systems within the state, including any significant local and regional systems.
 - c. A listing of problems and delays that have occurred since the last update, the reasons for the problems and delays, and what corrective measures have been or will be taken.
 - d. An updated multi-year budget, by CDS component, showing Federal and state funding levels until costs are fully assumed by the state.
 - e. A descriptive list of recurring reports that are produced or will be produced by the SAC and the other CDS components.

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- f. Any changes to the previously approved CDS Action Plan or to prior updates should be presented clearly.

A state may have included an up-to-date version of some or all of the information that is required by items a through f above in its annual Comprehensive Plan, in a separate CJIS (Criminal Justice Information Systems) Master Plan, or in other documents. In such cases, copies of the documents or their relevant pages may be submitted as the Annual CDS Action Plan Update and Status Report. Any of the information required by items a through f which is not included in the original documents should be added, and the submitted report should be arranged and edited to provide a clear and cohesive update and status report.

No grant applications, including applications for continuation grants, will be approved after July 31 of any year unless an updated status report conforming to this section has been accepted by NCJISS.

29. EFFECT OF GUIDELINE REVISIONS ON PLAN UPDATE. Grant applications for CDS components must be in agreement with the current effective guidelines. Therefore, the annual plan update must reflect the latest guidelines.

CHAPTER 3. GRANT APPLICATIONS FOR CDS COMPONENTS:
GENERAL PROCEDURES AND REQUIREMENTS

30. GENERAL PROCEDURE. After the CDS Action Plan has been approved, a state may apply for funds to implement one or more of the CDS components. Overall procedures and requirements are specified in this Chapter. Specific procedures and requirements for each CDS component are spelled out in Chapter 4.
31. AVAILABLE FUNDS. LEAA funding assistance for the Comprehensive Data Systems program will be available from three types of LEAA funds:
 - a. NCJISS Program Funds (No-Match).
 - b. Part C Action Funds (Discretionary).
 - c. Part E Correctional Improvement Funds (Discretionary).
32. APPLICATION FORMS. Application for funds of one or more types should be made on the standard Application for Federal Assistance (Nonconstruction Programs), SF 424 with attached LEAA Form 4000/3, and should follow procedures as described in the current Guide for Discretionary Grant Programs (effective edition of M 4500.1).
 - a. A grant application for funds of more than one type must contain separate budgets and budget narratives for each type (Part C, Part E, No-Match).
 - b. NCJISS Program (No-Match) funds will generally be limited to support of the Statistical Analysis Center (SAC) component.
 - c. When Part E Correctional Improvement Funds are requested, the application must state clearly how funds will be used to improve correctional programs or procedures.
33. COMPONENT APPLICATIONS. A separate grant application must be submitted for each CDS component (SAC, OBTS/CCH, or UCR); a single grant application will not involve more than one component. In the case of OBTS/CCH, separate grant applications may be necessary to address different elements of the component. A grant application will be expected to comply with all the requirements for the component for which funding is requested. Any departure, modification, or omission that is not identified and justified will be cause for the rejection of the application.

a. Sequence of Submissions.

- (1) No fixed sequence of submission is required. Usually the Statistical Analysis Center (SAC) should be first. However, should the state elect not to start with the SAC, the SAC should be established before the end of the second year of an OBTS/CCH or UCR project. This will assure that an objective analytical unit will exist to provide useful analysis from the data bases established by the other CDS components.
- (2) No specific sequence of submission is required after the submittal of the initial SAC application. Experience in some states has indicated that the next component to be started should be UCR, because it is a well documented program, initially consisting of taking over forms and procedures from the FBI, and it therefore is less complicated than OBTS/CCH. However, it may be more desirable to begin with the initial grant application for OBTS/CCH system design since this component takes longer to develop and requires more internal clearances within the state.
- (3) In any event, funding of the SAC should not be deferred until OBTS data is available. Prior to implementation, some data will be available in the state and, whatever its limitations, there will be a need for expert, unbiased analysis of such data for planning and other uses. States that have had OBTS/CCH or UCR grants approved under previous guidelines and that do not yet have a Statistical Analysis Center (whether CDS funded or not) must institute such a center before LEAA will consider future continuation grants.

- b. Review and Comment. When there is a SAC, all applications submitted for UCR or OBTS/CCH components must be reviewed and commented upon by the SAC Director. This review is to assure that the OBTS/CCH system will provide the statistical data required for the SAC's analytical program and, in the case of UCR, to inform the SAC of the data that will be available from UCR for analysis.

34. ROUTING OF CDS GRANT APPLICATIONS.

- a. Applicants are encouraged to seek assistance from their State Planning Agency (SPA) in the development of applications. All CDS applications must be submitted to the SPA for approval and certification, prior to submission to the National Criminal Justice Information and Statistics Service (NCJISS).

- b. The procedures established in LEAA's effective edition of Guideline Manual M 4500.1, Guide for Discretionary Grant Programs, shall be followed for CDS grant applications.
35. RELEVANT LEGISLATION. Copies of relevant legislation, executive orders, or judicial orders must be appended to grant applications for those CDS components which involve the collection of criminal justice data. A statement of any anticipated legislative changes shall be provided.
36. DATA REPORTING AGREEMENT. Applicants shall state their agreement to furnish data to the FBI and LEAA as appropriate. Where participation in a national data collection system will not be possible, the application will state the reasons why participation is not possible (i.e. precluded by state law) and what conditions must be changed to permit such participation. Data supplied to the FBI (NCIC and UCR Sections) shall be in accordance with guidelines and reporting standards established for the national CCH and UCR programs. Data furnished to LEAA shall be upon request and in accordance with specifications and formats that will be provided.
37. SPECIAL REQUIREMENTS REGARDING DATA PROCESSING. Grant applications calling for the use of automated data processing equipment shall include the following agreements:
- a. That all computer software produced under the grant will be made available to LEAA for transfer to authorized users in the criminal justice community without cost other than that directly associated with the transfer. Systems will be documented in sufficient detail to enable a competent data processing staff to adapt the system, or a portion thereof, to usage on a computer of similar size and configuration, of any manufacturer.
- b. Upon request, a complete copy of documentation will be provided to LEAA, National Criminal Justice Information and Statistics Service, Systems Development Division (NCJISS/SDD). Documentation will include, but not be limited to, system description, operating instructions, user instructions, program maintenance instructions, input forms, file descriptions, report formats, program listings, data element dictionaries, and flow charts for the system and programs.
- c. To the maximum extent practicable, computer software already produced and available without charge will be used. To ensure that reasonable effort is extended in this area, LEAA publications and NCJISS should be consulted.

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- d. Whenever practicable all application programs will be written in Federal Standard COBOL. Where the nature of the task requires a scientific programming language, ANS FORTRAN should be used. Subject to the restrictions in paragraph e, application programs may be written in ANS BASIC for microcomputers and minicomputers too small to accommodate Federal Standard COBOL effectively. Requests for waivers shall be submitted in writing to the grant monitor for technical review by NCJISS/SDD.
- e. In order to avoid further delay in the utilization of intelligent terminals, microcomputers and small minicomputers, LEAA will authorize the use of American National Standards BASIC as a computer programming language on the following basis.
- (1) The ANS BASIC is a very limited language. Regardless of the manufacturer chosen, it will be necessary to employ various extensions or additions to the instruction set of ANS BASIC validated by the National Bureau of Standards.
 - (2) The user will require of the hardware vendor assurance that the BASIC language facility provided has been validated by the National Bureau of Standards validation routine.
 - (3) The user will insure that extensions to the ANS BASIC instruction set be limited to those instructions agreed upon unofficially by a least three hardware manufacturers. Accordingly, any application whether new or transferred should be guaranteed to run on the hardware of at least three different manufacturers.
 - (4) The National Bureau of Standards and the General Services Administration do not recognize conversion costs as legitimate justification for sole source procurement of future computer hardware acquisitions. Accordingly, it behooves the user to consider the competitive aspects of the next hardware procurement in the presently contemplated development of software. Unless stringent measures are taken at the outset and through any subsequent development of software, the user could find himself faced with massive conversion costs upon future change of hardware manufacturer.
 - (5) Consistent with Federal policy LEAA will not accept these conversion costs as justification for sole source procurement of ADP equipment.

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- f. All reasonable steps will be taken to provide for standardization of data elements and record formats, in order to provide computerized criminal histories and offender based transactions statistics acceptable to the appropriate state and Federal government agencies.

