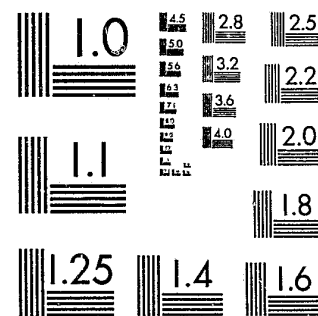


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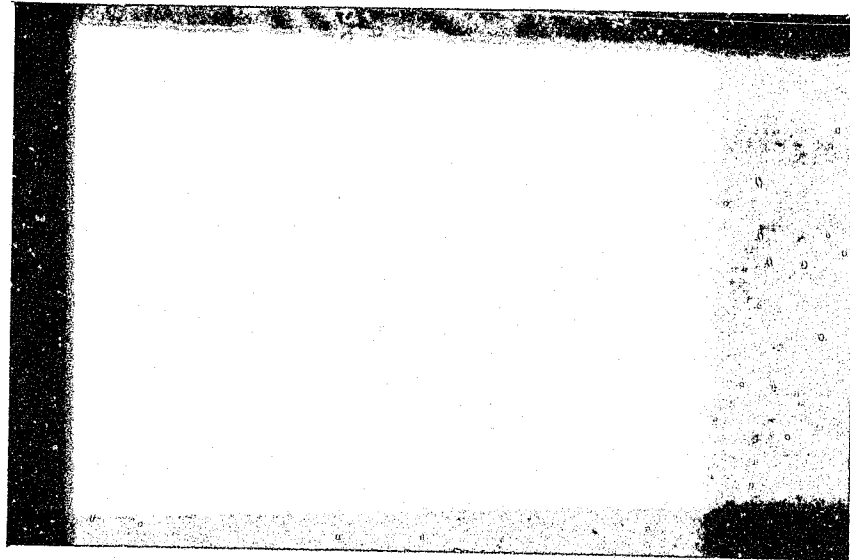
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IMPLEMENTATION OF THE INTEGRATED CRIMINAL
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A CASE STUDY

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NCJRS

MAY 27 1983

ACQUISITIONS

Submitted to:

Office of Program Evaluation
National Institute of Justice
Office of Justice Administration, Research and Statistics
U.S. Department of Justice
(Grant #78-NI-AX-0145)

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March 1981

U.S. Department of Justice
National Institute of Justice

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PREFACE

The Integrated Criminal Apprehension Program (ICAP), sponsored by the Law Enforcement Assistance Administration (LEAA), represents a comprehensive effort to introduce state-of-the-art planning, patrol and investigative programs into 52 police agencies across the country. It is a dynamic program which over the years has changed and expanded from its initial emphasis on improving patrol operations to include a broader range of operational and administrative functions within police agencies. The major program components of ICAP include:

- the operation of a crime analysis unit;
- the management of patrol operations;
- the management of criminal investigations; and
- the development of a police-oriented serious habitual offender program.

Participating police departments design and implement their own local ICAP project by choosing among the many objectives and activities encompassed within the major ICAP components listed above. A more detailed analysis of this process is provided in the **General Design and Guide for the Evaluation of ICAP** (p. 115-116). While the objectives and activities of some ICAP program components are common to almost all local projects (e.g., crime analysis), other components are not (e.g., management of criminal investigations). Considerable diversity exists across local ICAP sites in the emphasis given to various project activities and in the scheduling of their implementation. Consequently, it is not possible to apply a single evaluation design which would be applicable to each project. Therefore, sensitivity to the unique aspects of each site has been necessary in the design and conduct of this evaluation.

Given a considerable amount of intersite diversity and programmatic complexity, the national ICAP evaluation has applied a case study approach to four ICAP sites (Memphis, Tennessee; Stockton, California; Springfield, Missouri; Norfolk, Virginia) in order to describe and assess the implementation and functioning of the program. The case study approach has enabled the evaluation to address more fully the qualitative factors of organizational functioning which have shaped local ICAP projects. Detailed analysis of these four selected ICAP sites serves not only as an assessment of individual ICAP projects but provides a rich source of background information for the survey analysis of 25 additional ICAP sites.

The following report represents a case study of ICAP in the Stockton Police Department. The primary purpose of the report is to provide an in-depth description and assessment of Stockton's ICAP project as it has developed to date. Stockton is currently initiating its third ICAP grant and has been in the program slightly over three years.

This evaluation report describes both current and planned ICAP activities. Issues or factors affecting either the ICAP project or its evaluation are also identified and discussed. The evaluation begins with a

description of the federal program before proceeding to an overview of the city and the police department. In subsequent chapters, the ICAP project and each of its major components are described, a formative assessment is provided and suggestions are made concerning a summative evaluation of the project. The final chapter provides an overall assessment of the ICAP process and impact in Stockton.

The Stockton case study is one of a series of reports and briefings that were prepared during this evaluation. Other major reports in this series are listed below. Both reports are available from the University City Science Center.

General Design and Guide for Evaluation of the Integrated Criminal Apprehension Program (April 1979)

Refinement of a Quarterly Information System for the Integrated Criminal Apprehension Program, Volume 1, Overview and Recommendations, Volume 2, Case Studies (May 1980)

ACKNOWLEDGEMENTS

The author wishes to thank the many members of the Stockton Police Department who cooperated in this evaluation. The willingness and openness with which departmental personnel participated in the evaluation was gratifying. Based on his interest in ICAP as a mechanism for improving police department operations, Chief Julio A. Cecchetti provided the necessary support to permit the evaluation's extensive inquiry into all departmental operations involved with the ICAP project. His willingness to consider new ways of providing more effective and efficient police service to the community has created a departmental climate conducive to the implementation of innovations like ICAP in police work. Deputy Chief of Operations, Jack F. Calkins, and other members of Stockton's command staff lent their assistance in facilitating access to those individuals with information needed for this evaluation. A special note of thanks is accorded to David Yamada, the ICAP Project Manager, who handled the considerable number of requests for data and the other related requirements of the evaluation. His experiences and observations during the course of the evaluation provided a valuable perspective on the implementation of ICAP within a police department.

Very grateful appreciation and admiration is extended to the following project staff who bore the brunt of those additional tasks engendered by the evaluation: Officer Mark Herder, Officer Terry Buckingham, Officer Gary Armstrong, Officer Gary Faselli, Hal Spice, Chris Yamashita, Joni Marquez, Donna Hasenbuhler and Judy Heer. Their assistance and candor provided a qualitative depth to the report which would otherwise not have been possible. The clerical assistance of Marie Sakata and Cherrill Young notably aided in the evaluation's compilation of project documents.

Appreciation is also extended to evaluators Emory Williams and Dennis Moore for their on-site observations and reports. Richard Harkness, Stockton's Phase I local evaluator, provided useful information on the first year of the ICAP project. Preparation and typing of this report has been patiently done by Science Center staff members Carol Dill, Violet Sewell and Mary Blount.

Staff members of both the National Institute of Justice (NIJ) and the Law Enforcement Assistance Administration (LEAA) served on the advisory board for this project. Their cooperation with and support of the evaluation was invaluable. Frank Vaccarella of NIJ served as project monitor and guided the evaluation administratively and conceptually. Robert Heck, the ICAP program monitor in LEAA opened his grant files to us and provided valuable program information. Ralph Swisher's review of earlier reports led to a strengthening of our analysis at a number of places. Finally, Gerald Levine of LEAA's evaluation office provided comments upon the evaluation design and draft reports.

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CHAPTER I

INTRODUCTION

A growing demand for public services combined with a trend toward fiscal austerity has forced many public agencies to recognize the need for planning and implementing programs which can result in greater productivity from available resources. Like other public agencies, police departments have been affected by this trend. Local police agencies have experimented with a number of programs including community oriented policing, investigative case screening, improved allocation methods and crime analysis in order to better utilize available resources. In addition to these local efforts, the Law Enforcement Assistance Administration (LEAA) has sponsored the development, implementation and transfer of these as well as other promising managerial techniques for improving police service delivery.

The Integrated Criminal Apprehension Program (ICAP) sponsored by LEAA represents a comprehensive effort to introduce several state-of-the-art planning, patrol and investigative programs to a wide range of police agencies across the country. ICAP draws upon research sponsored by the National Institute of Law Enforcement and Criminal Justice (NILECJ) and operational programs sponsored by the Office of Criminal Justice Programs (OCJP), as well as the efforts of individual police departments, to develop improved systems of service delivery. The ICAP program has developed over a period of several years. When it was initially conceived ICAP was aimed largely at improving patrol operations. Although this emphasis has remained at the heart of ICAP since its inception, the program has expanded to include the investigative process, warrant service and serious habitual offender programs. It must be emphasized that ICAP is not a static program, but one that has changed since the first grants were awarded in 1976.

DEVELOPMENT OF ICAP, 1975-1980

The development of ICAP as well as the transfer of the program to operational settings is managed by LEAA's Office of Criminal Justice Programs. Prior to the beginning of the PEP-ICAP program¹ in 1976, the OCJP had focused most of its attention in the law enforcement area upon providing short-term on-site technical assistance to police agencies. This technical assistance addressed the specific requests of local police agencies and was largely a reactive response by the OCJP to foster change and innovation in local law enforcement agencies. PEP-ICAP represented a major shift in the OCJP operational philosophy towards a mix of both reactive and proactive technical assistance efforts.

The PEP program was first announced in the Discretionary Funding Guide in July 1975. The program began in 1976 when sixteen departments were awarded discretionary grants averaging \$210,000. The initial focus of PEP

¹ICAP originally began as the Patrol Emphasis Program (PEP). As elements were added to PEP, it became known as ICAP.

as described in the 1975 Discretionary Funding Guide was to enhance the anti-crime efforts of police departments, especially patrol. To be eligible for participation in PEP, departments were required to establish both a crime analysis and a crime prevention unit. The recommended strength of these units was to be 3% and 1% respectively of a department's total sworn complement. In addition, grant applicants were required to closely coordinate the activity of these units with patrol operations.

Several themes emerged as PEP-funded departments began operations. First, there was a growing emphasis upon strategies for the allocation of patrol personnel since departments were encouraged to use crime analysis and calls for service in planning deployment. Second, departments were urged to develop more rigorous preliminary investigations, use solvability factors to facilitate investigations and concentrate upon serious habitual offenders. Overall, the PEP objectives were aimed at enhancing the role of the patrol officer and generally expanding patrol's role in planning and community relations. Although the outlines of the program were formulated by the OCJP, the participating departments were largely left to their own resources in developing specific PEP activities.

During 1976 several events occurred that eventually led to the development of more specific PEP-ICAP objectives and program activities. The OCJP set aside approximately \$10,000 per department from its technical assistance funds for ICAP program development. The Westinghouse National Issues Center (WNIC) was retained with this money to further develop PEP-ICAP, conduct on-site assessment, provide technical assistance, plan conferences and prepare program materials.

In the months following the specification of technical assistance needs and problems, the OCJP with the aid of WNIC began to more fully develop the PEP-ICAP concept. The Discretionary Fund Guidelines for ICAP, published in September 1976, were more detailed than the PEP guidelines they replaced. The 1976 ICAP guidelines continued to emphasize the development of crime analysis and crime prevention units to support patrol operations. In addition, there was a growing emphasis upon improving preliminary investigations, developing case solvability factors and apprehending career criminals.

During 1977 the level of on-site technical assistance was minimal. Instead, the OCJP embarked upon a major effort to develop manuals detailing the various ICAP components and to provide program guidance in a series of nationwide ICAP conferences. This effort resulted in the preparation and distribution of several volumes by WNIC describing the ICAP approach to crime analysis, patrol operations, and records and reporting systems. Until the publication of these manuals, participating departments had only the bare outline of what an ICAP program might look like. In addition to the crime analysis, patrol and records manuals, the OCJP sponsored three crime analysis conferences in June of 1977. A fourth conference for program managers held in August enabled the OCJP to more efficiently orient both new and old ICAP departments to the emerging ICAP program and to allow these departments to share their experiences. Toward the close of 1977, WNIC made a round of site assessment visits to review the status of each ICAP project, provide limited technical assistance and design their technical assistance effort for 1978. A monthly newsletter was initiated in late

1977 to provide program participants with information about ICAP happenings. Exhibit 1 outlines the major developmental phases of ICAP.

The growth of ICAP continued. Fourteen new departments entered the program during FY 1978. The technical assistance budget grew to approximately \$410,000, and individual grants for FY 1978 amounted to nearly \$9 million, more than double the amount for the previous fiscal year. By the end of 1978 there were 42 operating ICAP sites. To handle the growth in the program, ICAP staff in the OCJP was increased from one person to four. The additional staff were better able to handle the tasks of administering the ICAP technical assistance program and grant processing. However, their ability to be responsible for all ICAP program development and monitoring remained limited because of the large number of participating departments and because of their need to administer other OCJP police programs.

As in earlier years, the primary responsibility for developing ICAP materials and providing technical assistance remained with WNIC in 1978. The policy of developing greater program specification through the preparation of manuals continued. In addition, a more concerted effort was made to transfer ICAP to each grantee through cluster conferences. The number of cluster meetings increased from four in 1977 to seven in 1978. The manuals produced in 1978 included an ICAP implementation guide, a book of patrol readings that focused upon resource allocation, a training manual, and a guide for developing a communications system that described methods for prioritizing calls for service. Toward the end of 1978, participating departments were introduced to a quarterly reporting system that would allow the OCJP to systematically monitor the development of the ICAP program in each site. Data collection for this system began during the last quarter of 1978. Although the quarterly reporting system had the potential for being used as a rigorous monitoring device, the failure of LEAA to provide personnel or contract resources to collate and analyze the reports has negated the potential of this data collection effort (Moore, Beall, and Gay, 1980).

As ICAP began its fourth year of operation in 1979, considerable progress had been made in developing the program, specifying its various components through a series of manuals, providing technical assistance at conferences and in developing a monitoring system for the OCJP. In spite of this activity some gaps existed in providing the participating departments with the level of program specification and technical assistance needed to fully develop the ICAP concepts. Although the manuals have provided considerable detail for the crime analysis and patrol components of ICAP, the investigative and career criminal components have received less attention.

The highpoint for ICAP was in 1979. The last group of six new departments was brought into the program in July of that year. At approximately the same time the technical assistance contract which had provided considerable programmatic support came to an end. By the close of 1979, four federal program monitors were burdened with the entire responsibility for managing approximately 40 active ICAP grantees across the country. Efforts to provide program guidance continued. Cluster meetings on a more limited regional basis were held, and a group of senior ICAP project directors

EXHIBIT 1

ICAP PROGRAM DEVELOPMENT

YEAR/QUARTER	NUMBER OF NEW SITES FUNDED	ICAP PROGRAM SUPPORT ACTIVITIES		
		Resource Documents	Conference/Cluster Meetings	Site Assessments
1976 1 2 3 4	1 3 4 3	ICAP DF Guidelines		September-October 1976 16 Sites Status Report
1977 1 2 3 4	1 3 10 3	Crime Analysis Patrol Operations Records & Reports Program Guide Monthly Newsletter	Crime Analysis - April, May, June Program Managers - August	October-December 1977 31 Sites Status Report
1978 1 2 3 4	3 1 0 10	Implementation Guide Patrol Readings Training Communications Quarterly Report	Program Managers - March Crime Analysis - April Chief Executives - May Patrol Managers - June Communications - August Evaluation - October	
1979 1 2 3 4	0 0 6 0		Program Managers - May New City-Oriented - July City Administrators - October Investigations Management - December	January-March 1979 41 Sites Status Report Technical Assistance Ends Technical Assistance Research Team (TART) formed
1980 1 2 3 4	0 0 0 0	Records & Reports- Revised Quarterly Report- Revised Crime Analysis- Revised	Crime Analysis - April Patrol Operation Mini - September Midwest Mini - August Southeast Mini - September Crime Analysis Mini - October Northeast Mini - December	Limited Technical Assistance Begins

formed a resource committee to provide and coordinate technical assistance among the sites. The most serious degradation of the federal government's responsibility to guide the program occurred in the project review and monitoring process. The technical assistance contractor had provided an annual on-site review of each project. This was last provided in the first quarter of calendar year 1979. Furthermore, although a quarterly monitoring system had been established in the last quarter of 1978, LEAA did not provide the resources to systematically review and use the quarterly data for project monitoring purposes.

In 1980 a small amount of technical assistance money was again made available to ICAP. These funds were used primarily to prepare a bi-monthly newsletter. During the same year the Carter Administration recommended, and Congress supported, the dissolution of the Law Enforcement Assistance Administration. By the last quarter of 1980, one federal program monitor was responsible for the phase-out of the program and the participating grantees. Although new funding ceased after September 1980, FY 80 monies already committed would continue to sustain the program in as many as ten departments through the first quarter of calendar year 1982. As 1980 drew to a close and this evaluation went to press, the Reagan transition team was considering continuation of ICAP.

ICAP DECISION METHOD AND PROGRAM MODELS

To understand ICAP it is necessary to recognize the two interrelated themes of the National Program. ICAP is 1) a **method for making decisions** and 2) a **series of program activities**. Rather than merely concentrating upon a series of innovative program activities, such as case screening, directed patrol and call prioritization, ICAP attempts to instill in the participating departments an ability to use and analyze information in order to make decisions. This is an important contribution to the way LEAA has conceptualized the program development and technology transfer process. ICAP, if successful, has the potential of exposing departments not only to innovative managerial and operational systems but also to a method of data collection, analysis and decision-making that can be used to sustain future innovative efforts that require analysis and planning skills.

