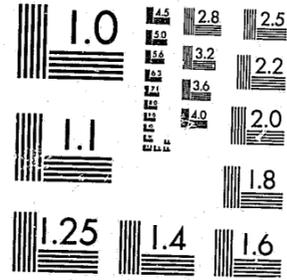


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National Institute of Justice
United States Department of Justice
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DRAFT

ESTIMATING THE COSTS OF IMPLEMENTING THE
PRIVACY AND SECURITY REGULATIONS
ISSUED BY THE
DEPARTMENT OF JUSTICE

VOLUME I
USER'S GUIDE TO THE
PRIVACY AND SECURITY COST MODEL

APRIL 30, 1979

U.S. Department of Justice
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ACQUISITIONS

PREFACE

The Institute for Law and Social Research, under LEAA contract Number J-LEAA-026-77, was asked to develop a cost model for estimating the incremental costs to state and local agencies of complying with DOJ/LEAA regulations governing the dissemination of criminal history record information.

This document is the first of three volumes that describe the workings and application of the Privacy and Security cost model. It has been designed for use by program and administrative personnel who wish to use the manual version of the model to estimate costs associated with complying with the DOJ/LEAA regulations or to project future costs.

The other two volumes of this report are

Volume II, the Automation Supplement to the User's Guide, designed for users of the automated version of the Privacy and Security cost model.

Volume III, the Executive Summary, which provides background information about the DOJ/LEAA privacy and security regulations, as well as an overview of the development and testing of the manual and automated versions of the cost model and observations of the study team regarding privacy and security costs at state and local levels.

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I. OVERVIEW AND BACKGROUND OF THE COST MODEL

As far as criminal history record information (CHRI) is concerned, the decade's-long debate over how to strike a balance between the privacy rights of the individual and the legitimate information needs of society culminated in the privacy and security regulations promulgated by the Department of Justice through the Law Enforcement Assistance Administration (28 CFR Part 20). Issued on May 20, 1975, and amended in 1976 and 1977, the DOJ/LEAA regulations shifted the focus of privacy and security activities from one of debate to that of compliance. (Appendix A discusses constitutional and legal aspects of the privacy debate and traces the developments that led to the promulgation of the DOJ/LEAA regulations.)

Full compliance, however, seems to be some years away for most states, according to a recent MITRE study.¹ LEAA has identified a major compliance problem as "general uncertainty among states as to the ultimate costs...."² State agencies responsible for implementation of the regulations, for example, have stressed the need for cost data and principles to justify budget requests and to support proposals for the additional state legislation that is often required.

This led LEAA to contract with the Institute for Law and Social Research (INSLAW) to design a costing approach or model

¹MITRE, Privacy and Security Survey and Assessment: Final Report, draft, (December 1977).

²RFP No. J-LEAA-006-7, February 1, 1977, Attachment B, p. 1.

that "will have the capacity to provide accurate data and/or estimations regarding the financial impact on individual states or systems of achieving compliance with each of the five requirements of the Regulations."³ (The DOJ/LEAA regulations are included as Appendix B.) Those five requirements pertain to (1) completeness and accuracy of criminal history record information (especially related to the reporting and recording of disposition data); (2) dissemination of criminal history record information; (3) security; (4) audit; and (5) CHRI access, challenge and review.

In the course of its project efforts, the project team defined a sixth cost area: the cost of planning for and developing legislation, rules, policies, standards or methods for privacy and security compliance.

As a first step toward developing the cost model, INSLAW analyzed the DOJ regulations to identify the cost components of the functional requirements. Step 2 involved the development of a skeletal outline of cost elements based on: the identified components of the functional requirements; compliance options for manual, semiautomated, and automated systems; and INSLAW's prior experience with cost analysis and cost modeling--especially its Comprehensive Data System (CDS) cost model. Step 3 involved the development of a cost data collection instrument and its testing in the State of Maryland and the Commonwealth of Virginia. Besides collecting cost data, the project team documented compliance procedures in the two states. Step 4 included revision of the data

³Contract J-LEAA-026-77, August 28, 1977, p. 2.

collection instrument and on-site data collection in five states: Georgia, Alabama, California, Arizona, and Minnesota. In each state, the project team collected written policies and procedures as well as detailed cost information for system development and operation. Step 5 concerned development of a manual model, supporting schedule, and data tables that show how default values were derived; Step 6 involved automating the model to eliminate tedious mathematical computations. Step 7 involved testing the manual and automated versions of the model (in Virginia) and an independent evaluation of the model by an outside firm. (See Appendixes B and C, respectively, in Volume III for a summary of the field tests and a copy of the evaluation report.) Preparing the final report was Step 8.

The manual model, included as Section III of this volume, is divided into two parts. One part--the Cost Analysis Form--uses short-cut estimation procedures based on default values derived from data collected in five states; the second part calls for detailed cost input and calculations and summarizations. The automated model, in essence, adapts the manual model to automation; it facilitates interactive question-and-answer type input procedures, eliminates all interim manual computations, and provides automatic production of output reports.

Cost principles were developed for each operational component of the functional requirements. We then developed, tested, and documented a model for capturing the costs associated with each component. Although the model has not been applied at the

metropolitan, county, or municipal level, we believe that it could be used to assess local cost impacts. The model could also be used to facilitate a national estimate of privacy and security costs for immediate or long-range program planning or evaluation, for example. The model and associated tables (see Section IV) reflect the following:

- (1) A distinction between developmental and annual operating costs.
- (2) A distinction between costs directly attributable to complying with DOJ/LEAA privacy and security regulations, and those costs reflecting the basic operation of a criminal history record information system.
- (3) The variation in volume and activity patterns among jurisdictions.

The model is designed to be practical and user oriented. The user has control over, and the planner or evaluator has insight into, the costing process. The model is fully usable on a manual basis, but it also incorporates an optional automated version to perform the laborious extension and summarization tasks and to generate the various cost reports. Experience with computers or higher level mathematics is not required for the automated option.

Rather than being buried within the mystique of the computer, cost assumptions and decision logic are kept (and can be challenged and changed) outside of the automated model. They are made explicit and quantified through use of the manual model's charts, tables, etc., which serve as data input forms for the automated model.

Although the principal purpose of the model is to enable state and local agencies--particularly Central State Repositories-- to

estimate the incremental costs (both initial developmental and operating) stemming directly from the DOJ/LEAA privacy and security regulations, the model is also appropriate for use as an ongoing management tool by which to monitor and control privacy and security costs. The model can serve as a mechanism not only to compare total costs from year to year but also to break costs into their various components and thereby facilitate financial control within a given fiscal period.

For example, costs can be broken out into categories corresponding to the regulations' principal areas of concern--dissemination, security, audit, etc. Or, particularly through use of the automated model, costs can be categorized within each of those areas by type--personnel (managers, clerks, etc.), facilities, office equipment and supplies, travel and per diem, postage and distribution, forms and document, and terminals and lines.

Because the automated model flows from, and is dependent upon, the manual model, the remainder of this volume focuses on the latter. Specifically, the manual model's forms and related instructions are presented. Volume II discusses the automated versions of the model and Volume III presents an Executive Summary of the project.

II. GENERAL INSTRUCTIONS FOR USING THE MANUAL COST MODEL

When supplying the cost data required by the manual model, users should be mindful that the applicable costs are only those directly attributable to compliance with the DOJ/LEAA privacy and security regulations. In other words, costs resulting from the normal operation of a criminal history record information system or from adherence to privacy and security measures implemented prior to, and not in anticipation of, the regulations should be excluded.

The manual model is organized so that users can either compute "broad brush" or "ball park" cost estimates in a minimum of time by completing only the relatively short Cost Analysis Form (CAF) or project much more detailed estimates by entering cost data on the CAF after answering the detailed questions contained in Schedules B through H. Some users may wish to estimate costs by using the CAF only, others by referring to one or more of the schedules. In any event, the point at which to begin the cost estimation process is Section I of the CAF.

1. Cost Analysis Form

The principal reason why use of the CAF results in faster, though less detailed, cost estimates than those obtained from the schedules is that it contains numerous "default values"--that is, figures reflecting the expenses or other cost-related factors derived from the experience of other states. For example, to estimate the yearly cost of record challenges, the CAF instructs you to multiply the number of challenges received (expected) annually by the default value of \$21.00. If you do not wish to

use this value, the CAF directs you to a schedule where the cost per record challenge can be computed on the basis of your experience, actual or anticipated. The resulting figure may or may not vary significantly from \$21.00, depending on the extent to which your forms, clerical, photocopy, and other applicable costs (less income from challenge fees) differ from those of the jurisdictions from which the \$21.00 default value was derived. To help you decide whether to accept the default values in the CAF, an explanation of how each was computed is contained in Section IV of this volume, Data Tables. Alternatively, you can use the cost in the data table reported by the jurisdiction whose arrest volume most closely resembles that of your jurisdiction.

The CAF comprises eight sections. Section I repeats some of the instructions discussed here and contains a summary table on which the major components comprising developmental and operating costs (and revenue)--computed in subsequent sections--can be recorded and totaled.

Sections II through VII focus, respectively, on the six major cost categories occasioned by the regulations: final disposition data reporting and recording; dissemination; auditing for compliance; security; record challenge and review; and planning.

Section VIII is for the calculation of cost factors frequently used in computations in other sections of the CAF and throughout the schedules. These cost factors include, for example, forms costs, photocopy costs, and hourly salaries of various types of personnel.

2. The Schedules

Each section of the CAF, except Section I, has a corresponding schedule, as follows:

<u>CAF Section</u>	<u>Schedule</u>	<u>Cost Category</u>
I	--	Summary
II	B	Disposition
III	C	Dissemination
IV	D	Auditing
V	E	Security
VI	F	Challenge/Review
VII	G	Planning
VIII	H	Frequently Used Cost Factors

As noted earlier, if you do not wish to use the default values cited in any CAF section or for a given item within a CAF section, you can refer to the appropriate schedule where costs can be computed in a more detailed and jurisdiction-specific manner. (For CAF Section V, Security, Schedule E must be used, however, because representative default values could not be developed.)

Once a cost element has been computed through use of a schedule, the schedule will refer users back to the appropriate section and line of the CAF where the figure can be entered.

Not only are there cross references to guide users from the CAF to the proper schedule and vice versa, but cross references also permit users to go back and forth between the video display of the automated model and the CAF and schedules. This is important, of course, because the CAF and related schedules serve as data input

forms for the automated version. In addition, the abbreviated manner in which some queries appear on the video display may, at first, cause users to refer to the corresponding but more fully worded questions on the CAF or schedules. For this reason, those cost factors that are required for the automated model have been noted with a special symbol (✓) on both the CAF and the schedules. The intent, of course, is to facilitate preparations before the automated model is exercised.

III. MANUAL MODEL

PRIVACY AND SECURITY COST ANALYSIS FORM (CAF)

SECTION I
PURPOSE, INSTRUCTIONS, AND COST SUMMARY

A. Purpose and Instructions

1. This form is designed to estimate the cost impact of the DOJ/LEAA Privacy and Security regulations on state and local criminal justice agencies.
2. The model can be used to compute "broad brush" or "ballpark" cost estimates by completing only Section II through VIII of this form and transferring the results to the chart in item B below. Sections II through VIII include several mathematically devised default cost values based upon costs observed in selected states. The "Users Guide" for this model explains how each of these defaults was developed (Volume I, Section D).
3. The model can be used to estimate more detailed costs by answering the questions contained in Schedules B through G that supplement this form.
4. It is also possible to use a combination of the detailed Schedules (B through G) for some sections of this cost model and the defaults on this form (II through VIII) for other sections.
5. If you elect to fill out any of the detailed cost schedules, you must first complete Section VIII of this form.

B. Summary of Privacy and Security Costs

Functional Requirements	a. Development Costs	b. Annual Operating Costs
1. Disposition Data Reporting and Recording		
2. Dissemination		
3. Auditing		
4. Security		
5. Record Challenge and Review		
6. Planning for Implementation		
7. (Dissemination Revenue)		
8. TOTALS		

Completed For (Jurisdiction): _____

Completed By: Name: _____

Title: _____

Phone Number: _____

Date Completed: _____

Return Completed Form To: _____

SECTION II
DISPOSITION DATA REPORTING AND RECORDING COSTS

NOTE: Complete this section to estimate final disposition reporting and recording costs; this section assumes one (final) disposition per arrest. If the jurisdiction desires to cost interim and final dispositions, appropriate adjustments will be required
OR
Complete Schedule B and insert the costs in the boxes below, as directed.

Development Operating

A. Reporting Final Disposition Data by State and Local Agencies

1. Enter the number of arrests currently reported to the Central State Repository (CSR) by state and local agencies annually. _____ ✓
2. Enter the number of dispositions reported annually to the CSR by state and local agencies prior to the implementation of P&S regulations. _____ ✓
3. Compute the incremental increase in the annual number of dispositions reported to the CSR by all agencies as a result of P&S regulations. Subtract item 2 from item 1. _____
4. How many of the additional dispositions to be reported to the CSR (item 3 above) will be reported in an automated mode? _____ ✓
5. How many of the additional dispositions to be reported to the CSR (item 3 above) will be reported in a manual mode using forms? _____ ✓
6. Compute the total increased disposition reporting costs resulting from P&S regulations by applying the following formula OR complete Section 1 of Schedule B.
 - a. Number of dispositions reported in an automated mode (item 4 above) _____ x \$ 0.60. \$ _____
 - b. Number of dispositions reported in a manual mode (item 5 above) _____ x \$ 0.55. \$ _____
7. Add figures in items 6a and 6b above and enter total in box at the right. \$

B. Recording Final Disposition Data at the CSR

1. How many of the additional dispositions (item 3 above) will be recorded at the CSR in a manual mode? _____ ✓
2. How many of the additional dispositions (item 3 above) will be recorded at the CSR in an automated mode? _____ ✓
3. Compute the additional disposition recording costs resulting from P&S regulations by applying the following formula OR complete Section 2 of Schedule B.
 - a. Number of CSR dispositions recorded in a manual mode (item 1 above) _____ x \$ 0.60. \$ _____
 - b. Number of CSR dispositions recorded in an automated mode (item 2 above) _____ x \$ 0.83. \$ _____
4. Add figures in items 3a and 3b and enter total in box at the right. \$

C. Delinquent Disposition Monitoring

1. Approximately how many arrests reported to the CSR annually have delinquent final dispositions? *Item A.1 above x .4 OR enter the actual number, if known.*
2. Compute the cost of collecting delinquent final disposition data. *Item 1 above x \$ 0.40 OR complete Section 3 of Schedule B.*

Development Operating

_____ ✓
 \$ _____

D. Software Modifications. If software modifications were required to the CSR computer system to allow for delinquent disposition monitoring or for other changes resulting from disposition recording requirements, complete Section 4 of Schedule B and enter results below.

1. Development costs.
2. Annual operating costs.

\$ _____ \$ _____

E. Microfilm Costs. If microfilm is used to store disposition data at the CSR as a result of the P&S regulations, complete Section 5 of Schedule B and enter the results in the boxes below.

1. Development costs.
2. Annual operating costs.

\$ _____ \$ _____

F. Total Final Disposition Reporting and Recording Costs

1. Development Costs. Add the figures in the boxes in the "Development" column. Enter total in the box at the right and in item B.1.a, Section I, CAF.
2. Annual Operating Costs. Add the figures in the boxes in the "Operating" column. Enter total in the box at the right and in item B.1.b, Section I, CAF.

\$ _____ \$ _____

SECTION III
 DISSEMINATION COSTS

NOTE: Complete this section to estimate dissemination costs
 OR
 Complete Schedule C and insert the costs in the boxes below, as directed.

Development Operating

A. Arrests

What is the estimated number of arrests reported to the CSR annually? *Same as item A.1, Section II, CAF.*

_____ ✓

B. Disseminations

1. Enter the number of disseminations logged annually at the CSR. An INSLAW study projected 1.376 criminal history disseminations per arrest and 2.769 on-line criminal summary disseminations per arrest; a fully automated system would approximate 4.145 disseminations per arrest.
2. What percentage of the disseminations logged annually is the result of P&S regulations? *Experience in other jurisdictions indicates that the percentage is usually close to 100.*
3. Multiply item 1 by item 2 and enter the result in the space at the right.

_____ ✓
 _____ ✓

C. Manual and/or Automated Dissemination

Indicate the estimated number of:

1. Manual disseminations
2. Automated disseminations
3. Total *Note: Total must equal item B.3 above.*

_____ ✓
 _____ ✓

D. Dissemination Processing Costs

Compute the estimated annual dissemination processing costs resulting from P&S regulations by completing the following formula OR Section 2 of Schedule C.

1. Item C.1 above x \$ 1.65.
2. Item C.2 above x \$ 1.02.
3. Add figures in items 1 and 2 above and enter total in box at the right.

\$ _____
 \$ _____
 \$ _____

E. Increased Terminal or Line Costs

If the P&S regulations resulted in increased terminal or line costs, complete Section 3 of Schedule C and enter the results in the boxes below.

1. Development costs
2. Annual operating costs

\$ _____ \$ _____

**SECTION IV
AUDITING FOR COMPLIANCE COSTS**

NOTE: Complete this section to estimate auditing for compliance costs

OR

Complete Schedule D and insert the costs in the boxes below, as indicated

Development Operating

A. Full Audit

1. Enter the number of agencies receiving a full audit annually, including procedural and security compliance and a sample of disposition audit trails. _____ ✓
2. Multiply item 1 above by \$ 346 and enter the result in the box to the right OR complete Section 2 of Schedule D and enter the resulting total from column 1, Worksheet D. \$ _____

B. Procedural Audit

1. Enter the number of agency audits that included procedural and security auditing only. _____ ✓
2. Multiply item 2 above by \$ 257 and enter the result in the box to the right OR complete Section 3 of Schedule D and enter the resulting total from column 2, Worksheet D. \$ _____

C. Audit Guidelines

Enter the cost of developing and maintaining audit guidelines on the basis of the following experience table OR complete Section 4 of Schedule D and enter the resulting totals from Worksheet D in the boxes below.

State Population	Audit Guidelines Experience Table	
	Development Cost Range	Maintenance Cost Range
. More than 4,000,000	\$ 3,850 - \$ 5,775	\$ 950 - \$ 1,450
. From 1,000,000 . To 4,000,000	\$ 2,900 - \$ 3,850	\$ 725 - \$ 950
. Less than 1,000,000	\$ 1,925 - \$ 2,900	\$ 475 - \$ 725

1. Development Costs. Enter figure from above or from column 3, Worksheet D. \$ _____ ✓
2. Maintenance Costs. Enter figure from above or from column 4, Worksheet D. \$ _____ ✓

D. Software Development and Maintenance

If added software costs were involved in the development or maintenance of software to produce computer-generated samples of criminal history data for auditing, complete Section 5 of Schedule D and enter the resulting totals from Worksheet D in the boxes below.

1. Software Development Costs. Enter total from column 5, Worksheet D. \$ _____
2. Software Maintenance Costs. Enter total from column 6, Worksheet D. \$ _____

Development Operating

F. Software Development and Maintenance

If the P&S regulations resulted in increased software development and/or computer processing costs, complete Section 4, Schedule C and enter the totals in the boxes below.

1. Software development costs. \$ _____
2. Software maintenance costs. \$ _____

G. Dissemination Revenue

1. Indicate the number of increased annual disseminations resulting from the P&S regulations for which a fee is charged. _____ ✓
2. What is the fee for each dissemination? \$ _____ ✓
3. Compute the total annual revenues from dissemination resulting from P&S regulations. Items 1 & 2 above. Enter total on line at the right and in item B.7.b, Section I, CAF. -(\$ _____)

H. Total Dissemination Costs

1. Development costs. Add the figures in the boxes in the "Development" column. Enter total in box at the right and in item B.2.a, Section I, CAF. \$ _____
2. Annual operating costs. Add the figures in the boxes in the "Operating" column. Enter total in box at the right and in item B.2.b, Section I, CAF. \$ _____

E. Total Auditing Costs

1. **Development Costs.** Add the figures in the boxes in the "Development" column. Enter total in box at the right and in item B.3.a, Section I, CAF.
2. **Annual Operating Costs.** Add the figures in the boxes in the "Operating" column. Enter total in box at the right and in item B.3.b, Section I, CAF.

Development Operating

\$

\$

V
SECURITY COSTS

NOTE: Because of wide cost variations among the several states surveyed, there is no short form computation for security costs. Complete Schedule E and enter resulting totals in spaces below.

	<u>Development</u>	<u>Operating</u>
1. CSR Physical Security Development	\$ <input style="width: 40px;" type="text"/>	
2. CSR Software Security	\$ <input style="width: 40px;" type="text"/>	
a. Development costs		\$ <input style="width: 40px;" type="text"/>
b. Operating costs		\$ <input style="width: 40px;" type="text"/>
3. CSR Employee Screening, Training, and Performance Monitoring		\$ <input style="width: 40px;" type="text"/>
4. Additional CSR Security Personnel		\$ <input style="width: 40px;" type="text"/>
5. Security Costs to Criminal Justice Agencies	\$ <input style="width: 40px;" type="text"/>	
a. Development costs		\$ <input style="width: 40px;" type="text"/>
b. Operating costs		\$ <input style="width: 40px;" type="text"/>
6. Total Development Costs. Add figures in "Development" column. Enter total in box at the right and in item B.4.a, Section I, CAF.	\$ <input style="width: 40px; height: 15px;" type="text"/>	
7. Total Annual Operating Costs. Add figures in "Operating" column. Enter total in box at the right and in item B.4.b, Section I, CAF.		\$ <input style="width: 40px; height: 15px;" type="text"/>

**SECTION VI
RECORD CHALLENGE AND REVIEW COSTS**

NOTE: Complete this section to estimate record challenge and review costs

OR

Complete Schedule F and insert costs in the boxes below, as directed.

Operating

A. Record Review

1. Enter the annual number of requests for review of criminal history records. _____ ✓

2. Compute the cost of record reviews. Complete Section 1 of Schedule F and enter the resulting total from column 1, Worksheet F, in the box below OR apply the following formula.

a. Item A.1 above _____ x \$ 2.63 = _____

b. Total revenues received for record reviews = -(_____) ✓

c. Subtract line b from line a and enter total in box at the right. \$

B. Record Challenge

1. Enter the annual number of criminal history challenges. _____ ✓

2. Compute the cost of record challenges. Complete Section 2 of Schedule F and enter the resulting total from column 2, Worksheet F, in the box below OR apply the following formula.

a. Item B.1 above _____ x \$ 21.00 = _____

b. Total revenues received for challenges = -(_____) ✓

c. Subtract line b from line a and enter total in box at the right. \$

C. Appeal Processing

1. Enter the annual number of appeals filed as a result of challenged criminal history information. _____ ✓

2. Compute the cost of appeal processing. Item C.1 above x \$126.00 OR complete Section 3 of Schedule F and enter the resulting total from column 3, Worksheet F, in the box at the right. \$

D. Total Record Challenge and Review Costs. Add the figures in the boxes above. Enter total in box at the right and in item B.5.b, Section I, CAF. \$

**SECTION VII
COSTS FOR PLANNING AND DEVELOPMENT OF LEGISLATION, RULES, POLICIES, STANDARDS, OR METHODS FOR P&S COMPLIANCE**

NOTE: Complete this section to estimate planning costs

OR

complete Schedule G and insert the costs in the boxes below, as directed.