- g. Adequate provisions will be made for system security, the protection of individual privacy, and the accuracy and integrity of data collection consistent with the requirements of LEAA regulations governing privacy and security of criminal history information systems (28 CFR part 20) and the state's privacy and security plan.

38.-39. RESERVED.

CHAPTER 4. CDS COMPONENTS GRANT APPLICATIONS DETAILED GUIDELINES

SECTION 1. STATISTICAL ANALYSIS CENTER (SAC) GRANT GUIDELINES

40. PURPOSE.

- a. The goal of the Statistical Analysis Center component is to improve the effectiveness of policy making, program development, planning, and national reporting through the provision of data and interpretive analysis of data concerning crime, the criminal justice system and related issues.
- b. The means through which the Statistical Analysis Center component is to achieve its goal is the establishment of a professional capability in each state which will:
 - (1) Generate statistical and analytical products concerning crime and the criminal justice system in the state;
 - (2) Provide statistical and analytic services from available information upon request;
 - (3) Provide technical assistance concerning the collection, analysis and dissemination of criminal justice statistics throughout the state;
 - (4) Identify, collect, analyze and disseminate Management and Administrative Statistics (MAS) concerning the resources expended on criminal justice in the state;
 - (5) Promote the orderly development of criminal justice information and statistical systems in the state and coordinate such systems with the SAC's statistical goals; and
 - (6) Provide uniform data on criminal justice processes in the state for inclusion in national statistical reports.

41. ORGANIZATION AND STRUCTURE.

a. Designation.

- (1) Policy. A currently existing state agency or a new organization may be designated as the Statistical Analysis Center. Designation of the SAC may be accomplished

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through statute, executive order or reference to an existing authority. States which decide to designate by statute are encouraged to consider the provisions of the model state act contained in Search Technical Report No. 4.

- (2) Application Requirement. Under Section (3), "How the Project Will Work," of the Program Narrative, specify and document the authority by which the SAC operates.

b. Placement.

- (1) Policy. Objectivity, independence and visibility must be considered in determining the organizational placement of the SAC. In order to achieve the goals of the component, a SAC must be viewed as a non-partisan, professional organization created to serve all branches and levels of government and the general public. In order to avoid any appearance of conflict of interest, States are encouraged to place SACs in non-operating agencies. When placement in an operating agency is considered, special provisions to ensure SAC independence, objectivity and visibility must be made. In addition, states are encouraged to avoid placing the SAC under too many organizational layers since such placement inhibits the degree to which the SAC is visible to potential users. The experience of states which have created permanent statistical agencies is that their independence and objectivity can best be achieved by ensuring budgetary independence, establishing staff positions under the career service, and creating the agency by statute rather than executive order.
- (2) Application Requirement. Under Section (3), "How the Project Will Work," of the Program Narrative:
 - (a) Identify the placement of the SAC in state government and within any parent organization.
 - (b) Discuss how this placement will ensure the objectivity, independence and visibility of the SAC in the state.

c. Advisory Committee.

- (1) Policy. An advisory committee to the SAC must be appointed to provide direction to the state's statistical program. The CDS Advisory Committee, the State Criminal Justice Supervisory Board or a subcommittee thereof may be designated as the SAC advisory committee, but such a group

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must be composed of individuals representing all elements of the criminal justice system as well as general government. Membership should include representatives of state and local law enforcement, courts, prosecution and defense offices, public bail agencies, correctional organizations including probation and parole, legislative and planning bodies including the SPA, the academic community and the general public. The advisory committee must provide direction to the SAC concerning the types of products the SAC should produce, major issues facing criminal justice decision makers for which data and analysis are needed, the data needs of users in the state, and the adequacy of the statistical program planned by the SAC. The advisory committee must consider input concerning SAC products and services from decision makers and other users who are not represented on the advisory committee. The advisory committee may also be charged with the responsibility to advise in the appointment of the SAC director, to review the development plans for a new information and statistical systems, to determine the contents of reports, to establish statistical standards, to define criminal justice terms in the state, or to perform any other related duties.

(2) Application Requirement. Under Section (3), "How the Project Will Work," of the Program Narrative:

- (a) Specify the authority under which the advisory committee was created and appointed including who is the appointing authority and the term of service for each appointment. If the committee is a currently existing body, indicate its official name, authority and primary function.
- (b) List the membership of the advisory committee and indicate what type of agency and/or jurisdiction each member represents.
- (c) Describe the functions, duties and responsibilities of the advisory committee. Such description should indicate the frequency of meetings and should be accompanied by any bylaws or operating resolutions which exist.

d. Staffing.

- (1) Policy. The Statistical Analysis Center must have a staff which is professional and competent to perform the functions specified below. Senior staff positions should

be filled by individuals who are skilled in the statistical manipulation of data for policy analysis and are familiar with the factors, issues, and processes surrounding crime and the criminal justice system. Each state must designate an individual as SAC director who will be responsible for the operations of the SAC. States are encouraged to create all SAC positions under the state career service. Failure to adequately staff the SAC may result in termination of Federal assistance.

(2) Application Requirement. Under Section (3), "How the Project Will Work," of the Program Narrative;

- (a) For each position in the SAC, indicate the position titles and salary range and summarize the responsibilities and qualifications.
- (b) Indicate the type of personnel system which covers the SAC staff (e.g. civil service, merit system, etc.).

e. Continuation Applications. After an initial submission under these guidelines, applicants for continuation funding need only certify that their previous response to the requirements of this paragraph continues to be valid. Any changes in a SAC program from the previous submission which would alter the response to the above requirements must be adequately discussed.

42. FUNCTIONS.

a. Analysis.

(1) Policy. The primary function of the SAC is to provide objective, interpretive analysis of data concerning crime, the criminal justice system and related issues in the state. In order to adequately perform this function, SACs are expected to plan an analysis program annually which includes specific analytic products which are both recurring and special. While current estimates indicate that the SAC maturation process takes from three to four years, the analytic function must be included in the program activities of all SACs regardless of tenure.

(2) Application Requirement.

- (a) Under Section 2, "Statement of Results Sought," of the Program Narrative, describe all of the analytic products to be produced during the project period. This description should include statements concerning

the reason(s) for producing such products, the audience for which they are intended and whether the product is a recurring or special analysis.

- (b) Under the "Programs Operations Plan" of the Program Narrative, provide a production schedule of the products described in response to the requirements above. This production schedule may be included as part of the overall operations and milestones plan.
- (c) Under Section 5, "Plans for Review of Project Progress," of the Program Narrative, indicate how the analytic products will be assessed and how the SAC will determine if it is meeting the needs of its users.

b. Statistical Services.

- (1) Policy. In addition to the production of specific analyses, the SAC must also provide statistical services to users within the state including the Governor, the Legislature, the Judiciary, the SPA, other state agencies, local governments, criminal justice agencies and the general public. Such services should be provided upon request if SAC resources are sufficient. These services must include the provision of available data, special analyses and statistical support for the state comprehensive plan. SACs are urged to document and log requests for service which can be analyzed to provide information useful in planning the SAC program by identifying unmet needs, new audiences and emerging issues, as well as in evaluating SAC performance and utility. The final progress report for each SAC grant must include a thorough discussion of SAC services including the types and numbers of requests and requestors, topics of interest and services rendered.

(2) Application Requirements.

- (a) Under Section 3, "How the Project Will Work," of the Program Narrative, describe the statistical services program of the SAC including any policies or procedures concerning requests for information and/or the release of information. This discussion must also address the activities of the SAC which are intended to inform users and potential users of the availability of SAC services.

- (b) As an addendum to applications where the SAC is a separate organization from the SPA, a written agreement between the SAC and the SPA must be provided which outlines the responsibilities of each in the preparation of the comprehensive plan. All continuation requests must include as an addendum a specific indication by the SPA that the SAC has been providing statistical analysis and data in support of the SPA's preparation of the state comprehensive plan.
- (c) Under Section 5, "Plans for Review of Project Progress," of the Program Narrative indicate how the statistical services of the SAC will be assessed.

c. Technical Assistance.