The ICAP Decision Method

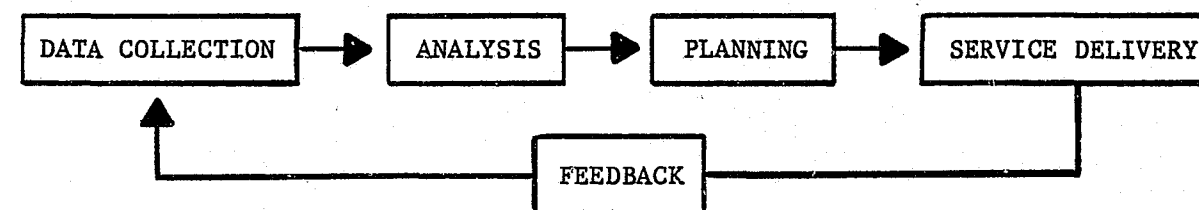
The ICAP decision-making method that participating departments are currently being exposed to, described in the **Program Implementation Guide** (1978), was not a part of PEP and was not introduced into the ICAP program until late 1977 and early 1978. Until that time, ICAP was a program of semi-related activities that had been developed by individual departments or generated through NIJ sponsored research and demonstration programs. The ICAP decision method was conceived to help police administrators develop a structured and integrated approach to police service delivery. This methodology can be used by departments to assess their operating procedures, study the need for the implementation of selected ICAP program components, plan new programs and monitor their implementation and operation.

The ICAP decision method is based upon the premise that the effective management of police resources requires the systematic and regular collection and assessment of information. This information, when analyzed, can provide police administrators with an improved tool not only to manage specific programs but also to integrate the various support and operational services necessary for the efficient and effective use of police resources. The ICAP decision method is an empirical-rational method that is quite appealing to reserchers and planners. It is a straightforward method of making decisions and monitoring the impact of those decisions. It must be cautioned, however, that police agencies are socio-political as well as technical systems and that the adoption of this method has met resistance as rational decisions mix with time-honored traditions.

There are four basic steps in the ICAP decision method (data collection, analysis, planning and service delivery) plus a feedback loop. These are displayed in Exhibit 2 and are described in more detail in the following section. Before discussing these steps, it should be noted that the first two steps in the process (data collection and analysis) have been emphasized and accorded more specification than the other steps. Various ICAP documents describe how these decision processes can be used to manage police resources.

EXHIBIT 2

ICAP DECISION METHODOLOGY



Data Collection: Within the ICAP decision method, information or data are considered the basic raw material or tool that police managers need in order to carry out their resource allocation and service delivery responsibilities. Unlike other police management information systems, ICAP focuses upon operational information rather than administrative data. Hence, the data collection component of ICAP focuses almost exclusively upon the collection and organization of data generated by patrol and investigative units. The ICAP Records and Reporting manual as well as the Communications and Crime Analysis Manual develop detailed methods for collecting and collating basic operational data. It is expected that this data will be used to make two separate but interrelated types of decisions. First, the activity data, when aggregated, can be used to review and perhaps change the strategic and tactical deployment of personnel. Second, crime data when

culled from the various reports, can be used to aid in the identification, apprehension and conviction of criminals.

The essential role that data collection plays in ICAP is that all relevant information sources are collected and integrated so that the police manager can make allocation and deployment decisions based on a variety of sources. This contrasts with the traditional method of police manager decisionmaking which is based on a limited number of information sources whose contents have not been integrated and structured in a format which provides an effective means of planning and implementing crime-specific tactics.

Analysis: Analysis, as specified in the ICAP model, utilizes information derived from the data collection phase to identify significant facts and derive conclusions. In order to implement the key ICAP components, the police manager must integrate and utilize the following types of analysis in program planning: crime analysis, intelligence analysis and operations analysis.

The **crime analysis function** is a set of systematic, analytical processes designed to provide police managers with timely and pertinent information about crime patterns and trends. The emphasis on crime analysis is based on the point of view that when incidents are not analyzed and classified, patrol managers frequently perceive that all events are isolated, and that there are no temporal or geographic patterns of crime.

Intelligence Analysis is the systematic collection, evaluation and dissemination of information on career criminals and organized criminal activity. In general, intelligence analysis focuses on organized crime which includes major rackets controlled by a syndicated organization, auto theft rings, credit card operations, land swindles, and other ad hoc criminal organizations. Within ICAP, intelligence analysis has usually been confined to developing a field interview program and creating a file of serious habitual offenders.

Both crime and intelligence analysis can be characterized as closed loop systems in that they require users of the information to provide continuous feedback into the system. This feedback may be formally communicated through reports available to the analysts during the data collection stage or informally through continuous dialogue with the analysts. This feedback provides the analyst with information necessary for judging whether the products are timely and appropriate to the needs of their users.

A department's **operations analysis** capacity involves the continuous collection and analysis of information related to police service delivery. Operations analysis provides police managers with information relative to the:

- departmental workload;
- manpower available to meet workload demands;
- distribution of patrol personnel; and
- assignment of departmental resources.

Planning: ICAP planning is, in reality, a decisionmaking process for police managers. It is based upon the principle that police departments operate from a sense of organizational purpose. This organizational purpose, when translated into goals and objectives, establishes a framework within which police managers make decisions. ICAP also emphasizes the involvement of a greater range of police managers in developing objectives, using information to plan activities, setting priorities and ultimately making decisions.

The planning responsibilities of the police manager in ICAP are to use the data and reports prepared by support personnel in the crime, operations and intelligence analysis units in order to establish operating priorities that bring the use of resources into line with the goals and objectives of the department. In effect, the police manager uses the objectives of the department as guidelines to be followed in using resources. ICAP planning involves two types of decisions - strategic and tactical. In general, strategic plans are made by command level personnel (captain and above), are policy oriented and establish the parameters within which line supervisors (lieutenants and sergeants) use patrol and investigative resources to deliver basic services. Strategic decisions in ICAP usually include the allocation of sworn personnel, prioritization of service calls, and use of solvability factors and investigative case management systems. Tactical planning is done by line personnel (lieutenants and sergeants) and is generally concerned with the deployment of manpower resources (personnel) by location and activity in response to short-term service delivery needs. ICAP emphasizes that tactical planning should rely heavily upon information developed by the crime and intelligence analysis functions. A primary ICAP tactical planning objective is to more carefully direct the use of patrol personnel to solve a community's major crime problems.

Service Delivery: The service delivery component of the ICAP decision method recognizes that the police perform a wide variety of activities ranging from crime related services to more general social services that do not require the presence of a uniformed officer. The intent of ICAP is to focus more of a department's resources upon crime related services. In addition, ICAP also attempts to integrate the activities of various units in the department so that crime fighting capabilities of the department are maximized. A good example of this has been the program's emphasis upon eliminating the automatic follow-up by investigators of all preliminary crime reports prepared by patrol officers. Finally, ICAP focuses on the prioritization of service demands. There is an implicit recognition that service demands generally outstrip resources and that police managers must make a conscious effort to prioritize what the department will do and when it will do it. ICAP addresses prioritization issues in its program elements that deal with calls for service and the assignment of investigative cases. Implicit in the ICAP planning component is a recognition that directed patrol activities should replace some of the time currently devoted to random preventive patrol. The program elements in the ICAP model discussed in the next section are designed to enhance the service delivery capabilities of the participating departments.

ICAP Program Model (Components)

The program components of the ICAP model are designed to offer police managers a range of managerial and operational procedures they can adopt

to improve their department's efficiency and effectiveness. The components address field operations and support services and fall into four categories:

- Analysis;
- Patrol Management;
- Investigations Management; and
- Serious Habitual Offender Apprehension

It should be noted that there is some overlap between the elements of the decision method and the program model. The analysis functions are identical in both the method and the model.

Analysis: The analysis function of ICAP has undergone considerable change and development as the program has matured. Although it has always been a primary component in the program, it has undergone greater specification with each revision of the ICAP program manuals. The initial PEP guidelines required departments to establish a crime analysis unit. This was continued under ICAP and accounts for the substantial grant resources that have been used to develop the crime analysis capabilities of participating departments. All participating departments have established crime analysis units, and most have made these units the focus for all ICAP planning and operational activities. The **Program Implementation Guide** (February 1978) describes three analysis functions - crime, operational and intelligence. The ICAP analysis functions are described in the preceding section on the ICAP decision method.

Patrol Management: ICAP represents a comprehensive effort to increase the productivity of patrol by focusing the resources of patrol upon crime prevention, deterrence and apprehension. ICAP's emphasis on the management of patrol operations is justified by the fact that patrol has the largest portion of department resources and employees and provides the greatest number of services to the public. ICAP's patrol management emphasis can be described as an effort to more productively allocate, deploy and direct the crime-specific tactics of patrol.

The implementation of ICAP's patrol management component is based on the philosophy that:

- Departments must systematically match deployment to workload conditions and manage service calls to increase the portion of patrol resources directed to perform crime specific prevention, deterrence, and apprehension tactics;
- Patrol is both the principal supplier and chief user of analysis information, and this information can be used by patrol commanders to determine the time, location and the portion of patrol resources that can be tactically directed to local crime problems; and

- Patrol must address overlapping crime, service, traffic and community relations issues, and that to effectively handle these competing demands, patrol supervisors must prepare task plans and specify the tactics that will be used to address specific problems identified by the analysis components of ICAP.

Investigative Management: The investigative component of ICAP is based upon materials prepared by the National Institute of Law Enforcement and Criminal Justice. A detailed description of this program is found in the **Managing Criminal Investigations Manual** (Cawley, Miron, Aravjo, Wasserman, Mannello and Hoffman, 1977) that was prepared for the Institute's Executive Training Program in Advanced Criminal Justice Practices. The Manual outlines the six components necessary to develop an improved system of investigative management. These components are generally designed to identify those cases that have the greatest potential for solution and to focus department resources on priority cases. The six components are:

- Patrol Role in the Initial Investigation;
- Case Screening;
- Management of Continuing Investigations;
- Police-Prosecutor Relationships;
- Monitoring of the Investigation System; and
- Investigative Organization and Allocation.

Although each of these program components has been incorporated into the ICAP model, only the first two have been emphasized in the implementation of ICAP. Since its inception, ICAP has stressed the need to involve patrol personnel in the initial investigative process. Hence, a major undertaking of ICAP has been to upgrade the quality of initial investigations so that patrol officers can make a recommendation as to whether or not a case warrants detective follow-up. This emphasis in ICAP has frequently led participating departments to redesign their offense report forms to incorporate solvability factors. ICAP regards case screening as part of a larger effort to manage the investigative process. For the most part, screening consists of a review of the patrol officer's preliminary investigation and the priority assigned to a case. As such, it is a quality control and review mechanism. Although ICAP recommends that case screening be performed by an investigations manager, some departments have assigned the screening function to patrol. In the latter case investigators play only a review role in the screening process.

Serious Habitual Offender: Although the focus of ICAP is upon police operations, the program itself is part of a larger OCJP effort designed to apprehend and convict career criminals. The Career Criminal Programs (CCP) funded by LEAA are managed by local prosecutors. (Program Guide: ICAP and CCP, 1977). In many ICAP cities the local prosecutor has a CCP grant. The function of the serious habitual offender component of ICAP is to focus the

department's attention upon career criminals and to coordinate police-prosecutor initiatives in this area. ICAP has identified two law enforcement functions that can support the prosecutor's career criminal program. These are the development of a special investigative function (unit) and an improved system to manage and serve warrants. The special investigative function is designed to aid departments in the early identification, investigation and case processing of crimes involving serious offenders. The key to this process is the development of a serious offender information system so that if these persons are arrested, patrol and investigative personnel will carefully prepare their cases and bring them rapidly to the attention of the prosecutor. The warrant service portion of ICAP is designed to reduce the large warrant backlog that many departments face. ICAP suggests that by improving warrant management, departments should be able to arrest serious offenders more rapidly and eliminate court delays.

THE NATIONAL ICAP EVALUATION

The National Evaluation of ICAP was originally planned as a four year effort by the National Institute of Justice and the Law Enforcement Assistance Administration. During the first two years of the study a detailed process evaluation of ICAP projects in four sites was planned. In addition, an overview of the ICAP process in an additional 25 departments was to be undertaken by using Quarterly Report data submitted to LEAA by ICAP project directors and by conducting a survey of these same project directors to fill in any knowledge gaps. The research strategy of combining four intensive case studies with survey data from 25 additional projects was designed to enhance the extent to which the intensive case study findings could be generalized to the population of all ICAP sites.

The four year evaluation period was determined by the length of the ICAP intervention, the complexity of the program and the desire to conduct both a process and impact evaluation. Because ICAP recommends that departments examine and implement major innovations in the areas of crime analysis, patrol operations and investigations, the grants have been multi-phased and have usually ranged over a four to five year period. The long term commitment of LEAA resources to the program and to the projects mark ICAP as a major effort to change the basic way in which many police agencies operate. Finally, the desire to conduct an impact evaluation demanded that sufficient elements of ICAP be implemented and routinized before the effectiveness of the program was reviewed. Program planners in LEAA and NIJ assumed that sufficient progress would have been made during the first two phases of an ICAP project (slightly over 3 years) to support an impact assessment.

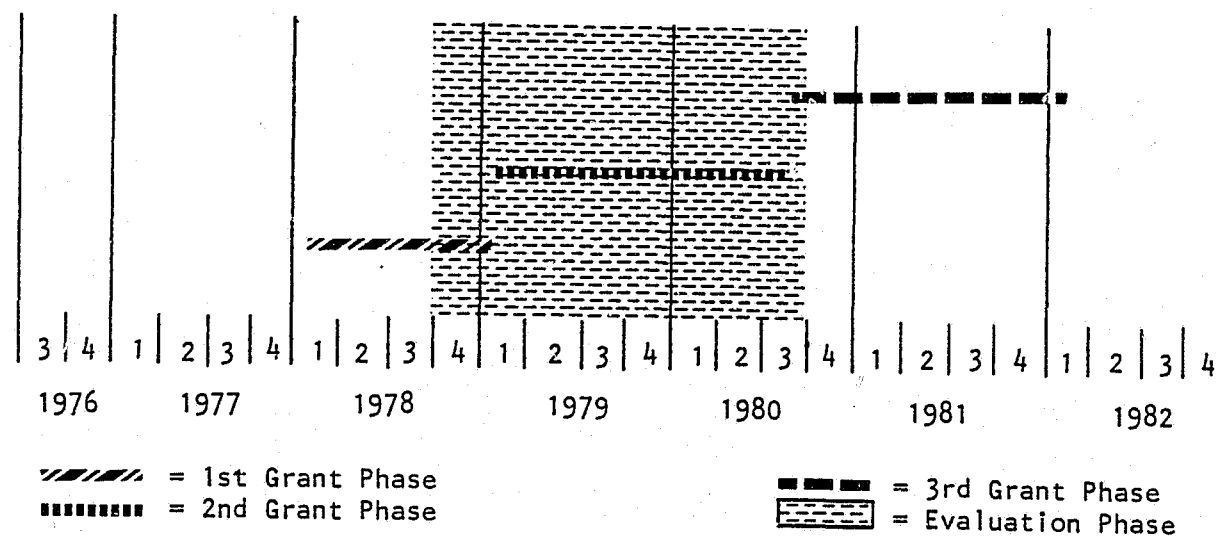
The material contained in this report addresses only the first phase process evaluation of ICAP in Stockton. While the information gathered from Stockton has provided a rich in-depth view of the dynamics which shape a local ICAP project, the utility of the current data is constrained by the time span which it covers. Because Stockton is still involved in the ICAP project, the current evaluation presents only a cross-sectional view of ICAP during the early and middle stages. This problem is illustrated in Exhibit 3. Preliminary findings from Stockton indicate that project activities are being phased in over the duration of the entire life of the project. Consequently, a detailed perspective on portions of the project

are missing from the current evaluation. Although portions of the ICAP model have been evaluated as separate components (e.g., managing patrol operations, managing criminal investigations and career criminal), some critical aspects of ICAP have never been intensively evaluated. Two impact questions which LEAA and NIJ planned to assess as part of the impact evaluation were:

- the effectiveness of crime analysis in supporting patrol and investigations; and
- the extent to which combining a large number of innovative strategies in a single department would improve police effectiveness.

EXHIBIT 3

PROJECT PHASE AND EVALUATION PERIOD - STOCKTON



The UCSC Evaluation Approach

The breadth and complexity of ICAP, as well as the diversity of the participating police agencies, have played a major role in structuring the pro-

cess evaluation. This complexity was discerned during a review of ICAP projects prior to the development of a detailed evaluation design. During the review process notable differences were found in each department's implementation of ICAP. Although similarities among some or all of the local sites existed, there were unique aspects to each project. A number of factors were identified as contributing to this diversity. Some of these were:

- That the national ICAP Program identified a broad set of goals and components but relegated the specification of each ICAP Project's objectives and activities to the local department. Through this implementation strategy, each local ICAP project could be expected to vary its choice of ICAP activities and the emphasis and resources that would be allocated to them.
- That departments joined ICAP at different times under varying degrees of program specification due to the evolutionary and dynamic program development that ICAP experienced over the years.
- That local conditions, resource limitations and resistance to change required the suspension of some ICAP components and activities and the adoption of an incremental approach to the phasing in of others.

The evaluation of the four intensive sites and subsequent visits to 25 additional sites by evaluators have supported these initial observations about project diversity and the contributory factors.