Development Operating

A. Planning Groups. Complete this subsection for each group that is organized specially for planning how the state will comply with P&S regulations. Additional copies of subsection A are provided at the end of this section so that costing can be done separately for each group.

Planning Group Name: _____

Assign an alphabetic identifier to each group (A, B, C, etc.) _____

1. **Appointed Members of Groups** (contractors, consultants, and support staff are covered below). Answer the following questions OR complete Section 1.a, Schedule G, and enter the resulting totals from Worksheet G, in the boxes below.

a. How many members are in the planning group? _____ ✓

b. What is the average adjusted hourly salary/group member? Annual salary ÷ 1784 x 1.119. See notes in Section VIII, Items B.2 and B.3 and in Data Tables. \$ _____ ✓

c. Compute personnel costs for development. Items a x b above x 64. Enter total in box at the right. \$

d. Compute annual operating personnel costs. Item c above x .30. Enter total in box at the right. \$

2. **Support Staff Personnel** (include secretaries, clerks, administrative assistants, etc.). Answer the following questions or complete Section 1.b, Schedule G, and enter the resulting totals from Worksheet G in the boxes below.

a. How many administrative support personnel were hired or transferred from another state office to work as staff for this planning group. (Show fractions if applicable.) _____ ✓

b. What is the average adjusted hourly salary/support staff member? See item B, Section VIII, CAF. \$ _____ ✓

c. Compute support staff personnel costs for development. Items 2.a x 2.b x 1154. Enter total in box at right. \$

d. Compute annual operating support staff personnel costs. Item 2.c x .50. Enter total in box at the right. \$

3. Contractors or Consultants. If contractors or consultants were used to provide assistance to the planning group, enter the total fee paid, including travel, in the boxes below.

a. During the development period.

b. As an ongoing annual expense.

Development	Operating
\$ <input type="text"/> ✓	\$ <input type="text"/> ✓

4. Office and Conference Facilities. Enter the total rental fees paid for office and conference facilities for the planning group OR complete Section 1.d of Schedule G and enter the resulting totals from Worksheet G in the boxes below.

a. Development costs.

b. Annual operating costs.

Development	Operating
\$ <input type="text"/> ✓	\$ <input type="text"/> ✓

5. Travel and Per Diem Costs for Group Members and Support Staff. Answer the following questions OR complete Section 1.e of Schedule G and enter the resulting totals from Worksheet G in the boxes below.

a. How many persons traveled during the development period? _____ ✓

b. What is the average number of trips/person? _____ ✓

c. Total travel costs during development. Items a x b above x \$15. Enter total in box at the right. \$

d. Recurring annual travel costs. Item (c) above x .30. Enter total in box at the right. \$

e. Total per diem costs during development. Items a x b above x \$ 35. Enter total in box at the right. \$

f. Recurring annual per diem costs. Item e above x .30. Enter total in box at the right. \$

6. Office Equipment, Supplies and Services. Answer the following questions OR complete Section 1.f of Schedule G and enter the resulting total from Worksheet G in the boxes below.

a. Development costs. Add the number of group members (item A.1.a) and the number of support staff personnel (item A.2.a), multiply the resulting sum by \$206 and enter the total in the box at the right. \$

b. Operating costs. Item a above x .30 Enter total in box at the right. \$

B. Additional New Hires or Transferees Not Associated with any Planning Group. Include only program development or management personnel not previously reported in Section A above. Do not include operations personnel, such as clerks or auditors.

1. Personnel Costs. Answer the following questions OR complete Section 2.a of Schedule G and enter the resulting totals in the boxes below.

a. What is the total number of new hires or transferees for P&S program development (show fractions, if applicable)? _____ ✓

b. What is the average adjusted annual salary, including fringe, for new hires or transferees? \$ _____ ✓

c. What percentage of the above is chargeable to P&S? _____ % ✓

d. Total new hire or transferee personnel costs for development. Items a x b x c above. Enter total in box at the right. \$

e. Total annual operating costs for new hires or transferees. Item d above x 1.0. Enter total in box at the right. \$

Development	Operating
_____ ✓	_____ ✓
\$ _____ ✓	_____ % ✓
\$ <input type="text"/>	\$ <input type="text"/>

2. Office Facilities for New Hires or Transferees. Complete the following section OR Section 2.b of Schedule G and enter the resulting totals in the boxes below.

a. Cost of facilities leased for new hires or transferees for program development. Item B.1.a above x \$ 960. Enter total in box at the right. \$

b. Cost of facilities leased for new hires or transferees for program operation. Item a above x 1.0. Enter total in box at the right. \$

\$ <input type="text"/>	\$ <input type="text"/>
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3. Travel and Per Diem Costs. Answer the following questions OR complete Section 2.c of Schedule G and enter the resulting totals in the boxes below.

a. What is the average number of persons traveling during the development period? _____ ✓

b. What is the average number of trips/person? _____ ✓

c. Total travel costs during development. Items a x b above x \$ 30. Enter total in box at the right. \$

d. Recurring annual travel costs. Item c above x 1.0. Enter total in box at the right. \$

e. What is the average number of days/trip? _____ ✓

f. Total per diem costs during development. Items a x b x e above x \$ 25. Enter total in box at the right. \$

g. Recurring annual per diem costs. Item f above x 1.0. Enter total in box at the right. \$

_____ ✓	_____ ✓
\$ <input type="text"/>	\$ <input type="text"/>
\$ <input type="text"/>	_____ ✓
\$ <input type="text"/>	\$ <input type="text"/>

4. Office Equipment, Supplies, and Services. Complete the following section OR Section 2.d of Schedule G and enter the resulting totals in the boxes below.

a. Development costs. Number of new hires or transferees (item B.1.a above x \$ 704. Enter the total in box at the right. \$

b. Operating costs. Item a above x .33. Enter total in box at the right. \$

\$ <input type="text"/>	\$ <input type="text"/>
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Development Operating

C. Training Costs (includes costs associated with training local agencies in their responsibilities for complying with P&S regulations).

1. Personnel Costs. Answer the following questions OR complete Section 3.a of Schedule G and enter the resulting totals in the boxes below.

- a. How many employees in state or local agencies received training during the development period? _____ ✓
- b. What is the average adjusted hourly salary/trainee? See item B, Section VIII, CAF. \$ _____ ✓
- c. Personnel training during development. Items a x b above x 4. Enter total in box at the right. \$
- d. Recurring annual personnel training costs. Item c above x .10. Enter total in box at the right. \$

2. Training Facilities. Complete the following section OR Section 3.b of Schedule G and enter the resulting totals in the boxes below.

- a. Cost of training facilities during development period. Item 1.a above x \$ 1.00. Enter total in box at the right. \$
- b. Recurring annual costs for training facilities. Item 2.a above x .10. Enter total in box at the right. \$

3. Travel and Per Diem Costs. Answer the following questions OR complete Section 3.c of Schedule G and enter the resulting totals in the boxes below.

- a. Number of trainees required to travel during development. _____ ✓
- b. Total travel costs during development. Item a above x \$ 4.35. Enter total in box at the right. \$
- c. Recurring annual travel costs. Item b above x .10. Enter total in box at the right. \$
- d. Total per diem costs during development. Item a above x \$ 9.00. Enter total in box at the right. \$
- e. Recurring annual per diem costs. Item d above x .10. Enter total in box at the right. \$

D. Total Planning Costs

- 1. Development Costs. Add the figures in the boxes in the "Development" columns. Enter total in box at the right and in item B.6.a, Section I, CAF. \$
- 2. Annual Operating Costs. Add the figures in the boxes in the "Operating" columns. Enter total in box at the right and in item B.6.b, Section I, CAF. \$

SECTION VIII
FREQUENTLY USED COST FACTORS

A. Purpose

- 1. This section is used for cost computation in both the manual and automated versions of the P&S Cost Analysis Model.
- 2. Complete this section before doing any other parts of the cost model.

B. Personnel Costs

Complete the following chart:

1 Personnel Type	2 Average Hourly Salary Including Fringe (Annual Salary, Including Fringe, ÷ 1784*	3 Nonproductive Time Salary Adjustment (Multiply item 2 by 1.19**OR the factor developed by completing Section 1 of Schedule H)
a. Clerk	✓	
b. Privacy and Security Coordinator/Manager	✓	
c. Student	✓	
d. System Analyst	✓	
e. Programmer	✓	
f. Microfilm Operator	✓	
g. Auditor/Field Representative	✓	
h. Management Analyst	✓	
i. Security Guard	✓	
j. Investigator	✓	
k. Appeal Examiner	✓	
l. Secretary	✓	
m. Administrative Assistant	✓	
n. Clerk Supervisor	✓	
o. Police Officer	✓	

*Assumes: 12 holidays, 15 days of vacation leave, and 10 days of sick leave/year.
**INSLAW's nonproductive time adjustment factor is based on 6.75 hours of productive time/8-hour work day.

C. Computer Processing Costs

Complete the following section OR develop your own costs using the methodology outlined in Section 2 of Schedule H.

1. Report production costs.

a. Enter the annual number of arrests. _____

b. Divide item a by 1,000. _____

c. Select report production cost. Experience in other jurisdictions indicates a range of \$.45 to \$.78 per 1,000 annual arrests. (See Schedule H, Item 2.a for details.) _____

d. Average report production cost. $Items\ a \times b \times c$. Enter result in box to the right. \$ _____ ✓

Average cost per single report =

\$ _____ ✓

2. On-line inquiry cost. INSLAW estimates an average of \$.065 per on-line inquiry. Enter this amount or your own estimate in the box to the right.

Average cost per on-line inquiry =

\$ _____ ✓

3. CPU (Central Processing Unit) cost. Experience indicates the following CPU cost/hour. Select the cost that most nearly reflects the size of your system or enter the actual cost, if known.

CPU Cost/Hour	Small System	\$200/hour
	Medium System	\$500/hour
	Large System	\$800/hour

Average cost per CPU hour =

\$ _____ ✓

D. Office Equipment

Select an average office equipment cost/person from the following chart or complete Section 3 of Schedule H.

1 Personnel Type	2 Equipment Cost Ranges	3 Average Cost/ Personnel Type	4 Review the figures in column 3 and estimate the overall average cost for office equipment/person. Enter figure in the box below
Manager	\$ 650 - \$ 1,800	\$1,000	
Admin. Ass't.	\$ 400 - \$ 750	\$ 550	
Secretary	\$ 1,050 - \$ 1,600	\$1,300	
Clerk	\$ 150 - \$ 1,350	\$ 250	

Average cost per person =

\$ _____ ✓

E. Office Supplies

A study of the budgets of Central State Repositories (CSR) revealed that office supplies can cost an average of \$224 per person. Enter this figure in the box to the right OR complete Section 4 of Schedule H.

Average cost per person per year =

\$ _____ ✓

F. Office and Conference Facilities

1. Office Space

A study of space costs in several states revealed an average cost of \$980 per person per year. Enter this figure in the box to the right OR complete Section 5 of Schedule H.

Average cost per person per year =

\$ _____ ✓

2. Conference Facilities

Experience in other jurisdictions shows fees paid for conference facilities range between \$35 and \$50 per day, with an average of \$43 per day. Enter this amount in the box to the right OR select your own value.

Average cost per day =

\$ _____ ✓

G. Photocopy Costs

A study of photocopiers revealed an average cost of \$.035 per copy, based on a copier with a rated speed of 3,000 copies per hour. Enter this figure in the box to the right OR complete Section 6, Schedule H.

Average cost per copy =

\$ _____ ✓

H. Forms Costs

Costs for producing forms depend on a number of factors such as quantity produced and type of construction. An analysis of current production costs revealed the following forms costs.

Single page, one-sided form	\$.036
Single page, two-sided form	.065
Multicopy carbon interleaved form	.074
Overall average	.058
Envelopes	.005

You may use the above estimates or refer to a more detailed chart in Section 7 of Schedule H.

I. Per Diem

Per diem rates also vary widely from state to state. The federal government rate is \$35 per day for most locales. You may use this rate in computing per diem costs when overnight lodgings are included. If the per diem expense covers only meals, it should not exceed \$14 per day. If these rates are too low or too high for your state, you should adjust them accordingly.

**SCHEDULE B
DISPOSITION DATA REPORTING AND RECORDING COSTS***

1. Reporting Final Disposition Data by State and Local Agencies

Development Operating

a. Clerical Costs

- (1) Enter the number of arrests currently reported to the Central State Repository (CSR) by state and local agencies annually. _____ ✓
- (2) Enter the number of final dispositions reported annually to the CSR prior to the implementation of the Privacy and Security (P&S) regulations. _____ ✓
- (3) Compute the incremental increase in the annual number of dispositions reported to the CSR by all agencies as a result of the P&S regulations. Subtract item (2) from item (1) and enter the result in the space to the right. _____
- (4) Approximately how many minutes does it take a clerk to prepare a form or make a computer entry reporting a criminal history disposition? (Experience in other jurisdictions indicates a range between 2 minutes and 11 minutes.) _____ ✓
- (5) Compute the estimated total number of clerical person-hours required statewide by all agencies to report criminal history dispositions. Items (3) x (4) above ÷ 60. _____
- (6) Enter the average adjusted hourly salary of a clerk from item B.3.a, Section VIII, CAF. \$ _____
- (7) Compute the annual clerical cost to all agencies for disposition reporting. Items (5) x (6) above. \$

b. Machine-readable Tape Costs

If disposition data are being reported to the CSR on magnetic tape, answer the following questions:

- (1) Approximately how many tapes required annually for disposition reporting are chargeable to P&S? _____ ✓
- (2) Estimate the average cost/tape using the table below.

Tape Length	Cost/Tape
600 feet	\$ 8.00
1200 feet	\$ 10.00
2400 feet	\$ 15.00

- (3) Compute the total cost for tapes. Items (1) x (2) above. \$

*As noted in Section II, this Schedule assumes one (final) disposition per arrest. If the jurisdiction desires to cost interim and final dispositions, appropriate adjustments will be required.

c. Data Entry Equipment Costs

- (1) What special types of data entry equipment are used by state and local agencies to report dispositions? (Include only equipment purchased or leased solely for P&S compliance.)

(a) - Equipment Type	Leased Equipment			Purchased Equipment			(h) Annual Maintenance Cost/Unit Purchased ✓	(i) Annual Maintenance Cost, All Units (e) x (h)
	(b) Quantity Leased ✓	(c) Annual Rental/Unit ✓	(d) Total Lease Cost (b) x (c)	(e) Quantity Purchased ✓	(f) Purchase Price/Unit ✓	(g) Total Purchase Cost (e) x (f)		
Key to Disk								
Key to Tape								
Key to Disk to Tape								
Keypunch								
Other (Name) ✓								

- (2) Total annual rental fees. Add figures in column (d). _____
- (3) Total cost of purchased equipment. Add figures in column (g). \$
- (4) Total annual maintenance cost. Add figures in column (i). \$ _____
- (5) Total annual data entry equipment cost. Items (2) + (4) above. \$

d. Forms Costs

- (1) What is the estimated cost per copy for the disposition report form? See item B, Section VIII, CAF. \$ _____ ✓
- (2) Compute the total cost to all agencies for disposition report forms chargeable to P&S. Items 1.a(3) x d(1) above. \$

e. Total Final Disposition Reporting Costs

Add boxes 1.a(7), b(3), c(5) and d(2) above. Enter total in box at the right and in item A.7, Section II, CAF. \$

Development Operating

Development Operating

2. Recording Final Disposition Data at the CSR

a. What type(s) of system(s) are used by your state for recording criminal history case disposition data? *Check all that apply.* ✓

- Manual forms. *Answer only question b below.*
- Computer-generated input medium. *Answer only question c below.*
- On-line terminal data entry to CSR data base. *Answer only question c below.*

b. Manual Data Recording Costs

Fill in the chart below to derive clerical and forms costs for recording data on manual forms. NOTE: Number may not exceed incremental increase reported by all agencies in item 1.a(3) above.

(1) Activity	(2) Average No. of Mins. Required ✓	(3) No. of Such Actions Annually ✓	(4) Annual Clerical Time (2) x (3)	(5) Forms Cost/Single Activity* ✓	(6) Annual Forms Cost (3) x (5)
Receive, Open and Route Dispo. Report Form					
Sight Verification of Data					
Pull Case Jacket, Enter Dispo. Data, Refile					
Other (Name) ✓					

*Enter cost, if known, or refer to item H, Section VIII, CAF.

Development Operating

- (7) Total clerical hours required. *Add numbers in column (4) and divide total by 60.*
- (8) Enter the average adjusted hourly salary of a clerk. *Same as item 1.a(6) above.*
- (9) Compute the total clerical cost for recording disposition data. *Multiply items (7) x (8) above.*
- (10) Total annual forms cost chargeable to P&S. *Add numbers in column (6).*
- (11) Total manual system recording costs. *Add items (9) and (10) above. Enter total in box at right and in item B.3.a, Section II, CAF.*

	_____ ✓
	\$ _____
	\$ _____
	\$ _____
	\$ _____

c. Automated System Data Recording Costs

(1) Clerical and Forms Costs. Fill in the chart below to derive clerical and forms costs associated with entering disposition data into an automated system.

(a) Activity	(b) Average No. of Mins. Required ✓	(c) No. of Such Actions Annually ✓	(d) Annual Clerical Time (b) x (c)	(e) Forms Cost/Single Activity ✓	(f) Annual Forms Cost (c) x (e)
Receive, Open & Route Dispo. Report Form	[2]*				
Sight Verification of Data	[2]				
Create Computer Code Sheet	[2]				
Sight Verification of Code Sheet	[2]				
Keystroke Data into System	[3]				

*Numbers in brackets are values for use in lieu of local estimates.

Development Operating

- (g) Total clerical hours required. *Add numbers in column (d) and divide by 60.*
- (h) Enter the average adjusted hourly salary of a clerk. *Same as item 2.b(8) above.*
- (i) Compute the total clerical costs for recording disposition data in an automated system. *Items (g) x (h) above.*
- (j) Total annual forms cost. *Add figures in column (f).*

	\$ _____
	\$ _____
	\$ _____

(2) Computer Costs

- (a) Enter the annual number of dispositions entered into the CSR computer that are chargeable to P&S.
- (b) Enter the average cost/on-line inquiry (input transaction) from item C.2, Section VIII, CAF.
- (c) If data are entered into the CSR computer directly from agency magnetic tapes, approximately how many CPU hours are required annually for processing?
- (d) Enter the cost of a CPU hour from item C.3, Section VIII, CAF.

	_____ ✓
	\$ _____
	_____ ✓
	\$ _____

(e) How many computer-generated reports resulting solely from the P&S program relate to the recording of criminal history data? Fill in the chart below.

Name of Report	Quantity Produced Annually
Missing or Incomplete Data	✓
Delinquent Disposition	✓
Printout of Transactions Recorded	✓
Requests for Delinquent Dispo. Data	✓
Other (Name) ✓	✓

Development Operating

- (f) Total number of computer-generated reports. Add the figures in the "Quantity Produced Annually" column above. _____
- (g) Enter the cost of a computer-generated report from item C.1, Section VIII, CAF. \$ _____ ✓
- (h) Compute the total cost for computer-generated reports. Multiply items (f) x (g) above. \$ _____
- (i) Total computer processing costs. Items [(a) x (b)] + [(c) x (d)] + (h) above. \$ _____
- (3) Total Automated System Data Recording Costs. Add boxes (1)(i) + (1)(j) + (2)(i) above. Enter total in box at the right and in item B.3.b, Section II, CAF. \$ _____

3. Delinquent Disposition Monitoring

a. Indicate below the methods used to check with state and local agencies on delinquent dispositions.

(1) Check (✓) Method(s) Utilized	(2) Method	(3) Annual Number	(4) Average Cost Each (Excluding Labor)	(5) % Chargeable to P&S	(6) Total Annual P&S Cost/Method (3) x (4) x (5)
	Telephone Calls	✓	✓	✓	
	Teletype				
	Telegraph				
	Form Letters				
	Individually Written Letters				
	CSR Personnel Sent to Field	NOTE: If this method is used, answer subsection 3.b below.			

Development Operating

- (7) Compute the total cost (less labor) for delinquent disposition tracers. Add the numbers in column (6) above. \$ _____
- (8) Approximately how many clerks are responsible for preparing requests for delinquent disposition information? _____ ✓
- (9) What is the average number of hours/year a clerk spends preparing requests for delinquent disposition information? _____ ✓
- (10) Enter the average adjusted hourly salary of a clerk. Same as item 2.c(1)(h) above. \$ _____
- (11) Compute the total annual clerical cost for preparing requests for delinquent disposition information. Multiply items (8) x (9) x (10) above. \$ _____
- (12) Compute total cost of notifying agencies about delinquent dispositions. Add items (7) and (11) above. \$ _____
- b. CSR Personnel Sent to Field
- If CSR personnel are sent to the field to gather delinquent disposition information, supply the following information:
- (1) Estimated number of trips/year. _____ ✓
- (2) Average travel cost/trip. (Experience shows range between \$13 and \$140.) \$ _____ ✓
- (3) Average number of days/trip. _____ ✓
- (4) Average per diem rate. (Experience shows range between \$14 (meals only) and \$35.) \$ _____ ✓
- (5) Total travel cost. Items (1) x (2) above. \$ _____
- (6) Total per diem cost. Items (1) x (3) x (4) above. \$ _____
- (7) Indicate on the chart below the types of CSR personnel sent to the field:

(a) Personnel Type	(b) Average No. of Trips/Year	(c) Average No. of Working Hours/ Person/Trip (Including Travel Time)	(d) % of Time Chargeable to P&S	(e) Enter Avg. Adj. Hourly Salary from Section VIII, CAF, item B.3	(f) Total Cost/ Personnel Type (b) x (c) x (d) x (e)
Auditor					
Clerk					
Clerk Supervisor					
Police Officer					
Other (Name) ✓				✓	

- (g) Compute the total salary costs for CSR personnel sent to the field. Add the numbers in column (f) above. \$ _____

(8) Total cost for personnel sent to field. Add boxes (5) + (6) + (7)(g) above.

Development Operating

\$

c. Total Delinquent Disposition Monitoring Costs

Add boxes a(12) + b(8) above. Enter total in box at the right and in item C.2, Section II, CAF.

\$

4. Software Modifications

a. What software developments or modifications to the data disposition recording process were required solely because of P&S requirements? DO NOT include developments or modifications due to other programs such as OBTS/CCH, SJIS, etc. An example of an item to include is programming an information system to produce a disposition tape in a format readable by the CSR computer.