- (1) Policy. Each SAC must be available to offer technical assistance in the identification of sources, and the collection, manipulation, interpretation and dissemination of criminal justice statistics to state and local governments. Technical assistance in information systems which furthers the development of the CDS program in the state may be included as a part of the SAC program, but is not required. The degree to which each SAC offers technical assistance should be determined by the SAC and its advisory committee in relationship to its overall goals and objectives.
- (2) Application Requirement.
 - (a) Under Section 3, "How the Project Will Work," of the Program Narrative, describe the technical assistance program of the SAC including the types of technical assistance available, the methods to be used to make potential users aware of such assistance, procedures to be used to request and deliver such assistance economically and without duplication, and the method to determine priorities as to which requests will be honored.
 - (b) Under Section 5, "Plans for Review of Project Progress," of the Program Narrative, indicate how the technical assistance program will be assessed including the procedures to secure evaluative comments from recipient agencies.

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d. Management and Administrative Statistics.

(1) Policy. Management and Administrative Statistics include all data relevant to resources and their expenditure used in the criminal justice system such as program costs, manpower, equipment, facilities and utilization of resources in general. Independently, such data are most frequently used as standards (i.e. years of education, size of correctional facilities, etc.) or in cross-jurisdictional comparisons. Frequently, MAS data are used in conjunction with other data bases to form indicators such as workload measures and performance statistics. Cost/benefit and optimization techniques are the tools most closely associated with the analysis of MAS data. Each SAC is required to plan and implement an MAS program as follows:

(a) Needs Assessment. All SACs are required to plan and implement an MAS program which shall be based on the analytic agenda of SAC. Each SAC is expected to assess the need for MAS data in the analytic products of the SAC and by users throughout the state, particularly government decision makers. Such assessment should result in two types of needs: long term, recurring needs for annual reporting responsibilities, ongoing monitoring of the system and responding to frequent requests; and short term, one time needs for use in the special studies and analyses planned for the year. The assessment process must include a review of the MAS needs of state and local decision makers as well as those of the SAC.

(b) Implementation Plan. Each SAC must prepare an MAS implementation plan which outlines what data needs have been identified and how such data will be collected and disseminated. Such plans should concentrate on the most efficient methods of meeting the identified needs. Therefore, secondary sources of data should be exhausted prior to the initiation of any primary data collection efforts particularly for short term, non-recurring needs. In addition, plans for collection efforts should seek to minimize the reporting burden on criminal justice operating agencies and local governments. Dissemination of such data should be planned to maximize the opportunities for using the data at the least cost. An

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annual MAS publication, maintenance of an MAS data file for responding to requests, or inclusion of MAS data in comprehensive reports are a few of the methods available for disseminating MAS data.

(2) Application Requirement.

- (a) Under Section 3, "How the Project Will Work," of the Program Narrative, specify the MAS data identified by the needs review. Indicate how the data will be used and if it is part of a recurring series. Also, briefly discuss how the needs assessment was conducted.
- (b) Under Section 3, "How the Project Will Work," of the Program Narrative, provide an MAS implementation plan which outlines how the data specified above will be collected and disseminated. Implementation milestones for the MAS program should be included here and summarized in the overall operation plan.
- (c) Under Section 5, "Plans for Review of Project Progress," of the Program Narrative, discuss how the MAS program of the SAC will be assessed and how the SAC will determine if it is meeting the needs of its users.

e. System Coordination.

- (1) Policy. As the center of the state's statistical program in criminal justice, the SAC is expected to promote the orderly development of criminal justice information and statistical systems in the state and coordinate such systems with the SAC's statistical goals. The system coordination function is essential if the SAC is to ensure that data from such systems is usable and of high quality. If no other agency is designated to coordinate and monitor the implementation of the CDS action plan, the SAC must accept that responsibility. However, the acceptance of such responsibility DOES NOT permit systems coordination to take precedence over the analytic functions of the SAC.
- (2) Application Requirement. Under Section 3, "How the Project Will Work," of the Program Narrative, discuss how the SAC will coordinate its program with and promote the orderly development of information and statistical systems in the state. A brief discussion of the status of information systems development in the state should be included

here. If the SAC will be responsible for monitoring and coordinating the implementation of the CDS action plan, describe the tasks involved and the resources including staff time required.

f. Provision of Data for National Reports.

- (1) Policy. As the center of the statistical program in criminal justice, the SAC is to be the usual contact point in the state for providing data on criminal justice processes to the Federal government for national reports. Data specifications and requirements will be provided by the Federal government. Where data is available and accessible, the SAC will be expected to provide such data to the Federal government in the manner requested.
- (2) Application Requirement. As a part of the application, either in the Program Narrative or as an attachment, the applicant must provide an agreement to provide statistical data as requested by the Federal government whenever such data is available and accessible.

43. LIMITATIONS AND CONDITIONS.

a. Victimization Surveys.

- (1) Policy. In order to ensure the most efficient and effective use of limited SAC funds, SACs are only encouraged to conduct victimization surveys when there is a demonstrated need for such data and no other data is available. National Crime Survey (NCS) data is available for the ten largest states. SACs in smaller states which wish to conduct such surveys are encouraged to utilize their resources in conducting surveys which meet the highest appropriate methodological standards. Therefore, all SAC grants which may support such surveys will be awarded with the condition that the basic methodology, sampling procedures, survey instruments, etc. be submitted to LEAA, NCJISS, for review and approval. No funds shall be expended on such surveys except for pretesting until LEAA approval is rendered. This condition applies to victimization surveys and not to such activities as studies of known victims, reverse record checks, or surveys of citizen attitudes towards crime and the criminal justice system.
- (2) Application Requirement. Under Section (3), "How the Project Will Work," of the Program Narrative.

- (a) Indicate if the SAC plans to conduct a victimization survey and discuss the need for such data;
- (b) If such a survey is planned, provide assurances that the SAC will meet the standards set forth by LEAA concerning the conduct of victimization surveys.

b. Security and Privacy.

- (1) Act Requirement. Section 524(a) of the Crime Control Act of 1976 requires that recipients of LEAA funds not misuse or reveal any research or statistical information identifiable to any specific private person. Copies of such information are also immune from the legal process.
- (2) Application Requirement. Under Section 3, "How the Project Will Work," of the Program Narrative, provide assurances that:
 - (a) Identifiable data on individuals, whether from OBTS/CCH records or other sources, will be made available only when anonymity of the subject is assured in any release of research findings;
 - (b) All SAC staff persons working with data sources containing information on identifiable persons have been or will be sworn to protect the confidentiality of such records and are subject to appropriate penalties in the event that these provisions are violated.

44. FUNDING.

a. Annual Funding Maximums.

- (1) Policy. LEAA will make grants to states to support the development of a Statistical Analysis Center. Such grants will be in amounts no larger than those which follow:

<u>1970 State Population</u>	<u>Systems and Statistics</u>		<u>Part E (10% Match)</u>	<u>Total</u>
	<u>No Match</u>	<u>10% Match</u>		
More than 3,500,000	\$100,000	\$ 25,000	\$ 50,000	\$175,000
2,100,000 to 3,500,000	\$ 85,000	\$ 20,000	\$ 42,500	\$147,500

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Less than 2,100,000	\$ 70,000	\$ 17,000	\$ 35,000	\$122,000
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(2) Application Requirement. In the Budget and Budget Narrative of the application, Part E funds must be accounted for separately. Such funds can only be used for correctional purposes. Applicants requesting continuation support may use a percentage figure in calculating that proportion of the total project costs which can be supported by Part E funds but such percentage must have been determined by a careful projection of staff and other resources required for correctional activities. Applicants using a percentage must provide documentation of the techniques used to calculate the percentage.

b. Assumption of Costs.

(1) Policy. Since the services of SACs are intended to be of greatest benefit to states and localities, the costs of their operations are to be assumed by the state after the SAC has been finally established. Current experience indicates that a SAC should fully mature over a three to four year period. Therefore, an assumption of costs policy will be implemented in FY 1979 where states requesting a fourth grant will be eligible to receive one half the current funding limit while no funds will be available for states seeking a fifth grant. The following outlines the assumption of costs policy for SACs:

<u>1970 State Population</u>	<u>Grants 1-3</u>		<u>Grant 4</u>		<u>Grant 5 and beyond</u>
	<u>SS</u>	<u>E</u>	<u>SS</u>	<u>E</u>	<u>SS & E</u>
More than 3,500,000	\$125,000	\$50,000	\$62,500	\$25,000	-0-
2,100,000 to 3,500,000	\$105,000	\$42,500	\$52,500	\$21,250	-0-
Less than 2,100,000	\$ 87,000	\$35,000	\$43,500	\$17,500	-0-

(2) Application Requirement. Under the Project Narrative, indicate how the applicant expects project activities to be supported when Federal funding ceases and what plans will be made during the period of Federal funding to arrange for that assumption of costs of the SAC, in whole or in part.

c. Continuation Funding.