The variety found in the ICAP projects has precluded the application of any standard evaluation design across all sites. Rather, the approach utilized has involved the flexible use of a variety of evaluation methods. A more detailed discussion of this evaluation process and an overview of the ICAP program's development, its model and method may be found in Chapter I of the **General Design and Guide for Evaluation of ICAP** prepared by the Science Center. More importantly, our initial project survey indicated that a formative evaluation of ICAP as practiced (or implemented) in the field was necessary in order to determine, in actuality, what parts of the ICAP program model or theory could or could not be translated into the reality of everyday police operations.

Consequently, the current evaluation has been primarily a process-oriented implementation assessment aimed at specifying:

- 1) the extent to which key ICAP program components have been functionally implemented in police departments;
- 2) the extent to which this implementation has been facilitated or inhibited by departmental factors; and

- 3) the extent to which the ICAP model has been incorporated into the planning and decision-making processes within the department.

Towards these ends, four intensive case studies were prepared which provide insight into the processes by which ICAP activities are selected and implemented in a department, and the factors which affect their acceptance or rejection. An activity analysis of 25 ICAP projects was also conducted to provide a comprehensive field profile of ICAP in relation to the overall ICAP program model and individual site proposals.

The process evaluation focuses upon the key components of the program - crime analysis, patrol operations, investigations management and the serious habitual offender. In addressing the implementation of these components we have explored the extent to which various activities were implemented, the extent to which ICAP and department resources were committed to various activities, the extent to which training was used to support activity implementation and the extent to which the activity was integrated into the routine of the department. It was neither assumed nor expected that a department would attempt to implement all of the program components in the ICAP model.

THE ICAP PROJECT IN STOCKTON, CALIFORNIA

The ICAP Program Implementation Guide (Grassie and Crowe, 1978) distinguishes between the ICAP Program and the ICAP Projects. This is an important distinction for both ICAP managers and evaluators. The ICAP program is the body of literature and knowledge that comprise the OCJP's conception of ICAP. It is the model that the OCJP would like each participating police department to achieve during the course of its ICAP funding. The ICAP project, on the other hand, is what each individual department is doing with its grant funding. Whereas there is only one ICAP program, there are potentially 52 different ICAP projects. Depending upon how one views the process of organizational change at the local level, and the federal role in that process, one's reaction to ICAP can be quite different. From the perspective of a police manager seeking to upgrade an agency, ICAP is quite attractive. It offers a broad range of activities from which to choose. From the point of view of conducting a national evaluation, the program is methodologically complex because of its numerous components and different manifestations in each department.

The ICAP process in Stockton has been supported by three consecutive ICAP grants. The third and final grant began in September 1980. When Stockton completes its current ICAP grant, it will have participated in the program for approximately four years at a cost of over 1.3 million dollars to the federal government.

OVERVIEW OF REPORT

The remainder of this report examines the ICAP process in Stockton. Chapter II discusses the demographic and organizational context within which the Stockton project has operated. Past experience in innovating new programs and increasing workload demands are cited as contributory factors

behind the department's submission of an ICAP grant application. Chapter III discusses proposal development and the relationship between the ICAP program at the national level and the ICAP project in Stockton. Stockton's proposals are in general conformance with the broad guidelines established at the federal program level, but also include some proposed and implemented activities unique to Stockton's particular situation. Also reviewed in this chapter are the organization and management of the project staff and the procedures followed in the development and implementation of project activities. Departmental commitment of resources (e.g., personnel) to the project and integration of the project into departmental operations is also assessed.

Chapters IV through VII evaluate Stockton's ICAP project in relation to the major program components of the ICAP model (crime analysis, patrol management, investigations management and serious habitual offender). Each chapter provides a background on departmental involvement in the area prior to ICAP followed by a review of proposed and implemented ICAP activities. Commentary sections are provided at the end of each chapter to discuss major issues and factors which appear to have some influence on the implementation process or future project activity.

Stockton's ICAP project has implemented activities in all four components. Major accomplishments in Phase I occurred in the component areas of crime analysis with the creation of a special crime analysis unit, in patrol management with the initiation of a Telephone Report Unit as an alternative means of handling calls for service and in serious habitual offender with the implementation of improved warrant service procedures. Phase II, in addition to continuing earlier efforts, planned activities in the management of investigations, installed a word processing unit for investigators, conducted tactical patrol operations, and identified the city's habitual criminals. Phase III calls for implementation of the Phase II plan on criminal investigations management, equipment upgrade of patrol units through the addition of mobile digital terminals and the operational start up of a victim/witness program which was originally proposed in Phase II. In conjunction with these major areas of endeavor, other supplemental activities have included revision of offense, arrest and field interview forms, studies of various departmental operations (e.g., investigations, traffic, day patrol) in support of ICAP planning and training of departmental personnel.

The final chapter of the report presents a summary analysis of the ICAP process in Stockton. The direction and extent of Stockton's ICAP activity is discussed in relation to the federal ICAP program and departmental operations. The fit between federal program guidelines and local department's project is explored. The applicability and utility of the ICAP model to local police departments is considered on the basis of the Stockton experience. The feasibility and nature of an ICAP impact assessment is discussed as it pertains to Stockton. Some initial data and analyses are presented which are suggestive of possible program effects. Longer periods of observation and other improved analytical methods are suggested.

CHAPTER II

STOCKTON AND ITS POLICE DEPARTMENT

The implementation of an ICAP project represents a change process which is shaped not only by the intentions of the project planners and administrators but also by the environmental context in which ICAP innovations are to occur. The setting into which the ICAP program is introduced can have significant bearing on the choice of specific project activities to be implemented and the nature and extent to which these activities are carried out. Environmental factors can also have a major influence on the results which ICAP-supported activities can obtain. For these reasons the function of this chapter is to provide a general background description of the community and police department in which the Stockton ICAP project was implemented. The purpose of this information is to establish an orientation and perspective from which the direction and progress of the ICAP project in Stockton can be viewed. Hopefully, it may also provide some insight into those pre-existing conditions which potentially facilitate or hinder the ICAP implementation process.

The focus of this chapter will be on the broad context in which ICAP has been implemented in Stockton. The role of particular environmental factors will be more extensively delineated in later chapters as they pertain to the implementation of specific project activities. While the relationship between the demographics presented in this chapter and the ICAP project can not be clearly specified, they do represent indicators of the societal and organizational milieu in which the project operates. In estimating the generalizability of ICAP from Stockton's experience, an awareness of this environmental context becomes an important consideration.

THE CITY

The city of Stockton, California is the largest city in San Joaquin County. It encompasses an area of 40.38 square miles and has a population of 145,841 people. Stockton has experienced rapid growth in population; roughly one-fourth of the current population has been added in the last decade. The rate of population growth has also more than doubled from its estimated two percent in 1973. In addition to this on-going population surge, there is a seasonal augmentation of population by migrant farm workers. Minorities constitute slightly over one-third of the population; Mexican-Americans represent the largest minority group comprising 18 percent of the population followed by Blacks with 11 percent. Although the city has a diversity of industries and serves as an inland port of ocean-going vessels, it is best known for its agricultural production from the San Joaquin Valley. The city operates under a Council/Manager form of government with the Chief of Police appointed by and reporting to the City Manager. Major municipal decisions and appointments made by the City Manager are subject to Council approval.

City budget for fiscal year 1979-80 is in the 49 million dollar range and city employees, including police, number slightly over 1,000. Roughly one-fourth of the city budget is spent on police. This makes the Stockton Police Department the largest single department within the city. It is also the agency with the most personnel. Exhibit 5, presented in the next section, displays both the police budget and personnel figures since 1975. Per capita costs for police services in Stockton are higher than in many cities of similar size and have steadily increased.¹ These increases can be attributed, in some measure, to the rate of inflation which has outstripped even Stockton's remarkable population growth. Other sources of this increase come from the city councils' decision to increase the department's authorized sworn manpower, and the addition of personnel to operate a computer-aided dispatch (CAD) command center for all community services (e.g., police, fire, ambulance).

Stockton's growth has resulted in a rapid development of its northern section and some revitalization of its port and downtown areas. Despite such expansion, poverty and unemployment are persistent problems particularly in the southern and central sections of the city which have the heaviest concentration of minorities. Due to the increase in residents, there is a general need to expand all city services to meet growing demands. Meeting these demands has become increasingly difficult since various state legislative propositions (e.g., proposition 13) have curtailed increases in taxes and government expansion.

One persistent problem in the city of Stockton, exacerbated by this increased service demand, has been the high rate of crime. Over the last five years, Stockton has had one of the higher reported crime rates in the country. For per capita Part I crime, Stockton usually ranks in the top 30 percent nationwide. Prior to 1978, the crime index had been steadily increasing since 1973. Excepting 1978, this trend appears to be continuing with the 1979 figure reaching an all time high. The semi-annual figure for 1980 exceeds the 1979 value for the same time period. However, a somewhat different picture emerges when the population growth is considered. As reflected in Exhibit 4, the per capita crime rate has not shown such a growth pattern. Although there is no discernable trend, annual crime rate per 1,000 population for the years 1978 and 1979 is below that of the three previous years. For the Stockton Police Department, the tangible value of this decline in the rate of reported offenses is negligible as long as the total volume of criminal offenses to which they must respond continues to rise.

¹Per capita costs for law enforcement in 1978 for: Aurora, CO (\$36.50); Hampton, VA (\$52.16); Hollywood, FL (\$60.99); Garden Grove, CA (\$52.20); Macon, GA (\$30.91); Topeka, KS (\$39.31); Torrance, CA (\$70.56); Stockton, CA (\$63.53). Source: Expenditure and Employment Data for the Criminal Justice System 1978-Draft, Bureau of the Census, Dept. of Commerce.

EXHIBIT 4 STOCKTON CRIME INDEX²

YEAR	TOTAL PART I CRIMES	CRIME RATE PER 1,000
1974	10,872	94
1975	12,025	102
1976	12,487	102
1977	12,911	100
1978	12,611	93
1979	13,753	95
1980 (6 mos)	8,024	

The Police Department

The Stockton Police Department is one of the larger police departments in the state of California. Only a dozen or so other California cities exceed the Stockton Police Department in personnel and budget. As with the city itself, the department has been experiencing growth and change over the last decade. However, the concept of the progressive police department is not new to Stockton. A citizen's committee report on the police in 1949 suggested such ideas as civilianizing some police positions, on-the-job training, and matching manpower to workload requirements. Exhibit 5 presents a profile of the Stockton Police Department over the last six years.

The Stockton police force currently consists of 389 personnel: 241 sworn officers, 22 civilian community service officers and patrol aides, 32 civilian command center personnel, and 94 other civilian employees of which roughly one-third are part time aides (e.g., CETA positions). As can be seen in Exhibit 5, sworn officers per thousand of population has been steadily decreasing due to the population growth. The authorized increase in sworn officers for 1980 has reversed this trend to some extent. In

²Sources: Federal Bureau of Investigation Annual Report, *Crime in the United States*, eds. 1974-1979. Stockton Police Dept. ICAP proposal. U.S. Census Bureau. Crime rate figures have been rounded to nearest whole numbers and are approximations based on estimated populations interpolated between the 1970 and 1980 census figures using an accelerated growth rate for the last six years.

EXHIBIT 5
PROFILE STOCKTON POLICE DEPARTMENT³

CHARACTERISTICS	1975	1976	1977	1978	1979	1980
Police Budget*	5,859	6,833	7,542	8,195	9,482	10,066
Per Capita Cost	50.50	57.42	61.31	63.53	69.72	69.90
Sworn Personnel	214	218	224	231	231	241
Civilian Personnel	63	65	65	66	94	148
Officers per 1,000 Population	1.79	1.77	1.73	1.69	1.60	1.67
Calls for Service	117,718	126,484	132,987	125,463	115,112	86,332 (9 mos)
Calls per patrol officer/year	---	1,160	1,216	1,151	1,046	---
Calls per citizen/ year	.98	1.02	1.03	.92	.80	---
Arrests for Part I Offenses	806	884	850	912	1083	---

*In thousands of dollars

³Sources: Stockton Police Department Annual Reports, ICAP Proposals, U.S. Census Bureau.

comparison to other cities in Stockton's population range, the current ratio falls in the lower middle half of the range.⁴ Stockton's utilization of civilians, as reflected in the ratio of sworn officers to civilians in the department has not been as great as many police departments.⁵ However, in the last two years it has increased its utilization of civilians. As a consequence, officers have been reassigned to patrol from other positions. This has contributed to a 5 percent increase in the number of sworn officers assigned to patrol in 1980. Stockton's patrol officers are among the busiest in the state. A 1979 job analysis survey conducted by the Commission on Peace Officer Standards and Training (POST) indicated that many basic patrol officer tasks are performed with more frequency by Stockton officers. Exhibit 6 presents the estimated patrol officer monthly performance of selected groups of tasks for Stockton, California and 20 police departments of comparable officer strength. As can be seen in these figures, the frequency with which Stockton's patrol officers must perform these tasks is greater than most other departments. This higher frequency of performance was true for the majority of the 33 groups of job tasks surveyed by the study.

Physically, the bulk of departmental personnel operate out of a central police facility located in downtown Stockton. There are, however, four satellite police facilities operating throughout the city as part of a neighborhood police program. While these satellite facilities do not operate around the clock, they are open on weekends during the daylight hours.

Organizationally, the department is divided into two branches: 1) Administrative Services and 2) Operations. Each branch is commanded by a deputy chief who reports directly to the chief as do the Special Investigative Unit and the Legal Advisor. All other divisions, sections, and units report to the deputy chiefs. The current organizational chart of the department is presented in Appendix A. For the most part administrative services encompasses the traditional staff functions of personnel, training, accounting, records, identification, warrants, community programs and other support services. Operations has the line functions of patrol, traffic, investigations, vice, narcotics, and juvenile. It also contains an Operations Support section which develops, implements and monitors the

⁴Officers per thousand population in 1979 in: Aurora, COL (1.77), Hampton, VA (1.43), Hollywood, FL (2.18), Garden Grove, CA (1.24); Macon, GA (1.85), Topeka, KS (1.88), Torrance, CA (1.53) - Source: Federal Bureau of Investigation Annual Report, *Crime in the United States*, ed. 1979. Bureau of the Census, Department of Commerce.

⁵A 1979 study of 34 California police departments by an independent research group known as Cal-Tax indicated that for 25 cities the proportion of civilian employees in the department was greater than that of Stockton (Law Enforcement Workload Study, FY 77-78).

EXHIBIT 6
ESTIMATED MONTHLY TASK GROUP PERFORMANCE
BY PATROL OFFICER⁶

TASK GROUP	STOCKTON	COMPARABLE DEPARTMENTS	PERCENT DIFFERENCE w/COMP. DEPTS.
Arrests	31.1	14.3	+150
Emergency Driving	32.6	24.5	+62
Situations involving Explanations to Citizens, Advising or Counseling	106.8	82.1	+30
Mediating in Situations in which Officers are Confronted w/Hostile People	53.0	26.9	+97
Testifying in Court	6.0	3.3	+82

the ICAP project. This section was created as part of a departmental reorganization plan which was one of the ICAP project's first year activities. This reorganization is discussed further in Chapter III.

Patrol accounts for the bulk of personnel (127 sworn officers), followed by investigations (21 sworn officers) and traffic (20 sworn officers). Eighteen officers are located in the Administrative Branch. The remaining sworn personnel are divided among Vice, Narcotics and special details. Starting salary of beginning patrol officers is approximately \$15,000 per annum. Performance evaluations are made annually and all promotions are from within the department. Applications for employment exceed positions available and recruits receive 420 hours of basic training. Probationary status is for a year and a half. Average age of the department's officers is 32 years, average time on force is six years, and average level of education is two years of college. All officers under the rank of lieutenant receive 40 hours of advanced training each year in addition to any specialized school they may attend.

⁶Source: California Entry Level Law Enforcement Office Job Analysis Agency Feedback Report, 1980.

Attitudes towards the department and its management are, for the most part, positive. In a survey of sworn officers conducted as part of the evaluation, over three quarters of the officers rated themselves as "Satisfied" or "Very Satisfied" with top administration, their immediate supervisor, organization of the department, and their current job assignment (See item 3 of the questionnaire in Appendix F for the percent of respondents choosing each category). Officers have not been as satisfied with the level of remuneration and benefits. While not a union in the usual sense of the word, the local police officers' association serves as a spokesman for most non-managerial sworn personnel. In 1979, affiliated officers engaged in a work slow down as the city council negotiated the budget. In 1980, a three day "Blue Flu" or sick-out occurred under similar circumstances. Subsequent to this event officers were budgeted for a substantial increase in wages over the next three years and an increased uniform allowance.

Managerial style tends to follow traditional chain of command procedures with the power to make decisions and implement policy residing at upper management levels. Officer input and participation is utilized in developmental activities, but final approval and/or modification of most plans rests with top administration. A commonly used technique, for both ICAP and other activities, is to establish a committee of personnel from relevant sections or units of the department to work on a particular task or problem in which the desired end result or objective is outlined by top administrators. The group's solution or plan is then reviewed by top administrators for adoption and/or modification. In the survey of officers, roughly two-thirds of the respondents agreed in varying degrees with the statements that officers participate in decisions concerning adoption of new programs and that command is open to suggestions about how changes should be implemented (See items 5A and 5VV, Appendix F). However, more officers (87%) endorsed the statement that when changes are made, they are usually introduced from the top down (See item 5P, Appendix F). A significant minority of officers (42%) also agreed in varying extents with the statement that many programs are started and stopped at the discretion of command (See item 5PP, Appendix F). Both perceptions tend to suggest a considerable amount of centralized control concentrated at the command staff level.