(1) Type of Software Modification or Development	(2) Enter Number of Programmer Person-hours Required, ✓	(3) Enter Number of System Analyst Person-hours Required, ✓
Request for Delinquent Disposition		
Disposition Due Date Tickler File		
Incomplete or Missing Data Report		
Other (Name) ✓		

(4) Total programmer person-hours. Add numbers in column (2) above. _____

(5) Total system analyst person-hours. Add numbers in column (3) above. _____

(6) Enter the average adjusted hourly salary for a programmer from item B.3.e, Section VIII, CAF. \$ _____

(7) Enter the average adjusted hourly salary for a system analyst from item B.3.d, Section VIII, CAF. \$ _____

(8) Approximately how many hours of programmer time will be required annually to maintain the above software developments? _____ ✓

(9) Approximately how many hours of system analyst time will be required annually to maintain the above software developments? _____ ✓

Development Operating

(10) Compute the total programmer software development costs. Items (4) x (6) above. \$ _____

(11) Compute the total system analyst software development costs. Items (5) x (7) above. \$ _____

(12) Total personnel costs for software development. Add items (10) + (11) above. \$

(13) Compute the total programmer annual software maintenance cost. Items (6) x (8) above. \$ _____

(14) Compute the total system analyst annual software maintenance cost. Items (7) x (9) above. \$ _____

(15) Compute total annual personnel costs for software maintenance. Add items (13) + (14) above. \$

b. Computer Processing Costs

(1) Approximately how many hours of CPU time were required to develop the above software modifications? _____ ✓

(2) Approximately how many hours of CPU time will be required annually to maintain the above software modifications? _____ ✓

(3) Enter the total cost of an hour of CPU processing time from item C.3, Section VIII, CAF. \$ _____

(4) Compute the CPU cost for developing the above software modifications. Multiply items (1) x (3) above. \$

(5) Compute the annual CPU cost for the maintenance of the above software modifications. Multiply items (2) x (3) above. \$

c. Total Software Modification Costs

(1) Total development costs. Add boxes a(12) + b(4) above. Enter total in box at the right and in item D.1, Section II, CAF. \$

(2) Total annual operating costs. Add boxes a(15) + b(5) above. Enter total in box at the right and in item D.2, Section II, CAF. \$

5. Microfilm Costs

a. Is microfilm used as a medium for storing case disposition source documents at the CSR? _____ ✓

Yes No

If yes, answer the following questions:

b. Supplies and Processing Costs

(1) What is the estimated number of defendant records microfilmed/year (assumes 3 images per second)? _____ ✓

(2) Use the chart below to derive an average cost/record (3 images per second) for microfilming or enter your own estimates, if known.

Development Operating

Microfilming Process	Cost or Cost Range/Record
Roll Microfilm	\$ 0.003 - \$ 0.004
Microfiche	\$ 0.458
Microfilm Jacket	\$ 0.08 - \$ 0.10

NOTE: The above costs are for supplies and processing only. Labor costs are not included.

(3) Compute total microfilming costs (less CSR labor). Multiply item (1) x (2) above.

\$ _____ ✓
\$ _____

c. Equipment Costs

(1) Fill in the chart below to derive the cost of equipment used to microfilm case disposition source documents. Include only equipment purchased or leased for P&S compliance.

(a) Equipment Type (Specify) ✓	Leased Equipment			Purchased Equipment			(h) Annual Maintenance Cost/Unit Purchased ✓	(i) Annual Maintenance Cost All Units (e) x (h)
	(b) Quantity Leased ✓	(c) Annual Rental/Unit ✓	(d) Total Lease Cost (b) x (c)	(e) Quantity Purchased ✓	(f) Purchase Price/Unit ✓	(g) Total Purchase Cost (e) x (f)		

(2) Total annual rental fees. Add figures in column (d). \$ _____

(3) Total cost of purchased equipment. Add figures in column (g). \$ _____

(4) What percentage of the above is chargeable to P&S? _____ % ✓

(5) Total annual maintenance cost. Add figures in column (i). \$ _____

(6) Total microfilm equipment development cost. Items (3) x (4). Enter total in box at the right and in item E.1, Section II, CAF. \$ _____

(7) Total annual microfilm equipment cost. Items (2) + (5) above. \$ _____

d. Labor Costs

(1) How many hours of microfilm operator labor are spent on filming disposition records? _____ ✓

(2) What percentage of the above is chargeable to P&S? _____ % ✓

(3) Enter the average adjusted hourly salary of a microfilm operator from item B.3.f, Section VIII, CAF. \$ _____

(4) Compute the total labor cost chargeable to P&S. Items (1) x (2) x (3). \$ _____

e. Total Microfilm Operating Costs. Compute the total microfilm cost for supplies, leased equipment, and labor. Add boxes b(3), c(7) and d(4). Enter total in box at the right and in item E.2, Section II, CAF. \$ _____

**SCHEDULE C
DISSEMINATION COSTS**

1. What type of system(s) is/are used by the state to disseminate criminal history record information? ✓

Total manual system. Complete only sections 2.a, 2.b, and 2.e below.

Total automated system. Complete sections 2 through 4 below.

Both manual and automated systems. Complete sections 2 through 4 below.

2. **Dissemination Processing**

a. Clerical labor. How much CSR clerical labor is necessary to accomplish the following new or additional dissemination-related tasks required by P&S regulations?

(1) Action	(2) Annual Number ✓	(3) Minutes Required for Each Action ✓	(4) Total Time/Action Chargeable to P&S (2) x (3)
(a) Check Index of Authorized Dissemines (criminal justice or noncriminal justice agencies)		[1]*	
(b) Recheck Index of Authorized Dissemines (criminal justice or non-criminal justice agencies)		[1]	
(c) Produce Access Denial Notices to Unauthorized Persons or Agencies		[2]	
(d) Classify FP Cards		[7.5]	
(e) Pull Person's File or Make Computer Inquiry		[3.5]	
(f) Make Copy of Record		[1]	
(g) Delete Incomplete Data		[2]	
(h) Type Edited Rap Sheet		[5]	
(i) Record Dissemination in Jacket or Log		[2]	
(j) Prepare Record for Mailing		[3]	
(k) Other (Name)			

*Numbers in brackets are values for use in lieu of local estimates.

Development Operating

(5) Total clerical time chargeable to P&S. Add figures in column (4). _____

- (6) Total hours of clerical time. Divide item (5) above by 60.
- (7) Enter the average adjusted hourly salary of a clerk from item B.3.a, Section VIII, CAF.
- (8) Compute the total clerical costs. Items (6) x (7) above. Enter total in box at the right.

<u>Development</u>	<u>Operating</u>
_____	_____
\$ _____	\$ _____

b. Forms, Postage, and Photocopy Costs. Indicate the new or additional forms, postage, and photocopy costs associated with disseminations required by P&S regulations.

(1) Action	(2) Annual Number	(3) Forms & Envelope Cost/Unit (See item H, Section VIII, CAF)	(4) Postage Costs	(5) Photocopy Costs/Unit (See item G, Section VIII, CAF)	(6) Forms & Envelope Costs Chargeable to P&S (2) x (3)	(7) Postage Costs Chargeable to P&S (2) x (4)	(8) Photocopy Costs Chargeable to P&S (2) x (5)
Production of Access Denial Notices							
Make Copy of Record							
Dissemination Logging							
Transmittal of Record							

- (9) Total dissemination forms and envelope costs chargeable to P&S. Add figures in column (6) above and enter total in box at the right.
- (10) Total dissemination postage costs chargeable to P&S. Add figures in column (7) above and enter total in box at the right.
- (11) Total dissemination photocopy costs chargeable to P&S. Add figures in column (8) above and enter total in box at the right.

\$ _____
\$ _____
\$ _____

c. Data Storage Costs

- (1) Use the table below to derive the cost of storage on tape or disk for each dissemination logged OR enter the actual cost per transaction, if known.

System Size	Cost per Transaction
	On Disk
Small	.028
Medium	.011
Large	.008

NOTE: Above costs include expenditures for both tape or disk and drive cost.

\$ _____ ✓

- (2) Enter the annual number of disseminations chargeable to P&S.
- (3) Compute the total annual logging cost. Items (1) x (2) above.

<u>Development</u>	<u>Operating</u>
_____ ✓	_____ ✓
\$ _____	\$ _____

d. Criminal History Record Production Costs

Furnish the following data pertaining to on-line dissemination systems that are related solely to P&S costs.

- (1) Estimated annual number of terminal inquiries received and processed.
- (2) Estimated annual number of "No Record" printouts produced.
- (3) Estimated annual number of "Rap Sheet" printouts produced.
- (4) Total estimated annual number of dissemination printouts. Items (b) + (c).
- (5) Enter the cost of an on-line inquiry from item C.2, Section VIII, CAF.
- (6) Enter the cost of a printout from item C.1, Section VIII, CAF.
- (7) Compute the cost of on-line disseminations. Items (1) x (5) + (4) x (6) above. Enter total in box at the right.

_____ ✓
_____ ✓
_____ ✓

\$ _____
\$ _____ ✓
\$ _____

e. Total Dissemination Processing Costs

Add boxes a(8) + b(9) + b(10) + b(11) + c(3) + d(7) above. Enter the total in the box at the right and in item D.3, Section III, CAF.

\$ _____

3. Terminal and Line Costs

- a. Terminal Costs. Furnish the following data on additional terminals, terminal printers, or other communications equipment that was procured for the CSR directly as a result of P&S regulations.

(1) Equipment Type	(2) Number Purchased	(3) Average Cost/Unit	(4) Annual Maintenance Cost/Purchased Unit	(5) Number Leased	(6) Average Annual Rental/Leased Unit	(7) Development Cost by Equipment Type (2) x (3)	(8) Annual Operating Cost (2) x (4) + (5) x (6)
Terminals							
Terminal Printers							
Teletypes							
Facsimile Transmission Devices							
Other (Name) ✓							

- (9) Total development costs for communications equipment for disseminations. Add numbers in column (7) and enter total in box at the right.

\$ _____

Development Operating

(10) Total annual operating costs for communications equipment for disseminations. Add numbers in column (8) and enter total in box at the right.

\$

b. Additional Line Costs. Supply the following information pertaining to communications lines for computer terminals, terminal printers, teletype, or other communications devices installed solely as a result of P&S regulations.

(1) Annual Operating Cost

- (a) What is the monthly lease cost for the computer communications controller? \$ _____ ✓
- (b) What is the monthly maintenance cost for the computer communications controller? \$ _____ ✓
- (c) Compute the total monthly lease cost for the controller. Items (a) + (b). \$ _____
- (d) What is the telephone company line cost per mile per month? Experience shows an average cost of about \$7.00. \$ _____ ✓
- (e) What is the average monthly lease cost/communications modem/drop point? Experience shows an average cost of about \$25.00. \$ _____ ✓
- (f) Use the table below to derive the cost of each additional communications circuit required by P&S.

Additional Circuit Number	[1] Length in Miles	[2] Cost/Mile/Month item (d)	[3] Items [1] x [2]	[4] Number of Drop Points	[5] Modem Cost/Drop Point item (e)	[6] Monthly Controller Lease Cost item (c)	[7] Items [5] + [6] x [4]	[8] Total Monthly Cost/Circuit, (items [3] + [7])
1								
2								
3								
4								
5								

- (g) Compute the total monthly cost for all circuits. Add the totals in column [8]. \$ _____
- (h) Compute the total annual operating cost for all lines. Multiply the total monthly cost [item (g) above] by 12 and enter total in box at the right. \$

(2) One-time Installation Costs

- (a) What is the average cost per drop point to install a communications modem? Default value: \$50.00. \$ _____ ✓

Development Operating

(b) What is the total number of drop points for all additional circuits required by P&S? Add numbers in column (f)[4] above.

(c) Compute the total installation costs. Multiply (a) x (b) above and enter total in box at the right.

\$

c. Encryption Costs

(1) Have encryption devices been installed in your system as a result of P&S regulations to safeguard against unauthorized tapping into communications circuits? ✓

No Yes If yes, answer questions 2(a) through 2(g).

(2) Supply the following data on any encryption devices used.

- (a) Number of devices rented. _____ ✓
- (b) Average annual rental fee per device. Default value: \$2,240, based on Data Tech Model DS-138 on a five-year lease purchase. \$ _____ ✓
- (c) Number of devices purchased. _____ ✓
- (d) Average purchase price/unit. Default value: \$7,000, based on Data Tech Model DS-138. \$ _____ ✓
- (e) Average annual maintenance cost/unit. \$ _____ ✓
- (f) Total development cost. Items (c) x (d). \$
- (g) Total operating cost for encryption devices. Items (a) x (b) + (c) x (e). \$

d. Total Terminal and Line Costs

(1) Compute annual development costs. Add items a(2) + b(2)(c) + c(2)(f) above. Enter total in box at the right and in item E.1, Section III, CAF. \$

(2) Compute annual operating cost. Add items a(10) + b(1)(h) + c(2)(g) above. Enter total in box at the right and in item E.2, Section III, CAF. \$

4. Software Development and Maintenance

What software developments were required to the dissemination processing system solely because of P&S regulations? Do not include developments or modifications due to other programs, such as OBTS/CCH, SJIS, etc.

a. Personnel Time

(1) Type of Software Modification or Development	(2) No. of Programmer Person-hours Required	(3) No. of System Analyst Person- hours Required
(a) Develop User Code Recognition		
(b) Record Unauthorized Access Attempts		
(c) Develop "No Record" Message		
(d) Record Dissemination		
(e) Other (Name) ✓		

- | | Development | Operating |
|--|-------------|-----------|
| (4) Total programmer development person-hours. <i>Ad. figures in column (2) above.</i> | _____ | _____ |
| (5) Total system analyst development person-hours. <i>Add figures in column (3) above.</i> | _____ | _____ |
| (6) How many hours of programmer time are needed annually to maintain dissemination software? | _____ | _____ ✓ |
| (7) How many hours of system analyst time are needed annually to maintain the dissemination software? | _____ | _____ ✓ |
| (8) Enter the average adjusted hourly salary of a programmer from item B.3.e, Section VIII, CAF. | \$ _____ | \$ _____ |
| (9) Enter the average adjusted hourly salary of a system analyst from item B.3.d, Section VIII, CAF. | \$ _____ | \$ _____ |
| (10) Compute the total programmer personnel cost for dissemination software development. <i>Items (4) x (8) above.</i> | \$ _____ | _____ |
| (11) Compute the total programmer personnel cost to maintain the dissemination software. <i>Items (6) x (8) above.</i> | _____ | \$ _____ |
| (12) Compute total system analyst personnel cost for dissemination software development. <i>Items (5) x (9) above.</i> | \$ _____ | _____ |
| (13) Compute the total system analyst personnel cost to maintain the dissemination software. <i>Items (7) x (9) above.</i> | _____ | \$ _____ |

b. Computer Time

- (1) Approximately how many CPU test hours were required during the development of software to provide dissemination logging? _____ ✓
- (2) Approximately how many hours of CPU time will be required each year to maintain the dissemination software? _____ ✓
- (3) Enter the cost of a CPU hour from item C.3, Section VIII, CAF. \$ _____
- (4) Compute the estimated cost of computer time for dissemination software development. *Items (1) x (3) above.* \$ _____
- (5) Compute the estimated cost of computer time for dissemination software maintenance. *Items (2) x (3) above.* \$ _____

c. Total Software Development Costs

- (1) Compute the total software development costs. *Add items a(10) + a(12) + b(4). Enter total in box at right and in item F.1, Section III, CAF.* \$ _____
- (2) Compute the total annual cost of dissemination software maintenance. *Add items a(11) + a(13) + b(5). Enter total in box at the right and in item F.2, Section III, CAF.* \$ _____

5. Dissemination Revenue

- a. Indicate the annual number of disseminations for which a fee is charged. _____ ✓
- b. Enter the fee charged for each dissemination. \$ _____ ✓
- c. Compute total annual dissemination revenues. *Items a x b above. Enter total in box at the right and in item G.3, Section III, CAF.* \$ _____

Development Operating

**SCHEDULE D
COST OF AUDITING FOR COMPLIANCE**

1. What types of audits of state and local agencies are conducted by the CSR? ✓
- Full audit to include checking a sample of disposition audit trails. *Complete only sections 2, 4 and 5.*
- Procedural audit to include examining general agency compliance with P&S regulations. *Complete only sections 3 through 5.*

2. Full Audit

- a. How are data selected for auditing? ✓
- Computer-generated random sample. *Complete sections b and d through f below.*
- Manually selected random sample. *Complete sections c through f below.*

b. Computer-generated Criminal History Data for Auditing

(1) Computer Processing

- (a) What is the total number of computer-generated samples of data produced annually? _____ ✓
- (b) Enter the average cost of a computer-generated report from item C.1, Section VIII, CAF. \$ _____ ✓
- (c) Compute the cost of computer-generated listings. *Items (a) x (b) above. Enter total in box at the right and in item 1.a, Worksheet D, p. D-8.* \$ []

(2) Photocopies

- (a) How many photocopies (xerox copies) are made of item (1)(a) above annually? _____ ✓
- (b) Enter the estimated photocopy cost/page from item G, Section VIII, CAF. \$ _____ ✓
- (c) Compute the total cost of photocopies of computer-generated listings. *Items (1)(a) x (2)(a) x (2)(b) above. Enter total in box at the right and in item 1.b, Worksheet D.* \$ []

(3) Clerical Costs

- (a) How many person-hours are required to photocopy each sample listing? _____ ✓
- (b) Enter the average adjusted hourly salary of a clerk from item B.3.a, Section VIII, CAF. \$ _____
- (c) Compute the annual clerical cost of making photocopies. *Item (1)(a) x (2)(a) x (3)(a) x (3)(b) above. Enter total in box at the right and in item 1.c (1), Worksheet D.* \$ []

c. Manually Generated Samples

(1) Fill in the chart below to derive the amount of clerical labor necessary to prepare and process random samples of criminal history data.

(a) Clerical Activity	(b) No. of Such Actions Annually	(c) Person-hours Required/Individual Activity	(d) Average No. of Photocopied Pages/Individual Activity	(e) Total Annual Person-hours Required (b) x (c)	(f) Total Annual No. of Photocopies (b) x (d)
Compiling Individual Random Sample					
Other (Name)					

Development Operating

(g) Total person-hours of clerical labor required. *Add figures in column (e) above.* _____

(h) Enter the average adjusted hourly salary of a clerk. *Same as item 2.b(3)(b) above.* \$ _____

(i) Compute total annual clerical cost of manually generated data samples. *Items (g) x (h) above. Enter total in box at the right and in item 1.c(2), Worksheet D.* \$ []

(2) Photocopies

(a) Enter the estimated photocopy cost/page. *Same as item 2.b(2)(b) above.* \$ _____ ✓

(b) Compute the annual photocopy costs for all individual random samples. *Add figures in column (1)(f) above and multiply sum by item (2)(a) above. Enter total in box at the right and in item 1.b, Worksheet D.* \$ []

d. Audit Personnel Time

(1) What is the average number of auditors sent to a local agency to conduct a full audit? _____ ✓

(2) What is the average number of hours/auditor (including travel time) required to conduct a full audit? _____ ✓

(3) How many agencies receive a full audit each year? _____ ✓

(4) How many person-hours are spent annually conducting audits? *Items (1) x (2) x (3) above.* _____

(5) Enter the average adjusted hourly salary of an auditor from item B.3.a, Section VIII, CAF. \$ _____

(6) Compute the annual auditor personnel costs. *Items (4) x (5) above. Enter total in box at the right and in item 1.d(1), Worksheet D.* \$ []

e. Audit Travel and Per Diem Costs

- | | <u>Development</u> | <u>Operating</u> |
|---|-------------------------|------------------|
| (1) How many auditors travel annually? | _____ | ✓ |
| (2) What is the average number of trips/auditor/year? | _____ | ✓ |
| (3) What is the average travel cost/trip/auditor? Experience shows range between \$13 and \$140. | \$ _____ | ✓ |
| (4) What is the average number of days/trip/auditor? | _____ | ✓ |
| (5) What is the average per diem rate? Experience shows range between \$14 (meals only) and \$35. | \$ _____ | ✓ |
| (6) What is the total annual travel cost? Items (1) x (2) x (3) above. Enter total in box at the right and in item 1.e, Worksheet D. | \$ <input type="text"/> | |
| (7) What is the total annual per diem cost for auditors? Items (1) x (2) x (4) x (5) above. Enter total in box at the right and in item 1.f, Worksheet D. | \$ <input type="text"/> | |

f. Report of Audit Findings

- | | | |
|---|-------------------------|---|
| (1) How many full audit reports are prepared annually? | _____ | ✓ |
| (2) How many secretarial person-hours are required for each report? | _____ | ✓ |
| (3) How many auditor person-hours are required for each report? | _____ | ✓ |
| (4) Compute the total number of secretarial person-hours required annually for preparing audit reports. Items (1) x (2) above. | _____ | |
| (5) Enter the average adjusted hourly salary of a secretary from item B.3.1, Section VIII, CAF. | \$ _____ | |
| (6) Compute the annual secretarial costs. Items (4) x (5) above. Enter total in box at the right and in item 1.g, Worksheet D. | \$ <input type="text"/> | |
| (7) Compute the total number of auditor person-hours required annually for preparing audit reports. Items (1) x (3) above. | _____ | |
| (8) Enter the average adjusted hourly salary of an auditor. Same as item 2.d(5) above. | \$ _____ | |
| (9) Compute the annual auditor costs for preparing reports. Items (7) x (8) above. Enter the total in box at the right and in item 1.d(2), Worksheet D. | \$ <input type="text"/> | |

3. Procedural Audit

a. Audit Personnel Time

- | | | |
|---|-------|---|
| (1) What is the average number of auditors sent to a local agency to conduct a procedural audit? | _____ | ✓ |
| (2) What is the average number of hours/auditor (including travel time) required to conduct a procedural audit? | _____ | ✓ |
| (3) What is the average annual number of procedural audits? | _____ | ✓ |

Development Operating

- | | | |
|---|-------------------------|--|
| (4) How many person-hours are spent annually conducting audits? Items (1) x (2) x (3) above. | _____ | |
| (5) Enter the average adjusted hourly salary of an auditor. Same as item 2.f(8) above. | \$ _____ | |
| (6) Compute the total annual auditor personnel costs. Items (4) x (5) above. Enter total in box at the right and in item 2.d(1), Worksheet D. | \$ <input type="text"/> | |

b. Audit Travel and Per Diem Costs

- | | | |
|---|-------------------------|---|
| (1) How many auditors travel annually? | _____ | ✓ |
| (2) What is the average number of trips/auditor/year? | _____ | ✓ |
| (3) What is the average travel cost/trip/auditor? Experience shows range between \$13 and \$140. | \$ _____ | ✓ |
| (4) What is the average number of days/trip/auditor? | _____ | ✓ |
| (5) What is the average per diem rate? Experience shows range between \$14 (meals only) and \$35. | \$ _____ | |
| (6) What is the total annual travel cost? Items (1) x (2) x (3) above. Enter total in box at the right and in item 2.e, Worksheet D. | \$ <input type="text"/> | |
| (7) What is the total annual per diem cost for auditors? Items (1) x (2) x (4) x (5) above. Enter total in box at the right and in item 2.f, Worksheet D. | \$ <input type="text"/> | |

c. Report of Audit Findings

- | | | |
|---|-------------------------|---|
| (1) How many procedural audit reports are prepared annually? | _____ | ✓ |
| (2) How many secretarial person-hours are required for each report? | _____ | ✓ |
| (3) How many auditor person-hours are required for each report? | _____ | ✓ |
| (4) Compute the total number of clerical person-hours required annually for preparing audit reports. Items (1) x (2) above. | _____ | |
| (5) Enter the average adjusted hourly salary of a secretary. Same as item 2.f(5) above. | \$ _____ | |
| (6) Compute the annual secretarial costs. Items (4) x (5) above. Enter the total in box at the right and in item 2.g, Worksheet D. | \$ <input type="text"/> | |
| (7) Compute the total number of auditor person-hours required annually for preparing audit reports. Items (1) x (3) above. | _____ | |
| (8) Enter the average adjusted hourly salary of an auditor. Same as item 3.a(5) above. | \$ _____ | |
| (9) Compute the annual auditor costs for preparing reports. Items (7) x (8) above. Enter the total in box at the right and in item 2.d(2), Worksheet D. | \$ <input type="text"/> | |

4. Developing and Maintaining Audit Guidelines

a. Personnel Costs

(1) On the chart below, indicate the approximate number of person-hours required to develop audit guidelines.