- (1) Policy. Applications for continuation funding will be considered only if progress under the previous grant has been satisfactory.
- (2) Application Requirements. Under Section 2, "Statement of Results Sought," of the Program Narrative, indicate what progress the SAC made during the previous grant including a description of all major accomplishments and products which were achieved during the previous grant. Any SAC products not previously forwarded to LEAA should be attached to the application. In addition, the applicant should report on progress as measured against original milestone planning.

45. - 49. RESERVED.

SECTION 2. GRANT APPLICATION GUIDELINES: OFFENDER
BASED TRANSACTION STATISTICS/COMPUTERIZED CRIMINAL HISTORIES

50. PURPOSE OF OBTS/CCH. The Offender Based Transaction Statistics/Computerized Criminal Histories (OBTS/CCH) component is a system, at the state level, which obtains data from all criminal justice agencies within the state. Police will provide information for every person arrested and charged with a serious crime and establish his identification through fingerprints. Prosecution, court and correctional agencies will provide information on the disposition of these charges. The purpose of OBTS/CCH is to provide complete criminal histories of individuals and statistics that describe the processing of offenders through the various stages of the criminal justice process.
51. OBTS/CCH COMPONENT DESCRIPTION. The single element common to all segments of the criminal justice system is the offender. An understanding of the overall activity of the system, and the interrelationships between agency activities - essential to recognizing system weaknesses and planning improvements - requires the collection, analysis, and utilization of data based on the offender. The mobility of criminals requires rapid, reliable, and secure interstate exchange of criminal history information. Systems analysis and modern computer technology make this possible. OBTS/CCH data will be used for two major purposes: (1) to provide an up-to-date statistical profile of the state's criminal justice system; and (2) to enable states to use and to exchange with each other complete and accurate criminal history information in a rapid, reliable and secure manner for use by criminal justice officials in making decisions affecting individuals that come to their attention.
- a. Offender Based Transaction Statistics. OBTS is a system that can accurately identify each person arrested for a serious offense, can trace an arrested individual through the criminal justice process, and can record and report pertinent information about each transaction from arrest to final exit from the criminal justice system.
- (1) Transaction data, if collected and reported on every arrestee by the various criminal justice agencies handling the case, will produce sufficient statistical data at the state level to provide a current and accurate description of the criminal justice system in terms of the aggregate experience of those who have passed through it.

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- (2) Similar transaction data, collected in a uniform manner by other states, will produce a national statistical profile against which each state can compare and evaluate its own processes and progress.
- b. Computerized Criminal Histories. The Computerized Criminal Histories (CCH) system will enable states to participate in a rapid and accurate exchange of information on individuals:
- (1) With interfaces, the states do not unnecessarily duplicate data collection efforts; CCH component can augment the effectiveness of the FBI's National Crime Information Center Computerized Criminal Histories (NCIC/CCH).
 - (2) If state law precludes participation in the FBI's NCIC CCH program, the CCH module will permit a state to develop an intra-state interchange of information.
 - (3) With the availability of high-speed telecommunications systems, law enforcement and other criminal justice personnel will be provided with a rapid and accurate method of acquiring computerized criminal history information contained in state and, where appropriate, national repositories.

52. OBTS/CCH.

- a. Most states have elected to develop OBTS and CCH systems together. This has been done since most of the facts to be reported for one system are useful to the other, i.e. when facts have been reported to a criminal history system to describe the offender, his offense, and its consequences to that offender, the data can be summarized along with similar data for other offenders to describe the operations of the criminal justice system.
- b. However, a state may perceive a need to develop its criminal history system to satisfy its intra-state operational needs and to exchange criminal histories with other states before it is ready to use OBTS data. Conversely, other states may recognize a need for a new statistical program such as OBTS without setting as high a priority for criminal history exchange.

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- c. Therefore, "stand-alone" systems will be considered, provided:
- (1) For CCH, there is a commitment to a future expansion into OBTS (or assurances that the OBTS data can be collected from other systems [i.e.: SJIS, OBSCIS, PROMIS, etc.]) and that the CCH data will be made available for limited statistical analyses;
 - (2) For OBTS, funding is limited to the SAC (or its equivalent) and the system is restricted to statistical activity and does not contain a CCH capability.
- d. Funding priority will be given to OBTS/CCH continuation grants provided that the projects which have been started under prior grants, are making satisfactory progress. Additionally, an application leading to a full OBTS/CCH capability will take priority over a stand alone CCH system or a stand alone OBTS system. In the following instructions, reference will generally be made to OBTS/CCH. However, where appropriate, they will also apply to stand alone OBTS and CCH projects.

53. ORGANIZATIONAL ROLES AND RESPONSIBILITIES

- a. Selecting A Responsible Agency. A criminal justice agency must be chosen to act as the OBTS/CCH Data Center. Usually this agency should already be participating in the FBI's National Crime Information Center as the state's point of contact with NCIC. (This is not required for a stand alone OBTS, the SAC shall be the data center.)
- b. Responsibility of The OBTS/CCH Data Center. The Data Center should have clear authority and responsibility for two functions related to OBTS/CCH: (1) system planning and design, and (2) system operation.
- (1) The Data Center should be responsible for planning, budgeting, financing, and project control in the development of the OBTS/CCH program. It should also have the responsibility for technical design, including data base design, computer system design, and for all procedures required to implement the program. A review of OBTS/CCH systems in other states should be made and computer design and software already developed should be utilized.
 - (2) The OBTS/CCH Data Center should be responsible for operation of the system, including:
 - (a) Collection (directly or indirectly) of all data.

- (b) Processing and storage of state-level files.
 - (c) Interface with any national or interstate exchange facility when appropriate.
 - (d) Provision of remote access by state and national computer systems containing criminal history data.
 - (e) Provision of ADP support to the statistical analysis center for the generation of statistical reports relating to the OBTS/CCH Data Base. (The SAC will establish the report requirements and be responsible for analysis of data.)
- c. Interaction With Other Agencies. A critical element in assuring success for the OBTS/CCH program in a state is the creation of mechanisms to maintain relationships with agencies that use and supply data.
- (1) The OBTS/CCH Data Center should be guided by a users group, affording representation to all users in the setting of policy, decisions on the data to be contained in the system, the offenders to be included, purging criteria, dissemination policy, etc., in accordance with these guidelines and subject to applicable federal and state laws and regulations.
 - (2) Since the OBTS/CCH program is designed to acquire data from and to serve all criminal justice agencies, techniques must be adopted to ensure that all users are involved in the system planning process. Specifically, courts, prosecutors, and correctional agencies, as well as police, should participate in the planning of data flow and reporting procedures. Consideration should be given to using existing data collection systems (such as SJIS, OBSCIS, and PROMIS) operated by courts and correctional agencies.
 - (3) The OBTS/CCH Data Center should conduct a liaison and training program with local jurisdictions which supply data to the system. Training should include assistance in techniques and procedures for capturing data, privacy and security procedures, and other subjects that are pertinent to assuring the integrity of the system.

- (4) The Data Center should establish a quality control program to ensure the highest possible accuracy and completeness of records in the system. Part of this effort should be the periodic audit and inspection of local data acquisition processes. The SAC may provide technical assistance in this effort.
- (5) Formal signed agreements between the data center and the users should be obtained to ensure responsible participation in the system.

54. SYSTEM DESIGN.

a. Unified Reporting System. Both CCH and OBTS reporting requirements can best be satisfied by the creation of a single reporting system containing all offender data. The high degree of overlap between these two systems, in the data elements required, suggest a design in which data elements common to CCH and OBTS are recorded and entered only once.

(1) The data elements to be contained in the OBTS/CCH records are, at a minimum:

- (a) OBTS data elements specified in SEARCH Technical Report Number 4.
- (b) CCH data elements specified in the current NCIC Operations Manual.

Other data elements, related to OBTS/CCH objectives, may be selected by the state, subject to privacy laws and regulations.