ADOPTION OF ICAP: PREDISPOSING FACTORS

While there are usually a multiplicity of influences which bring a department to attempt major innovations such as ICAP, certain factors seem to play a more prepotent role. This section reviews those factors which seem the most relevant to the department's decision to seek and implement an ICAP project. One factor which previous research has shown to be relevant to technological innovations in local services is an agency history of innovation (Yin, et al., 1976).

Being involved in special and innovative programs was not new to the Stockton Police Department. Prior to, and concomitant with ICAP, the Stockton Police Department had implemented other special programs, many of which were geared towards increased community involvement and crime prevention. These programs included a Neighborhood Police Program, and DUI

Program, Neighborhood Watch, Women's Awareness Program, Senior Citizens Assistance Program and False Alarm Reduction Program. The department had been cited by the Governor's office as a model for crime prevention programs. Other department efforts have included:

- provision of specialized training to selected officers for service as Field Training Officers, Field Evidence Technicians, K-9 Officers, or members of the S.W.A.T. Team;
- development of a management information system (SPMIS) which can provide up-to-date data on calls-for-service (CFS), response time, arrests, crime problems, etc.;
- increased utilization of paraprofessionals (Community Service officers and police trainees) for specific nonhazardous law enforcement duties;
- reallocation of patrol manpower from static three shift scheduling to staffing which more closely approximates CFS workload;
- installation of a consolidated fire and police computer aided dispatch system (CAD); and,
- participation in "STING" type operations and interagency burglary and narcotics squads.

The previous activities may have provided the department with experience and competence in innovating new projects. ICAP survey results found that only nine percent of the respondents felt that their job performance was unfavorably affected by frequent changes in policy and procedure (See item 5M, Appendix F). Eighty-two percent tended to agree with the statement that the department minimized the disruptions which occur when changes are made (See item 5QQ, Appendix F).

The existence of managerial and chief executive attitudes favorable towards new activities has also been cited as an important element in successful innovations. Besides the tacit approval needed for the implementation of the activities just discussed, command support for new activities is also suggested in the ICAP survey results. Seventy-seven percent of the officers surveyed disagreed to some extent with the statement that most of the people in power were afraid to try innovative programs (See item 5V, Appendix F). These departmental factors supporting the adoption of the ICAP program were augmented by the increased enforcement and order maintenance needs engendered by the city's rapid population growth.

In 1977, when Stockton's ICAP application was drafted, both crime and calls for service (CFS) had been steadily climbing over the previous years (See Exhibits 4 and 5 for specific figures). A study conducted by the department in 1977 of ten cities similar in population to Stockton indicated that Stockton had the second highest rate of CFS per citizen and

the highest rate of CFS per officer. A comparison of 1977 with 1975 as a base year indicated that although the number of sworn officers had increased by five percent, the annual number of CFS has increased by 13 percent; reported crime had increased by seven percent. Not only did Stockton have a high rate of crime and CFS, but the rate of growth had exceeded that of sworn officers. The need to develop more effective responses with already strained resources required the consideration of alternative approaches.

Considering this departmental background, the ICAP model could be considered a logical next step for the Stockton Police Department to make. Because of its broad programmatic scope and emphasis on integration, ICAP represented the opportunity and resources needed for the department to continue its development of the specialized units and services usually required in larger departments yet, at the same time, provide an emphasis on the improved coordination of all enforcement activities. In 1978 Stockton began operation of its ICAP project. In the chapters that follow the major aspects and program components of Stockton's ICAP project will be reviewed and discussed. Each chapter on a program component begins with an introduction which provides a general background description of departmental involvement and activity in that particular program component area. This is followed by a review and assessment of the specific ICAP project activities which were proposed and/or implemented. As can be seen in Exhibit 4 and 5, the steady, unabated increase in both crime and CFS did not continue in the years 1978 and 1979. Total Part I crime was lower in 1978 than in 1977 and level of CFS has been at its lowest in four years. Possible relationships between these data and departmental operations will be explored in Chapter VIII entitled **Initial Assessment: The ICAP Process and Impact in Stockton.**

CHAPTER III

THE STOCKTON ICAP PROJECT: AN OVERVIEW

As outlined in the previous section of the last chapter, Stockton's ICAP project evolved out of a need to develop alternative approaches for handling an increasing rate of crime and calls for service. Knowledge of the ICAP program was obtained through LEAA's publication of Discretionary Grant Guidelines and a grant application was developed and submitted by the department's Criminal Justice Planner. The first phase of Stockton's ICAP project was funded for one year (\$225,968) in February 1978, followed by a second phase award in February 1979 for 18 months (\$450,000), and a third phase beginning in October 1980 for an additional 18 months (\$600,000).

The purpose of this chapter is to provide a general overview of the project from its inception up to and including the first month of Phase III operation. The evaluation time period for on site observation corresponds roughly with Phase II of Stockton's project. Aspects of Stockton's ICAP project which are not directly relevant to the four ICAP program components (i.e., crime analysis, patrol management, management of criminal investigations and serious habitual offender) are also addressed in this chapter. Topics include such matters as project management and staffing, budget, departmental support, implementation approach and general analysis of proposed and implemented activities.

STOCKTON'S GRANT APPLICATIONS

All three of Stockton's grant applications follow the same conceptual format. The major areas of programmatic effort are described as "Approaches". Under each approach, there is a series of "Project Thrusts" and, in some instances, "Subthrusts". For each thrust, the grant application provides a narrative overview, a set of one or more objectives and an operating work plan and schedule. Appendix B contains the approaches, thrusts, narrative overviews and objectives for all three phases of Stockton's ICAP project. In each phase, once funding had been approved, a revised work plan was submitted to LEAA.

The proposals are logical and straightforward in their presentation. Work plans and objectives are specified enough to permit identification of who will undertake what types of activities and when they will be initiated. Although the objectives do not explicitly specify the evaluative criteria to be used, many are sufficiently clarified that some type of measurement procedures can be developed.

In the first year, the four general areas or approaches addressed by the ICAP project proposal were briefly:

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In the first year, the four general areas or approaches addressed by the ICAP project proposal were briefly:

- Integration and coordination of Stockton Police Department's career criminal effort with that of the local prosecutor;
- Organizational, managerial, and informational enhancement of departmental resources and services (e.g., crime analysis, offense reporting, departmental reorganization, career criminal identification);
- Study and enhancement of criminal investigations management;
- Officer training program.

With modification and expansion to five areas, these general approaches were continued into the second phase. The additional approach (See Appendix B, Phase II, Approach 3) detailed the creation of a special patrol unit and plans for proactive apprehension tactics. Although not formally acknowledged in the proposed approaches, the Phase III application specified the continuation of earlier phase activities. Three of the four formally proposed approaches focused on the area of criminal investigations management. These approaches were aimed at:

- Supporting and enhancing patrol's role and capability to conduct investigations;
- Developing a case tracking system;
- Officer training program on managing criminal investigations.

The other Phase III approach reiterated the first approach of the Phase II proposal (See Appendix B).

PROPOSED AND IMPLEMENTED ACTIVITIES

As was discussed in the previous chapter, the ICAP program provides local police departments with a wide range of possible activities to implement. Stockton, like many other projects which operate under broad program guidelines, possesses considerable flexibility in the specification and actual implementation of project activities. Thus, it is important to distinguish between the project as proposed and the project as implemented. Situations may arise which prohibit, prevent or postpone the implementation of some proposed activities. Circumstance and necessity may require or promote the adoption of other and/or additional unproposed activities. Invariably, activities as proposed are seldom implemented in their original form due to departmental input. Also, there is often reaction and/or resistance to the implementation process. Stockton's ICAP project has evolved as a function of all these factors. The purpose of this section is

to summarize the ICAP activities - proposed and unproposed - implemented by the Stockton Police Department in the first two phases of the project. These are displayed in Exhibit 7 entitled "Stockton ICAP Activity Matrix".

For the purpose of distinguishing between the national program and local project aspects of this matrix, activities within each major program component have been classified as either **program specific**, **project emphasized** or **site specific**. The category to which each activity has been assigned is based upon the general degree of emphasis that the activity has received in program guidelines, publications and cluster conferences. While there are very few project activities that cannot, in some fashion, be related to the ICAP model or its program components, there is a continuum which ranges from a certain core group of activities which are most commonly associated with all ICAP projects to ICAP supported local activities which are found in only one or two sites. The tripartite classification used in Exhibit 7 is provided to indicate the mix of program to site specific ICAP activities undertaken in Stockton. The classification of an activity into one of the three categories is based on the following general criteria:

Program Specific - These are core activities which have received major treatment in ICAP program manuals such as the **Program Implementation Guide**. Information on these activities is requested on the National ICAP Quarterly Reporting System form. Crime analysis and patrol operations have received the most extensive program specification. Most activities assigned to this category are common to almost all ICAP sites.

Project Emphasized - These are activities which have received less attention in formal ICAP program material, but which national ICAP program administrators have espoused. The adoption of these activities has been suggested to local ICAP projects and information about these activities has been disseminated to project managers at ICAP meetings. Activities such as crime prevention, performance appraisal, serious juvenile offender and improved warrant services are examples of such project emphasized activities.

Site Specific - Although supported by ICAP funds, these activities receive little or no mention in ICAP program documents; in addition they are not major topics of discussion at ICAP meetings. They are usually unique to the particular site in which they are implemented. Activities classified in this category are often viewed as prerequisites which must be implemented in order to support more typical ICAP activities. Stockton's installation of a Report Transcription Unit for investigators represents an example of this type of activity.

EXHIBIT 7
STOCKTON ICAP ACTIVITY MATRIX

ICAP ACTIVITY AREA	Activity Proposed	GRANT PERIOD IMPLEMENTED		
		I 2/78-1/79	II 2/79-8/80	III 9/80-2/82
Crime Analysis				
<u>PROGRAM SPECIFIC</u>				
Crime Analysis Unit	I	Implemented/on-going		
Revised Offense Report			Implemented	
Revised Arrest Report			Implemented	
Revised Field Interview Form			Implemented	
Patrol Training in Crime Analysis	I	Implemented		
<u>PROJECT EMPHASIZED</u>				
Automate Crime Analysis System	II		Work initiated/not operational	
Patrol Management				
<u>PROGRAM SPECIFIC</u>				
Telephone Report Unit	I	Implemented/on-going		
Call Prioritization		Implemented	Implemented/on-going	
Temporal Deployment			Traffic	
Patrol Officer Training	I & II	Implemented	Implemented/modified	
Patrol Follow-up Investigations	III		Implemented/Day Watch	Planned
Workload Study				
<u>PROJECT EMPHASIZED</u>				
Community Crime/Police Survey	I	Implemented		
Tactical Response Support (alarms, cameras)			Implemented/on-going	
ICAP Steering Committee Patrol	I		Implemented/on-going	
<u>SITE SPECIFIC</u>				
Departmental Reorganization	I	Implemented		
ICAP Tactical Response Unit	II		Implemented/on-going	
Patrol Mobile Digital Terminal	III			Planned

EXHIBIT 7
STOCKTON ICAP ACTIVITY MATRIX (cont'd)

ICAP ACTIVITY AREA	Activity Proposed	GRANT PERIOD IMPLEMENTED		
		I 2/78-1/79	II 2/79-8/80	III 9/80-2/82
Managing Criminal Investigations				
<u>PROGRAM SPECIFIC</u>				
Patrol Officer Training	I & III	Implemented		Planned
Detective Training	III	Implemented		Planned
Investigating Self-Assessment Studies	I	Implemented	Implemented	
Case Screening	II & III			Planned
Patrol Case Closure	II & III			Planned
Patrol Follow-up	III			Planned
Case Management/Monitoring Procedures	II & III			Planned
Patrol Preliminary Investigation	III			Planned
<u>PROJECT EMPHASIZED</u>				
ICAP Steering Committee - Investigation	II		Implemented	
<u>SITE SPECIFIC</u>				
Investigative Word Processing Unit	II		Implemented	
Serious Habitual Offender				
<u>PROGRAM SPECIFIC</u>				
Liaison with Prosecutor	I	Implemented/on-going		
Establish joint criteria for SHO's	I	Implemented		
SHO File	I	Implemented/on-going		
Patrol SHO Mugbook	I		Implemented	
Prosecutor Feedback on SHO cases	I	Implemented/on-going		
SHO Post-Arrest Screening	I		Implemented	
Procedures for Police input into plea negotiation and sentencing	II & III			Planned
Procedure for Offender/Release notification	II		Implemented/on-going	
<u>PROJECT EMPHASIZED</u>				
Warrant Services	I	Implemented/on-going		
Serious Juvenile Offender Victim/Witness Program	II & III		Implemented	Planned
<u>SITE SPECIFIC</u>				
Intelligence Coordinator Position	I	Implemented/on-going		

This unit was considered necessary in order to provide sufficient free time to investigators for implementation of program specific criminal investigation management activities.

As can be seen in Exhibit 7, the bulk of Stockton's activities are based on the more conventional ICAP guidelines. This is particularly true in the component area of crime analysis which represented a new function for the department. Activity in the other component areas is a bit more diverse, but the majority of these activities follow formal program literature. No component area is notably different from any other in the mix of activity types. More activities (30) were implemented in Phases I and II than were formally proposed (27). However, not all proposed activities were implemented; approximately one-quarter were not substantively initiated in either phase. Consequently, of the total number of activities implemented, 70 percent were formally proposed and 30 percent were not.

Overall, these rough estimates and classifications suggest that Stockton's ICAP project reasonably reflects some of the major tenets of the national ICAP program and the intentions of the local project plan. The presence of some site specific and unproposed activities demonstrate Stockton's customizing of ICAP to meet department needs. In general, project effort has been equally distributed in each of the four major program components although not simultaneously. Early Phase I work centered on the crime analysis and serious habitual offender aspects of the project. Later Phase I activity was geared more towards patrol and establishing the foundation of the managing criminal investigations component. Phase II maintained efforts in all four areas with notably increased emphasis on the investigations area. Implementation of the activities presented in Exhibit 7 are detailed in subsequent chapters on each of the four major program components.

ICAP PROJECT STAFFING AND MANAGEMENT

Stockton's ICAP staff comprise the department's Operations Support Section which was created as part of the project's Phase I activities. This reorganization consisted primarily of moving the community relations-crime prevention section out of the Operations Branch over to Administrative Services and discontinuing Administrative Service's planning and research section. Personnel and functions of this planning and research section were incorporated into the new Operations Support Section. See Appendix A for organizational charts of the Stockton Police Department before and after ICAP implementation.

As a result of this organizational arrangement, ICAP project staff (i.e., persons who worked on the planning and implementation of ICAP activities) constituted a heterogeneous group of personnel, some of whom are fully supported by project funds and others who are paid by the department. In addition, all operation support staff engaged to varying extents in departmental planning and research activities which, though ICAP

related, were not part of the formal proposed activities. Operationally, this had the advantage of integrating and blending ICAP activities in with other departmental efforts. Organizationally, placing the ICAP project on the Operations side of the department is in keeping with the **ICAP Program Implementation Guide**.

The Deputy Chief of Operations was designated as ICAP Project Director responsible for overall coordination and direction of the project. Since the ICAP project began, there have been two Project Directors. A new Deputy Chief replaced a retiring Deputy Chief who had served as the original Project Director. Actual operation of the ICAP project on a day-to-day basis is directed by the Project Manager who also heads the Operations Support Section and, as such, is a member of the command staff. The Project Manager was the department's Criminal Justice Planner who prepared the ICAP grant applications for the department.

The Project Manager divides responsibility for work on major components of the ICAP project among his staff of seven civilians and three sworn officers assigned to the Operations Support Section. The Project Director, Project Manager and the three sworn officers are supported by departmental funds. Civilian positions are ICAP supported. Because of personnel changes, major areas of ICAP responsibility were shifted among personnel during the second phase of the project. At the start of Phase III, Operations Support Section staff and their areas of responsibility and activity were:

- **Intelligence Coordinator** - Sworn officer in charge of supervising Crime Analysis Unit, responsibility for some aspects of serious habitual offender and managing criminal investigation components.
- **Strike Team Coordinator** - Sworn officer in charge of coordinating special patrol squad (Strike Team) and other patrol management activities; responsibility for most aspects of serious habitual offender component.
- **Tactical System Officer** - Sworn officer in charge of placing and maintaining tactical equipment (e.g., cameras, alarms); assists in other patrol related activities.
- **Crime Analysts** - One senior and one junior civilian crime analyst who operate unit under direction of the Intelligence Coordinator.
- **Police Clerk Supervisor** - Civilian supervisor of word processing units - Telephone Report Unit and Report Transcription Unit.

- **Project Administrative Aide** - Civilian who serves as grants coordinator; responsibility for some aspects of managing investigations component.
- **Clerical/Data Support Clerks** - Three to four civilians who assist in collection, preparation, typing, etc. of reports and correspondence.

With the exception of the crime analysts and some clerical staff, all personnel report directly to the Program Manager who reports to the Deputy Chief of Operations. With the exception of a couple of additional clerical positions, the number of ICAP staff changed little between Phases I and II.