(a) Personnel Type	(b) Number of Hours Required	(c) Average Adjusted Hourly Salary from item B.3, Section VIII, CAF	(d) Total Cost (b) x (c)	(e) Enter Totals to the Left [Column (d)] on Worksheet D, in the Spaces Indicated
Auditor				3.d
Management Analyst				3.h
System Analyst				3.i
Secretary				3.g
Other (Name) ✓				3.m

(2) On the chart below, indicate the approximate number of person-hours required to maintain audit guidelines.

(a) Personnel Type	(b) Number of Hours Required	(c) Average Adjusted Hourly Salary from item B.3, Section VIII, CAF	(d) Total Cost (b) x (c)	(e) Enter Totals to the Left [Column (d)] on Worksheet D, in the Spaces Indicated
Auditor				4.d
Management Analyst				4.h
System Analyst				4.i
Secretary				4.g
Other (Name) ✓				4.m

Development Operating

b. Printing and Distribution Costs for Audit Guidelines

(1) Fill in the chart below to derive cost of printing or duplicating audit guidelines.

(a) Action	(b) Number Produced	(c) Printing or Duplicating Cost/Copy	(d) Total Cost (b) x (c)
Initial Printing			*
Updates			**

*Enter this total in box at the right and in item 3.j, Worksheet D.

**Enter this total in box at the right and in item 4.j, Worksheet D.

\$

\$

Development Operating

(2) Fill in the chart below to derive the cost of distributing audit guidelines.

(a) Action	(b) Annual Number Mailed	(c) Postage/Copy	(d) Total Postage (b) x (c)
Initial Distribution			*
Distribution of Updates			**

*Enter this total in box at the right and in item 3.k, Worksheet D.

\$

**Enter this total in box at the right and in item 4.k, Worksheet D.

\$

5. Software Development and Maintenance Costs

a. How many person-hours of software development time were required to produce random sample listings of criminal history data?

(1) Programmers

(a) How many programmer person-hours were required for software development? _____ ✓

(b) Enter the average adjusted hourly salary of a programmer from item B.3.e, Section VIII, CAF. \$ _____

(c) Compute programmer development costs. Items (1)(a) x (1)(b) above. Enter total in box at the right and in item 5.l, Worksheet D. \$

(2) System Analysts

(a) How many system analyst person-hours are required for software development? _____ ✓

(b) Enter the average adjusted hourly salary of a system analyst from item B.3.d, Section VIII, CAF. \$ _____

(c) Compute the system analyst development costs. Items (2)(a) x (2)(b) above. Enter total in box at the right and in item 5.i, Worksheet D. \$

b. Approximately how many hours of software maintenance time will be required annually for work on the programs producing random sample listings?

(1) Programmers

(a) How many programmer person-hours will be required for software maintenance? _____ ✓

(b) Enter the average adjusted hourly salary of a programmer. Same as item 5.a(b) above. \$ _____

(c) Compute the annual programmer costs for software maintenance. Items (1)(a) x (1)(b). Enter total in box at the right and in item 6.l, Worksheet D. \$

Development Operating

(2) System Analysts

- (a) How many system analyst person-hours will be required for software maintenance? _____ ✓
- (b) Enter the average adjusted hourly salary of a system analyst. *Same as item 5.a(2)(b) above.* \$ _____
- (c) Compute the annual system analyst costs for software maintenance. *Items (2)(a) x (2)(b) above. Enter total in box at the right and in item 6.i, Worksheet D.* \$

c. CPU Test Time

- (1) Approximately how many hours of CPU test time were required for producing the random sample listings during the development period? _____ ✓
- (2) Approximately how many hours of CPU test time will be required annually to maintain the software that produces the random sample listings? _____ ✓
- (3) Enter the cost of an hour of CPU time from item C.3, Section VIII, CAF. \$ _____
- (4) Compute the CPU cost of software development for random sample listings. *Items (1) x (3) above. Enter total in box at the right and in item 5.a, Worksheet D.* \$
- (5) Compute the CPU cost for annual maintenance of software that produces random sample listings. *Items (2) x (3) above. Enter total in box at the right and in item 6.a, Worksheet D.* \$

Cost Elements	1 Conducting Full Audits	2 Conducting Procedural Audits	3 Developing Audit Guidelines	4 Maintaining Audit Guidelines	5 Software Development	6 Software Maintenance
a. Computer Processing						
b. Photocopies						
c. Clerk Time	(1) ----- (2)					
d. Auditor Time	(1) ----- (2)	(1) ----- (2)				
e. Travel						
f. Per Diem						
g. Secretary Time						
h. Management Analyst Time						
i. System Analyst Time						
j. Printing/Duplication						
k. Distribution/Postage						
l. Programmer Time						
m. Other Personnel						
n. Total						

D-8

▲
Enter Total
in item A.2,
Section IV,
CAF

▲
Enter Total
in item B.2,
Section IV,
CAF

▲
Enter Total
in item
C.1, Sec-
tion IV,
CAF

▲
Enter Total
in item
C.2, Sec-
tion IV,
CAF

▲
Enter Total
in item
D.1, Sec-
tion IV,
CAF

▲
Enter Total
in item D.2,
Section IV,
CAF

WORKSHEET D
AUDITING COST SUBTOTALS

**SCHEDULE E
SECURITY COSTS**

1. CSR Physical Security Development Costs

Indicate on the charts below the costs that were incurred to bring the Central State Repository into compliance with P&S regulations.

a. Building Security ✓

Cost Items	Total Cost
(1) Locks	
(2) Coded Electronic Entry System	
(3) TV Monitors	
(4) Employee ID Badges	
(5) Special Construction:	
(a) Physical Barriers to Control Access	
(b) Installation of Sprinkler Systems	
(c) Fireproofing	
(d) Other (Name)	

b. Computer Room/File Room Security ✓

Cost Items	Total Cost
(1) Locks	
(2) Coded Electronic Entry System	
(3) TV Monitors	
(4) Employee ID Badges	
(5) Other (Name)	

c. Computer Hardware Security ✓

Cost Items	Total Cost
Terminals/Printers/Teletypes	
(1) Locks Installed	
(2) Other (Name)	

d. Data Storage Media ✓

Cost Items	Total Cost
(1) Security Cabinets	
(2) Safes	
(3) Other (Name)	

e. Communications Lines ✓

Cost Items	Total Cost
(1) Reroute Underground	
(2) Other (Name)	

Development Operating

f. Total CSR Physical Security Development Costs. Add figures in Total Cost columns (sections a through e above). Enter total in box at the right and in item 1, Section V, CAF.

\$

2. CSR Software Security Costs

Fill in the chart below to derive the cost of software development or modifications required solely by P&S regulations.

a Type of Development or Modification	Person-hours Required			
	b Programmer		c System Analyst	
	(1) Development ✓	(2) Annual Maintenance ✓	(1) Development ✓	(2) Annual Maintenance ✓
Develop Access Codes				
Monitor Illegal Access Attempts				
Other (Name) ✓				

	<u>Development</u>	<u>Operating</u>
(4) Background investigations on employees.	\$ _____	✓
(5) Lockable storage cabinets for criminal history information.	\$ _____	✓
(6) Building modifications.	\$ _____	✓
(7) Computer software modifications.	\$ _____	
(8) Other (Name) _____	\$ _____	✓
(9) Total. Add figures in items (1) through (8) above.	\$ _____	
c. Compute the estimated total development costs to state and local agencies for security. Items a x b(9). Enter total in box at the right and in item 5.a, Section V, CAF.		
	\$ []	
d. What percentage of the development costs identified above will be required annually to maintain the P&S program?		
		_____ % ✓
e. Compute the total annual cost for state and local criminal justice agencies to maintain the P&S program. Multiply items c x d above. Enter total in box at the right and in item 5.b, Section V, CAF.		
	\$ []	

**SCHEDULE F
RECORD CHALLENGE AND REVIEW COSTS**

	<u>Development</u>	<u>Operating</u>
1. Record Review Costs		
a. Forms Costs		
(1) How many forms asking to review a criminal history record are received each year?		_____ ✓
(2) What is the estimated cost/form? See item H, Section VIII, CAF.	\$ _____	✓
(3) Compute the estimated annual cost of review forms. Items (1) x (2) above. Enter the total in the box at the right and in item 1.a, Worksheet F.	\$ []	
b. Clerical Costs		
(1) Fill in the chart below to derive clerical costs associated with record review.		

(a) Task	(b) Annual Number ✓	(c) Minutes Required/Task ✓	(d) Total Annual Clerical Time (b) x (c) ✓
Classify Fingerprints		[7.5]*	
Pull Record (Manual System)		[3.5]	
Make Computer Inquiry (Automated System)		[2]	
Edit		[3]	
Retype Edited Rap Sheet		[5]	
Prepare for Mailing		[3]	
Refile		[3.5]	
Other (Name)			

*Numbers in brackets are value for use in lieu of local estimates.

(2) Total annual clerical hours. Add figures in column (d) and divide by 60.	_____
(3) Enter average adjusted hourly salary of a clerk from item B.3.a, Section VIII, CAF.	\$ _____
(4) Compute the record review clerical costs. Items (2) x (3) above. Enter total in box at the right and in item 1.b, Worksheet F.	\$ []
c. Computer Costs (automated and semiautomated systems)	
(1) Approximately how many on-line inquiries result from requests for record review annually?	_____ ✓
(2) Enter the cost of an on-line inquiry from item C.2, Section VIII, CAF.	\$ _____
(3) Approximately how many criminal history records and printouts are generated annually as a result of requests for record review?	_____ ✓

(4) Enter the cost of a printout from item C.1, Section VIII, CAF.

Development _____
Operating \$ _____ ✓

(5) Compute total annual computer cost. Items (1) x (2) + (3) x (4). Enter total in box at the right and in item 1.c, Worksheet F.

\$ _____

d. Photocopy Costs

(1) On the average, how many pages of criminal history records are photocopied as a result of each request for record review?

_____ ✓

(2) Enter the cost/page for producing photocopies. See item G, Section VIII, CAF.

\$ _____ ✓

(3) How many review requests are received annually? Same as item 1.a(1) above.

_____ ✓

(4) Compute the total annual photocopy cost. Items (1) x (2) x (3) above. Enter total in box at the right and in item 1.d, Worksheet F.

\$ _____

e. Postage Costs

(1) What is the cost of postage for each response to a review request?

\$ _____ ✓

(2) What is the annual number of responses sent by mail?

_____ ✓

(3) Compute total postage costs for review requests. Items (1) x (2) above. Enter total in box at the right and in item 1.e, Worksheet F.

\$ _____

f. Fees for Record Review

(1) What fee is charged for record review?

\$ _____ ✓

(2) How many requests for review are received annually? Same as item 1.a(1) above.

_____ ✓

(3) Compute total fees charged annually for record review. Items (1) x (2) above. Enter total in box at the right and in item 1.f, Worksheet F.

\$ _____

2. Record Challenge Costs

a. Forms Costs

(1) How many forms challenging criminal history records are received each year?

_____ ✓

(2) What is the cost/form? See item H, Section VIII, CAF.

\$ _____ ✓

(3) Compute the estimated annual cost of challenge forms. Items (1) x (2). Enter total in box at the right and in item 2.a, Worksheet F.

\$ _____

b. Clerical Costs

(1) Fill in the chart below to derive clerical costs associated with record challenge.

(a) Task	(b) Annual Number ✓	(c) Minutes Required/Task ✓	(d) Total Annual Clerical Time (b) x (c)
Classify Fingerprints		[7.5]*	
Pull Record (Manual System)		[3.5]	
Make Computer Inquiry (Automated System)		[2]	
Pull All CSR Source Documents & Audit		[15]	
Edit Copy		[3]	
Retype Edited Rap Sheet		[5]	
Prepare for Mailing		[3]	
Refile Record		[3.5]	
Check with Local Agency (letter, telephone, teletype, etc.)		[7]	
Enter New Data to Correct Record		[5]	
Prepare Response to Challenger		[10]	
Other (Name) _____ ✓			

*Numbers in brackets are values for use in lieu of local estimates.

(2) Total annual clerical hours. Add figures in column (d) above and divide by 60.

Development _____
Operating _____

(3) Enter the average adjusted hourly salary of a clerk. Same as item 1.b(3) above.

\$ _____

(4) Compute the clerical costs for record challenges. Items (2) x (3) above. Enter total in box at the right and in item 2.b, Worksheet F.

\$ _____

c. Computer Costs (automated and semiautomated systems)

(1) Approximately how many on-line inquiries result from record challenges annually?

_____ ✓

(2) Enter the cost of an on-line inquiry. Same as item 1.c(2) above.

\$ _____

(3) Approximately how many criminal history record printouts are produced annually as a result of record challenges?

_____ ✓

(4) Enter the cost of a printout.

\$ _____ ✓

(5) Compute total annual computer costs. Items (1) x (2) + (3) x (4). Enter the total in box at the right and in item 2.c, Worksheet F.

\$ _____

d. Photocopy Costs

- (1) On average, how many pages of criminal history records are photocopied as a result of each record challenge? _____ ✓
- (2) What is the cost/page for producing photocopies? *Same as item 1.d(2) above.* \$ _____ ✓
- (3) How many record challenges are received annually? *Same as item 2.a(1) above.* _____
- (4) Compute the total annual photocopy cost. *Items (1) x (2) x (3) above. Enter total in box at the right and in item 2.d, Worksheet F.* \$

e. Postage Costs

- (1) What is the cost of postage for each response to a record challenge? \$ _____ ✓
- (2) What is the annual number of responses to challenges sent by mail? _____ ✓
- (3) Compute total postage costs for challenge responses. *Items (1) x (2) above. Enter total in box at the right and in item 2.e, Worksheet F.* \$

f. Fees for Record Challenge

- (1) What fee is charged for a record challenge? \$ _____ ✓
- (2) How many challenges are received annually? *Same as item 2.a(i) above.* _____ ✓
- (3) Compute total fees charged annually for record challenges. *Items (1) x (2) above. Enter total in box at the right and in item 2.j, Worksheet F.* \$

g. Communications Costs

- (1) Fill in the chart below to derive the cost of checking with other agencies as a result of record challenges.

(2) Type of Verification (include clerical costs)	(3) Annual Number ✓	(4) Average Cost/Check ✓	(5) Total Annual Costs (3) x (4)
Phone Call			
Letter (Clerical + Postage Cost/Unit)			
Teletype			
Telegraph			
Terminal Message			
Other ✓			

- (6) Total communications costs for agency checks. *Add figures in column (5) above. Enter total in box at the right and in item 2.f, Worksheet F.* \$

Development Operating

Development Operating

h. Supervisory Review of Record Challenges

- (1) Fill in the chart below.

(a) Personnel Type	(b) No. of Challenges/ Year	(c) Average No. of Hours Required/ Challenge	(d) Total Hours
Auditor			
Appeal Examiner			
Other			

- (2) Enter total auditor personnel time from column (d). _____
- (3) Enter total appeal examiner personnel time from column (d). _____
- (4) Enter total "Other" personnel time from column (d). _____
- (5) Enter the average adjusted hourly salary for an auditor from item B.3.g, Section VIII, CAF. _____
- (6) Enter the average adjusted hourly salary for an appeal examiner from item B.3.k, Section VIII, CAF. _____
- (7) Compute the average adjusted hourly salary for "Other" personnel. *Divide annual salary, including fringe, by 1784 and multiply result by 1.19.* _____
- (8) Compute total auditor personnel costs. *Items (2) x (5) above. Enter total in box at right and in item 2.g, Worksheet F.* \$
- (9) Compute total appeal examiner personnel costs. *Items (3) x (6) above. Enter total in box at right and in item 2.h, Worksheet F.* \$
- (10) Compute total "Other" personnel costs. *Items (4) x (7) above. Enter total in box at right and in item 2.i, Worksheet F.* \$

3. Appeal Processing Costs

a. Forms Costs

- (1) How many forms requesting an appeal are received each year? _____ ✓
- (2) What is the cost/form? *See item H, Section VIII, CAF.* \$ _____ ✓
- (3) Compute the estimated annual cost of appeal forms. *Items (1) x (2) above. Enter total in box at the right and in item 3.a, Worksheet F.*

b. Clerical Costs

(1) Fill in the chart below to derive clerical costs associated with appeals.

(a) Task	(b) Annual Number ✓	(c) Minutes Required/Task ✓	(d) Total Annual Clerical Time (b) x (c)
Set-up Appeal File		[5] *	
Make Copy of Complete Record		[5]	
Produce Notice of Outcome		[10]	
Other (Name)			

*Numbers in brackets are values for use in lieu of local estimates.

Development Operating

(2) Total annual clerical hours. Add figures in column (d) above and divide by 60.

_____ ✓

(3) Enter the average adjusted hourly salary of a clerk. Same as item 2.b(3) above.

\$ _____

(4) Compute annual appeal-processing clerical costs. Items (2) x (3) above. Enter total in box at the right and in item 3.b, Worksheet F.

\$

c. Computer Costs (automated and semiautomated systems)

(1) Approximately how many on-line inquiries result from appeals annually?

_____ ✓

(2) Enter the cost of an on-line inquiry. Same as item 1.c(2) above.

\$ _____

(3) Approximately how many criminal history record printouts are generated annually as a result of appeals?

_____ ✓

(4) Enter the cost of a printout. Same as item 1.c(4) above.

\$ _____ ✓

(5) Compute total annual computer costs. Items (1) x (2) + (3) x (4). Enter total in box at the right and in item 3.c, Worksheet F.

\$

d. Photocopy Costs

(1) On average, how many pages of a criminal history record are photocopied as a result of each appeal?

_____ ✓

Development Operating

(2) What is the cost/page for producing photocopies? Same as item 1.d(2) above.

\$ _____ ✓

(3) How many appeals are received annually? Same as item 3.a(1) above.

_____ ✓

(4) Compute the total annual photocopy costs. Items (1) x (2) x (3) above. Enter total in box at the right and in item 3.d, Worksheet F.

\$

e. Postage Costs

(1) What is the cost of postage for each response to an appeal?

\$ _____ ✓

(2) What is the annual number of responses to appeals sent by mail?

_____ ✓

(3) Compute total postage costs for responses to appeals. Items (1) x (2) above. Enter total in box at the right and in item 3.e, Worksheet F.

\$

f. Appeal Hearings

(1) Indicate on the chart below the number of persons present and the time spent at appeal hearings.

(a) Personnel Type	(b) No. of Hearings/Year ✓	(c) Average No. Present ✓	(d) Average No. of Hours Required/ Hearing ✓	(e) Total Hours/ Hearing (b) x (c) x (d)
Auditor				
Appeal Examiner				
Other (Name) ✓				

(2) Enter total auditor personnel time from column (e).

(3) Enter total appeal examiner personnel time from column (e).

(4) Enter total "other" personnel time from column (e).

(5) Enter the average adjusted hourly salary of an auditor from item B.3.a, Section VIII, CAF.

\$ _____

(6) Enter the average adjusted hourly salary of an appeal examiner from item B.3.k, Section VIII, CAF.

\$ _____

(7) Compute the average adjusted hourly salary for "other" personnel. Divide annual salary, including fringe, by 1784 and multiply result by 1.19.

\$ _____ ✓

(8) Compute total auditor personnel costs. Items (2) x (5) above. Enter total in box at the right and in item 3.g, Worksheet F.

\$

(9) Compute total appeal examiner personnel costs. Items (3) x (6) above. Enter total in box at right and in item 3.h, Worksheet F.

\$

(10) Compute total costs for "other" personnel. Items (4) x (7) above. Enter total in box at the right and in item 3.i, Worksheet F.

\$

WORKSHEET F.

Record Challenge and Review Cost Subtotals

Cost Elements	Compliance Activities		
	1. Record Review	2. Record Challenge	3. Appeal Processing
a. Forms			
b. Clerks			
c. Computer			
d. Photocopies			
e. Postage			
f. Communications			
g. Auditor			
h. Appeal Examiner			
i. Other Personnel			
j. Fees	-()	-()	
k. Total			

Enter total in item A.2.c, Section VI, CAF Enter total in item B.2.c, Section VI, CAF Enter total in item C.2, Section VI, CAF

SCHEDULE G

COSTS FOR PLANNING AND DEVELOPMENT OF LEGISLATION, RULES, POLICIES, STANDARDS OR METHODS FOR P&S COMPLIANCE

1. **Planning Groups.** Planning for compliance with P&S regulations usually involves several different types of groups (e.g., committees, subcommittees, task forces, contractors and consultants, etc.). Complete section 1 for each group involved in P&S planning and development within the state. *Additional copies of section 1 are provided at the end of this schedule so that costing can be done separately for each group.*

Name of planning group: _____ ✓

Assign an alphabetic identifier to each group (A, B, C, D, etc.) _____

Type of Group: Commission Committee User's Group Other
 Conference Subcommittee Task Force

a. **Appointed Members of Group A** (contractors and consultants and staff support personnel are covered in subsections b and c below).