(2) The persons to be included are adult offenders who have at least one arrest for an offense listed as a "criterion offense" in the current NCIC Operations Manual. Data on juvenile offenders (persons not legally treated as adults) must not be co-mingled with adult offender data. Data on offenders arrested for other than a criterion offense may be maintained for intra-state use in accordance with state law and regulations providing that a positive identification of the offender is established.

b. Data Acquisition. The cost of duplicate data capture and input to OBTS/CCH will not be funded by OBTS/CCH grants. In tracing the flow of data from the capturing agency or original source of data, reporting requirements must not be imposed which create duplicate reporting systems for OBTS and CCH data. Further, if the data elements are being recorded for

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some other purpose, such as a local information system, the OBTS/CCH Data Center must utilize the already available data rather than impose another reporting system. Substantial cost savings can be achieved by interfacing with local systems or with state correctional or judicial information systems, especially if an automated interface is possible. OBTS/CCH funds may be used to meet system interface requirements.

- (1) The state's data collection plan must have all criminal justice agencies reporting directly or indirectly to the OBTS/CCH Data Center on transactions which qualify for inclusion.
- (2) The originating agencies shall have responsibility for the timeliness, validity and completeness of the data, under procedures established by the OBTS/CCH Data Center in concert with the originating agencies.

c. Data Conversion. Emphasis must be placed on the kind and extent of data conversion which will best meet system objectives without unwarranted costs and within projected funding limits.

- (1) Master Name Index Conversion. Master name indexes, including CCH identification segments, should be converted for all adult offenders in the state repository, regardless of whether an associated criminal history record is converted. This conversion must be made in conjunction with a manual file purge and validation program. The master name index will furnish an automated pointer to all criminal history records, manual or automated.
- (2) Current data entry must include:
 - (a) Arrest and disposition information pertinent to the current charge as specified by current NCIC rules and applicable security and privacy regulations.
 - (b) Name index and identification segments for all new adult offenders. Current data entry will be funded only for arrests which occur after an automated system becomes operational.
- (3) Conversion of Prior Criminal History Information. In several instances, prior criminal history conversion has proved to be the most expensive aspect of the entire

OBTS/CCH component. Therefore, the conversion of historical data should be included in a system design only when justified by exceptional benefits. Applications requesting funds for conversion of prior criminal histories must address the following questions, at a minimum:

- (a) Classes of subjects to be converted.
 - (b) Data Sources for the prior records.
 - (c) Disposition completeness on the prior records.
 - (d) Whether out-of-state data will be converted.
 - (e) Whether noncriterion arrest data will be converted.
 - (f) Five-year projections of annual conversion volumes and costs.
 - (g) Impact on reporting agencies of collecting and reporting old dispositions.
 - (h) Whether arrest data not supported by fingerprints will be converted.
 - (i) Volume and cost of records already converted, and their proportion of the initial OBTS/CCH data base.
- d. Data Dissemination. Consistent with the limitations on dissemination as set forth in the LEAA regulations on privacy and security of criminal history record information, the state's privacy and security plan, any relevant state legislation or policy, and the LEAA regulations ensuring confidentiality of research and statistical data, the data base compiled by the OBTS/CCH Data Center should serve several purposes and user groups.
- (1) The Data Center must respond to all CCH inquiries made by authorized users. It should also transmit inquiries and responses relative to the NCIC/CCH file, where authorized.
 - (2) The Data Center must be the single source of all data entered from the state into the NCIC/CCH file and must maintain the interface thereto.
 - (3) The Data Center must provide OBTS records to the state SAC for statistical research and analysis of the criminal justice system within the state.

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(4) Upon request, the Data Center must provide OBTS data to the National Criminal Justice Information and Statistics Service of LEAA.

e. Accuracy and Completeness. One of the objectives of the OBTS/CCH program is to produce records which are accurate, timely and complete. It shall be the responsibility of each criminal justice agency that contributes data to ensure that information on individuals is kept complete, accurate, and current so that all records will contain, to the maximum extent feasible, dispositions for all arrests. For the criminal histories to be useful to all parts of the criminal justice system, they must contain the record of all transactions resulting from the initial arrest. If OBTS statistics are to be useful in describing the criminal justice system, the outcomes of all processes through which offenders move must be known.

(1) Critical to record completeness is the judicial disposition. Procedures must be established to obtain the judicial disposition of the case as defined in the OBTS/CCH data elements.

(2) Procedures should be established to determine the completeness of records entered into the system and to obtain any missing data. Programmatic exception reporting must provide notification of data that still is missing after specified elapsed times, for individual follow-up action.

(3) Accurate records are a necessity. In addition to careful quality control for data entry, procedures and staffing for audit must be established to check computerized records against original source documents. The Task Force Report on Criminal Justice Information and Statistics of the National Advisory Commission on Standards and Goals must be consulted for more specific recommendations.

55. PRIVACY AND SECURITY. Considerable material has been developed to describe the privacy and security controls which should be applied to OBTS/CCH systems. Of course, Federal and state laws and regulations must be observed. In particular, any system intending to use LEAA funds must comply fully with Section 524(b) of the Crime Control Act of 1973 as amended, and with the Department of Justice Regulations for implementing that Section (28 CFR Part 20). LEAA will not fund criminal history systems that do not meet these requirements for security and confidentiality. The following general guidelines should be considered, in addition to other relevant guidelines:

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- a. Data contained in OBTS/CCH records must be limited to that recorded by public agencies in connection with their official responsibilities.
- b. Criminal history record information shall not be integrated with data relevant to other social or personal matters, such as personnel records, school records, health and welfare records, etc.
- c. Access to the system by means of a remote computer terminal shall be limited to authorized employees of criminal justice agencies in connection with official duties.
- d. Data derived from OBTS/CCH records for other than official criminal justice purposes, such as for research, shall be made available only when anonymity of the subject of the data is assured in any public release of research findings or other disclosures. Organizations receiving this data must be made aware of the provisions of the security and privacy regulations aimed at preventing unauthorized disclosure. (See Section 524(a) of the Crime Control Act of 1973 as amended and implementing regulations 28 (FR part 22)).
- e. Any person, after proper identification, shall have the right to inspect and challenge his or her record.
- f. Computer centers, terminals, and communications lines shall have physical and technical provisions to prevent unauthorized access or data manipulation.
- g. The system shall follow state and federal requirements regarding purging and sealing of records.
- h. A reasonable procedure must be established to remove erroneous or irrelevant information from OBTS/CCH records promptly.

Precise definition and explanation of these guidelines can be found in reference a(3) in Paragraph 10 of the FOREWORD. Additional information is in reference b(2), b(6), b(7), and b(15).

56. FUNDING. Part C and E Discretionary Funds will be available to assist states in developing OBTS/CCH. Subject to availability, the funds may be obtainable over a three to five year period depending on the level of funds requested each year. Grant applications must indicate prior funding received, if any, current funding required, future needs, and when complete funding by the state will commence. When Part E funds are to be utilized, the individual grant application must indicate specific activities that will serve the corrections program. Where this is not practicable, a fund allocation

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method designating the proportions of Part C and E funds to be used must be incorporated and explained.

a. Eligibility For Funding. To receive LEAA funds for implementation of OBTS/CCH, a state must:

- (1) Have an approved CDS action plan.
- (2) Have an identification bureau serving all law enforcement agencies within the state. Within funding limits, OBTS/CCH funds may be used to assist in establishing an identification bureau or improving the bureau's operation.
- (3) Have statutory requirements for mandatory reporting of arrests, dispositions, and correctional outcomes to the agency that will manage the OBTS/CCH Data Center.
- (4) Be qualified for participation in the NCIC/CCH program (except insofar as the NCIC/CCH requirements are in conflict with Part A and B of DOJ Regulations 28 CFR Part 20). Exception may be made where state law prevents participation with the NCIC/CCH program, or the FBI/NCIC is not yet capable of assuming the state's workload.

b. Grant Limits.

- (1) CDS developmental funds will generally be available for three years with annual limits according to the following table:

State Population (1970 Census)	Annual Limit (3 year basis)	Maximum Limit
Less than 2.1 million	\$200,000	\$600,000
2.1 million to 3.5 million	\$300,000	\$900,000
over 3.5 million	\$450,000	\$1,350,000

- (2) A state may elect to implement its system over a longer time period, up to 5 years. In that case, the amount of funds which would have been available for 3 years will be spread over a 5 year period.
- (3) Before requesting its first grant application for implementing OBTS/CCH, state should submit a detailed implementation plan. A small OBTS/CCH grant (not to exceed \$75,000 for the larger states) may be awarded for developing the implementation plan.