No personnel changes occurred in the first phase of the project. In Phase II, however, turnover of personnel was extensive enough to require the reassignment of tasks and responsibilities among ICAP staff members. Early in the second phase, the Project Administrative Aide who conducted the initial investigative management studies resigned. The new aide, while having work experience with the city government, was new to the department. A period of training and familiarization with departmental operations and job responsibilities was required. The analyst who originally set up Stockton's crime analysis unit operations also resigned some ten months into Phase II to work as a consultant on a national police technical assistance project. The analyst's aide, who had some experience and training in the unit working as a data entry clerk and assistant to the analyst, was placed on probationary status as the new analyst. Unlike the original analyst, the new analyst had no previous officer experience and was not as familiar with the officers and departmental operations. In order to retain these qualities within the unit, the Project Manager reorganized staff assignments. The Intelligence Coordinator was assigned to supervise and support the new analyst's work. This insured the input and review of a sworn officer on crime analysis reports and operation of the unit. Some seven months later, the new analyst decided to move out of state and work for another police department. After this resignation, further reorganization of the crime analysis unit was undertaken. The Intelligence Coordinator was relieved of most responsibilities in the serious habitual offender area in order to devote more time to the crime analysis unit. Two analyst positions, one senior and one junior, were established and filled. Neither analyst had previous experience in crime analysis, although the junior analyst is quite familiar with ICAP operations having served as an aide to the Intelligence Coordinator on serious habitual offender activities. It is expected that a period of orientation and training will be necessary before these analysts are fully productive.

Less extensive changes also occurred in relation to the Strike Team Coordinator position. Originally, two sworn officers served in this capacity, but it was later reduced to one position. This occurred after both coordinators were, of necessity, returned to patrol during a work slow down action. Assessment of the coordinator's tasks indicated that one officer would be sufficient. This single Strike Force Coordinator was assigned responsibility for those serious habitual offender tasks performed by the Intelligence Coordinator prior to the second reorganization of the crime analysis unit.

The net effect of these Phase II personnel changes was to slow down or impair progress in various areas of the ICAP project. Project manager's time had to be expended in the personnel recruiting and selection process rather than implementation planning. New and/or inexperienced personnel required various periods of training and orientation in order to learn their job tasks. Most importantly perhaps, the time and efforts of the more experienced staff had to be spread over a variety of ICAP activities in order to maintain a sufficient degree of direction and support to their implementation. For Phase I ICAP staff, the areas of specialization and assigned work were more clearly and coherently delineated. Quite likely, the thoroughness and time which ICAP staff members could expend on any given activity was diminished in Phase II as ICAP efforts expanded and the core of original personnel decreased.

Role of the Project Manager

The Project Manager performs a dual role within the management of the Stockton Police Department. As head of the Operations Support Section, the project manager supervises a line support unit; as manager of the ICAP project, the manager becomes the prime mover for change within the department. In most cases, this dual role facilitates the development of those ICAP project activities which either alleviate the necessity of sworn officers handling some tasks or aids their performance of others. Role conflicts arise, however, when ICAP activities under the direction of the Project Manager, are more directly operational. Efforts at implementing some ICAP innovations in patrol and investigations are occasionally viewed as situations in which a support section is attempting to determine the conduct of an operations section. When serious enough, these situations are resolved by the Chief or Deputy Chief of Operations. This could be alleviated by assigning ICAP as a special project reporting to the Chief. However, ICAP's organizational placement within a recognized, functioning division helps to establish with other divisions and sections that changes implemented by this section are intended to become part of the departmental landscape. The project manager, by being a member of the command staff, and not on special assignment, reinforces this point.

Weekly ICAP staff meetings are held by the project manager for purposes of updating and integrating the individual activities of each staff member. Project Manager involvement in activities is minimal after initial planning and implementation efforts have been completed. The manager assigns responsibility for various tasks and aspects of project activities to the staff and monitors their performance. Problems which arise in the conduct of ICAP activities or unit operations are handled by the manager, especially if they involve other sections or units of the department.

Beyond these supervisory activities, the key role of Stockton's ICAP Project Manager seems to be as the harbinger of change. In some respects, the Project Manager has become the department's resident innovator. While not an especially popular role at times, its importance lies in the fact that it has been accepted within the department. The Project Manager's presence at command staff meetings is indicative of the Chief's commitment to ICAP as a possible mechanism for improving departmental operations. The

presentation and application of the ICAP program and model to departmental operations at this upper level of decisionmaking represents a crucial function of the project manager's role in Stockton.

ICAP FUNDING

The level and allocation of funds can be reflective of project management and areas of project emphasis. When viewed in conjunction with the types and extent of implemented project activities (reviewed in the next four chapters), they provide an additional dimension to project description. Exhibit 8 entitled **Stockton ICAP Budgets** presents the ICAP line item budgets for Phases I through III. As can be seen in the Total Budget figures, each successive phase has been funded at roughly 200,000 dollars more than the previous phase. Figures for Phases II and III represent roughly five percent of the department's total budget.

In estimating actual project costs, a number of additional factors must be considered. Both Phase II and III budgets cover more than a one year period. Both phases were proposed to run for 18 months. Phase II was extended for one additional month of actual operation. One third of the proposed Phase III budget is local match, most of which is earmarked for the purchase of mobile digital terminals for police vehicles. In previous phases, local match only comprised around 10 percent of the total budget. When the money designated for purchase of the mobile terminals is deleted, the per month project cost for each phase is: Phase I = \$18,831; Phase II = \$23,684; Phase III = \$26,236.

These per month figures are more reflective ICAP project operation costs. The largest increase in costs occurred between Phase I and Phase II. Phase III costs are projected to be 11 percent higher than in Phase II. When the rate of inflation is considered, this figure represents little change from the Phase II operation costs. As reflected in Exhibit 8, the 25 percent jump in monthly expenses from Phase I to Phase II is primarily in the area of personnel and fringe costs. The full implementation and operation of two word processing units and expansion of the crime analysis unit required the addition of several clerical support positions. Special assignment pay, usually five percent of salary, was also provided to sworn officers working as ICAP staff. For all phases, expenditures for personnel and fringe account for one-third to one half of the total budget. They represent the major assumable costs which the department must face at the end of ICAP funding if they wish to maintain all staff members.

Having ICAP and departmental personnel travel to other ICAP sites and training conferences to see and learn first hand about how the ICAP model is applied in other departments can be of considerable importance and value. Much skepticism can be allayed by providing local personnel with an opportunity to see other departments that have tried some of the ICAP innovations. Getting a realistic assessment from that site's officers as to the problems and issues involved can demonstrate that some initially resisted changes are quite feasible. This is particularly true in the first phase of operation when the proposal of ICAP activities is quite new to the department.

EXHIBIT 8

STOCKTON ICAP BUDGETS

CATEGORIES	Phase I (12 mos) % of Total Budget		Phase II (19 mos) % of Total Budget		Phase III (18 mos) % of Total Budget
	Proposed	Spent	Proposed	Spent	Proposed
Personnel	25	26	40	45	40
Fringe Benefits	8	11	14	13	13
Travel	9	18	7	11	2
Equipment	12	20	16	10	25
Operating Expenses	29	10	11	16	16
Contractual	18	15	12	5	4
TOTAL BUDGET	\$225,968		\$450,000		\$600,000

Stockton's Phase I travel budget seems to reflect this realization. Actual travel costs were 100 percent higher than initially proposed. The numerous national ICAP cluster conferences which occurred during this phase along with need to provide new staff and departmental personnel with exposure to the ICAP program significantly raised expenses in this category. Phase II travel was also underestimated but not to the extent as that of Phase I. As the ICAP project is established, the expected tendency would be for reduced travel costs over phases since ICAP and departmental personnel have received the necessary orientation and training. This is true for Stockton's proposed travel budget in Phase III, but was not the case in Phase II. Total dollars expended in travel during Phase II exceeded the Phase I figure by 22 percent. Among some of the factors which may have contributed to this increased amount was the use of experienced Stockton ICAP staff to provide technical assistance to other police departments in support of the national ICAP program. This entailed several lengthy trips. Personnel turnover also contributed to increased travel expenses since new personnel required similar training and site visit experiences as the original staff members incurred in Phase I. Finally, Stockton staged one of the national ICAP cluster conferences during Phase II in a neighboring city. Costs of transporting and maintaining conference support personnel also contributed to these Phase II travel costs.

Equipment expenditures, like travel, were also underestimated in Phase I. Most of this increased cost came from the acquisition of special equipment (cameras and alarms and a vehicle to support an ICAP developed Tactical Systems Unit and special patrol operations). As with travel, the expected tendency would be for equipment costs to decrease over project phases once the initial, necessary equipment was purchased. This is the case in Stockton. When the city's contribution to the proposed Phase III equipment line item is deducted, only four percent of the budget is allocated to this category.

In considering the relationship between budget as proposed and spent across phases it is clear that Stockton's expenditure experience in the first phase improved second phase budgeting. Differences between percent of budget as proposed and spent are roughly half as large in Phase II as in Phase I. In Phase I, project staff requested and received six budget modifications. In Phase II, eight budget modifications were submitted and approved. Approximately half of these modifications were administrative in nature (e.g., requests to purchase previously unspecified equipment and services or extension of a pending request). These modifications did not require substantive modification of line item amounts. Beside the previously discussed travel expenditures, Phase II encountered notable increases in operating expenses. Much of this increased cost can be attributed to the leasing and maintenance of several word processors in the report transcription units and support of some special patrol operations. As with personnel, the purchase or continued leasing of these word processors represents expense that will have to be borne by the department at the end of ICAP funding. Proposed cost is placed at 614 dollars per month during Phase III. With the exception of the significantly reduced Travel and locally enhanced Equipment line items, Phase III budget follows actual Phase II expenditures. Ability to maintain this pattern of expenditures would suggest a fiscally and programmatically stabilized project.

PROJECT IMPLEMENTATION

Extensive program planning has characterized the implementation of the ICAP project in Stockton. This emphasis has evolved, in large part, from the Project Manager's background in criminal justice planning and previous experience in innovating new police programs. Departmental involvement and participation in the planning process are utilized by the ICAP project staff in instituting major changes in Stockton. As discussed earlier, the general approach proposed and adopted by the Project Manager for implementing ICAP activities in both phases has been through the establishment of steering committees or task forces of departmental personnel.

Specific constitution of a particular group is dependent upon the nature of the area in which activities will be implemented. Membership on a given committee usually includes those ICAP staff members knowledgeable in the particular area to be addressed along with those personnel most affected by any possible changes. This includes commanders, supervisors, and line officer representatives. The general task or objective of a group is specified by the ICAP staff with the approval and support of the Chief. Responsibility for determining, implementing, and modifying a specific plan of action is left with the group. In most cases, ICAP staff introduces a preliminary working plan which the group amends and modifies.

As part of the first year proposal, a general ICAP Training and Steering Committee was established to provide overall guidance to the ICAP project (See Appendix B, Phase I, Approach 2, Thrust B). Since that time, other committees have been established as necessary. A patrol commanders' group was constituted for reviewing, formulating and recommending changes in patrol operations. A similar group with the same function was established for the Investigations Division. Recommendations of all groups were subject to review and approval by the Chief. ICAP representatives were included in other committees which were constituted to address non-ICAP departmental changes.

ICAP steering committee members participated in specialized training and site visits related to the proposed activities which were being formulated. Preliminary plans introduced by ICAP staff to the committee were seldom adopted as initially proposed. More typically, a number of concerns and issues were introduced by the group. Alternative suggestions were made and discussed. Occasionally, additional data were necessary for informed decisionmaking. In such circumstances, ICAP staff members conducted the necessary studies and/or surveys and presented their findings to the group.

An important element in the success of this entire procedure seemed to be that ICAP staff, besides demonstrating a high level of interest in promoting departmental upgrades, recognized the need for establishing and maintaining a working relationship with those units and sections where activities were planned. For the most part, ICAP staff did not uncritically accept either the project activities proposed in ICAP program literature or the rationales of departmental personnel relating to the infeasibility of implementing those same activities in Stockton. Instead, they worked with the committees to synthesize and implement a set of workable procedures in attainment of a project objective.

The net result of this give and take process was the development of hybrid plans which reflected the fitting of ICAP concepts and activities to the organizational and operational realities of the department. Compromises from original ICAP staff plans were commonplace but necessary in order to initiate new activities. The informal support of the Chief for this process contributed greatly to its viability as a means of implementing change.

The training function, in addition to providing officers with an opportunity to enhance their knowledge and skills, was also used in Stockton as a means of acquainting and preparing departmental personnel for planned changes. This was particularly true in Phase I when the training curriculum directly addressed the implementation of ICAP within the department. This training impact was enhanced through the provision of additional opportunities (e.g., site visits to other departments to study their procedures) for officers with outstanding performance. On a more informal, less systematic level, project visibility within the department has been maintained by ICAP staff's daily contact with officers from all ranks and departmental units. ICAP attribution also appeared on many of the documents produced by the ICAP staff and disseminated within the department. Such interaction, facilitated by Stockton's smaller size force, has helped to maintain the awareness of ICAP's presence necessary to support the implementation process. ICAP staff have also used the news media to convey information to the community at large about those ICAP operations which involve interaction with the public.

COMMENTARY

The purpose of this section and other commentary sections in the following chapters is to introduce and discuss those observations and issues which appear to have significantly influenced the implementation and operation of the ICAP project in Stockton. The analysis and interpretation of these factors are, to varying degrees, subjective since the information provided to evaluators will, realistically, always be somewhat incomplete and of limited perspective. The organizational dynamics which attend many departmental decisions and events are often complex and not shared with outsiders. Subject to these restrictions, the comments presented in this section are intended to identify some factors or issues which may have a significant bearing on the general organization and operation of Stockton's ICAP project. The breadth and complexity of the ICAP project precludes any comprehensive analyses; the intention of this section is primarily to introduce certain aspects of the local project which seem to deserve further attention and consideration.

ICAP Integration into the Department

The Stockton ICAP project is notable in that not only are there on-going activities in each major component, but that the management, organization and operation of the unit where ICAP is located contributes to its integration into the department. The mixed ICAP and departmental functions of the Operations Support Unit, and the additional role of its supervisor

the ICAP Project Manager, are important elements in this integration process. In one sense, the boundaries between what is and is not ICAP have been intentionally blurred. While this creates a definite problem from an evaluation standpoint, it facilitates the inculcation of ICAP activities, particularly unpopular ones, into the department. These activities are not easily distinguished as part of a special project which will end later. The use of patrol officers on the ICAP staff further adds to this mixing of ICAP into daily departmental affairs as does the conduct of activities by the ICAP project staff which are not of ICAP origin (e.g., assignments from the Chief or Deputy Chief). For the patrol officers, such experiences provide new perspectives on departmental operations from a managerial/administrative viewpoint.

This approach to integrating ICAP into the department may carry with it some potential problems, however. One possible issue for future concern in relation to Stockton's ICAP project, and ICAP projects in general, is the potential for any project after an initial period of successful implementation and development to become routinized into the department. Essentially, ICAP begins to operate in a manner not unlike other organizational units with a certain set of tasks to perform, roles to fulfill and a constituency to service. In such cases, the role of ICAP as a change agent for the department may be prematurely terminated without exploring the full range of possibilities for departmental involvement. As a niche is created for ICAP within the department's existing structure and operation, it becomes increasingly difficult for ICAP to branch further into other operational areas. Departmental involvement and contact which was broad at the beginning of the project may become more restricted as the project continues.

In Stockton's case, the extent to which proposed Phase III activities are implemented will provide some indication of whether or not such a situation is occurring. As illustrated in Exhibit 7, major Phase III activity is planned in the component area of managing criminal investigations. Planning for these activities consumed a considerable portion of Phase II project effort. Successful implementation of these plans in Phase III will represent the breaking of new ground for ICAP involvement in the department's investigative operations. It will further round out the project's departmental upgrades in each of the four major ICAP program components.

On the other hand, the shifting of resources (i.e., manpower) to new areas of project endeavor may carry with it a different set of problems. Since project staff size is limited and job tasks include some non-ICAP activities, maintenance of established functions and relationships may be difficult. Phase I ICAP training activities provided patrol with an awareness and knowledge of the ICAP project and its early plans. In the second phase, training with this type of objective was not implemented. Officers continued to be aware of ICAP project presence and established project activities but were perhaps less informed about future directions of the project. In the survey of departmental personnel conducted by the ICAP evaluation in the latter half of the second phase, almost two-thirds of the patrol officer respondents endorsed to some extent the statement that, "ICAP should try harder to keep patrol officers informed about what it is doing."

This situation was somewhat unavoidable since many of the specific Phase II activities were to be formulated by the Investigations Steering Committee, a process which took much longer than initially thought. Thus, there was little to inform patrol about at the time the survey was taken. Even in the absence of this circumstance, the maintenance of established activities, implementation of new ones and assimilation of new personnel onto the project may have stretched staff capabilities to the limit. Review of activity logs completed periodically by staff members for the evaluation reflected involvement in a diversity of distinct activities. Interviews with the Project Manager and staff indicated that there were periods of time when competing demands required prioritization of effort and the suspension of less immediate concerns. Such circumstances suggest strongly that even when implementation is phased in over time, the range of the ICAP program components is so broad that they require some expansion of staff over the course of the project in order to prevent slippage in the initial areas of effort.

Loss of ICAP Project Staff

One primary ingredient in the successful implementation of a local ICAP project would seem to be the presence of a core group of ICAP personnel or staff who are committed to instituting departmental change in accordance with the ICAP model. As is the case with many special projects, staff involved in implementing change and innovation develop marketable skills, knowledge and abilities. They obtain insights which are of value in terms of their own career enhancement. Job mobility is a common consequence and Stockton was no exception. Attrition will occur since it is unlikely that ICAP Project Managers will have the flexibility to notably alter staff salary or related benefits once they are established. Successful project operation then would seem to require that particular efforts be made to insure the continuity of operations.