	<u>Development</u>	<u>Operating</u>
(1) Development Costs		
(a) Indicate the number of members in the group.	_____ ✓	
(b) Enter the average adjusted hourly salary/group member. <i>Average annual salary, including fringe ÷ 1784 x 1.19.</i>	\$ _____ ✓	
(c) What is the <u>average</u> number of hours spent/member on P&S program development?	_____ ✓	
(d) Enter total planning group personnel hours. <i>Items (a) x (c).</i>		
(e) Compute total personnel costs for development. <i>Items (b) x (d). Enter total in box at the right and in item A(1)(a), Worksheet G.**</i>	\$ 	

(2) **Annual Operating Costs**

(a) Approximately what percentage of development personnel hours will be needed annually to maintain the P&S program? Experience in other jurisdictions shows a range of between 25% and 75%.	_____ % ✓	
(b) Compute total personnel costs for annual maintenance of P&S program. <i>Items (1)(b) x (2)(a) above. Enter total in box at the right and in item A(2)(a), Worksheet G.</i>		\$

b. **Support Staff Personnel.** *Include all personnel hired or assigned from another state agency to provide administrative support assistance to the planning group identified above.*

*See Note immediately below regarding recording costs for Groups B, C, D, etc.

**This reference--A(1)(a)--is the first cost for Group A to be transferred to Worksheet G; subsequent references are for Group A. In the event that there are Groups B, C, D, etc., costs should be recorded under columns B, C, D, etc., as appropriate.

(1) Development Costs. Fill in the chart below to derive total support staff personnel costs.

(a) Personnel Type	(b) Number on Staff	(c) Avg. Adjusted Hrly. Salary (from item B.3, Section VIII, CAF)	(d) Average No. of Hours Spent/Person	(e) Total Cost/Personnel Type (b) x (c) x (d)
. Program Coordinator/Manager				
. Administrative Assistant				
. Secretary				
. Clerk				
. Other (Name)				

(f) Total support staff personnel costs. Add the figures in column (e) above. Enter total in box at the right and in item A(1)(b), Worksheet G.

Development Operating

\$ ✓

(2) Annual Operating Costs

(a) Approximately what percentage of the personnel costs in item (1)(f) above will be needed annually to provide continuing support for the planning group? Experience in other jurisdictions shows a range of between 25% and 200%.

_____ % ✓

(b) Compute the total annual operating support staff personnel costs for the planning group. Item (1)(f) x (2)(a) above. Enter total in box at the right and in item A(2)(b), Worksheet G.

\$ ✓

c. Contractors and Consultants

(1) Development Costs. Indicate total fees paid, including travel, to contractors and consultants employed by the planning group for tasks related to P&S planning and development. Enter total in box at the right and in item A(1)(c), Worksheet G.

\$ ✓

(2) Annual Operating Costs. If a contractor or consultant will be used to provide ongoing support for the planning group, estimate the annual contractor or consultant fee, including travel. Enter total in box at the right and in item A(2)(c), Worksheet G.

\$ ✓

d. Office and Conference Facilities. Include these costs only if facilities had to be specialty rented for this P&S planning group.

(1) Development Costs. Fill in the chart on the next page to derive cost of facilities.

(a) Type of Facility	(b) Total Rental During P&S Planning and Development
Office	[\$980/person/yr]*
Conference Room	[\$43/day]
Other	

*Numbers in brackets are values for use in lieu of local estimates.

Development Operating

(c) Total rental costs. Add figures in column (b) above. Enter total at right and in item A(1)(d), Worksheet G.

\$ ✓

(2) Annual Operating Costs

(a) Approximately what percentage of the costs in item (1)(c) above will be required each year for the planning group or support staff?

_____ % ✓

(b) Compute the estimated total annual operating costs for office and conference facilities. Items (1)(c) x (2)(a) above. Enter total in box at the right and in item A(2)(d), Worksheet G.

\$ ✓

e. Travel and Per Diem Costs for Group Members and Support Staff; Exclude contractors and consultants.

(1) Number of persons traveling during the development period?

_____ ✓

(2) Average number of trips/person?

_____ ✓

(3) Average travel cost/trip? Experience in other jurisdictions shows a range between \$13 and \$140.

\$ ✓

(4) Total travel costs. Items (1) x (2) x (3) above. Enter total in box at the right and in item A(1)(e), Worksheet G.

\$ ✓

(5) Average number of days/person/trip. Experience shows range between 1 and 3 days.

_____ ✓

(6) Per diem rate. Experience shows range between \$14 (meals only) and \$35.

\$ ✓

(7) Total development per diem cost. Items (1) x (2) x (5) x (6). Enter total in box at the right and in item A(1)(f), Worksheet G.

\$ ✓

(8) Approximately what percentage of the travel costs in item (4) above will be incurred as an ongoing annual expense? Experience in other jurisdictions shows a range of between 25% and 200%.

_____ % ✓

(9) Compute the estimated total annual ongoing travel costs. Items (4) x (8) above. Enter total in box at the right and in item A(2)(e), Worksheet G.

\$ ✓

(10) Estimate the percentage of per diem costs in item (7) above that will be incurred as an ongoing annual expense. Experience shows a range between 25% and 100%.

_____ % ✓

(11) Compute the estimated total ongoing annual costs for per diem expenses. Items (7) x (10) above. Enter total in box at the right and in item A(2)(f), Worksheet G.

\$ ✓

f. Office Equipment, Supplies and Services

(1) Office Equipment

(a) Indicate the cost of all office equipment purchased or leased for members of the planning group solely as a result of P&S duties. Include furniture, typewriters, or other office machines--exclude photocopiers (xerox machines). Cost ranges are based on experience in other jurisdictions.

Personnel Type	[1] Total Purchase Cost/ Personnel Type ✓	[2] Total Lease Cost/ Personnel Type ✓	[3] Total Annual Maintenance Cost/ Personnel Type ✓
Manager	[\$650-\$1800]*	[\$195-\$540]*	[0]*
Admin. Ass't.	[\$400-\$750]	[\$120-\$225]	[0]
Secretary	[\$1050-\$1600]	[\$315-\$480]	[110]
Clerk	[\$150-\$350]	[\$45-\$105]	[0]

*Numbers in brackets are for use in lieu of local estimates.

(b) Enter cost of purchased equipment. Add figures in column [1].

\$ _____

(c) Enter cost of leased equipment. Add figures in column [2].

\$ _____

(d) Enter cost of annual maintenance. Add figures in column [3].

\$ _____

(e) Enter total cost of office equipment. Items (b) + (c) + (d).

\$ _____

(f) Estimate the percentage of equipment costs in item (e) above that will be incurred as an ongoing annual expense.

_____ % ✓

(g) Compute the estimated ongoing annual cost for office equipment and maintenance. Items (e) x (f).

\$ _____

(2) Office Supplies

(a) Enter the estimated cost of office supplies (pens, pencils, paper, etc.) for the planning group during development.

\$ _____ ✓

(b) Approximately what percentage of the costs in item (a) above will be a recurring annual expense? Experience in other jurisdictions shows a range of between 25% and 75%.

_____ % ✓

(c) Compute the estimated ongoing annual expenditure for office supplies for the planning group. Items (a) x (b) above.

\$ _____

(3) Photocopy and Printing Costs

(a) Estimate the cost of any photocopy machine procured, and maintenance and supply costs incurred by the P&S planning group during development. Experience in other jurisdictions shows cost of up to \$3800. Also include any costs incurred for printing.

\$ _____ ✓

(b) Approximately what percentage of the photocopy costs in item (a) above will be a recurring annual expense?

_____ % ✓

(c) Compute the estimated annual ongoing expenditure for photocopying for the planning group. Items (a) x (b) above.

\$ _____

(4) Telephone Costs

(a) Enter the basic charge for telephone service during the development period (only if specially installed for P&S development work. Experience shows a range between \$100 and \$150 per phone/year.

\$ _____ ✓

(b) Enter total charges for long distance calls (only if chargeable to P&S development work). Experience in other jurisdictions shows a range of between 0 and \$600 per phone/year.

\$ _____ ✓

(c) Total telephone costs. Items (a) + (b).

\$ _____

(d) Approximately what percentage of the telephone costs in item (c) above will be a recurring annual expense?

_____ % ✓

(e) Compute the estimated ongoing annual expenditure for telephones for the planning group. Items (c) x (d) above.

\$ _____

(5) Total Costs for Office Equipment, Supplies, and Services

(a) Compute total development costs. Add figures in boxes (1)(e), (2)(a), (3)(a) and (4)(c) above. Enter total in box at the right and in item A(1)(g), Worksheet G.

\$ _____

(b) Compute total annual operating costs. Add figures in boxes (1)(g), (2)(c), (3)(c), and (4)(e) above. Enter total in box at the right and in item A(2)(g), Worksheet G.

\$ _____

g. Total Planning Group Development Costs

Complete columns (11) of Worksheet G and transfer totals to Section VII, CAF, as indicated in column (12) of the worksheet.

h. Total Planning Group Operating Costs

Complete column (13) of Worksheet G and transfer totals to Section VII, CAF, as indicated in column (14) of the worksheet.

2. Additional State-level Personnel Not Associated with any Planning Group Covered in Section 1.

a. Personnel Costs. Use the chart below to derive cost of all program development or management personnel either specially hired or detailed from another state-level agency not previously discussed in Section 1. *DO NOT include operations personnel, such as clerks or auditors.*

(1) Personnel Type -	No. Hired or Detailed (Show Fraction)		(4) Average Adjusted Hrly. Salary (from item B.3, Section VIII, CAF)	(5) Total Annual Development Costs/ Personnel Type (2) x (4)	(6) Total Annual Operating Costs/ Personnel Type (3) x (4)
	(2) During Development ✓	(3) For Program Operation ✓			
Program Coordinator/Manager					
Administrative Assistant					
Secretary					
Other (Name) ✓					

(7) Enter the total from column (5) in box at the right and in item B.1.d, Section VII, CAF.

Development
\$

(8) Enter the total from column (6) in box at the right and in item B.1.e, Section VII, CAF.

Operating
\$

b. Office Facilities for Additional Personnel (include these costs only if facilities were not available in existing state-owned or state-rented office buildings and had to be rented for any of these new hires). Do not include costs previously reported in Section 1.

(1) Development Costs. Fill in the chart:

(a) Type of space	(b) Total annual rental
Offices	[\$980/person/year]*
Conference Rooms	[\$43/day] ✓
Other (Name)	

*Numbers in brackets are for use in lieu of local estimates.

(c) Total rental costs during development. Add figures in column (b) above. Enter total in box at the right and in item B.2.a, Section VII, CAF.

\$

(2) Operating Costs

(a) Approximately what percentage of the costs in item (1)(c) above will be a recurring annual expense? Several jurisdictions surveyed indicated 100%.

100% ✓

Development Operating

(b) Compute the total estimated annual expenditures for office facilities for additional personnel. Items (1)(c) x (2)(a) above. Enter total in box at the right and in item B.2.b, Section VII, CAF.

\$

c. Travel and Per Diem Costs for New Hires and Transferees

(1) Number of persons traveling during the development period.

_____ ✓

(2) Average number of trips/person.

_____ ✓

(3) Average cost/trip. Experience in other jurisdictions shows a range of between \$6 and \$94.

\$ _____ ✓

(4) Average number of days/trip. (Show fraction if applicable.) Experience in other jurisdictions shows a range of between 1 and 2.5 days.

_____ ✓

(5) Per diem rate. Experience in other jurisdictions shows a range of between \$14 (meals only) and \$35.

\$ _____ ✓

(6) Total travel costs. Items (1) x (2) x (3). Enter total in box at the right and in item B.3.c, Section VII, CAF.

\$ _____

(7) Total per diem costs. Items (1) x (2) x (4) x (5). Enter total in box at the right and in item B.3(e), Section VII, CAF.

\$ _____

(8) Approximately what percentage of the total travel costs in item (6) above will be a recurring annual expense for P&S program maintenance? Experience in other jurisdictions shows a range of between 8% and 100%.

_____ % ✓

(9) Compute the total estimated annual travel expenditure for program maintenance. Items (6) x (8) above. Enter total in box at the right and in item B.3.d, Section VII, CAF.

\$ _____

(10) Approximately what percentage of the total per diem costs in item (7) above will be a recurring annual expense for P&S program maintenance? Experience in other jurisdictions shows a range of between 8% and 100%.

_____ % ✓

(11) Compute the total estimated annual per diem expenditure for P&S program maintenance. Items (7) x (10) above. Enter total in box at the right and in item B.3(g), Section VII, CAF.

\$ _____

d. Office Equipment, Supplies, and Services

(1) Office Equipment. Fill in the chart below to determine cost of all office equipment purchased or leased specifically for new hires and transferees. Include furniture, typewriters, or other office machines--exclude photocopiers, e.g., xerox machines.

Personnel Type	(a) Total Purchase Cost/ Personnel Type ✓	(b) Total Lease Cost/ Personnel Type ✓	(c) Total Annual Maintenance Cost/ Personnel Type ✓
Manager	[\$650-\$1800]*	[\$195-\$540]*	[0]*
Admin. Ass't.	[\$400-\$750]	[\$120-\$225]	[0]
Secretary	[\$1050-\$1600]	[\$315-\$480]	[110]
Clerk	[\$150-\$350]	[\$45-\$105]	[0]

*Numbers in brackets are for use in lieu of local estimates.

	Development	Operating
(d) Enter cost of purchased equipment. Add figures in column (a).	\$ _____	
(e) Enter cost of leased equipment. Add the figures in column (b).	\$ _____	
(f) Enter cost of annual maintenance. Add the figures in column (c).	\$ _____	
(g) Enter total cost of office equipment. Items (d) + (e) + (f).	\$ <input type="text"/>	
(h) Estimate the percentage of equipment costs in item (g) above that will be incurred as an ongoing annual expense.		_____ % ✓
(i) Compute the estimated ongoing annual cost for office equipment and maintenance. Items (g) x (h).		\$ <input type="text"/>
(2) Office Supplies		
(a) Enter the estimated cost of office supplies (pens, pencils, paper, etc.) used during the development period. Experience in other jurisdictions shows a range of between \$68 and \$389.	\$ <input type="text"/> ✓	
(b) Approximately what percentage of the costs in item (a) above will be an ongoing annual expense? Experience in other jurisdictions shows a range of between 8% and 100%.		_____ % ✓
(c) Compute the estimated ongoing expenditure for office supplies for additional personnel. Items (a) x (b) above.		\$ <input type="text"/>
(3) Photocopy Costs		
(a) Estimate cost of any photocopy equipment procured and maintenance and supply costs incurred for new hires and transferees. Experience in other jurisdictions shows a range of between \$600 and \$3800.	\$ <input type="text"/> ✓	
(b) Approximately what percentage of the photocopy costs in item (a) above will be a recurring annual expense?		_____ % ✓
(c) Compute the estimated annual ongoing expenditure for photocopying for additional personnel. Items (a) x (b) above.		\$ <input type="text"/>
(4) Telephone Costs		
(a) Enter charge for telephone service specially installed for new hires and transferees during the development period. Experience in other jurisdictions shows a range between \$180 and \$300 phone/year.	\$ _____ ✓	
(b) Enter total charges for all long distance calls made by new hires and transferees in conjunction with P&S duties. Experience in other jurisdictions shows a range of between 0 and \$600/phone/year.	\$ _____ ✓	
(c) Total telephone costs. Items (a) + (b).	\$ _____	
(d) Approximately what percentage of the telephone costs in item (c) above will be an ongoing annual expense? Experience in other jurisdictions indicates a range of between 8% and 100%.		_____ % ✓
(e) Compute the total estimated ongoing annual expenditure for telephones for the additional personnel. Items (c) x (d) above.		\$ <input type="text"/>

	Development	Operating
(5) Total Costs for Office Equipment, Supplies and Services		
(a) Total development costs. Add figures in boxes (1)(g), (2)(a), (3)(a), and (4)(c) above. Enter total in box at the right and in item B.4.a, Section VII, CAF.	\$ <input type="text"/>	
(b) Total annual operating costs. Add figures in boxes (1)(i), (2)(c), (3)(a), and (4)(e) above. Enter total in box at the right and in item B.4.b, Section VII, CAF.		\$ <input type="text"/>
3. Training Costs. This section includes the costs incurred for training state and local operating personnel in the application of P&S regulations.		
a. Personnel Costs		
(1) Number of persons attending training classes, seminars, workshops, etc., during program development and implementation period.	_____ ✓	
(2) Average no. of hours of training/person. Experience in other jurisdictions shows range between 4 and 24 hours.	_____ ✓	
(3) Enter average adjusted hourly salary of all persons receiving training from item B.3, Section VIII, CAF.	\$ _____ ✓	
(4) Total personnel training costs. Items (1) x (2) x (3). Enter total in box at the right and in item C.1.a, Section VII, CAF.	\$ <input type="text"/>	
(5) Approximately what percentage of the personnel training costs in item (4) above will be required for annual "refresher" training on P&S regulations? Experience in other jurisdictions shows a range of between 10% and 20%.		_____ % ✓
(6) Compute the total annual personnel costs for "refresher" training. Items (4) x (5) above. Enter total in box at the right and in item C.1.d, Section VII, CAF.		\$ <input type="text"/>
b. Training Facilities		
(1) Indicate total rental costs if conference facilities had to be specially rented for classes, seminars, workshops, etc., during the program development period. Enter total in box at the right and in item C.2.a, Section VII, CAF.	\$ <input type="text"/> ✓	
(2) What percentage of the facilities costs in item (1) above will be incurred each year to provide training for employees? Experience in other jurisdictions shows a range of between 10% and 20%.		_____ % ✓
(3) Compute the total annual cost for training facilities. Items (1) x (2) above. Enter total in box at the right and in item C.2.b, Section VII, CAF.		\$ <input type="text"/>
c. Travel and Per Diem Expenses for Training.		
(1) Number of trainees required to travel during P&S program development and implementation.	_____ ✓	
(2) Average number of trips/trainee. Experience in other jurisdictions shows an average of 1.	_____ ✓	
(3) Average travel cost/trip. Experience in other jurisdictions shows a range of between 0 and \$9.	\$ _____ ✓	

- | | <u>Development</u> | <u>Operating</u> |
|---|-------------------------|------------------|
| (4) Average number of days/trip (show fraction, if applicable). Experience in other jurisdictions shows a range of between 0 and 1.5. | _____ | ✓ |
| (5) Per diem rate. Experience in other jurisdictions shows a range of between \$14 (meals only) and \$35. | \$ _____ | ✓ |
| (6) Total travel cost. Items (1) x (2) x (3) above. Enter total in box at the right and in item C.3.b, Section VII, CAF. | \$ <input type="text"/> | |
| (7) Total per diem cost. Items (1) x (2) x (4) x (5). Enter total in box at the right and in item C.3.d, Section VII, CAF. | \$ <input type="text"/> | |
| (8) What percentage of the costs in (6) above will be incurred on an annual basis for training? Experience in other jurisdictions shows a range of between 0 and 20%. | _____ % | ✓ |
| (9) Compute total annual costs for trainee travel expenses. Items (6) x (8) above. Enter total in box at the right and in item C.3.c, Section VII, CAF. | \$ <input type="text"/> | |
| (10) What percentage of the per diem costs in item (7) above will be incurred on an annual basis? Experience in other jurisdictions shows a range of between 0 and 10%. | _____ % | ✓ |
| (11) Compute total trainee per diem costs. Items (7) x (10) above. Enter total in box at the right and in item C.3.e, Section VII, CAF. | <input type="text"/> | |

WORKSHEET G

Cost Elements	Planning Cost Subtotals										(11)	(12)	(13)	(14)
	Planning Groups										Total Devel. Costs [Add items (1), (3), (5), (7), and (9)]	Post Figures in Col. (11) in Section VII, CAF, as indicated	Total Opns. Costs [Add items (2), (4), (6), (8) and (10)]	Post Figures in Col. (13) in Section VII, CAF as indicated
	A		B		C		D		E					
	(1) Dev	(2) Opns	(3) Dev	(4) Opns	(5) Dev	(6) Opns	(7) Dev	(8) Opns	(9) Dev	(10) Opns				
(a) Planning Group Personnel												A.1.c		A.1.d
(b) Staff Support Personnel												A.2.c		A.2.d
(c) Contractors or Consultants												A.3.a		A.3.b
(d) Office and Conference Facilities												A.4.a		A.4.b
(e) Travel												A.5.c		A.5.d
(f) Per Diem												A.5.e		A.5.f
(g) Office Equipment, Supplies & Services												A.6.a		A.6.b
(h) Totals														

**SCHEDULE H
FREQUENTLY USED COST FACTORS**

Development Operating

1. Personnel Salary Adjustment for Nonproductive Hours

In computing the actual cost of personnel time, hourly salaries should be adjusted upward to compensate for time lost during the day to work breaks, excessive lunch time, etc. A survey of several different jurisdictions revealed that out of an 8-hour day approximately 1 1/4 hours were lost to nonproductive time. If you believe that the amount of nonproductive time in your jurisdiction is significantly different from this figure, complete the following section. *The INSLAW non-productive salary adjustment factor is 1.19.*

- a. On the average, how many productive hours does an employee work during a day? *Include fractions.* _____ ✓
- b. How many hours are there in a normal work day? *Usually 8.* _____ ✓
- c. Compute the nonproductive salary adjustment factor. *Item a ÷ item b above. Enter the result in the box at right and in item B.3, Section VIII, CAF.*

2. Computer Processing Costs.

- a. Report production costs. Report production costs can be estimated using a methodology similar to the one INSLAW used in developing its cost ranges for report production.

Cost alternative #1: Three types of costs are assumed to be associated with report production: extracting data from a file; sorting the data; and printing the data. INSLAW's estimates are based on the assumption that a report will consist of a 10 percent extract of the entire data base and that the 10 percent extract will be sorted and printed.

Subsidiary cost estimates for each activity are as follows:

<u>Activity</u>	<u>Cost/1000 Criminal History Records in Data Base</u>
Extract from files	\$.090
Sorting	.023
Printing	.042
TOTAL	\$.155

This alternative assumes one report per extract; therefore each report would cost \$ 0.155 per thousand records (in the data base).

INSLAW estimates that the size of a criminal history data base approximates five times the number of annual arrests. For ease of computation, arrest numbers are used at various times in the cost model. A cost of \$ 0.155 times five would yield an approximate report production cost per 1,000 annual arrests of \$ 0.775 or \$ 0.78 per 1,000 annual arrests.

Cost alternative #2: This alternative assumes that four reports would be printed from each (10 percent) extract from the data base. Costs are estimated to be:

<u>Activity</u>	<u>Cost/1000 Records</u>
Extract from files	\$.090
Sorting (4 x .023)	.092
Printing (4 x .042)	.168
TOTAL	\$.35

In this alternative, a four-report run would cost \$.35 per 1,000 records in the data base; a single report would cost approximately \$.09 per 1,000 records in the data base (i.e., \$.35 ÷ 4).

Using INSLAW data base size estimates on the basis of annual arrest volumes, report production costs would range from \$ 0.45 per 1,000 annual arrests for a single report in a four-report run to \$ 0.78 per 1,000 annual arrests for a single-report run.