- (4) For stand-alone CCH systems, funding will be at a 70 percent level of the above limit. Stand-alone OBTS systems will be at a 30 percent level. Deviations will be considered, where justified.

c. Limits on Use. OBTS/CCH implementation funds will generally be used for the following activities:

- (1) System design studies for OBTS/CCH development and implementation.
- (2) Upgrading operations of the state identification bureau through name index automation and addition of personnel to process fingerprint cards related to arrests. Financial support for facsimile transmission and automated fingerprint identification will not be generally available, but may be granted in special circumstances. (e.g.; very large volume identification bureaus, experimental techniques, etc.)
- (3) Data entry, after the system start date, for all OBTS and CCH data elements related to current offense arrests. CDS funds will not generally be available to begin efforts to code or enter data related to arrests occurring prior to the OBTS/CCH system start. However, limited funds may be made available to:
 - (a) Convert master name indices and identification segments.
 - (b) Complete the conversion of criminal histories where a substantial portion of a state's historical arrest records have been coded prior to issuance of these guidelines.
 - (c) Convert criminal history records of a limited number of specifically defined "high priority" convicted felons; e.g.: persons convicted of rape or sexual assault, persons being released to parole authorities, etc.
 - (d) Applications requesting funds for the completion of criminal history conversion or conversion of "high priority" convicted felons shall provide the information required by paragraph 54.c.(3).

- (4) Remote terminals and communication lines that are needed to extend CCH inquiry services to police agencies, prosecutors, courts, and correctional agencies served by no other automated criminal justice systems. To be eligible for a CDS-supported terminal, a criminal justice agency must be reporting to the Data Center in some form, OBTS/CCH data on interim and final dispositions for coming within its jurisdiction. Funds may be made available for this purpose only during the first and second years of system operations.
 - (5) Terminals, interfaces, and installation cost for data entry devices in the OBTS/CCH Data Center.
 - (6) Equipment and software to interface the OBTS/CCH Data Center with local criminal justice information systems, state judicial and corrections systems, and NCIC/CCH.
 - (7) Data storage devices utilized for the OBTS/CCH system and computer center charges to the OBTS/CCH function (under a charging policy that is explained in the grant application). Where shared systems are used, allowable costs will be limited to the pro rata amounts allocated to collection, storage, and dissemination of OBTS/CCH information.
 - (8) Development and maintenance of OBTS/CCH software, and of software produced at the request of the state's Statistical Analysis Center. (Transfer of existing software should be used wherever feasible.)
 - (9) System support personnel and supervisory personnel, including management, quality control units, and audit units.
 - (10) Field training for OBTS/CCH users in data acquisition and transmission, security and privacy, and related OBTS/CCH operations.
 - (11) Security systems required to comply with these and other relevant guidelines.
- d. Agencies Eligible For Funding. In each state, the primary applicant should be the agency managing the OBTS/CCH Data Center for the state. In some states, it may be desirable to also consider applications from state courts or corrections or other agencies for supplemental funding. Such grants will require the existence of an approved CDS plan, designation of the OBTS/CCH Data Center, clear stipulations that these grants

will provide both OBTS and CCH data elements to the OBTS/CCH Data Center, and otherwise meet the guidelines presented herein. In no event will CDS funds be directly available below the state level. However, modifications to local operational systems for OBTS/CCH compatibility may be candidates for CDS funding by subgrant from the primary agency.

57. GRANT APPLICATION REQUIREMENTS. In addition to the requirements imposed by the LEAA Guide for Discretionary Grant Programs, the OBTS/ CCH grant application must contain the following documentation:
- a. Legislation. Copies of existing or proposed state statutes, executive orders, and regulations dealing with the following subjects:
 - (1) Mandatory reporting of criminal justice data.
 - (2) Authority for the operation of the OBTS/CCH Data Center.
 - (3) Privacy, confidentiality, and security of criminal records.
 - b. Evidence of System Cooperation. Some evidence must be presented to show that the required data actually will be made available from police, prosecutors, courts, and correctional agencies. Such evidence may take the form of letters of intent to provide data from the administrative directors of the concerned agencies, or documents that reveal an established history of cooperation.
 - c. Acceptance of Guidelines. A certification that the applicant will implement all of the guidelines contained herein, or specific exceptions thereto with justification.
 - d. Project Schedule. A schedule of major milestones to be accomplished during the grant period. These should include dates for completion of system design, system testing, and system implementation. Quarterly reports will be required to assess development and implementation in accordance with the LEAA Guide for Discretionary Grant Programs.
 - e. Agreement to Provide National Data. Intention must be stated of the Data Center to submit, through the SAC, OBTS data for national compilations in accordance with reporting standards contained in Appendix 1.

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- f. Review by the FBI NCIC Section as to the degree of compliance with the FBI Guidelines and Standards for NCIC/CCH. OBTS/CCH grant applications will be forwarded by LEAA to the NCIC/CCH section of the FBI for review if the state is to participate in the NCIC/CCH program.

58. - 59. RESERVED.

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SECTION 3. UNIFORM CRIME REPORTS GRANT GUIDELINES

60. PURPOSE. The purpose of a state-level Uniform Crime Reports (UCR) program is to establish the capability to collect uniform crime data in accordance with standards developed jointly by the Federal Bureau of Investigation (FBI) and the International Association of Chiefs of Police (IACP).
61. OBJECTIVES. Since the advent of state UCR programs in the late 1960's three objectives have usually been thought of as having paramount importance. They are:
- a. Periodic reports to the state's Executive, Legislature, Judiciary, and general citizenry regarding the amount of crime within the state.
 - b. Periodic submission of reported crime offense and related data to the FBI for inclusion in its quarterly and annual reports on crime.
 - c. That the state UCR system be contributor oriented; that information be fed back to contributors in a timely manner and in a format that makes it useful for the administration and operation of a police department.
62. ORGANIZATION AND STRUCTURE.
- a. Designation
 - (1) Policy. The state commits itself to accept and execute the responsibility of collecting uniform crime data from state and municipal police agencies.
 - (2) Application Requirement.
 - (a) The grant application must describe authorized or operating systems, and must include copies of legislation which clearly indicates a mandatory reporting requirement for law enforcement agencies and a corresponding authority for the authorized collection agency.
 - (b) In the absence of specific enabling legislation, the grant application must show the state's commitment by its description of an already functioning system based on executive order, reporting regulations, or general inter-governmental powers.

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b. Placement.(1) Policy.

- (a) The responsibility for collecting UCR data should be assigned to the state agency which appears to have the best chance for successfully developing and implementing the program. The choice of such an agency will vary from state to state.
- (b) Although many states have placed this responsibility within the principal law enforcement agency within the state (e.g.: State Police, Department of Public Safety), others have assigned to a civilian agency the task of collecting UCR. Factors to be considered include operational stability, operating costs, rapport with contributors, and professional integrity. An LEAA-funded evaluation of the state UCR programs has found that both civilian and police agencies have done well in developing crime reporting programs.

- (2) Application Requirement. The application must state specifically which state agency will be charged with the responsibility of collecting UCR. If this agency is different from that identified in the CDS Action Plan, an explanation of the reason for the change must be given.

c. Staffing.

- (1) Policy. Each state will structure its UCR staff in order to best attain its objectives. Of critical importance to the success of the program will be the size and quality of the field staff. This field staff provides a direct link between the state UCR effort and the contributing agencies. The staff has the responsibility of assisting local agencies in meeting and maintaining the standards established for offense classification, in developing adequate record-keeping systems, and in insuring reliable reporting procedures.
- (2) Application Requirement. The application must specify the number and type of personnel assigned to the UCR program, the salaries of all personnel, and the amount of time to be devoted to UCR activities. The application must include the rationale for the number of field agents selected, and discuss other duties of the field staff if it is not exclusively dedicated to the UCR program.