A number of strategies should be considered and implemented. While costly, extensive overlapping periods of employment for an incumbent and new staff member would probably provide long-term gains in overall project operation. The smooth transition of serious habitual offender tasks from the Intelligence Coordinator to the Strike Force Coordinator in Stockton demonstrates the viability of having such an overlap. The provision of intrastaff on-the-job training programs would permit staff members to become intimately familiar with other operational aspects of the ICAP project besides their own area of work. This would provide management with back-up personnel who have the prerequisite knowledge to step into an on-going operation which is threatened by the loss of a key person. Requiring and maintaining documentation of operations, procedures and products is most important in minimizing the impact of personnel turnover, especially when automated operations are involved. Stockton's ICAP project is notable in that the manager has required the development of reports detailing the operation of many project services and units. Formal monthly reports are also required which review and update the activities and productivity of ICAP units and personnel.

Even with the implementation of various strategies and techniques to promote project continuity, personnel effects seem inevitable when the core of ICAP project staff consists of two or three key personnel. These personnel, unlike machine parts, are not easily interchangeable. Experience provides each of these personnel with areas of expertise and knowledge the loss of which can halt and even reverse previous progress. Although this was not the case in Stockton due, in some measure, to the use of the techniques just discussed, the level of Phase II effort and accomplishment would probably have been considerably greater had no such turnover occurred.

CHAPTER IV

CRIME ANALYSIS

The operation of a Crime Analysis Unit (CAU) is one of the key program components of ICAP. ICAP departments are encouraged to implement this component since it can provide information which can aid investigations and support the planning and evaluation of deployment and special patrol operations. If properly implemented, the CAU can serve as a focal point for the processing and reporting of operational information of importance to the department's entire law enforcement effort. The major areas of activity required for a functioning crime analysis unit are the collection, collation and analysis of data on criminal activity, followed by dissemination of analytical reports and receipt of feedback from users of this information. These activity areas serve as the framework for the assessment of Stockton's crime analysis unit. Prior to the initiation of ICAP, Stockton's Criminal Justice Planner had developed a Crime Trend Analysis Component for the department's management information system. This permitted statistical analysis and projection of crime rates in the city. However, no formal crime analysis unit had been established. Informal and personal analyses may have been conducted by individual personnel on particular cases.

ICAP PROPOSAL AND IMPLEMENTATION

Stockton's first phase ICAP proposal called for the development of a crime analysis function within the department (See Appendix B, Phase I, Approach 2, Thrust C) staffed by one full-time crime analyst. The second phase addressed the automation of this crime analysis process (See Appendix B, Phase II, Approach 2, Thrust A). The current third phase ICAP grant application does not propose any particular activities or endeavors for the CAU. However, its effective operation will play an important role in the proposal's plan to institute case screening procedures and expand patrol's role in investigations. Investigators will become increasingly dependent on the CAU to provide information previously obtained through personal review of all offense reports.

Project activity in crime analysis began early in Phase I of the project with the hiring of a former police officer from another jurisdiction as the crime analyst. As part of the orientation and implementation process, the analyst received three weeks of crime analysis training at two seminars and visited over a half dozen CAU's in other departments throughout the country. Based on this experience and his assessment of the Stockton Police Department's needs, the analyst developed a detailed implementation plan for instituting Stockton's crime analysis operation. Even while this plan was being developed, the analyst was also producing an Information Bulletin on a series of rapes which were occurring. An overview of significant events in the implementation of Stockton's CAU, and when they occurred is presented in Exhibit 9.

EXHIBIT 9

TIMELINE OF CAU IMPLEMENTATION

DATE	MONTH	EVENT
2/78	1	First ICAP Grant begins
3/78	2	CAU staff hired - first product issued
4/78	3	Patrol Officers receive training in crime analysis
5/78	4	CAU Implementation Plan completed
9/78	8	CAU implemented in accordance with plan - files operational - 8 hour/day, MondayFriday
10/78	9	New Field Interview Report initiated
2/79	13	Second ICAP Grant begins - CAU System formally documented
3/79	14	Patrol trained in use of new offense report, report implemented
9/79	20	Work on automation of CAU begins
2/80	25	Revisions in Arrest, Misdemeanor reports made - patrol trained on revisions
9/80	32	CAU staff expanded, Third ICAP grant begins

As part of this implementation process, eight hours of training were provided to all patrol officers on crime analysis techniques. Results of an evaluation of the training indicated that after training, officers were able to answer roughly 50 percent more items correctly on a test of crime analysis knowledge relative to their performance prior to training. (Harkness, 1979). The majority of officers rated the instructor and content of the course from good to excellent. Further details of this assessment are provided in the ICAP Status Report for the First Year of Operation prepared by the local evaluator.

Routine Activity

After a period of building files and issuing occasional bulletins, Stockton's crime analysis component was fully operational by the last half of the first phase. Since that time, both the size and number of files have increased. Hours of operation follow a normal daytime work schedule with extra hours and weekends added when special circumstances require them.

Analysis is routinely conducted on the crimes of robbery, rape and burglary for which crime maps are maintained. One map plots business robberies and rape, another maps burglaries and a third plots purse snatches. Detailed descriptions of the data elements which comprise each manual file are contained in a well documented Crime Analysis Information Package developed by the analyst. This document, which has been revised and updated from its original publication, also contains the unit's implementation plan, objectives, analysis procedures and products of samples. Over 40 other police departments have requested this document which is notable for its comprehensiveness.

The crime analyst has also been involved in other related support activities. The analyst has worked with the Career Criminal Intelligence Coordinator to develop and revise new offense, arrest, misdemeanor and field interview reports, all of which were implemented throughout the department. Other analyst duties have included:

- training in the field testing of the Institute of Public Program Analysis' Patrol/Plan resource allocation software packages;
- provision of assistance in outside investigations and study of accident trend data for redeployment of the Traffic Section;
- provision of technical assistance to other departments in the areas of crime analysis and grant development; and
- development and specification of the operation and system capabilities of the automated data base.

Staffing

Implementation and operation of the manual crime analysis system in Stockton during Phase I proceeded in general accordance with the timeline presented in the Phase I work plan. During Phase II, a number of events occurred which impacted on the operation of the manual system and implementation of the automated data base. With regard to the existing CAU operation, the resignation of the crime analyst ten months into the second phase precipitated a readjustment in project staffing. The data entry clerk, who had the prerequisite qualifications and some limited experience in doing analyses, was moved on a trial basis into the analyst position. The patrol officer who served as the Intelligence Coordinator was assigned a supervisory role over the new analyst by the Project Manager. This was in addition to his other duties. A new data entry clerk was also recruited.

In subsequent months, the type, quality and frequency of crime analysis reports varied as a function of the time spent and experience gained by the new analyst in attending formal crime analysis schools and visiting other CAUs. The attention, time and kind of expertise which the Coordinator could provide also played a role in influencing CAU output. Relative to the level, or standard of performance established by the previous analyst, the perception of the unit's status during this time seemed to be one of a rebuilding phase. This perception was supported in part by the lower production of crime analysis reports and file searches. Averaged across a four month period, the restaffed CAU issued 30 to 40 percent fewer reports and conducted 40 to 50 percent fewer searches than the previous analyst had in the four months prior to his resignation. This comparison suggests that changes in personnel requiring even moderate reorientation and/or additional training can be expected to impact on the operational characteristics of the unit. It should also be noted, however, that the collection of data and maintenance of the files were not discernably affected by the change. In reviewing these production differences, consideration should also be given to the previous analyst's more extensive experience in setting up and operating the system.

Staffing changes occurred for a second time seven months later when the new analyst resigned and the new data entry clerk accepted a position in the Records Section of the department. Prior to this resignation, further changes had been planned in the CAU staffing pattern. The Intelligence Coordinator was relieved of most duties in the career criminal area in order to devote more time to the CAU. Two crime analyst positions - one senior, one junior - were established. Both positions were filled within two months of the second analyst's resignation. Currently, both the senior and junior analysts, under the direction of the Intelligence Coordinator, continue to operate in a manual mode until the automation process is complete. The junior analyst does most of the data entry work. Both analysts have only limited prior experience with crime analysis and steps are being taken to provide them both with the necessary formal training and site visits to other CAUs. To address the impending automation of the CAU data bases, the creation of a data entry clerk position is also anticipated.

AUTOMATION OF THE CAU

While it has had little direct effect on the operation of the CAU, the time frame for implementation of the automated data base has also been impacted by unanticipated events. Initial plans to develop custom-made software to run on Stockton's Computer-Aided Dispatch (CAD) backup computer were held in abeyance in order to explore the possibility of the department's participation in an International Association of Chiefs of Police (IACP) Crime Analysis System Support (CASS) project to develop crime analysis software. However, as the specifications and capabilities of this project's system were developed, computer hardware incompatibilities with Stockton's system, different implementation schedules and a lack of software which adequately addressed Stockton's CAU needs required a return to the original plan. As a consequence, work on this aspect of CAU operation resumed some six months later than had been originally proposed. A contract to develop the system software was awarded and work initiated.

Installation of the actual system has taken longer than proposed due, in large part, to technical matters beyond the control of the ICAP staff or the contracted vendor. Limitations in the CAD's operating system software and problems in obtaining accurate and current documentation of that system have prolonged the time taken to automate. It is anticipated that the CAU computerized data base will be operational in the first few months of Phase III.

In the sections that follow, the activities and operation of the CAU during Phase I and II of Stockton's ICAP project are presented using the conceptual framework and data collection, collation, analysis, dissemination and feedback outlined in the evaluation design (see Chapter II - Evaluation Model in General Design and Guide for Evaluation of ICAP). This is followed by a cost analysis of Stockton's CAU operation and a general discussion of the crime analysis component in Stockton.

DATA COLLECTION

Data collection represents the first step in the crime analysis process. To operate effectively, a CAU must collect information which is current, contains few errors or omissions, and is of some utility or value to the analysis process. These are critical criteria in assessing the implementation and operation of a CAU. An expression commonly used in the field of data processing, GIGO (garbage in, garbage out) succinctly expresses the resultant effect of a failure to achieve these criteria in the data collection stage.

In Stockton, the bulk of data collected for input into the crime analysis files comes from initial offense reports, supplemental reports and field interview cards completed by departmental personnel. Information is also accessed from state and national criminal information data bases on a supplementary, "as needed" basis. These represent some standard information sources recommended and used by most CAU's. See Police Crime Analysis Unit Handbook (Austin, et al., 1973) for a description of CAU data sources.

To insure the timeliness of information, all the Stockton Police Department's reports are reviewed daily during the week by either the analysts or the clerk assigned to the CAU. Reports generated over the weekend are all processed through the CAU on Monday. While this introduces some delay, its effect appears minimal in a department the size of Stockton given the number of reports generated and the CAU staff available to process them. Should the volume of weekend reports exceed the CAU staff's ability to process them in one day, operation of the CAU on a part-time basis during the weekend should be considered. This is especially true if staff size should permit such flexibility. Both the analyst and clerk have worked on weekends when the timeliness of a response was an important consideration in facilitating a possible apprehension. Based on data from June 1979 to June 1980, the CAU has, on average, reviewed between 30 to 40 documents per day during the week. This figure, however, somewhat underestimates the current level of CAU operation since it includes periods of lower crime rate, an officer's work slow down and a strike. For the period April 1980 to June 1980, the daily average for documents reviewed runs between 40 and 50 per day.

To facilitate the collection of appropriate data in a format that was both conducive to collation and contributed to analyses, the department revised its offense, arrest and field interview reports (FIR). Appendix D contains copies of the pre-ICAP combined offense/arrest report form and the separate post-ICAP offense and arrest report forms. Appendix C includes a copy of the FIR. Exhibit 10 presents a comparative analysis of the offense data elements obtained on the pre-ICAP, 89 item offense/arrest report and the revised 121 item post-ICAP offense only report. As reflected in Exhibit 10, increased reporting is required in the areas of suspect description and method of operation. Both new reports provide more structured, forced choice items and hence, require more detailed information than the earlier, more narrative report. Implementation of these reports was preceded by the development of a new report manual and training of all patrol officers in the completion of the new and revised forms. Informal assessment of average time taken to complete the new reports indicated no notable change relative to the old report. Depending on the crime type and specific circumstances (e.g., arrest, witnesses), it was felt that the new reports took longer to complete on some cases, but took less time on others.

Since the analyst no longer has to search through a long narrative to find important crime information, the format of the revised offense and arrest forms promotes the efficiency with which information can be abstracted. However, it does not automatically insure that more information will be collected. If officers provided an extensive and thorough narrative under the old report format, little new information would be obtained using the new format. Conversely, officers filling out a new crime report may not complete all the structured items or may continue to provide the requested information in the narrative instead. In order to assess whether or not Stockton's revised offense report increased the amount of information collected, 50 old and 50 new offense reports were compared - 25 old and new Robbery reports and 25 old and new Commercial/Residential Burglaries. Reports were randomly drawn from comparable quarters one year apart (December - February).

EXHIBIT 10
COMPARISON OF THE PRE- AND POST ICAP OFFENSE REPORT
STOCKTON

REPORT INFORMATION	PRE-ICAP CRIME REPORT	REVISED ICAP CRIME REPORT
VICTIM OR WITNESS	name, address, age, sex, race, dob, place employed-school, business phone, home phone, home address, reporting party designator, parent designator, discovered crime designator	name, address, age, sex, race, place employed-school, business phone, home phone, reporting, dob, party designator, parent designator, additional persons listed, witness checks
INCIDENT	type, location, date of occurrence, date and time reported P.D., firm name if commercial, reason for offense	type, location, time of occurrence, date of occurrence, month, day, year, firm name if commercial, place of attack, date - time of report
M.O.	None	point of entry, method of entry, suspect actions, weapon, weapon features, additional weapon description
SUSPECT	name, address, sex, race, age, dob, height, weight, hair, eyes, build, clothing description, social security no., arrest no., charge, arresting officer, driver's license no., date of arrest, time of arrest, location of arrest	name, address, sex, race, age, dob, height, weight, hair, length, hair style, facial hair, eyes, build, nickname - AKA, Stockton no., complexion, general appearance, demeanor, speech, voice, handedness, clothes, glasses, tatoo - scars, face, other
VEHICLE	year, make, model, color, license no., impound, hold, claim check no.	year, make, model, body style, color, license no. state, expiration, VIN no., hold, additional vehicle identifiers, vehicle disposition, stolen designator, suspect designator, recovery designator
PROPERTY	property taken, property or evidence, property tag number	quantity, article name, I.D. no., brand-make-manufacturer, model name, mode, numbers, miscellaneous description, value, additional property listed, records, total value, disposition of evidence, property card no.
ADMINISTRATION	code section, citation no., CR no., custody designator, citation designator, follow-up designator, juvenile designator, traffic designator, felons, cleared, reporting officer, approved by, narrative section	victim indemnification, dispatched designator, custody designator, juvenile designator, CR no., reporting officer, approved by, follow-up designator, narrative section, evidence obtained, alarm systems

Analysis was conducted on those items which appeared on the new report but were not specifically identified on the old report. For each item, the number of new reports containing a response to that item was tabulated. The number of old reports containing information in the narrative, or elsewhere on the form that would constitute a response to that item was also tabulated. For example, a count was taken of the number of new reports on which an element of the new report item "suspect hair length" was checked. A similar count was taken of old reports which provided some description of the suspect's hair length. Items were then classified into six categories (see Exhibit 11) and a maximum response value was computed for each category by multiplying the number of items in that category by the number of offense reports in a particular sub-sample. For instance, if six items on the new offense report were classified as relating to the witness category, and there were 25 new offense reports on robberies being analyzed, then the maximum response value would be:

$6 \times 25 = 150 = \text{maximum response value}$

This figure represents the total information count which could be obtained if all the new witness items were filled out or mentioned on all the offense reports reviewed in a specified sample group. The actual information response count in a given category can be expressed as a percent of this maximum response value.

Exhibit 11 presents these percent values for Stockton's old and new offense reports along with the direction and magnitude of change. As can be seen from Exhibit 11, more information was provided on the new offense report. Roughly speaking, changes greater than 10 percent represent statistically significant differences ($p < .05$) between the proportion of information obtained before and after revision of the offense report. The most notable and meaningful changes occurred in the amount of information obtained about methods of operation for both types of crime. Suspect descriptions in robbery also increased. In general, increases in information on administrative and witness items reflect a formal designation as to whether a given activity (e.g., check for witnesses, collection of evidence, etc.) occurred or not.

Comparing the old and new offense report samples, regardless of crime type, indicated that twice as many items of information were being provided on the new form than were provided on the old form. On the new form, fewer than four percent of these information elements were still being placed in the narrative rather than in the appropriate item box.

Review of Offense Reports

Because Stockton utilizes a one-write system for its crime reports, the quality or accuracy of the data is, for the most part, attributable directly to each patrol officer. Transcription errors are minimized. A study conducted by the ICAP staff on a sample of 100 pre-ICAP offense reports from 1977 found that 12 percent of the reports had at least one deficiency; the most common one was a failure to check the area for witnesses. With implementation of the CAU, quality control has been exercised by the CAU staff in reviewing and transcribing the incoming source

documents to keysort cards. Serious errors, inconsistencies and omissions are noted and the reporting officer or appropriate personnel are informally contacted to resolve the problem. The analyst has reported that, thus far, the frequency of occurrence of such problems has not been extensive or detrimental to CAU operation. A six day log maintained by the crime analyst for the evaluation during the first two months of 1980 provided a count and description of the types of errors encountered. During this period, roughly half of the documents reviewed daily were initial offense reports, 20 to 25 per day. On average, 12 percent of the reports reviewed during these six days had some problem. Across the six days, the range of reports having problems varied from one to six per day. Failure to check items or narratives that were too brief were reported in the majority of cases.