Given INSLAW's report production costs or locally generated costs per 1,000 records in the data base, proceed as follows:

- (1) Enter the annual number of arrests: _____
- (2) Divide item (1) by 1,000: _____
- (3) Multiply item (2) by the selected report production cost: _____
This is the "report production cost" that should be used in Schedules B-H inclusive. \$ _____
- b. On-line inquiries. Enter locally generated cost/on-line inquiry or INSLAW's estimate of \$.06. \$ _____ ✓
- c. CPU hour costs. Enter locally generated cost/CPU hour or INSLAW's estimate, as follows:
Small system: \$ 200/hour
Medium system: \$ 500/hour
Large system: \$ 800/hour \$ _____ ✓

3. Office Equipment

Fill in the chart below to derive office equipment costs.

(1) Equipment	(2) Cost/Personnel Type			
	(a) Manager	(b) Analyst	(c) Secretary	(d) Clerk
Executive Desk				
Credenza				
Side Chair (Executive)				
Desk Chair (Executive)				
Bookcase				
Desk (Regular)				
Side Chair (Regular)				
Desk Chair (Regular)				
Secretarial Desk				
Secretarial Chair				
Clerical Work Desk				
Clerical Work Chair				
Typewriter				
TOTAL				

4. Office Supplies

- a. How many people work at the CSR? _____
- b. Enter the total annual office supply budget for the CSR. \$ _____
- c. Compute the average cost/person for office supplies. *Item b ÷ item a above.*

5. Office and Conference Facilities

a. Office space

- (1) What is the total annual rental cost for CSR floor space? \$ _____
- (2) Approximately how many square feet of floor space are in the building? _____
- (3) Compute the cost/square foot. *Item 1 ÷ item 2 above.* \$ _____
- (4) On the average, how many square feet are allocated per person (average 150 square feet)? _____
- (5) Compute the annual cost/person. *Items (3) × (4).* \$

b. Conference facilities

Experience in other jurisdictions shows fees paid for conference facilities ranged between \$35 and \$50, with an average of \$43 per day. Enter \$43 in the box at the right or select your own value. \$

6. Photocopy Costs

a. Fill in the chart below to derive average photocopy costs (based on six months experience).

(1) Month	(2) Number of Copies/Month	(3) Monthly Charge
1		\$
2		
3		
4		
5		
6		
Total		\$

b. Compute the estimated average cost/copy. *Divide the total in column (3) above by the total in column (2) above.* \$

7. Forms Costs. Many variables must be considered in estimating forms costs. The following chart has been developed to provide a "rough" estimate of forms costs. This chart should be used only when the actual cost/copy is not known.

Forms Costs*

	Cost/copy	
	Letter Size	Legal Size
Typesetting/page	.020	.024
Printing (1 side)	.012	.015
Printing (2 sides)	.019	.023
Cost per carbon interleaf	.010	.012
Spot gluing (multiple pages only)	.003	.003
Total cost/copy (1 side, single page)	.032	.039
Total cost/copy (2 sides, single page)	.059	.071
Total cost/copy (2 page, carbon interleaved)	.067	.081
Cost/additional page of a carbon interleaved form	.032	.039

* Assumes an order of 5,000 copies.

IV. DATA TABLES

The analysis of the costs associated with implementing the DOJ/LEAA privacy and security regulations in the states revealed that many different approaches to compliance were taken. Of the seven states studied, all used computer assistance for complying with some portions of the regulations and manual recordkeeping to comply with other requirements.

Where possible, cost data were collected for each requirement associated with a privacy and security regulation. For example, disposition reporting costs often included labor costs for gathering the data, processing the forms, entering the data into the computer, and filing or microfilming the source document; forms costs for collecting the data; postage costs for mailing the data; and costs associated with the hardware and software. In this example, each of the cost categories was found to differ considerably from state to state, for the following reasons:

- Labor costs for personnel included both the direct salary plus overhead. Not only did salaries for the same types of personnel (clerks, secretaries, administrative assistant) vary widely from state to state, but so did the fringe benefit rate. In addition, one type of personnel might be associated with a particular task in one state, whereas another type of personnel was doing similar work in another. Also, specialized personnel, such as computer programmers and system analysts charged portions of their time to privacy and security work on a continuing basis, whereas this was not the case in other jurisdictions.
- Postage costs were incurred to varying degrees among the states studied. In some instances, the disposition reports were mailed through the U.S. Mail, sometimes in batches and other times as single documents at \$.15 each. In other states, messengers were used whenever practical.

Computer costs may differ by a factor of two or three from state to state. Different computer centers use different types of algorithms to bill costs for computer utilization. Some are based on hardware costs only; others are based on a combination of hardware and operations personnel costs and users are charged for their percentage of computer center utilization. In these instances, cost factors vary widely because of different types of computer hardware configurations that cost different amounts and because salaries for the same types of personnel differ from state to state. Hidden costs, such as utilities and building rental or maintenance, are also sometimes included.

After carefully evaluating all of the variables encountered for privacy and security costs, we elected to produce a series of data tables for each area of compliance. These tables indicate the estimated costs incurred by up to five different states for most areas of compliance. In some instances, cost factors may not have been available for all states; the averages in these cases were adjusted accordingly. The average cost (in most instances a median cost) for the states studied was then used for the default values shown on the Cost Analysis Form (CAF). The data tables, shown in the following pages, illustrate the estimated costs incurred by each of the states studied. While the names of the states are not revealed, the estimated 1978 annual arrest volume for each is indicated. A state exercising the manual model may elect to use the cost that most closely resembles its arrest volume in lieu of the average shown as the default on the CAF.

It should be noted that the data in these tables will only provide a basis for rough cost estimates. Completion of Schedules B through G that accompany the CAF will produce more accurate data.

DATE TABLE: 1. AUTOMATED DISPOSITION REPORTING COSTS

REFERENCE: CAF, SECTION III, ITEM A.6.a

STATE	APPROX. ANNUAL ARREST VOLUME	LABOR	FORMS	POSTAGE	TOTAL
A	785,000	\$.6177	\$ 0.05	\$ 0.03	\$0.6977
B	85,000	.5015	0.05	0.05	0.6015
C	85,000	---	---	---	---
C	56,000	\$.4469	\$ 0.025	\$ 0.075	\$0.4969
E	102,000	---	---	---	---
				MEDIAN COST	\$ 0.60

DATE TABLE: 2. MANUAL DISPOSITION REPORTING COSTS

REFERENCE: CAF, SECTION II, ITEM A.6.b

STATE	APPROX. ANNUAL ARREST VOLUME	LABOR	FORMS	POSTAGE	TOTAL
A	785,000	\$1.31	\$0.05	\$0.03	\$1.39
B	85,000	0.7476	0.05	0.03	0.8476
C	85,000	0.2026	0.03	0.015	0.2476
C	56,000	0.4469	0.025	0.075	0.5469
E	102,000	\$0.3875	\$0.02	\$0.03	\$0.4375
MEDIAN COST				\$ 0.55	

DATA TABLE: 3. AUTOMATED DISPOSITION RECORDING COSTS AT CSR

REFERENCE: CAF, SECTION II, ITEM B.3

STATE	APPROX. ANNUAL ARREST VOLUME	COMPUTER	LABOR	TOTAL
A	785,000	\$ 0.25	\$ 1.221	\$ 1.47
B	85,000	0.25	1.068	1.32
C	85,000	0.25	0.4558	0.71
D	56,000	0.25	0.5358	0.79
E	102,000	\$ 0.25	\$ 0.5813	\$ 0.83
MEDIAN COST			\$ 0.83	

DATA TABLE: 4. MANUAL DISPOSITION RECORDING COSTS AT CSR

-REFERENCE: CAF, SECTION II, ITEM B.3.a

STATE	APPROX. ANNUAL ARREST VOLUME	LABOR	TOTAL
A	785,000	---	---
B	85,000	\$ 0.7476	\$ 0.7476
C	85,000	\$ 0.4558	\$ 0.4558
D	56,000	---	---
E	102,000	---	---
		MEDIAN COST	\$ 0.60

DATA TABLE: 5. DELINQUENT FINAL DISPOSITIONS

REFERENCE: CAF, Section II, Item C.1

Only two of the states surveyed for cost data were willing to provide an estimate of the total percentage of delinquent final dispositions at the state and local levels. One state estimated 30 percent and the other estimated as high as 50 percent of all arrests would involve delinquent dispositions. Therefore, 40 percent is used as an average estimate for the number of delinquent final dispositions that could be experienced by other states.

DATA TABLE: 6. COST TO CSR OF COLLECTING DELINQUENT DISPOSITIONS FROM STATE AND LOCAL AGENCIES

REFERENCE: CAF SECTION II, ITEM C.2

STATE	APPROX. ANNUAL ARREST VOLUME	COMPUTER	LABOR	TOTAL
A	785,000	0	\$ 1.10	\$ 1.10
B	85,000	0	0.89	0.89
C	85,000	\$ 0.10	0.3039	0.4039
D	56,000	0.10	0.2679	0.2679
E	102,000	\$ 0.10	\$ 0.0775	\$ 0.1775
		MEDIAN COST	\$ 0.40	

DATE TABLE: 7. MANUAL CRIMINAL HISTORY DISSEMINATION COSTS

REFERENCE: CAF, SECTION III, ITEM D.1

STATE	APPROX. ANNUAL ARREST VOLUME	LABOR	FORMS	POSTAGE	TOTAL
A	785,000	\$ 1.78	\$ 0.0023	\$ 0.15	\$ 1.93
B	85,000	1.50	0.0023	0.15	1.65
C	85,000	1.01	---	0.15	1.16
C	56,000	1.36	\$ 0.0023	0.15	1.51
E	102,000	\$ 2.24	---	\$ 0.15	\$ 2.39
				MEDIAN COST	\$ 1.65

DATE TABLE: 8. AUTOMATED CRIMINAL HISTORY DISSEMINATION COSTS

REFERENCE: CAF, SECTION III, ITEM D.2

STATE	APPROX. ANNUAL ARREST VOLUME	LABOR	COMPUTER	POSTAGE	TOTAL
A	785,000	\$0.3861	\$ 0.50	\$ 0.15	\$ 1.14
B	85,000	0.2670	0.50	0.15	1.02
C	85,000	0.3039	0.50	0.15	1.05
C	56,000	0.2679	0.50	0.15	1.02
E	102,000	\$0.2325	\$ 0.50	\$ 0.15	\$ 0.98
MEDIAN COST				\$ 1.02	

DATA TABLE: 9. FULL AUDITING FOR COMPLIANCE COSTS

REFERENCE: CAF, SECTION IV, ITEM A.2

STATE	APPROX. ANNUAL ARREST VOLUME	COMPUTER	AUDITOR LABOR	SEC'Y LABOR	TRAVEL	PER DIEM	TOTAL
A	785,000	---	---	---	---	---	---
B	85,000	\$ 1.00	\$ 272.48	\$ 49.02	\$15.00	\$28.00	\$365.50
C	85,000	---	---	---	---	---	---
D	56,000	5.00	113.10	5.36	15.00	25.00	163.46
E	102,000	\$ 5.00	\$ 290.92	\$ 12.02	\$14.00	\$24.00	\$345.94
MEDIAN COST/ FULL AUDIT							\$346.00

CONTINUED

1 OF 2

DATA TABLE: 10. PROCEDURAL AUDITING FOR COMPLIANCE COSTS

REFERENCE: CAF, SECTION IV, ITEM B.2

STATE	APPROX. ANNUAL ARREST VOLUME	AUDITOR LABOR	SEC'Y LABOR	TRAVEL	PER DIEM	TOTAL
A	785,000	\$140.06	\$32.13	\$90.00	\$ 15.00	\$277.19
B	85,000	---	---	---	---	---
C	85,000	\$113.76	\$24.31	\$12.00	\$ 87.50	\$237.57
D	56,000	---	---	---	---	---
E	102,000	---	---	---	---	---
MEDIAN COST/ PROCEDURAL AUDIT						\$ 257.00

DATA TABLE: 11. AUDIT GUIDELINES

REFERENCE: CAF, Section IV, Item C

Assumption: Guidelines are written by an auditor or administrative assistant earning \$18,500 annually plus fringe benefits of 25 percent, for a total of \$23,125. Monthly salary is: \$1,925.

POPULATION SIZE	DEVELOPMENT		MAINTENANCE	
	Months to Develop	Estimated Cost	Months to Maintain	Estimated Cost
More than 4 million	2 to 3	\$3,850-\$5,775	½ to ¾	\$950-\$1,450
From 1 to 4 million	1½ to 2	\$2,900-\$3,850	¾ to 1	\$725-\$950
Under 1 million	1 to 1½	\$1,925-\$2,900	¼ to ¾	\$475-\$725

DATA TABLE: 12. RECORD REVIEW COSTS

REFERENCE: CAF, SECTION VI, ITEM A.2.a

STATE	APPROX. ANNUAL ARREST VOLUME	CLERK LABOR	COMPUTER	PHOTO-COPY	POST-AGE	FORMS	TOTAL
A	785,000	\$ 2.145	\$ 0.60	\$ 0.06	\$ 0.15	\$0.06	\$ 3.02
B	85,000	1.7414	0.60	0.07	0.15	0.07	2.63
C	85,000	1.9754	0.60	0.06	0.15	0.03	2.82
D	56,000	1.7414	0.60	0.06	0.15	0.03	2.58
E	102,000	\$ 1.5113	\$ 0.60	\$ 0.07	\$ 0.15	\$0.035	\$ 2.37
MEDIAN COST/ RECORD REVIEW							\$ 2.63

DATA TABLE: 13. RECORD CHALLENGE COSTS

REFERENCE: CAF, SECTION VI, ITEM B.2.a

STATE	APPROX. ANNUAL ARREST VOLUME	FORMS	CSR LABOR	LOCAL LABOR	POSTAGE	TOTAL
A	785,000	\$ 0.06	\$18.94	\$ 3.30	\$ 0.15	\$ 22.45
B	85,000	0.07	17.70	2.68	0.15	20.60
C	85,000	0.03	18.42	3.04	0.15	21.64
D	56,000	0.03	17.70	2.68	0.15	20.56
E	102,000	\$ 0.035	\$16.99	\$ 2.33	\$ 0.15	\$ 19.51
MEDIAN COST/ RECORD CHALLENGE						\$ 21.00

DATA TABLE: 14. APPEALS PROCESSING COST

REFERENCE: CAF, SECTION VI, ITEM C.2

STATE	APPROX. ANNUAL ARREST VOLUME	AUDITOR LABOR	CSR CLERK LABOR	PHOTO-COPY	LOCAL AGENCY LABOR	APPEAL EXAM'R LABOR	TOTAL
A	785,000	\$ 58.56	\$ 3.30	\$ 1.50	\$26.40	\$39.04	\$128.80
B	85,000	58.38	2.68	1.75	21.43	38.92	123.16
C	85,000	34.12	3.04	0.75	24.31	22.74	84.96
D	56,000	67.86	2.68	0.75	21.43	45.24	137.96
E	102,000	\$ 62.34	\$ 2.33	\$ 0.88	\$18.60	\$41.56	\$125.71
					MEDIAN COST/ APPEAL		\$ 126.00

DATA TABLE: 15. AVERAGE WORK HOURS/YEAR

REFERENCE: CAF, Section VII, Item 4.1b

COMPUTATION:

Assumes: 260 work days/year (52 X 5)

Less : 12 holidays/year

15 days of vacation leave/year

10 days of sick leave/year

Actual Work days/year
233 days/year x 8 hours/day = 1,784 work hours/year

DATA TABLE: 16. NONPRODUCTIVE TIME SALARY ADJUSTMENT FACTOR

REFERENCE: CAF, Section VII, Item A.1.b (cont).

- As noted in Schedule H, Item 1 (Personnel Salary Adjustment for Nonproductive Hours), a survey of several different jurisdictions revealed that out of an 8-hour day approximately $1\frac{1}{4}$ hours were lost to nonproductive time. Time is lost to breaks, excessive lunch hour time, and time between tasks. Thus, to adjust the salaries for a regular 8-hour day, the 8 hours must be divided by 6.75, which results in a factor of 1.19. The hourly salary of an employee (less the allowance for holidays, sick leave, etc.) is then multiplied by 1.19 to compute an actual cost for a person's services. Section VIII, Item 1, provides an opportunity to change the factor from 1.19 if desired.

DATA TABLE: 17. NUMBER OF HOURS SPENT/PERSON BY APPOINTED MEMBERS OF PLANNING GROUP DURING PROGRAM DEVELOPMENT

REFERENCE: CAF, SECTION VII, ITEM A.1.c

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
NUMBER OF HOURS REPORTED	64	48	240	64	91
MEDIAN HOURS/PERSON				64	

DATA TABLE: 18. PERCENTAGE OF TIME DEVOTED ANNUALLY BY PLANNING GROUP PERSONNEL

REFERENCE: CAF, SECTION VII, ITEM A.1.d

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	30%	70%	30%	25%	25%
			MEDIAN PERCENTAGE OF TIME		30%

DATA TABLE: 19. NUMBER OF HOURS SPENT/PERSON BY PLANNING GROUP SUPPORT STAFF DURING PROGRAM DEVELOPMENT

REFERENCE: CAF, SECTION VII, ITEM A.2.c

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
NUMBER OF HOURS REPORTED	1,040	624	1,733	2,080	1,154
			MEDIAN HOURS/PERSON		1,154

DATA TABLE: 20. PERCENTAGE OF TIME DEVOTED ANNUALLY BY SUPPORT STAFF PERSONNEL

REFERENCE: CAF, SECTION VII, ITEM A.2.d

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
REPORTED	200%	75%	40%	50%	25%
MEDIAN PERCENTAGE OF TIME					50%

DATA TABLE: 21. TRAVEL COST/TRIP DURING DEVELOPMENT PERIOD FOR PLANNING GROUP MEMBERS AND SUPPORT STAFF

REFERENCE: CAF, SECTION VII, ITEM A.5.c.

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
TRAVEL COST/TRIP	\$140.00	\$4.80	\$13.20	\$15.00	\$38.80
MEDIAN TRAVEL COST/TRIP					\$15.00

DATA TABLE: 22. PERCENTAGE OF DEVELOPMENT PERIOD TRAVEL REQUIRED FOR ANNUAL PROGRAM OPERATION

REFERENCE: CAF, SECTION VII, ITEM A.5.d

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	200%	75%	30%	25%	25%
			MEDIAN PERCENTAGE	30%	

DATA TABLE: 23. PER DIEM COST/TRIP DURING DEVELOPMENT PERIOD FOR PLANNING GROUP MEMBERS AND SUPPORT STAFF

REFERENCE: CAF, SECTION VII, ITEM A.5.e

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PER DIEM COST/TRIP	\$120.00	\$32.30	\$35.00	\$25.00	\$144.00
				MEDIAN PER DIEM COST/TRIP	\$35.00

DATA TABLE: 24. PERCENTAGE OF PER DIEM COSTS REQUIRED FOR ANNUAL PROGRAM OPERATION

REFERENCE: CAF, SECTION VII, ITEM A.5.f

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	100%	75%	30%	25%	25%
MEDIAN PERCENTAGE				30%	

DATA TABLE: 25. COST/PERSON OF OFFICE EQUIPMENT, SUPPLIES, AND SERVICES DURING PROGRAM DEVELOPMENT

REFERENCE: CAF, SECTION VII, ITEM A.6.a

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
OFFICE EQUIPMENT, SUPPLIES, AND SERVICES COSTS/PERSON	\$388.88	\$205.88	\$104.11	\$68.00	\$354.46
MEDIAN COST/PERSON				\$ 206.00	

DATA TABLE: 26. PERCENTAGE OF DEVELOPMENT COST FOR OFFICE EQUIPMENT, SUPPLIES, AND SERVICES/PERSON REQUIRED FOR ANNUAL PROGRAM OPERATION

REFERENCE: CAF, SECTION VII, ITEM A.6.b

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	30%	75%	35%	25%	25%
			MEDIAN PERCENTAGE		30%

DATA TABLE: 27. PERCENTAGE OF NEW HIRE PERSONNEL COSTS REQUIRED FOR ANNUAL PROGRAM OPERATION

REFERENCE: CAF, SECTION VII, ITEM B.1.e

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	*	*	*	*	*
			MEDIAN PERCENTAGE		100%*

* All states estimated it would be 100% of development.

DATA TABLE: 28. OFFICE FACILITIES COST/PERSON FOR NEW HIRES OR TRANSFEREES

REFERENCE: CAF, SECTION VII, ITEM B.2.a

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
OFFICE FACILITIES COST/PERSON/YR		*	*	*	*
			MEDIAN COST/PERSON/YEAR		\$980.00*

*States opted to use LEAA rate of \$980/person/year.

DATA TABLE: 29. PERCENTAGE OF DEVELOPMENTAL FACILITIES COSTS FOR NEW HIRES REQUIRED FOR ANNUAL PROGRAM OPERATION

REFERENCE: CAF, SECTION VII, ITEM B.2.b

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	*	*	*	*	*
			MEDIAN PERCENTAGE		100%*

*All states said it would cost 100% of development costs.