63. APPROACH AND METHODOLOGY.

- a. Policy. Before developing a UCR program, a state should decide what it wants to accomplish. A program which has as its primary objective the satisfying of national and state reporting requirements about the incidence of crime would be best served by instituting the "traditional" UCR system as described in the FBI's UCR Handbook. A state which desires a system oriented towards assisting its contributors with a feedback mechanism which supplies useful management and operational data would want to consider an "incident based" UCR program. Experience of states with incident based systems has shown that it is unwise for a state to begin its incidence based system until it has gained experience with the traditional system. Any first year UCR application which included local reporting should limit the incident based activity to testing of forms and procedures.
- b. Application Requirements.
- (1) The state agrees to conform to the reporting standards established by the FBI and the IACP for national uniform crime reporting.
 - (2) The state agrees to regularly transmit to the FBI all of the detail data regularly collected by the FBI, which will be in the form of duplicate returns, computer print-outs, magnetic tapes, or other transmission medium acceptable to both the state and the FBI.
 - (3) The state agrees to institute quality control and audit procedures which meet the standards established by the FBI, IACP, and LEAA.
 - (4) The state agrees to supply uniform crime report information to the state and local criminal justice agencies (police, courts, prosecution, corrections, etc.).
 - (5) The application will contain a detailed list of critical project activities and milestones.
 - (6) The state agrees to coordinate its program development with the Uniform Crime Reporting Section of the FBI. This coordination should include early program planning, training of staff and field representatives and forms design. Through prior experience in other states such coordination should take some considerable time and expense to the new state program.

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- (7) UCR grant application will be forwarded to the UCR Section of the FBI for review and comment. Funds will not be awarded unless the grant application clearly meets FBI guidelines and standards.

64. FUNDING. Part C Action Funds (Discretionary) will be available to assist individual states in developing or improving the quality and services of a UCR component of their Comprehensive Data System.

- a. Because of the limitation on Part C funds, it has become necessary to provide funding limits based upon number of law enforcement agencies in a state as indicated in LEAA's "Directory of Criminal Justice Agencies", and a two year development period followed by one of operation.
- b. A state that has implemented a fully operational UCR system prior to qualifying for CDS funds may qualify for UCR grants for significant enhancements of the state's UCR program, including implementation of a system of audits.

Maximum UCR Funding (Thousands of \$)

<u>State Size (Number of Agencies)</u>	<u>Development/Operational</u>		
	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>
Over 400	125	112.5	100
200 - 399	100	87.5	77.5
0 - 199	75	62.5	50

- c. Application requirements. Funds in excess of these amounts or for a longer time period will be awarded only in exceptional cases and must be detailed and justified in the application. A third year application must contain a description of efforts, already underway or proposed, to have the state assume the cost of the UCR program when federal funding ends.

65. FBI AUTHORITY AND RESPONSIBILITIES. As the state develops its own UCR component, the FBI will continue:

- a. Its internal procedures of reviewing and verifying individual agency reports for completeness and accuracy.
- b. Its direct contact with individual reporting units where necessary. Such contact will be coordinated with the state UCR agency.

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- c. Its training programs on police record-keeping and crime-reporting procedures, upon request and in coordination with the state UCR agency.
 - d. Its direct collection of Uniform Crime Reports from police agencies within the state if conditions develop whereby the state UCR agency cannot supply the data required by the national program.
- 69. RESERVED.

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APPENDIX 1

Offender Based Transactions Statistics
Reporting Standards, Draft 4
Prepared By

National Criminal Justice Information
and Statistics Service
Statistics Division
13 October 1978

INTRODUCTION

The National Criminal Justice Information and Statistics Service (NCJISS) has a mandate to compile, analyze, and report statistical facts on the administration of criminal justice in the United States to the executive, legislative, judicial and administrative functions of government. The data developed are to be in sufficient detail to permit an annual assessment of the performance of adult criminal justice systems in the states.

As the national center undertaking this task, NCJISS is responsible for specifying the data needed for the annual report and the form in which the separate states submit the required information.

This document specifies how Offender Based Transaction Statistics (OBTS) computer tapes of individual records are to be submitted to the national center for consolidation into an annual report.

For the purpose of the initial OBTS national reports, an OBTS record consists of selected facts on an arrested offender showing what the police, prosecutor, and courts did to remove him or her from the arrest-prosecution process. The sum of these activities against all adult felony offenders handled by the states will provide a national description of this aspect of the administration of adult criminal justice.

Data elements specified here reflect those listed in SEARCH Technical Report No. 4, which was specified as a guideline for states participating in the Comprehensive Data Systems program.

Appendix 1. (Cont'd)

RECORD INFORMATION

Unit Of Analysis

The individual adult felony offender is the unit of analysis for the purpose of compiling data for the first series of national OBTS reports. Felony arrests and the related final disposition will be the only arrests that are to be reported initially. Where there are multiple charged and convicted offenses, the offense with the most potentially severe penalty in the contributing state is the offense to be reported.

OBTS codes fall into four major groups. These are Crimes Against Persons, Crimes Against Property, Drug Offenses and an inclusive All Other group. If the offenses carry the same penalty, select crimes against persons over crimes against property, property over drugs and drugs over all other offenses. If the offenses share a common grouping as well as the same level of severity in penalty then select the offense listed first in the OBTS codes section of this document.

The definition of an adult is left to each state, which must base its definition on state codes or long-standing practices.

A felony is defined as an offense that is commonly punished by imprisonment for a year or more, up to the death penalty.

An offender is a person processed by the police, prosecutor, or courts regardless of final determination of guilt or innocence.

OBTS Records

NCJISS standards require that a record be submitted on each felony offender who, once in the system, and without regard to year of entry, was given a final disposition (which includes sentence for those convicted) during the previous calendar year.

Each record must contain specific details on the offense, the offender, his or her disposition, and processing time. All of these items are needed for inclusion in the annual reporting series.

Appendix 1 (Cont'd)

For the purpose of these standards a State Record Number is any number assigned to an individual record which will enable the contributing state to locate the source record if records are returned for correction.

Missing data elements will cause the record to fail computer edits. Unless the missing values are supplied, the record cannot be included in the annual report. Required data elements are:

OFFENDERS

Record Identification Number
Date of Birth
Race
Sex

OFFENSE

Charged Offense
Convicted Offense

PROCESSES

Disposition
Sentences

TIME

Date Arrest/Entry
Date Final Disposition
Date Sentenced

AGENCIES

Point of Entry
Point of Exit

General

Alphabetic and alpha-numeric data will be left-justified and padded to the right with blanks. Dates will be entered as year, month, day. Thus, January 25, 1977 should be entered as 770125. Numeric data is to be right-justified and padded to the left with zeros. Blanks will never be legal characters in numeric fields. All missing, unknown or unavailable data will be indicated by use of one of the missing data values listed in the Data Element section of this document.

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Appendix 1. (Cont'd)

TAPE SUBMISSION

The information submitted to NCJISS must be recorded on computer tape, 9-track 6250, 1600 or 800 BPI density. Logical records will be 65 characters long and should be blocked at the largest convenient size less than or equal to 32760 (a blocking factor of 504). Files should be labelled with IBM or ANSI standard file labels. File names should consist of a two letter state abbreviation, the two digit calendar year to which the records pertain, and a three digit file number within year. For example, the eleventh file of OBTS data for 1978 submitted by Illinois would be named "IL78011".

Tapes should be sent to the Department of Justice, Law Enforcement Assistance Administration, NCJISS/OBTS, Washington, D.C. 20531.