EXHIBIT 11

COMPARISON OF OLD AND NEW ROBBERY AND BURGLARY OFFENSE REPORTS
EXPRESSED AS PERCENT OF MAXIMUM POSSIBLE RESPONSE COUNT

INFORMATION CATEGORY (# of items)	ROBBERY			BURGLARY		
	Pre-ICAP	Post-ICAP	Change Post-Pre	Pre-ICAP	Post-ICAP	Change Post-Pre
Administrative (5)	13	14	+1	13	24	+11
Method of Operation (6)	39	62	+23	58	82	+24
Property Stolen (4)	24	27	+3	45	51	+6
Suspect Descrip- tion (14)	27	51	+24	6	9	+3
Witness (1)	8	28	+20	16	32	+16
Suspect Vehicle (2)	4	0	-4	2	2	0

Efforts at quality control have expanded towards the end of ICAP's second phase as part of the planned implementation of an investigative case management system. A sergeant has been formally assigned to review offense reports for both quality and departmental routing. (The role of this report review officer is detailed in Chapter V on MANAGING CRIMINAL INVESTIGATIONS). While the report routing aspect of this operation has not yet been initiated, the report review process has been established. Offense reports are spot checked and deficient reports are returned to the patrol officers for correction. After two months of operation, the review sergeant estimated that approximately two to four percent of the crime reports reviewed contained errors that required return of the report to the officer. He also reported that many offense reports had some minor problems (e.g., a box not being checked), but that these were not serious enough to warrant a return. Like the CAU staff, the review sergeant makes some corrections without returning the report to the officer.

In general, it appears that Stockton's ICAP project has implemented both formal and informal mechanisms to adequately monitor and maintain the quality of data being collected by the CAU. As the quality of the reports is a function of many factors (time available for report writing, type of crime, officers' writing ability, witness memory, etc.), increases in the existing level of efforts to improve the initial accuracy of the reports (e.g., more officer training, sanctions for poor reports) may not bring significant improvements. However, some improvement can probably be made and continued quality control activities should be considered, implemented and assessed. With the impending automation of the data bases and potential for an interactive crime analysis system, project efforts should continue and perhaps be increased to insure the quality of data being utilized by the CAU.

DATA COLLATION

The data collation process represents the transformation of raw data from the collection step into an organized format for subsequent analysis. The primary manifestation of this step is the creation of files which provide an effective and efficient structure for the categorization, storage and retrieval of information which may be of relevance in analyzing crime. The ability to cross index and interrelate the information contained in a set of files is also of major importance. In many respects, the collation and analysis steps are inextricably intertwined. The process of entering the data into different files may reveal an unexpected pattern or relationship which serves as a stimulus for more detailed analysis. In general, the effectiveness of collation is reflected by the frequency with which the contents of a file can provide the analyst with the information sought. Efficiency is indicated by the time required for, or complexity of, storage and retrieval.

Assessment of the collation process is difficult. In determining file structure and collating procedures, the analyst must constantly make trade offs. Some informational elements are rarely of value. The analyst must judge which information elements will be of most value relative to the costs of obtaining, processing, storing and retrieving that information

from the file(s). Inclusion of seldom used data decreases the efficiency of the file system. Deletion of that data may adversely impact effectiveness. The analyst must also determine the level of detail that the files will be capable of providing. Narratives can provide rich detail, but consume enormous amounts of space in both manual and automated systems. Effective and efficient retrieval can be difficult. Cryptic, forced choice information elements are easily stored and retrieved but may be of little practical utility in an analysis process unless they can be meaningfully combined and cross indexed with other information elements. The net result of these considerations is that each CAU adopts and adapts file structures and contents as a function of a multiplicity of influences: data availability and reliability, experiences of other CAU's, unit objectives, departmental objectives, analyst experience, mode of operation, CAU staff size and equipment. Consequently, there is no one "best" file structure or collation procedure that can be universally applied as a standard for the assessment of specific operations.

Pragmatically, the collation process is best demonstrated by the presence of a file data base and a review of how this information is maintained, modified and utilized by the analyst. Inadequacies in the collation process are primarily reflected by the frequency with which analysts are unable to access desired existing information because either it was never stored or it is stored in such a way that retrieval is prohibitive in terms of time and/or money.

Stockton's manual CAU actively maintains and utilizes four files for purposes of crime analysis. These are listed in Exhibit 12. In addition, the CAU maintains two additional files - a case report information file and a description file - which provide short term supplemental source documents to be used when necessary for crime pattern analysis. A prowler call file has also been maintained on an as needed basis when such information might be of assistance in suspect identification. For instance, this file might be utilized when analyses suggest that a crime series is occurring and additional information about suspicious individuals in the targeted area could be helpful. Because of its collection and collation activities, the CAU has also contributed to the development and maintenance of a career criminal file and a youth gang file that are kept by other sections of the department.

The four files listed in Exhibit 12 contain data abstracted from departmental reports: e.g., offense reports, arrest reports, field interviews. Descriptive data from these reports are punched and written onto the appropriate file cards (See Appendix C for copies of these file cards). These cards are designed on a keysort classification method which utilizes a descriptive category (e.g., suspect actions) with specific data elements (e.g., took only money, threatened retaliation) under each category. Each file card has prepunched holes surrounding its edge. The descriptive categories with their specific data elements are on each card. Each particular hole represents a different data element. Data are entered into the file by notching out the appropriate hole with a hand punch. A spindle is inserted into a particular hole to retrieve data. Additional detailed information and cross-reference information is handwritten in the center of the card. This keysort method functions in some respects as a manual

EXHIBIT 12

STOCKTON POLICE DEPARTMENT
CRIME ANALYSIS FILES

Number of
cards in file

• METHOD OF OPERATION FILE

1,421

Information for this file is recorded onto a keysort card that lists twelve method of operation descriptors. These descriptors are: day of the week; time of day; area description; premise type; target type; point of entry; means of entry; evidence collected; suspect's actions (general); and suspect method of operation (specific). The method of operation data elements are crime specific. That is, there are particular elements for the crimes of rape, robbery and burglary. For the twelve descriptors in the method of operation file, there are 276 individual data elements that can be punched onto the keysort card.

• SUSPECT/VEHICLE DESCRIPTION FILE

1,037

Information is entered into this file when a crime occurs in which a witness or victim obtains either a suspect description or a suspect vehicle description. In such cases, the information is entered onto a keysort card consisting of thirty-two descriptors. These descriptors are: Suspect's sex, age, height, weight, build, hair color, eye color, hair type, hair style, facial hair, complexion, general appearance, demeanor, speech, voice, facial characteristics, clothing, glasses, scars/marks/tattoos, vehicle model, type, color, year, additional vehicle identifiers; weapon; and method of operation. There are 437 particular data elements associated with the thirty-two suspect/vehicle descriptors.

EXHIBIT 12 (cont'd)

Number of
Cards in File

• KNOWN OFFENDER FILE

247

The criteria for entry into the known offender file is any arrest for robbery, burglary or a violent sex crime. Career criminal information is also included in this file. The known offender file consists of twenty-four descriptors. These descriptors are: sex, race, age, height, weight, build, hair color, eye color, hair type, hair style, facial hair, complexion, glasses, scars/marks/tattoos, vehicle model, vehicle type, vehicle color, vehicle year, additional vehicle identifiers, weapon, and M.O. factors. There are 350 individual data elements for the twenty-four descriptors. Additional information included on the known offender cards are: associates, known addresses of offender, other vehicles used or owned by offender, a brief narrative method of operation description, subject's prior criminal record, and other relevant comments. The known offender file utilizes the same keysort card as the suspect/vehicle description file, however different information is recorded in the center of the card and different descriptors are used.

• FIELD INTERVIEW FILE

9,050

The Field Interview (FI) File is the final file that utilizes the keysort method. The interview card is a four inch by six inch tri-copy card. The officer completing the FI card retains one copy, the second copy of the FI card is routed to the Investigative Division, and the third copy of the FI card is routed to the Crime Analyst for entry into the Field Interview File. The copy of the card that is routed to the Crime Analyst has the prepunched keysort holes. Upon receipt of an FI card, the information recorded by the officer is assigned a numerical code and the appropriate keysort hole is notched. The FI card is designed to collect information for twenty-one descriptors. These descriptors are: sex, race, age, height, weight, hair color, eye color, hair length, hair style, complexion, build, vehicle model, vehicle type, vehicle color, vehicle year, additional vehicle identifiers, beat, time, reason for the FI, facial characteristics, and other characteristics. There are 186 individual data elements for these twenty-one descriptors.

computer system. The card structure provides the conceptual format for data collection. Collation is accomplished through the use of the spindle to mechanically select those file items which may be related. Review of CAU products, observation of this collation process and reports by the crime analyst all suggest that these files and the keysort procedure are a viable approach to the detection and analysis of crime trends and patterns.

The primary difficulties with this keysort file card system are the physical limitations of the card itself and the impact of increasing the number of cards in each file. The number of descriptive categories and data elements which can be contained on a single card is restricted by its size. Consequently, the amount of information which can be stored and utilized for selecting similar cases is fairly fixed and rigid. While the data categories and elements on the cards provide sufficient information for analyses, some file searches occasionally may produce a gross output of cards. Many extraneous cards could be quickly eliminated if additional keysortable data categories and elements were available. Instead, information written on each card must be reviewed for these data elements. This, of course, assumes that the analyst feels that the effort and time to do such a review are equal to the value this information can provide.

The analyst in Stockton has noted that as the size of each file increases, the act of inserting the spindle and selecting out cards becomes increasingly unwieldy, tedious and time consuming. Because it is dated the information contained on older file cards may be less helpful. In response to this problem, the method of operation, suspect/vehicle and known offender keysort files were purged of 1978/1979 data in June 1980. At the time of the purge, estimated size of the methods of operation file was 4,800 cards; the suspect/vehicle file was 2,050; and the known offender file was 990. This purge has alleviated the increasing amounts of time required to conduct file searches. Given the tentative nature of many of the data elements entered into these files, it is doubtful that their utility is seriously compromised by these deletions. In addition, not all 1979 entries of the known offender file were purged. As can be seen in Exhibit 12 however, the large Field Interview File is, as yet, unpurged. While the value of this file has been touted by the analyst, some purging of old data could be beneficial to manual operation of the CAU until all files are automated.

Despite these physical drawbacks, the keysort system seems to provide a conceptually simpler, more efficient, less manpower/time intensive method of operating a manual data base than alternative approaches such as cross referenced index card files of source documents. Although the keysort approach does not provide some of the detail and flexibility of an index card system, it can process a greater volume of data with the same number of personnel.

Stockton's CAU should circumvent many of the keysort system shortcomings in the third phase of ICAP by completing the installation of an automated data base. Operational plans call for the storage of a larger volume of data with more flexibility in search capability. These plans are modeled on the manual approach utilized by Stockton's first crime analyst. Additional capabilities could be added using some of the fully automated

procedures used by the CAU's in larger departments (See **Crime Analysis System Support: Descriptive Report of Manual and Automated Crime Analysis Functions, 1979**). These search and statistical procedures capitalize on the processing speed and computational power of the computer and should be considered in Stockton once the initial system is debugged and fully operational.

ANALYSIS

Analysis is a process of assembling and comparing the information which has been collected and collated in order to show some pattern or meaning. Its objective is to link, or tie together, two or more crimes, or a crime with specific suspects. Analysis may provide information on places and/or people associated with past crime or, less frequently, with future criminal activities. While this analysis aspect of CAU activity can be described, the quality of a CAU's analysis process is extremely difficult to evaluate. Tentatively assuming that the crime data collected are sufficient, accurate and acceptably collated, the quality of analysis is still a function of both the extent to which actual patterns and trends exist in the data, and the analyst's ability to detect and abstract this meaningful information. Evaluation of CAU performance in the analysis of crime data is restricted by limitations in identifying and assessing the multiplicity of influences which affect this function.

In Stockton, pin maps and card files are used in the analysis process to detect geographic and similar offense patterns and identify suspects. Analyses are initiated at the request of sworn officers or on the basis of the analyst's observations of possible crime patterns and trends when collecting and collating crime data. In most instances, officer requests require a search of appropriate files for data which may be relevant to a particular case with which they are familiar or assigned. Searches may be conducted for a variety of reasons, among the more frequent are to:

- identify possible suspects or additional suspects.
- obtain additional information on identified suspects.
- identify other possible crimes committed by suspects in custody.
- develop corroborative evidence on suspects in custody.

In the period between September 1978 and September 1980, the Stockton CAU reported an average of two officer requests for information per day. The range of requests averaged from one every other day to six per day. Based on monthly data from June 1979 to June 1980, the average number of file searches conducted per day ranged from one every other day to seven per day. The overall yearly average was 3.5 searches per day. The Field Interview File was searched almost twice as frequently as any other file.

Since initiation of the CAU, approximately 45% of all officer requests have come from investigators, 42% from patrol and the remainder from Crime Prevention, the Strike Team or Juvenile Division. In the first phase of CAU operation, Investigation's utilization of the CAU exceeded that of Patrol two to one. This trend reversed itself in the latter half of 1979. By the Summer of 1980, this reverse trend had also ended and the number of requests received by the CAU from both Patrol and Investigations was approximately equal. It should be noted, that given the smaller size of the Detective Division, their CAU utilization rate per man is higher than that of Patrol. Reasons for this pattern of fluctuating utilization are not clear. Patrol involvement with the CAU may have increased as implementation of other ICAP and CAU project activities occurred (e.g., increased dissemination of formal CAU reports to patrol with a response required, initiation of the Strike Team, requests that more Field Interview Reports be taken). Investigative involvement may have decreased as a consequence of the turnover in CAU personnel until the rapport and experience of the new analyst could be established with investigators.

Besides analysis conducted in response to officer requests, CAU personnel may independently identify crime patterns or suspects as a result of the collection and collation processes. When an analysis of this type has been initiated, the analyst may use one of a variety of methods for information dissemination depending on the results of the analysis and the responses desired. The quality of the analysis can be subjectively assessed by the presence of new information and/or the synthesis and integration of existing information in the content of the report. Since it is these reports which represent the results of analysis and the formal disseminated output of the CAU, they are discussed in detail in the following section.

DISSEMINATION

Dissemination is the process of providing the results of the data collation and analysis to departmental personnel who can potentially utilize the information. The CAU information may be either written or oral. The content and frequency of written reports provide the most tangible indicator of CAU productivity. In order for the dissemination process to be effective, the format and content of reports should meet the requirements of its audience. The information contained in the report should be timely. CAU reports which frequently contain out-dated information, or information already known by the audience or of little value to the audience, will diminish the credibility and attention paid to subsequent reports.

In Stockton, most officer's verbal requests for information receive a verbal response, particularly if the analysis does not prove fruitful. As of May 1980, written responses, referred to as Officer Memoranda, have also been prepared in response to some verbal requests. In some instances, depending on the nature of the request or the nature of the information, briefings may be provided at roll calls. Review of weekly activity logs which were completed periodically (once per quarter, 4/79-4/80) by CAU staff for the evaluation indicated that the first analyst frequently attended both patrol and detective roll calls for the purposes of obtaining

and transmitting information. Subsequent to the turnover in CAU personnel, the frequency of this type of activity decreased. However, the supervisor of the reorganized CAU still attended many roll calls and fulfilled this function, relaying the information obtained to the analyst.

Several types of reports may be prepared by the analyst to provide a more formal dissemination of crime analysis information. These are:

- Mission statements - These reports are issued to either patrol commanders or a special strike force team about a specific crime problem. In addition to providing relevant modus operandi (M.O.) and suspect information, these reports include tactical suggestions and require a written response to the Chief on the part of the recipients as to the actions taken. The analyst monitors mission activity and its relation to the targeted crime series.
- Memoranda - These reports are similar to missions and are issued to patrol and/or investigations. However, memoranda do not usually carry specific tactical recommendations or require a written response detailing actions taken.
- Profiles (Crime Specific Bulletins) - These reports review and/or update a particular crime pattern or series of crimes (e.g., burglaries) in a specific beat. Reports usually include a map indicating where offenses have occurred.
- Crime Series Analysis Matrix - This is an investigative report that graphically displays a large volume of crime data in a grid format permitting case comparison for M.O. factors. Matrix reports aid investigators in interrogating former victims and current suspects and in obtaining warrants (See Appendix C for samples of these products).

These products are produced when the analyst independently observes the potential development of a particular crime trend or pattern. They may also be produced at the request of investigative or patrol supervisory personnel. There is no set dissemination schedule for these crime analysis bulletins; they are prepared on an "as needed" and "as requested" basis. Exhibit 13 presents the number of reports produced between the CAU's formal start up in September 1978 and June 1980. In addition to these CAU outputs, the crime analyst may place an entry in the Daily Confidential Bulletin (DCB) which is prepared and disseminated daily to sworn personnel in the department. The DCB is described in detail in the Serious Habitual Offender Chapter of the report.