DATA TABLE: 30. TRAVEL COST/TRIP FOR NEW HIRES OR TRANSFEREES DURING THE DEVELOPMENT PERIOD

REFERENCE: CAF, SECTION VII, ITEM B.3.c

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
COST/TRIP	---	\$30.00	---	\$6.00	\$ 93.75
			MEDIAN COST/TRIP	\$30.00	

DATA TABLE: 31. PERCENTAGE OF DEVELOPMENT TRAVEL COSTS FOR NEW HIRES REQUIRED FOR ANNUAL PROGRAM MAINTENANCE

REFERENCE: CAF, SECTION VII, ITEM B.3.d

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	--	100%	--	100%	8%
			MEDIAN PERCENTAGE	100%	

DATA TABLE: 32. PER DIEM COST/TRIP DURING DEVELOPMENT PERIOD FOR NEW HIRES OR TRANSFEREES

REFERENCE: CAF, SECTION VII, ITEM B.3.f

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PER DIEM COST/TRIP	---	\$ 70.00	---	\$ 25.00	\$ 13.00
				MEDIAN PER DIEM/COST/TRIP \$ 25.00	

DATA TABLE: 33. PERCENTAGE OF PER DIEM COSTS FOR NEW HIRES REQUIRED FOR ANNUAL PROGRAM OPERATION

REFERENCE: CAF, SECTION VII, ITEM B.3.g

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	---	100%	---	100%	8%
				MEDIAN PERCENTAGE 100%	

DATA TABLE: 34. COST/NEW HIRE FOR OFFICE EQUIPMENT, SUPPLIES, AND SERVICES DURING DEVELOPMENT PERIOD

REFERENCE: CAF, SECTION VII, ITEM B.4.a

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
OFFICE EQUIPMENT, SUPPLIES & SERV COST/NEW HIRE	\$1,093.00	\$ 910.00	\$ 808.00	\$ 884.00	\$1,059.00
			MEDIAN COST/ NEW HIRE \$ 910.00		

DATA TABLE: 35. PERCENTAGE OF NEW HIRE DEVELOPMENT COSTS FOR OFFICE EQUIPMENT, SUPPLIES, AND SERVICES REQUIRED FOR ANNUAL PROGRAM OPERATION

REFERENCE: CAF, SECTION VII, ITEM B.4.b

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	---	33%	33%	33%	33%
				MEDIAN PERCENTAGE 33%	

DATA TABLE: 36. NUMBER OF HOURS OF TRAINING/STUDENT DURING DEVELOPMENT PERIOD

REFERENCE: CAF, SECTION VII, ITEM C.1.c

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
NO. OF HRS. OF TRAINING/STUDENT	4	4	24	4	6
			MEDIAN HOURS	4	

DATA TABLE: 37. PERCENTAGE OF DEVELOPMENT TRAINING HOURS REQUIRED FOR PROGRAM MAINTENANCE

REFERENCE: CAF, SECTION VII, ITEM C.1.d

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	20%	10%	10%	10%	10%
			MEDIAN PERCENTAGE	10%	

DATA TABLE: 38. COST/STUDENT FOR TRAINING FACILITIES DURING PROGRAM DEVELOPMENT PERIOD

REFERENCE: CAF, SECTION VII, ITEM C.2.a

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
COST/STUDENT	\$ 1.00	\$ 1.00	\$ 1.00	---	---
				MEDIAN COST/STUDENT \$ 1.00	

DATA TABLE: 39. PERCENTAGE OF DEVELOPMENT COSTS FOR STUDENT TRAINING FACILITIES REQUIRED FOR ANNUAL PROGRAM MAINTENANCE

REFERENCE: CAF, SECTION VII, ITEM C.2.b

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	---	10%	10%	---	---
				MEDIAN PERCENTAGE 10%	

DATA TABLE: 40. TRAVEL COST/TRIP/STUDENT DURING DEVELOPMENT TRAINING

REFERENCE: CAF, SECTION VII, ITEM C.3.b

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
COST/TRIP	\$ 9.00	\$ 4.50	\$ 6.00	---	\$ 4.20
				MEDIAN COST/TRIP \$ 4.35	

DATA TABLE: 41. PERCENTAGE OF STUDENT DEVELOPMENT TRAVEL COSTS REQUIRED FOR ANNUAL PROGRAM MAINTENANCE

REFERENCE: CAF, SECTION VII, ITEM C.3.c

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	20%	10%	10%	---	10%
				MEDIAN PERCENTAGE 10%	

DATA TABLE: 42. COST/STUDENT FOR PER DIEM EXPENSES/TRIP DURING PROGRAM DEVELOPMENT PERIOD

REFERENCE: CAF, SECTION VII, ITEM C.3.d

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PER DIEM COST/TRIP	---	---	\$ 9.00	---	---
			MEDIAN PER DIEM COST/TRIP \$ 9.00		

DATA TABLE: 43. PERCENTAGE OF STUDENT DEVELOPMENT PER DIEM COSTS REQUIRED FOR ANNUAL PROGRAM MAINTENANCE

REFERENCE: CAF, SECTION VII, ITEM C.3.e

STATE	A	B	C	D	E
APPROX. ANNUAL ARREST VOLUME	785,000	85,000	85,000	56,000	102,000
PERCENTAGE REPORTED	---	---	10%	---	---
			MEDIAN PERCENTAGE 10%		

DATA TABLE: 44. MICROFILM SUPPLIES AND PROCESSING COSTS

REFERENCE: Schedule B, Item 5.b.2

Roll Microfilm

	<u>3M</u>	<u>Bell & Howell</u>	<u>Eastman Kodak</u>
Film Cost (3 images)	.002	.002	.003
Processing (3 images)	<u>.001</u>	<u>.001</u>	<u>.001</u>
Range	.003	.003	.004

Microfiche

AB Dick Scott System 200/98 (3 images/fiche 4" x 6" fiche)

.330	Media (film)
.078	Toner
<u>.050</u>	Label
.458	

Microfilm Jackets (4 x 6 jackets, 16mm film, 5 channels)

	<u>Taylor - Merchant</u>	<u>Bell & Howell</u>	<u>Eastman Kodak</u>
Jacket Cost	.007	.085	.096
Processing (3 images)	.001	.001	.001
Film Cost (3 images)	<u>.002</u>	<u>.002</u>	<u>.003</u>
Range	.080	.088	.100

DATA TABLE: 45. ON-LINE INQUIRY COSTS

REFERENCE: SECTION VIII, ITEM C.2

Assumptions:

- . Small system - INSLAW
1 inquiry results in: 4 logical data base accesses OR
13 physical data base accesses
(PROMIS: 17 logical accesses cost \$.25)
4/16 x .25 - \$.06/on-line inquiry
- . Medium System - FBI
1 NCIC inquiry in 1974 used approximately 1 cpu second
of IBM 360-65 time at approximately \$250/CPU M OR
\$.069/inquiry
- . Average = \$ 0.065

DATA TABLE: 46. DISK STORAGE COST - DISSEMINATION LOGGING

REFERENCE: SCHEDULE C, ITEM 2.C.1

Assumptions:

- . 2,000 characters/dissemination
- 500 disseminations/megabyte
- . 5 megabytes of working storage required for all installations
- . Storage costs \$15/megabyte/month or \$3.46 per week, i.e., base charge = \$17/week
- . Transactions are dumped to tape after one week maximum
- . Annual dissemination volume equals 4.145 times annual arrest volume (Basis: INSLAW's study--Costs and Benefits of the CDS Program).
- . Annual arrest volumes and annual and weekly dissemination volumes for small, medium, and large states (in terms of arrest volumes)

System Size	Annual Arrest Volumes	Annual Dissem. Vol.	Weekly Dissem. Vol.
Small	11,000	45,600	877
Medium	66,000	273,600	5,262
Large	268,000	1,110,900	21,363

Computations:

- . Small system
 --877 transactions - 7 megabytes @ \$24.22/week
 = $\$24.22 \div 877 = .028$ per dissemination

- . Medium system
 --5,262 transactions - 16 megabytes @ \$55.36/week
 = $\$55.36 \div 5,262 = .011$ per dissemination
- . Large system
 --21,363 transactions - 48 megabytes @ \$166.08/week
 = $\$166.08 \div 21,363 = .008$ per dissemination

APPENDIXES

APPENDIX A

PROJECT BACKGROUND: PRIVACY AND SECURITY COSTS IN PERSPECTIVE

The cost of complying with DOJ/LEAA privacy and security regulations^{1*} can be viewed as an outgrowth of a decade-long series of attempts to strike a balance between the privacy rights of the individual and the legitimate information needs of society. Achieving this balance is seen by some as fulfilling the double obligation of protecting the individual against the community as well as the community against the individual.

A federal cabinet-level committee and the Council of State Governments described the competing interests that must be balanced:

Our society grows in the need for personal information in order to provide the comprehensive services that government and the private sector seek to make available. The process is not simple, of balancing the need for information against the individual's desire to limit the quantity of information about himself that may become public, but it is a task that must be accomplished to insure the responsible management and operation of programs that are dependent upon information about people.²

IBM's Thomas J. Watson, Jr., commented that "the problem of privacy in the end is nothing more and nothing less than the root problem of the relation of each one of us to our fellow men. What belongs to the citizen alone? What belongs to society? Those, at the bottom, are the questions we face...."³

The advent of automated data-processing systems has not only endowed such questions with greater urgency but also added another

*Notes appear at the end of the appendix.

dimension to the privacy issue so that the question to be resolved is now often posed as follows: How can the privacy rights of the individual and the informational needs of society be balanced without adversely affecting the advantages stemming from the computer's great efficiency in storing, retrieving, and analyzing data?⁴

Although many definitions of privacy exist (see Exhibit A.1), privacy has been consistently regarded as an American tradition, a psychological need, and, more recently, a political value. The Supreme Court has bestowed legal status on privacy, calling it a right "older than the Bill of Rights."⁵ A brief review of privacy as a concept and right will help put current concern about privacy as a cost into useful perspective.

Privacy: From Early America to the DOJ/LEAA Regulations

As Alan F. Westin, a leading authority on privacy writes, "concern for protecting privacy has been part of American constitutional law, common law, federal and state legislation, and administrative rules from the very beginning of our national history."⁶ In eighteenth- and early nineteenth-century America, the law focused on creating privacy safeguards to shield individual and organizational autonomy, ensure personal and family privacy in the home, and protect confidentiality in the basic methods of communication. Leading pre-Civil War legal commentary on privacy-related matters refers to the rights and protection embodied in the First, Third, Fourth, and Fifth Amendments.⁷

In 1879, Judge Thomas Cooley wrote of the right "to be let alone." State courts referred to the right of privacy in several

Exhibit A.1

DEFINING PRIVACY AND SECURITY

Privacy

1. The right to be let alone--Judge Thomas M. Cooley, Treatise on the Law of Torts, 1879.
2. Something all men are entitled to keep from public curiosity. The right of the individual to determine, ordinarily, to what extent his thoughts, sentiments, and emotion shall be communicated to others--S. Warren and L.D. Brandeis, "The Right to Privacy," Harvard Law Review 193 (1890).
3. The right to be let alone, the most comprehensive of rights and the right most valued by civilized men--Justice Brandeis, dissenting opinion in Olmstead v. U.S., 27 U.S. 438 (1928).
4. The claim of individuals, groups, or institutions to determine for themselves when, how, and to what extent information about them is communicated to others--Alan F. Westin, Privacy and Freedom, 1967; Project SEARCH, Technical Report No. 2, 1970.
5. A concept that must be understood in terms of mutuality of interest--that is, the recordkeeping organization and the individual record subject have a common concern about the personal data collected and must expect to share rather than monopolize control over the content and use of the records--Secretary's Advisory Committee on Automated Personal Data Systems, Records, Computers, and the Rights of Citizens, U.S. Department of Health, Education and Welfare, 1973.
6. The concept that both persons and organizations enjoy the right to be free from unwarranted intrusion into their affairs, actions, communications, papers, and conversations. The protection of the interests of the people whose names appear for whatever reason in the contents of a criminal justice information system--National Advisory Commission on Criminal Justice Standards and Goals, Criminal Justice System, 1973.
7. The right of an individual to know that recorded personal information is accurate, pertinent, complete, up-to-date, and that pertinent steps have been taken to ensure the information is restricted to a mutually agreed use by authorized handlers--IBM, Data Security and Data Processing, Volume 3, Part 2, 1974.

Security

1. The ability to restrict the availability of specific information to authorized individuals and the ability to physically protect all parts of the system, including both the data and the system that processes the data from any form of hazard that might endanger its integrity or reliability--Project SEARCH, Technical Report No. 2, 1970.
2. The protection of the system itself against intended or accidental injury or intrusion--National Advisory Commission on Criminal Justice Standards and Goals, Criminal Justice System, 1973.
3. The protection of information during collection, storage, processing, and dissemination from accidental or unauthorized modification, disclosure or destruction, and the protection of the system from accidental or unauthorized modification or destruction--IBM, Data Security and Data Processing, Volume 3, Part 2, 1974.

cases during the late 1800s. In 1890, the classic and frequently cited Harvard Law Review article, "The Right to Privacy," by Samuel Warren and Louis Brandeis served to raise the visibility of, and sensitivity to, privacy issues. From 1890 to 1950, most states adopted the common-law principle of an individual right of privacy, and state courts decided hundreds of right-to-privacy cases.

However, not until 1965 did a Supreme Court majority recognize a constitutional right of privacy.⁸ Though perceiving privacy as part of constitutional liberty, the seven Justices forming the majority in that case could not agree on which sections of the Bill of Rights guaranteed, at least implicitly, the "zones of privacy" protected against governmental infringement. The First, Third, Fourth, Fifth, Ninth, and Fourteenth Amendments were cited.

Another line of Supreme Court decisions has held that even if certain governmental infringements are not prohibited by a constitutional right of privacy, they may be subject to due-process principles. According to one legal commentary, "these cases find certain personal interests to be either 'liberty' or 'property' embraced by the Fourteenth Amendment and thus protected against governmental infringement unless procedural safeguards are followed."⁹

Both due process and the constitutional right of privacy have been invoked to challenge the maintenance and dissemination of criminal justice data, as well as access to such information. Other challenges on constitutional grounds have involved alleged violations of First Amendment and Fourth Amendment rights.¹⁰

Similarly, common law liability for wrongful maintenance of criminal justice information may result in suits for defamation, intentional infliction of emotional distress, invasion of privacy, and negligence.¹¹ Also, various statutory remedies for the misuse of criminal justice data are available at the federal and state levels.

Whether based on constitutional, statutory, or the common law, lawsuits have alleged improper collection of intelligence information, wrongful denial of access to a person who is the subject of an information file, failure to keep accurate records, and improper dissemination of both accurate and inaccurate data.¹²

Privacy-related developments from the end of World War II to the 1975 issuance of the DOJ/LEAA privacy and security regulations warrant special attention inasmuch as public concern over the information-gathering and recordkeeping practices of government agencies and private organizations heightened significantly during that 30-year period.

The first 15 years following World War II were characterized by manual recordkeeping practices, occasionally assisted by electric accounting machines. Criminal history records often contained considerable outdated or incomplete information. According to Westin:

This was also a time of what has been called the information-buddy system in sharing criminal justice data. There was wide-scale exchange of information as a matter of course between law enforcement agencies, credit reporting agencies, pre-employment investigative agencies, private security departments, employers and a wide range of others, including universities. These data

exchangers were the new gate keepers of American society, making the judgments that controlled people's access to employment, licensing, credit, and other basic opportunities and benefits of organizational society.¹³

With the advent of widespread use of automated information systems in the 1960-1975 period, the public and legislators began to look much more closely at the recordkeeping methods of "the new gate keepers of American society." The increase in the use of the computer by criminal justice agencies, which has been described as phenomenal, is attributed to at least three factors: in 1967, the President's Commission on Law Enforcement and Administration of Justice identified the potential contribution computers could make; after 1968, substantial federal funding became available for the automation of criminal justice information systems; major advances in computer and telecommunications technology have occurred.¹⁴

In part due to "fear of the consequences of the new technology of data gathering and processing,"¹⁵ public concern mounted over the issue of dossiers and data banks and was both reflected and heightened by such books as Arthur R. Miller's The Assault on Privacy: Computers, Data Banks, and Dossiers, published in 1971. That same year, Professor Miller testified before the Senate's Subcommittee on Constitutional Rights:

The data bank problem is being magnified by the computer. The trend toward computerization of personal information is resulting in a marked increase in the quantity, sensitivity, and variety of data that will be found in the electronic dossiers of the future, as well as expediting their exchange.... And it simply is unrealistic to assume that the managers or proprietors of computer systems--governmental or private--will take

it upon themselves to protect the public against misuse of the data in their custody.

... Information is being gathered, recorded, and disseminated with a Let-George-Worry-About-It philosophy that is putting us on the pathway toward a dossier dictatorship.¹⁶

In 1973, the National Advisory Commission on Criminal Justice Standards and Goals noted that the scope and effectiveness of pre-computer criminal justice information systems were limited because of the scattering of data in many difficult-to-link manual files, characterized by poor access and storage problems. "The use of the computer has corrected these inefficiencies and removed whatever protection they may have provided to individual privacy."¹⁷ Therefore, according to the Commission, "computer-based information systems require conscious planning for protection of personal privacy."¹⁸

Counteracting the computer's perceived threat to privacy was the realization by many that the very efficiency of the computer and the enhanced potential for interagency information sharing greatly facilitated the necessary task of keeping track of an increasingly mobile criminal population.¹⁹ Moreover, many realized that computers could be programmed (1) to help identify--through routine editing or "data cleaning" operations--inaccurate or incomplete data; (2) to provide prompt reports updating arrest data with subsequent dispositions; and (3) to supply audit trails indicating those agencies or individuals that accessed a given criminal history record. Such advantages of automated data systems prompted a U.S. Attorney General to comment, "The computers which

contribute so much to the apprehension about abuse of criminal records can provide the best protection for them.... The computer should be recognized as a potentially powerful ally of privacy interests."²⁰

Many privacy-related fears apparently stemmed from misinformation, as documented by the National Academy of Sciences 1972 report regarding its three-year project on computer data banks. A summary of the report noted that, over and over again,

the Project's findings indicate profound public misunderstanding about the effect of computers on large scale record systems. To some extent, the inflated claims and proposals of organizational managers about the capacities of their computer systems helped to generate what were in fact baseless concerns for privacy on the part of the public.²¹

The advent and spread of computer usage was, therefore, regarded as a mixed blessing. Privacy-related efforts during and subsequent to the 1960-1975 period can be thought of as attempts to balance the privacy interests of the individual with the data needs of society while retaining the advantages (and curbing perceived abuses) of automated information systems.

During those 15 years, a number of organizations, agencies, and commissions sought to clarify the privacy issue and to provide guidelines.

In 1967, a report of the President's Commission on Law Enforcement and Administration of Justice discussed measures regarding the security, completeness, access, and audit of criminal history records.²²

In 1969, Project SEARCH (System for Electronic Analysis and Retrieval of Criminal Histories) was created to provide an orderly and efficient means of developing, evaluating, and implementing state criminal justice information systems. SEARCH and its successor organization, SEARCH Group Incorporated (SGI), have pursued the privacy and security issue through the years. Among the organization's publications on the subject:

- Security and Privacy Considerations in Criminal History Information Systems (Technical Report No. 2, 1970)--describes potential security and privacy problems arising from a prototype criminal history information system and discusses possible solutions.
- A Model State Act for Criminal Offender Record Information (Technical Memorandum No. 3, 1971)--a suggested state statute to provide basic security and privacy safeguards. Suggested regulations to implement the model legislation were proposed in Model Administrative Regulations for Criminal Offenders Record Information (Technical Memorandum No. 4, 1972).
- Standards for Security and Privacy of Criminal Justice Information (Technical Report No. 13, 1975, rev. 1978)--proposes standards for legislation to ensure the security of criminal justice information systems, the confidentiality, completeness, and accuracy of the information in them, and the privacy rights of the individuals to whom the information relates (discussed in more detail later).

In 1972, the National Academy of Sciences completed its project on computer data banks and issued its report Databanks in a Free Society, which was a factual study of how computers were affecting the recordkeeping processes in the United States and what the growth of large scale data banks, both manual and computerized, implies for the citizen's constitutional rights to privacy and due process.²³

In January 1973, the National Advisory Commission on Criminal Justice Standards and Goals published several privacy and security standards, including those relating to physical security, access, completeness, accuracy, audits, dissemination, and challenge.²⁴

In July 1973, the Secretary's Advisory Committee on Automated Personal Data Systems (Department of Health, Education, and Welfare) released its report Records, Computers, and the Rights of Citizens, which explores changes in American society stemming from the use of computers to keep records about people, probes the relationship between individuals and recordkeeping organizations, and concludes that computers enable recordkeeping systems to affect people more easily than people can affect recordkeeping systems. The Committee proposed a Code of Fair Information Practice, which has made a significant impact on information policymaking at both the state and federal levels. Because of the Code's wide-ranging influence, the five principles on which it is based are noted in Exhibit A.2.²⁵

The 1960-1975 period also generated substantial privacy-related activity on the legislative front, which peaked toward the end of the period. For example, between 1973 and 1974 approximately 250 privacy bills were introduced in Congress and well over 100 in state legislatures. According to an LEAA survey, however, by 1975 15 states did not have privacy and security legislation (or regulations) pertaining to criminal justice information; of those enacting such laws, most refrained from legislating comprehensive codes.²⁶

Exhibit A.2

PRINCIPLES OF FAIR INFORMATION PRACTICE PROPOSED IN 1973
BY THE ADVISORY COMMITTEE ON AUTOMATED
DATA SYSTEMS (HEW)

1. There must be no personal data recordkeeping systems whose very existence is secret.
2. There must be a way for an individual to find out what information about him is in a record and how it is used.
3. There must be a way for an individual to prevent information about him that was obtained for one purpose from being used or made available for other purposes without his consent.
4. There must be a way for an individual to correct or amend a record of identifiable information about him.
5. Any organization creating, maintaining, using or disseminating records of identifiable personal data must assure the reliability of the data for their intended use and must take precautions to prevent misuse of the data.

As for federal legislative efforts, they may be viewed as attempts to harmonize the estimated 110 to 150 confidentiality statutes in the United States code.²⁷ The HEW Advisory Committee observed that although "there is a number of statutes and regulations that collectively might be called the 'law of personal-data record keeping' they do not add up to a comprehensive and consistent body of law."²⁸ In what might be called an effort to remedy that situation, Congress passed a number of significant privacy laws in the period from the late 1950s to the mid-1970s. These laws pre-saged some of the provisions subsequently contained in the DOJ/LEAA privacy and security regulations.

In 1958 Congress enacted the Moss-Hennings Bill, which stated that the provisions of a 1789 "housekeeping" statute permitting federal department heads to regulate the storage and use of government records did not authorize withholding information or records from the public. Though the law stimulated some improvement regarding the accessibility of federal records, most agencies continued to operate in accordance with Section 3 of the Administrative Procedure Act of 1946, considered by many to encourage withholding rather than disclosure. That Act was amended in 1966 through passage of the Freedom of Information Act (FOIA), described as "milestone legislation that reversed long-standing government information practices."²⁹

Upon enactment of the FOIA, the burden of proof was shifted from the individual to the government: the onus was upon the government to justify secrecy rather than upon individual to justify access. The FOIA states that any person should have

access to identifiable federal records without having to demonstrate a need or even a reason. Though specifying nine categories of records (including investigatory files) exempt from disclosure, the Act served to broaden the scope of information available to the public and provided judicial remedies for those wrongfully denied information.

Access to government files was further eased and speeded by the 1974 amendments to the FOIA. Among other things, they required agencies to publish comprehensive indexes for the administrative processing of requests for information and shortened the government's time for answering complaints brought into court. Moreover, the amendments narrowed the exemption accorded investigatory files by providing for their disclosure unless one or more of six specified harms would result from the release of such records.

The Fair Credit Reporting Act of 1970 imposed various privacy-related requirements on consumer-reporting agencies, which include credit bureaus, investigative reporting companies, and other organizations whose business is to gather and report information about individuals for use by others in deciding whether individuals who are the subject of such reports qualify for credit, insurance, or employment. The legislation contains standards pertaining to the completeness, accuracy, currency, access, challenge, and use of data gathered by consumer-reporting agencies.

Yet another piece of federal legislation foreshadowing subsequent requirements of the DOJ/LEAA privacy and security regulations is the Family Educational Rights and Privacy Act of 1974. The statute provides access by parents, or students over 18, to

the student's school records, challenge and correction rights, and an administrative appeal process. In addition, the Act requires schools to maintain a log of disclosures to third parties.