The external label on each tape reel should show:

1. The contributing agency and address;
2. The year of the disposition data;
3. The tape's internal name. (i.e. IL78011)

Schedule For Submission

NCJISS is scheduled to report OBTS data within 10 months after the close of a calendar year. The following schedule has been established:

- | | |
|-------------|---------------------------------------------------------------------|
| April 30: | Cut off date for data submission |
| May 30: | Final edits by NCJISS, error listings and tapes returned to states. |
| July 1: | Final cut off date for accepting updated records from states. |
| August 15: | Reference tabulations returned to contributors. |
| November 1: | Initial OBTS report released. |
| December: | Formal publication released. |

DATA ELEMENTS

	Len	Type	Loc'n
OFFENDER			
Date of Birth	6	N	1-6
Sex	1	N	7
1 Male			
2 Female			
9 Missing data			
Race	1	N	8
1 White			
2 Negro			
3 Chinese			
4 Japanese			
5 American Indian			
6 All Other			
9 Missing Data			
State Record Number	10	AN	9-18
Arresting Agency (NCIC Code) Code 9's for missing data	9	N	19-27 1
DATES			
Arrest or other entry to system Code 9's for missing data	6	N	28-33
Final Disposition Code 9's for missing data	6	N	34-39
Sentence Code 9's for missing data	6	N	40-45
OFFENSE AND LEVEL OF OFFENSE CODES			
Charged offense at arrest 9999 Missing data	4	N	46-49

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Appendix 1. (Cont'd)

	Len	Type	Loc'n
Level of Charged Offense	1	N	50
1 Felony Level			
2 Misdemeanor Level			
3 Other Level			
4 Level not specified			
Convicted offense	4	N	51-54
8888 Inapplicable, not convicted			
9999 Missing data			
Level of Convicted Offense	1	N	55
1 Felony Level			
2 Misdemeanor Level			
3 Other Level			
4 Level Not Specified			

FINAL DISPOSITIONS

Police Disposition	1	N	56
1 Transfer to other law enforcement agency			
2 Transfer to other agency			
3 Released			
4 Other final disposition			
8 Not disposed of by police			
9 Missing data			
Prosecutor Disposition	1	N	57
1 Prosecution felony charge			
2 Prosecution misdemeanor charge			
3 Prosecution Other Charge			
4 Prosecution declined			
8 Not disposed of by prosecutor			
9 Missing data			
Type of Court (Final Disposition)	1	N	58
1 Lower			
2 Felony			
3 Other Court			
8 Not disposed of by courts			
9 Missing data			
Type of Charge (Final Disposition)	1	N	59

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Appendix 1. (Cont'd)

	Len	Type	Loc'n
1 Felony			
2 Misdemeanor			
3 Other			
8 Not Disposed of by Courts			
9 Missing data			
Court Disposition	1	N	60
1 Off calendar			
2 Civil procedure			
3 Dismissed			
4 Acquitted			
5 Convicted			
6 Other			
8 Not disposed of by court			
9 Missing data			
Sentence (If Convicted)	2	N	61-62
01 Death			
02 Prison			
03 Probation and Jail (include w/fine or restitution)			
04 Probation (include w/fine or restitution)			
05 Jail and fine			
06 Jail			
11 Fine			
12 Entire sentence suspended			
13 Other			
88 Not Disposed of By Court			
97 No conviction, no sentence			
99 Missing data			
Final Pleadings	1	N	63
1 Not Guilty			
2 Guilty			
3 Nolo Contendere			
4 Other			
5 Unknown			
8 Not a court disposition			
9 Missing data			

	Len	Type	Loc'n
Type of Trial	1	N	64
1 Non-jury			
2 Jury			
3 Transcript			
4 Other			
8 Not a court disposition			
9 Missing data			
Type of Counsel (at disposition)	1	N	65
1 Private			
2 Public appointed			
3 Self			
4 Public Defender			
5 Other			
8 Not a court disposition			
9 Missing data			

Each state will be expected to perform its own internal checks. However, NCJISS will perform a final check before accepting records. Rejected records will be returned to contributors in hard copy listings and error tapes. Errors will be identified by record identifier, variable, and value.

NCJISS VALIDATION AND CONDITIONAL CHECKS

Data elements may be validated -- individually or as part of conditional checks. Validations will check that each data element is in the proper format and range. Conditional checks will be for correctness of relationships between data elements.

Validations

Year of arrest minus year of birth must be more than 14.

Race must be 1-6 or 9.

Sex must be 1-2 or 9.

State Record number must be assigned. Nines are not acceptable.

Arrest date must be numeric, 6 digit and be a previous

year or be equal to the processing year.

Arrest charge must be a valid NCIC code specified in this manual.

Date of disposition must be numeric, 6 digit, equal or greater than arrest date.

Type of disposition must be numeric. Police dispositions must be 1-4, 8, 9. Prosecutor disposition must be 1-3, 8, 9. Court disposition must be 1-6, 8, 9. Sentence must be numeric, 01-06, 11-13, 88, or 97-99.

Conditional Checks

If police disposition in field 47 is 1-4, the fields 47, 50-55 must be 8 or 88.

If prosecutor disposition in field 48 is 3 then fields 47, 50-55 must be 8 or 88.

If court disposition in field 51 is 1-2 or 9 then fields 47 and 48 must be 8 or 9, field 49 must be 1-2 or 9. If field 51 is 1-4, then field 52-53 must be 97.

If court disposition in field 51 is 5, then field 52-53 must be 01-06, 11-13, 98, or 99.

If convicted offense field 42-45 is coded with other than 8888, then disposition field 49 must be 1, 2, 3 or 9 50 must be 1-3, or 9, field 51 must be 5, and field 52-53 must be 01-06, 11-13 or 99.

PRIVACY AND SECURITY

The Law Enforcement Assistance Administration (LEAA) has adopted a national archiving concept. Data collected by LEAA on crime, criminal justice employees and expenditures and other aspects of justice administration are stored at a central location. The data are on computer tape and are available to all governmental and private researchers.

All personal identifiers must be deleted from files before they are submitted to NCJISS.

Researchers using any part of the OBTS data base will be bound by privacy and security rules and regulations (Sections 501 and 524.a of the Omnibus Crime Control and Safety Act).

Appendix 1. (Cont'd)

The OBTS tapes submitted by states will be stored in these archives. Questions arising as the tapes are used will be referred to the appropriate state.

OFFENSE CODES

OBTS Charged And Convicted Offense Codes

States developing OBTS/CCH information have unique problems in setting up codes to describe their states statutes which differ from state to state. The National OBTS file, however, requires standardized data. Therefore, codes adopted by the National Crime Information Center for Criminal Histories (NCIC) have been selected for OBTS codes. Offense data requested are minimal and restricted to those necessary for achieving the report objective.

The Dictionary of Criminal Justice Data Terminology, published by the National Criminal Justice Information and Statistics Service, is the official source of definitions used for the national OBTS reports. The dictionary was designed expressly to provide a common language for exchanging information such as OBTS.

The variety of offenses, penalties and types of convictions require they be defined by level for the purpose of uniform coding. As defined, a felony level offense carries the possibility of imprisonment in a penitentiary for a year or more and a misdemeanor level carries a lesser penalty. However, it is recognized that some states are adjusting their criminal statutes, particularly in the drug area, and other levels of penalties are coming into being that may treat former crimes as infractions or crimes less than misdemeanors. A code for level other than felony or misdemeanor describes this.

Charged offense groupings are limited to those that are felonies in the contributing state. The term felony is defined in the Dictionary of Criminal Justice Data Terminology. Some of the more common convicted offenses which may be misdemeanors are also included in the dictionary. Others will be defined in the next edition of the dictionary.

OBTS REPORTING STANDARDS-NCIC OFFENSE CODE GROUPINGS

CRIMES AGAINST PERSONS

WILLFUL HOMICIDE (actuals only-exclude attempts)

0901 thru 0908
0911 thru 0912
0999

Negligent Manslaughter

0909 thru 0910

RAPE

1101 thru 1103

ROBBERY

1201 thru 1299

AGGRAVATED ASSAULT (include attempt homicide)

1301 thru 1312
1314 thru 1315

OTHER SEX OFFENSES

1104 thru 1199
3601 thru 3699

KIDNAPPING-HIJACK PUBLIC TRANSPORT

1001 thru 1099

OTHER ASSAULT

1313, 1316, 1399

CRIMES AGAINST PROPERTY

BURGLARY

2201 thru 2299

LARCENY (Theft by Taking)

2301 thru 2399

FRAUD (Theft by Deception)

2501 thru 2599

2605 thru 2606

MOTOR VEHICLE THEFT

2401 thru 2499

ARSON

2001 thru 2099

DRUG LAW VIOLATIONS

OPIUM, COCAINE AND THEIR DERIVATIVES

3510 thru 3533

MARIJUANA

3560 thru 3564

OTHER DRUGS

3501 thru 3505

3540 thru 3550

3570 thru 3599

ALL OTHER OFFENSES

WEAPON OFFENSES

5201 thru 5299

COMMERCIAL SEX OFFENSES

4001 thru 4099

Appendix 1. (Cont'd)

DISORDERLY CONDUCT-RIOT

5301 thru 5399

DRUNKENESS

4201 thru 4299

GAMBLING

3901 3999

TRAFFIC OFFENSES

- Drunk Driving

5403 thru 5404

- Hit Run

5401

- All Other Traffic

5402

5405 thru 5406

5499

OTHER OFFENSES

Include all NCIC felony offense codes not listed above.

END