Finally, the Federal Privacy Act of 1974, which applies only to the executive branch of federal government, is intended to assist individuals in obtaining information about themselves, whereas the FOIA is designed to be used by persons seeking many kinds of information.³⁰ The Privacy Act regulates access to and the collection, maintenance, use, challenge, correction, and disclosure of information contained in federal agency record systems that are accessible by personal identifiers.³¹

The DOJ/LEAA privacy and security regulations are, in a sense, the federal response to a need for criminal history record standards identified in the congressional debates on the Privacy Act. (The Privacy Act automatically exempts record systems of federal law enforcement agencies from many of the Act's requirements and permits such agencies to claim a "specific" exemption from the great majority of the Act's requirements.)

A number of Privacy Act provisions are analogous to the requirements later contained in the DOJ/LEAA regulations. For example, the Act generally requires federal agencies to maintain personal information in a manner that is accurate, timely, relevant, and complete; to maintain logs recording most types of third-party disclosures; to establish appropriate administrative, technical, and physical safeguards for their record systems;³² to permit a data subject to review and obtain a copy of his or

her record; and to follow an appeal procedure in the event of a denial of a subject's correction request.

At this point, the stage had been set for the development and issuance of federal regulations governing criminal history record information and for the fulfillment of a "prophecy" made in an influential book published in 1969:

Despite the foreboding, the coming of the data bank and the computer may prove a blessing because it may provide collection units which are susceptible to regulation in the interest of accuracy and privacy, in a way which the present decentralized situation makes virtually impossible.³³

1975 and Beyond -- DOJ/LEAA Regulations and Other Developments

Within the foregoing context of privacy legislation and other related activity, a chain of events commenced that ultimately led to the issuance of the DOJ/LEAA regulations in May 1975 and their subsequent amendment in 1976 and 1977 (see Exhibit A.3).³⁴ The full text of the regulations appear as Appendix B. Exhibit A.4 presents their highlights.

In April 1976, LEAA issued Privacy and Security Planning Instructions to provide clarification and explanation of the regulations and to assist agencies in preparing and implementing the required state privacy and security plans. Also clarifying the regulations is LEAA's Privacy and Security of Criminal History Information: A Guide to Dissemination (1977).

(As noted in Exhibit A.3, the DOJ/LEAA privacy and security regulations implemented Section 524(b) of the Omnibus Crime Control and Safe Streets Act. Section 20.21(b)(4) of the regulations

Exhibit A.3

EVENTS LEADING TO FINAL DOJ/LEAA PRIVACY AND SECURITY REGULATIONS

<u>Events</u>	<u>Significance</u>
1970 Mathias amendment to crime control legislation enacted.	<ul style="list-style-type: none">. LEAA called upon to submit privacy and security recommendations to President and Congress.. Follow-up legislation not acted upon.
1973 Amendment to Omnibus Crime Control and Safe Streets Act of 1968 enacted as Section 524(b)	<ul style="list-style-type: none">. Mandated completeness, accuracy, privacy, and security of criminal history information, and provided for challenge and correction.. Basis for future DOJ/LEAA regulations.
1974 Draft regulations (highlights at right) published in February. Revised and put in final form in September but not issued in anticipation of congressional passage of comprehensive privacy and security law (not forthcoming).	<ul style="list-style-type: none">. Dissemination guidelines.. Review-and-correction procedures.. Requirement for states to develop plans for keeping criminal information "complete, accurate, and current.". Plans to be operational by 7/1/76.
May 1975 "Final" regulations issued (28 CFR Part 20) reflecting numerous changes in 2/74 version.	<ul style="list-style-type: none">. Requirements established in five basic areas: completeness and accuracy, dissemination, audit, security, and access and review. Procedures to be operational by 12/31/77.. DOJ/LEAA soon receives objections to limitations on dissemination and to dedicated computer requirement.
October 1975 DOJ/LEAA proposes amendment to 5/75 regulations	<ul style="list-style-type: none">. Dedicated computer requirement to be eliminated.

Exhibit A.3 (Continued)

<u>Events</u>	<u>Significance</u>
March 1976 Revised regulations are issued.	<ul style="list-style-type: none">. Dedication mandate deleted.. Less stringent dissemination limitations.
December 1977 DOJ/LEAA amends regulations	<ul style="list-style-type: none">. Deadline for fully operational state privacy and security plans extended from 12/31/77 to 3/1/78.. Extensions beyond 3/1/78 granted on case-by-case basis only.

Exhibit A.4

HIGHLIGHTS OF DOJ/LEAA REGULATIONS REGARDING
CRIMINAL JUSTICE INFORMATION SYSTEMS (28 CFR Part 20)

Applicability of Regulations

All state and local agencies and individuals having received LEAA funds for collection, storage, or dissemination of criminal history record information in either manual or automated systems since 7/1/73.* (20.20)

Criminal History Record Information (CHRI)

Data collected on individuals consisting of identifiable descriptions and notations of arrests and of any of the full range of possible dispositions--e.g., any of the basic OBTS/CCH data elements. EXCLUDED are intelligence and investigative information; psychiatric records, social histories, photographs, fingerprint records, and the like, when such information does not indicate specific involvement of person with criminal justice system; statistical data not identifying particular individuals. (20.3b)

Limitations on Dissemination**

Regulations do not limit dissemination of the following CHRI:

- . Conviction data, including pleas and nolo contendere.
- . Information about an offense for which an individual is currently within the criminal justice system.
- . Data in "wanted" posters, announcements, lists.
- . Notations in original records of entry (such as police blotters) compiled chronologically and open to public by law or custom.
- . Data in court records of public judicial proceedings, published court or administrative opinions, records of traffic offenses maintained for licensing purposes, announcements of executive clemency.

Agencies may disseminate CHRI for purposes of international travel and granting of citizenship, may respond to specific CHRI requests from media if data are in sources exempt from regulations (no matter how dated the information), may transmit CHRI to other criminal justice agencies, and must give CHRI to subject individuals who challenge it.

Otherwise, dissemination of CHRI, including juvenile data, is subject to limitations--see 20.21(b)(c)(d).

Exhibit A.4 (Continued)

Completeness and Accuracy

Arrest data at central state repository (CSRs are optional) and available for dissemination must be updated with dispositions within 90 days of disposition. Agency must query CSR, if any, prior to dissemination of CHRI to assure competence.*** Agencies must implement audits and other quality control procedures to assure accuracy of data. (20.21a)

Audits and Related Records

If representative sample of state and local criminal justice agencies are to be audited annually by the state to verify adherence to regulations. Related records include names of all persons and agencies receiving disseminated data, and dates of dissemination. (20.21e) Annual state audits are in addition to the agency-conducted audits noted under "completeness and accuracy."

Security Requirements

Must adhere to security standards issued by the state. Computer data processing may be shared or dedicated, and procedures must preclude access by noncriminal justice terminals. Other requirements relate to programs, personnel, physical security, and accountability. (20.21f)

Access and Review

Implement procedures to permit individuals to challenge, review for completeness and accuracy, and correct CHRI, including agency notification of all criminal justice recipients of corrections to previously disseminated CHRI. (20.21g)

*The regulations do not apply to agencies receiving criminal history record information (CHRI) from LEAA-funded agencies if the receiving agencies have not been granted LEAA funds for the collection, storage, or dissemination of CHRI, except to the extent the regulations are incorporated into the user agreements the recipients would be required to sign.

**"Dissemination" is not defined in the regulations. However, LEAA defines the term as the disclosure of information to anyone outside the criminal justice agency maintaining the information, except those disclosures to a local, state, or federal repository.

***Except in those cases in which time is of the essence and the repository is technically incapable of responding within the necessary time period. Queries are required even when dissemination is to another criminal justice agency, except when reposting "up the line" to the next appropriate agency (as when police transfer arrest reports to prosecutors or when an agency reports CHRI to NCIC).

governs dissemination of criminal history information for research, evaluative, and statistical activities, and alludes to a separate set of forthcoming regulations pertaining to such dissemination. Those regulations were proposed in September 1975 and issued in final form in December 1976 (28 CFR Part 22). They implement Section 524(a) of the Omnibus Crime Control and Safe Streets Act. According to the 1976 regulations, when criminal history information is released for research or statistical purposes, an agreement ensuring the confidentiality of the data must be entered into between the criminal justice agency and the recipient of the data.³⁵⁾

In the same month that DOJ/LEAA promulgated revised privacy and security regulations (March 1976), the Supreme Court handed down its decision in Paul v. Davis (424 U.S. 693). The Court held that police officials could, without violating any provision of the Constitution, include on a publicly circulated flyer of "active shoplifters" the name and photograph of an individual who had been arrested for shoplifting but whose guilt or innocence had not yet been resolved (the charge was dismissed subsequent to the flyer's distribution).

As one analysis of the case notes, the Court "concluded that official defamation of an individual by imputing criminal conduct to him, in the absence of other more tangible injury, did not violate any right to privacy or due process of law protected by the Constitution."³⁶ The Court specifically noted the "zones of privacy" that may be created by constitutional guarantees but

stated that Davis "comes within none of these areas." However, as pointed out in one legal commentary, the Court addressed the privacy question "by way of dicta (which has no binding effect, but which may foreshadow the future direction of the Court)."³⁷

Despite the generally accepted principle that "there is no question that part of the citizen's right to privacy is lost through engagement in criminal activities,"³⁸ the momentum generated by the privacy issue led some to advocate purging, expunging, or sealing of arrest and other criminal history records even if the data subject had been convicted.³⁹ Generally regarded as overreacting to concern over privacy, at least two states enacted laws that, for example, prevented police from acknowledging the presence of arrestees to parents, relatives, or bail bondsmen. Events such as these prompted one columnist, in 1976, to conclude that they constituted an "assault upon the historic protections against secrecy in the criminal justice system."⁴⁰ Another commentator noted, "Carried too far, protecting the privacy of a few can imperil the safety of all."⁴¹

The period since 1975 also saw the issuance of the final report of the Privacy Protection Study Commission, established for two years by the Privacy Act of 1974 and charged with assessing privacy protections throughout society. The Commission's multivolume report, Personal Privacy in an Information Society (July 1977), touched on criminal history records by expressing concern about insufficient control over their reliability and accuracy especially in view of their exchange among agencies,

by calling attention to what it regarded as unrestricted information flows from law enforcement to private agencies, and by calling attention to the provision of computer-communication services to state and local agencies by units of the federal government.⁴²

In January 1978, SGI issued a revision of its Technical Report No. 13, Standards for Security and Privacy of Criminal Justice Information, whose 25 standards are designed as a guide for possible federal, state, and local legislation. The report also contains a seven-point Code of Fair Criminal Justice Information Practice.

Though the pace of congressional activity regarding privacy questions has slackened somewhat since 1975, the issue is by no means dead. In mid-1978, for example, about 100 privacy bills were pending in Congress although none was said to deal directly with criminal history information.⁴³

At the state level, of course, a major privacy concern during the post-1975 years has centered on implementation of the DOJ/LEAA privacy and security regulations. As indicated by Exhibit A.3, fully operational state privacy and security plans were to have been in effect as of December 31, 1977, a deadline that was extended to March 1, 1978, with further extensions granted on a case-by-case basis only.

According to an LEAA-funded study involving visits to 18 states during the August-December 1977 period, however, "five years from now [December 1982] would be the earliest point in time when all states can reasonably be expected to have complied

with all five aspects of the Federal Regulations governing CHRI."⁴⁴ The report suggests that some aspects of the regulations will be easier to implement than others. Listed in order of increasing complexity are the following components of the regulations: individual access and review, limitations on dissemination, security, audit, and completeness and accuracy.⁴⁵ Among the implementation difficulties cited by the report are those related to costs and funding.

Therefore, at least as far as criminal history record information is concerned, the decades-long privacy debate has culminated in specific, widely applicable privacy and security regulations, whose price tag now becomes a very real focus of concern.

Developing the Model for Estimating Compliance Costs

In recent years, the cost associated with measures assuring citizens a reasonable degree of privacy has received increased attention. For example, in 1974, IBM and the State of Illinois published The Elements and Economics of Information Privacy and Security, which included a checklist of cost considerations.⁴⁶ In 1975, Honeywell Information Systems published a 150-page report that discusses a model for examining resource requirements and the cost impact of applying privacy regulations to personal data systems. Two systems operated by state law enforcement agencies were among the six large data banks on which the model was tested.⁴⁷

Also in 1975, a Rand Corporation paper explored the cost elements of implementing privacy protection requirements in "personal information databank systems."⁴⁸

In 1976, perceiving an urgent need for guidelines to analyze the fiscal impact on criminal justice systems of new legislation and other governmental mandates--including the security and privacy regulations--SGI published a general guide for doing so.⁴⁹

LEAA, of course, has received feedback from the states regarding the cost implications of the privacy and security regulations. According to LEAA,

a majority of states ... indicated that significant additions or modifications have to be made to their state "systems" in order to achieve compliance, and that in most cases additional state legislation must be enacted. A major problem of achieving both these objectives is the general uncertainty among states as to the ultimate costs involved in achieving compliance.⁵⁰

Such considerations led LEAA to contract with the Institute for Law and Social Research for the development of costing data and principles relating to the expense of achieving compliance with the regulations. LEAA notes that

state agencies responsible for implementation of the Regulations have stressed the need for this information in order to justify budget requests and to support legislative proposals. Estimations of privacy and security costs are also needed by LEAA for purposes of immediate and long-range program evaluation.⁵¹

NOTES

¹Department of Justice/Law Enforcement Assistance Administration regulations pertaining to criminal history records: 28 CFR Part 20.

²Kent S. Larsen, ed., Privacy, a Public Concern: A Resource Document (Washington, D.C.: Government Printing Office, 1975): v. This publication is based on the proceedings of a Seminar on Privacy sponsored by The Domestic Council Committee on the Right to Privacy and The Council of State Governments.

³Cited in IBM, The Considerations of Data Security in a Computer Environment (White Plains, N.Y., 1970): ii.

⁴Essentially, this was the position, during congressional hearings, of Senator Sam J. Ervin, Jr., and Arthur R. Miller, author of Assault on Privacy: Computers, Data Banks, and Dossiers. See U.S. Congress, Senate, Federal Data Banks, Computers and the Bill of Rights: Part I, Hearings before the Subcommittee on Constitutional Rights, 92nd Cong., 1st sess., February-March 1971 (Washington, D.C.: Government Printing Office, 1971): 2-6, 22-23.

⁵Griswold v. Connecticut, 381 U.S. 479 (1965).

⁶Alan F. Westin, Privacy and Freedom (New York: Atheneum, 1967): 369.

⁷See ibid.: 330-38.

⁸Griswold v. Connecticut, 381 U.S. 479 (1965).

⁹Paul L. Woodard, "People, Privacy and the Courts," Proceedings of the Third International SEARCH Symposium on Criminal Justice Information and Statistics Systems (Sacramento: SEARCH Group, Inc., 1976): 95-105.

¹⁰SEARCH Group, Inc., Criminal Justice Information: Perspectives on Liability, Technical Memorandum No. 12 (Sacramento, 1977): 14.

¹¹Ibid.: 11.

¹²Ibid.: 17.

¹³Alan F. Westin, "Keynote Address," Access to Criminal Justice Information: Summary Proceedings of the Forum on Criminal Justice Information Policy and the Law, Technical Memorandum No. 14 (Sacramento: SEARCH Group, Inc., 1977): 4.

¹⁴SEARCH Group, Inc., Standards for Security and Privacy of Criminal Justice Information, Technical Report No. 13, rev. (Sacramento, 1978): 16.

¹⁵Abraham S. Goldstein, "Legal Control of the Dossier," On Record: Files and Dossiers in American Life, ed. Stanton Wheeler (New York: Russell Sage Foundation, 1969): 442.

¹⁶U.S. Congress, Senate, Hearings, Federal Data Banks: 35-36.

¹⁷National Advisory Commission on Criminal Justice Standards and Goals, Criminal Justice System (Washington, D.C.: Government Printing Office, 1973): 114-15.

¹⁸Ibid.: 115. The National Advisory Commission echoed a conclusion reached six years earlier (1967) by the President's Commission on Law Enforcement and Administration of Justice, which stated that "the inherent inefficiencies of manual files containing millions of names have provided a built-in protection. Accessibility will be greatly enhanced by putting the files on a computer, so that the protection afforded by inefficiency will diminish, and special attention must be directed at protecting privacy."--The Challenge of Crime in a Free Society (Washington, D.C.: Government Printing Office, 1967): 268.

¹⁹U.S. Congress, Senate, Hearings, Federal Data Banks: 673.

²⁰Remarks of Attorney General Edward H. Levi to the National Association of Attorneys General. Cited in LEAA Newsletter, July-August 1976: 11. Many years earlier (1967), the President's Commission on Law Enforcement and Administration of Justice made a similar comment: "However, the new technology can create both more useful information and greater individual protection."--The Challenge of Crime in a Free Society: 268.

²¹Larsen, ed., Privacy: A Public Concern: 119.

²²President's Commission on Law Enforcement and Administration of Justice, The Challenge of Crime in a Free Society: 268. See also the task force report to the Commission, Science and Technology (Washington, D.C.: Government Printing Office, 1967): 74.

²³Major privacy studies in other nations also were subjects of reports in 1972: Privacy and Computers, Canadian Departments of Communications and Justice; Data and Privacy, Swedish Committee on Automated Personnel Systems; Report of the Committee on Privacy, Secretary of State of the Home Department, United Kingdom.

²⁴National Advisory Commission on Criminal Justice Standards and Goals, Criminal Justice System: Chapters 7 and 8.

²⁵The five principles were subsequently incorporated into two major federal privacy statutes: the Privacy Act and the Family Educational Rights and Privacy Act, both enacted in 1974.

²⁶Law Enforcement Assistance Administration, Compendium of State Laws Governing the Privacy and Security of Criminal Justice Information (Washington, D.C.: Government Printing Office, 1975). Among the states that did enact comprehensive statutes pertaining to criminal justice information systems: Alaska, California, Iowa, Maryland, Massachusetts, Minnesota, and Oregon.

²⁷U.S. Congress, Senate, Hearings, Federal Data Banks: 18.

²⁸Secretary's Advisory Committee on Automated Personal Data Systems, Records, Computers, and the Rights of Citizens (Washington, D.C.: Government Printing Office, 1973): 34-35.

²⁹U.S. Congress, House, Committee on Government Operations, A Citizen's Guide on How to Use the Freedom of Information Act and the Privacy Act in Requesting Government Documents, House Report 95-793, 95th Cong., 1st sess., (Washington, D.C.: Government Printing Office, 1977): 5. This comprehensive publication presents a highly readable examination of the Freedom of Information Act and the Privacy Act.

³⁰A basic difference between the FOIA and the Privacy Act is that the latter requires the disclosure of records containing personal information to the individual who is the subject of record but imposes restrictions on the disclosure of these records to others, whereas the FOIA requires that most types of information be released to anyone making a request provided that, among other things, it does not constitute a clearly unwarranted invasion of personal privacy. Congress intended that information sought under either the Privacy Act or the FOIA be released unless it could be withheld under both acts.

³¹The Privacy Act requires federal agencies to report publicly the existence of all systems of records maintained on individuals.

³²See, for example, U.S. Department of Commerce, National Bureau of Standards, Computer Security Guidelines for Implementing the Privacy Act of 1974 (Washington, D.C.: Government Printing Office, 1975).

³³Goldstein, "Legal Control of the Dossier": 443.

³⁴28 CFR Part 20. In related action, LEAA proposed guidelines (February 1978) regarding safeguards for operating criminal intelligence systems financed directly by the agency. The guidelines appeared in final form in the Federal Register on June 30, 1978.

³⁵To explain and discuss the research-related regulations, LEAA published the booklet Confidentiality of Research and Statistical Data (1978). The agency has also issued Confidentiality of Research and Statistical Data--A Compendium of State Legislation (1977). In its report Criminal Justice Research and Development (1976), the

National Advisory Committee on Criminal Justice Standards and Goals addressed the issue of confidentiality of research data (see Recommendations 2.1, 2.2, 2.3, and 5.5). The requirements of the Safe Streets Act's Section 524(a), the basis for LEAA's 1976 research-related regulations, were also included as part of the Juvenile Justice and Delinquency Protection Act of 1974.

³⁶Paul L. Woodard, "People Privacy, and the Courts."

³⁷SEARCH Group, Inc., Criminal Justice Information: Perspectives on Liability: 14. The National Association of Attorneys General has observed that courts "ordering expungement [of nonconviction arrest records] without statutory authority have relied on the constitutional right of privacy, but . . . Paul v. Davis may have stopped short the further development of constitutional privacy in this direction. See National Association of Attorneys General, Privacy: Personal Data and the Law (1976): Chapter 4.

³⁸National Advisory Commission on Criminal Justice Standards and Goals, Criminal Justice System: 116.

³⁹For example, see ibid.: 105. Also, see National Association of Attorneys General, Privacy: Personal Data and the Law.

⁴⁰J.R. Wiggins, "Privacy Laws: A Threat to Criminal Justice," Washington Post, March 15, 1976.

⁴¹Howard Flieger, "Baby's Bath Water," U.S. News & World Report, May 3, 1976: 88.

⁴²Privacy Protection Study Commission, Personal Privacy in an Information Society (Washington, D.C.: Government Printing Office, 1977): 534-36. The report of a federal task force formed to respond to the Commission's findings has not been released as of this writing. About eight months prior to the Commission's report, the National Advisory Committee on Criminal Justice Standards and Goals published Juvenile Justice and Delinquency Prevention, (Washington, D.C.: Government Printing Office: 1976), which contained a chapter on the security, privacy, and confidentiality of information about juveniles.

⁴³According to information available at the congressional Bill Status Office.

⁴⁴MITRE Corporation, Privacy and Security Survey and Assessment: Final Report, draft (1977): 26.

⁴⁵Ibid.: 80-81.

⁴⁶State of Illinois and IBM, The Elements and Economics of Information Privacy and Security, Project SAFE (Springfield, Ill., 1974).

⁴⁷Robert C. Goldstein, The Cost of Privacy: Operational and Financial Implications of Databank Privacy Regulation (Boston: Honeywell Information Systems, 1975). This report reflected the work of Goldstein's 1974 Harvard Business School doctoral thesis, "The Cost of Privacy." The March-April 1975 issue of the Harvard Business Review contained a related article ("Personal Privacy Versus the Corporate Computer," by Robert C. Goldstein and Richard L. Nolan), which notes that the model calculates costs (start-up and ongoing) in six categories: programming, computer processing, information storage, data communications, administration, and capital equipment.

⁴⁸Rein Turn, Cost Implications of Privacy Protection in Databank Systems (Santa Monica, Calif.: Rand Corporation, 1975).

⁴⁹SEARCH Group, Inc., A Guide for Analyzing the Fiscal Impact of Legislation, Regulations, Orders and Programs on Criminal Justice Systems, Advisory Bulletin No. 1 (Sacramento, 1976).

⁵⁰Law Enforcement Assistance Administration, "Statement of Work," Contract J-LEAA-026-77, August 28, 1977.

⁵¹Ibid.