EXHIBIT 13

CRIME ANALYSIS REPORTS

Strike Force Missions (Analytical Segments).....	33
Patrol Missions.....	25
Mission Updates.....	21
Patrol Memoranda.....	84
Investigative Officer Memoranda.....	37
Crime Series Matrix.....	31
Profiles.....	15
Profile Updates.....	10

This practice began in the Spring of 1980 when the Intelligence Coordinator, who prepared the DCB, was assigned as supervisor of the CAU. In May and June 1980, fourteen CAU entries were placed in the DCB. This appears to be a very good mechanism for the dissemination in order to be effective.

Stockton's CAU has made a concerted effort to insure the timeliness and credibility of its products through the strategy of selectively issuing and disseminating its reports. The CAU does not provide daily crime reports or recaps which is done by many CAU's. The espoused philosophy is not to "turn off" officers by overwhelming them with too much information that lacks integration or interpretation. Given the limited manpower operating in a manual mode, this also appears to be an efficient approach. With the exception of DCB entries, CAU products are not disseminated to patrol at large, but rather to specific supervisory personnel who are responsible for a particular unit or area. Final dissemination and use of CAU information rests in their hands. They may qualify, enhance or screen this information. With regard to Strike Force missions, patrol missions and memoranda, they are usually introduced at roll call. Method of introduction varies. Reports are sometimes summarized, sometimes read verbatim and sometimes copied and distributed. In patrol, some discussion usually occurs, especially if the report requires a planned tactical response. In Strike Force, extensive planning is initiated. In both cases, additional information may be offered if the analyst is present.

Interviews with supervisory personnel who receive the CAU reports indicate a general satisfaction with the quality of work. Individual products are occasionally critiqued for having dated information, maps with limited legibility or inappropriate audience in the sense that officers may feel that the existing call for service workload is too great to carry out

a special operation at a particular time. These problems, however, have not affected their overall impression that the disseminated CAU products provide a useful support service to the department.

FEEDBACK

Feedback is the provision of information and results back to the CAU from the environment. It is a critical link in the crime analysis system and serves as a functional evaluation of the CAU's utility. The feedback process is necessary for the CAU in order to determine whether it is performing in a manner which meets user needs. More importantly, feedback must be obtained in order to determine if user groups have taken some action as a result of the information supplied. And finally, if some action has been taken, what are the results? This requires monitoring of the apprehension activities within the department and criminal activity in the community.

Feedback concerning the utility, accuracy and timeliness of crime analysis reports in Stockton has been largely verbal and undocumented. There does appear to be a high level of informal interaction between CAU staff and departmental personnel. Both patrol and investigative personnel were regularly observed in the CAU talking with the analyst or CAU supervisor during the course of the evaluation. The CAU's physical location is not optimal relative to patrol operations on the first floor, but it is conveniently accessible on the second floor by the elevator. The Investigative Division is across the hall. The fact that Stockton is not a large department and operates out of one central facility contributes to officer CAU interaction as does analyst attendance at roll calls. For a given report, CAU personnel seem to be aware of and, when possible, responsive to any deficiencies that departmental personnel perceive in the report.

Formal mechanisms do exist in the written response which patrol supervisors must make to the CAU Mission Statements they receive. This information may be contained in an Action Memoranda prepared as the result of a specific mission or in a monthly activity report. These reports are reviewed by the crime analyst.

In addition to these formal responses and the informal, personal contact with officers, Stockton's CAU personnel use other techniques to obtain feedback about the impact and consequences of their reports. With regard to Memos and Profiles which do not require written responses, the analyst will review the level and type of criminal activity for the area identified. It is not uncommon for the suspension of a crime series to occur after it has been identified by the CAU and brought to the attention of patrol in the report. If field interviews are requested in a report, or suspect descriptions are provided, the return of completed FIR cards serves as an indicator of activity. Review of Patrol and Investigator Dailies, - running account of significant activities, arrests, messages, etc, on the part of sworn officers - is also a source of feedback often used by the analyst to determine if any events related to the reports have occurred. The information obtained through these various sources frequently serves as a basis for revising the original reports and maintaining the feedback loop

between the CAU and its users. The number of Mission and Profile updates in Exhibit 13 is illustrative of this process. For the most part, information obtained through these mechanisms is not documented as a matter of record relative to a particular CAU report.

With regard to the reports issued to patrol, the CAU has monitored and documented in its files 25 arrests attributable in whole or part to five out of the 20 Patrol Missions issued between September 1979 and February 1980. Two documented arrests have been linked to Profile reports. Thirteen less documentable arrests were attributed in whole or part by the CAU to one or more of the Patrol Memoranda issued during this same period. Feedback from crime analysis supported Strike Force Missions is detailed in the following chapter on Patrol Management.

Disregarding the methodological issues involved in determining whether or not CAU information played an integral role in an apprehension, these figures may underestimate the impact CAU produces in that these records were not formally or regularly kept prior to the evaluation. This record keeping also experienced unavoidable disruption and limited reimplementation after changes in CAU personnel occurred.

Documentation of feedback on crime analysis products in support of investigators is not available. It is almost always informal and verbal. The effect of CAU products on case outcomes is very difficult to assess. Information provided to investigators may range from the identification of suspects to the development of evidence for trial. CAU data will usually be integrated with other information obtained by the detective. Depending upon the purpose for which the detective wants the information (e.g., identify suspects, obtain a warrant, enhance a case after arrest), the utility of CAU data to a particular case may vary considerably. When this diversity of uses is combined with the multiplicity of influences which can affect the outcome of a case, it can be quite difficult to discern if the CAU product performed some critical function. In most instances, such a determination resides in the judgement of the individual user. As mentioned previously, interviews with investigators who use the CAU indicated that they felt it was a useful support service.

Overall, the CAU effectively utilizes a number of methods for obtaining feedback about its products, and CAU personnel appear to know whether a particular report will be well or poorly received. There is a general consensus among the analyst, analyst supervisor and ICAP Project Manager that the quality of the reports must be maintained in order to assure CAU credibility in the department. The operating philosophy would seem to be that no reports are better than bad reports. When poor quality reports have been issued, word gets back to the CAU.

This CAU knowledge about the impact of its reports and responses to requests is mostly informal and undocumented. CAU staff are cognizant of the results of any output which focuses on a particular problem, suspect, operation, etc. However, they do not always record or document positive or negative results. The effect of CAU reports and responses which simply supply background or supplemental information are extremely difficult to track and individual users of the information must be relied upon to

acknowledge the utility of this information to the CAU staff. Such feedback occurs in Stockton, but again it is not kept as a matter of record. While such documentation does not appear necessary for the maintenance of an effective feedback process, its continued success depends heavily on the quality and extent of interpersonal relationships which exist between CAU and departmental personnel. The presence of more formal mechanisms or procedures for assessing the results of CAU output would insure the continuity of feedback should extensive changes in CAU personnel occur in the future. The data generated through such record keeping procedures would, when aggregated over time, be of considerable value in reviewing and modifying the operation of the CAU to be more effective and/or efficient.

CAU COST ANALYSIS

The provision of a crime analysis capability to a police department often involves the creation and support of a new organizational unit within the department. In many small and medium size departments, the allocation of resources to such specialized units will be limited and cost will be an important factor in any decision to fund the implementation of a CAU. For this reason, an overall review of CAU costs in Stockton is presented in this section along with a rudimentary assessment and discussion of benefit.

Because of resource and personnel sharing across the ICAP project and the related bookkeeping procedures, precise values could not always be computed. For instance, supplies (e.g., paper) and equipment (e.g., file cabinets) were jointly used with other ICAP activities. Many of the analyst's orientation and training activities also served a variety of purposes in addition to crime analysis. Further, CAU personnel participated in other ICAP and departmental activities (e.g., a traffic accident study) which were not exclusively crime analytic in nature. Therefore, ranges of cost have been provided to compensate for this difficulty. Beyond this problem, it should also be noted that management decisions and/or departmental policy on salary, staffing patterns, mode of operation, hours of operation, and technical assistance could have drastically affected the cost of the CAU. Thus, this analysis of CAU costs in Stockton is meant to be illustrative only. It should not be considered representative of all or even most CAU's given the diversity of factors which can significantly influence costs.

Implementation of the CAU in Stockton began with the hiring of a single crime analyst to set up a manual system. Roughly seven months elapsed between the hiring of this analyst at a per annum salary just under \$17,000 (plus 33% fringe) and the institution of an operational unit. Orientation and training costs for this analyst (including travel) were approximately \$2,500 ± \$800. Equipment and supplies (desk, chair, file cabinet, paper, etc.) were around \$1,500 ± \$250. Total start up costs (i.e., personnel, training, equipment, etc.) were approximately \$17,000 ± \$1,500.

A data clerk was added at an annual salary of \$11,200 (plus 33% fringe) two months after unit start up. Personnel cost for the first full year operation of the CAU was \$38,800 ± \$1,000 including fringe and salary

increases. Equipment and supplies ran roughly \$2,500 ± \$500. Analyst's travel and related expenses for additional training, or as part of departmental investigations, were not calculated as they represent costs incurred at the option of the ICAP project or the department beyond those necessary for the basic operation of the unit. Total CAU cost for the first full year of operation were around \$41,300 ± \$2,000. Second year costs have not been figured. As discussed previously, second year operation of the unit experienced a turnover in personnel, a change in staffing pattern and new activities directed towards automation of the data base. Consequently, calculation of second year costs are more difficult, less accurate and not indicative of a stabilized CAU operation.

Contracts to provide the software support which will enable the CAU data base to be automated are projected at \$17,000. Eleven thousand dollars of this amount has been spent already. Equipment costs for four terminals and one printer are approximately \$12,000. The computer, to be used by the CAU, is supported by the department as part of the computer-aided dispatch. A fully automated and staffed CAU will consist of a data entry clerk (approximately \$11,500 per annum), one junior analyst (approximately \$16,700 per annum), one senior analyst (approximately \$19,000 per annum), and a part-time CAU supervisor (approximately \$23,300 per annum). Estimating the CAU supervisor's time at 50% and adding on fringe benefits, personnel costs come to \$79,000 ± \$2,000 for one year of operation. Costs may be reduced if it is not necessary to use a full time data entry clerk. Equipment and supply expenses will probably remain around \$2,500 ± \$500 with the costs of key punch cards and furniture being replaced by computer tape and printer paper expenses. Orientation and training expenses for the new senior and junior analyst (including related travel) cannot be calculated at this time, as the training process is still continuing.

Because the CAU's function within the department is both unique and diverse, existing traditional measures of performance used to assess the benefit of police department innovations are either inadequate and/or inappropriate. The problem is further exacerbated in Stockton by other ICAP activities which could be expected to influence the same measures. The intense monitoring and data collection procedures required for detailed analysis of CAU performance were beyond the scope, purpose and resources of the current evaluation.

Keeping these methodological deficiencies in mind, it is interesting, for the sake of discussion, to note that the funds spent on the first full year of CAU operation would have supported the addition of two patrol officers to the force not including equipment and operation costs. Looking at the year prior to start up of the CAU and excluding sworn officers in administration, Stockton's total Part 1 arrest per officer per year was 7.17 arrests. In the absence of any ICAP project, or other major changes, the addition of two officers could be expected to yield around 14 more Part 1 arrests per year. Reviewing written CAU reports which provide some documentation of related arrests, seventeen Part 1 arrests were identified. Arrests made by officers engaged in a tactical response to a CAU report, but which were not directly related to the focus of that CAU report (e.g., arrest for carrying a concealed weapon), were not counted. Also not

included were CAU-supported Strike Force Missions involving the surveillance and/or apprehension of an identified suspect since the CAU's role as the primary source of information could not be determined for these missions. Only arrests from Strike Force Missions which were initiated in response to a crime pattern or trend identified by the CAU were counted. Given the problems discussed previously with monitoring the results of CAU reports, particularly in regard to use by investigators, the 17 Part 1 arrests may represent a conservative estimate. In any event, for one indicator the contribution of the CAU would seem to match that which could hypothetically be expected had the same funds been spent in a more conventional fashion.

Having made this point, it should also be noted that the CAU does not even come close in matching the number of misdemeanor arrests which could be expected of two officers; nor can it possibly replace the order and maintenance services two officers could provide. On the other hand, Stockton's CAU does provide a centralized, organized collection of information about crime and criminals in Stockton which well exceeds that of individual officers. It also enables the department to integrate this information and initiate focused, proactive responses to crime beyond the capabilities of individual officers. Investigative functions have been enhanced by the CAU's capability to provide analyses relating suspects to crimes. These benefits are difficult to measure and meaningfully compare to alternatives. In the first year, the Stockton CAU has clearly contributed to the apprehension of criminals, but this is only one aspect of its total role within the department. Until more extensive data are collected, the cost of the CAU relative to its benefit will remain within the subjective domain of departmental decisionmakers who will have to determine if the value of these services to the department are worth their estimated costs.

COMMENTARY

The purpose of this section as with other commentary sections is to introduce and discuss those observations and issues which appear to have significantly influenced the implementation and operation of the CAU in Stockton. Analysis of these issues is undertaken with the realization that some aspect of bias is unavoidably inherent in the perspective presented. It is acknowledged that other factors unknown or not identified by the evaluators have also contributed to this implementation process. The material presented here is not intended to be a comprehensive assessment, but rather highlight some of the more cogent issues identified in the evaluation.

The implementation of Stockton's CAU is a good textbook example of how to plan and institute change within an organization. Relevant departmental personnel were involved in the entire process. Preparatory training was provided to the officers and considerable effort and care were expended in the selection of the analyst who would set up and operate the system. The tasks and role of the analyst were fairly well defined by the Project Manager. The analyst's previous police experience as a sworn officer in another jurisdiction added an important dimension to shaping the final set up and operation of the unit.

The measured, incremental approach of starting with one person to set up a manual system before adding other personnel and automating seems to have been a very cost efficient strategy. The decision not to issue some type of daily bulletin (usually a recap of the previous day's crimes), but rather to disseminate products on an "as needed" and "as requested" basis also contributed to cost minimization since more personnel would be needed to issue daily reports in a manual mode. More importantly, this decision may have significantly aided in establishing CAU credibility and acceptance by sworn personnel. Like television commercials, constant, daily exposure to crime analysis reports - only a few of which have to be of poor quality - will eventually result in reduced attention on the part of officers to the content of the reports. Stockton's original analyst wished to avoid such a situation and preferred, instead, to issue less frequent products but ones which officers would find of interest and value. Given that only some portion of criminal activity contains a pattern or trend and that current analysis techniques can only detect some subset of this portion, this would seem to be an appropriate strategy.

In the first full year of operation, the credibility and utility of the CAU was fairly well established within the department using this strategy in conjunction with efforts by the analyst to establish and maintain contacts within investigations and patrol. The tenuous quality of that progress was demonstrated when the original analyst resigned and his civilian assistant was tentatively moved into the position. The placement of a sworn officer into a supervisory position over the new analyst was done in order to support and monitor the quality of CAU work. The anticipated outcome of this arrangement was that the new analyst would become more skillful while the presence of an experienced officer would insure that the quality of the reports would be maintained. A wait-and-see attitude was adopted by both ICAP and departmental personnel.

This restaffing of the CAU proved to be a workable approach but not to the extent desired. The supervisor identified the CAU as being in a rebuilding phase, and the Project Manager estimated the process would take at least six months. When progress was not as rapid as expected, additional actions were taken. The involvement of the supervisor in day-to-day operations increased and a senior analyst position was created and filled. As these are recent developments, their impact on CAU operation cannot yet be determined.

While many factors were involved in determining the performance of the restaffed CAU, some elements may have been of particular relevance. Even though the analyst and the supervisor were quite familiar with the CAU set up, neither had extensive experience or training in all aspects of the operation, particularly in relation to the analysis process itself and the production of reports. Because of their existing familiarity with the CAU operation, neither person received as extensive a training and orientation experience (e.g., visits to other CAU's) as the original analyst. In retrospect, a more formal and concerted training process may have had a beneficial effect. Until the recent implementation of the new staffing pattern, the level of involvement of the CAU supervisor varied as a function of the time demands of other duties, importance of the CAU report to users and the expertise of the analyst in preparing it. Consequently, his early contribu-

tions may have been sporadic and/or support of the analyst may have been limited. With experience, both the supervisor and the analyst expressed increasing comprehension and insight into the analysis process of pulling things together from various sources. Based on Stockton's restaffing of its CAU, it is clear that a successful CAU operation requires personnel with intense, direct experience with the entire CAU operation coupled with a strong working knowledge of departmental operations. Both these qualities must be meaningfully integrated within the unit's personnel. Obtaining and integrating this experience takes time. Experienced departmental analysts are not easily replaced, perhaps even by experienced analysts from other departments without a lengthy lag time before CAU performance is perceived to be at its previous level.

A second point relative to Stockton's restaffing experience concerns the attitudes and perception of departmental personnel utilizing CAU products. Indications were that the established acceptance of CAU products was diminished as a consequence of the turnover in staff. The fact that the unit was now staffed by an individual whose previous position was data entry clerk and by an officer who had no earlier active involvement in the CAU may have contributed to this effect. In any event, the credibility of the CAU had to be reestablished with departmental users. The supervisor's monitoring, review and revision of CAU reports disseminated to sworn personnel facilitated this process. Undoubtedly, this particular problem would be less acute, or nonexistent in CAU's with more than one analyst, or where the interaction between CAU staff and operations personnel is less personal and more formalized (e.g., larger department).

The general consensus of ICAP, CAU and departmental personnel is that the unit is performing adequately given the further personnel changes which have occurred. Performance is expected to notably improve in the third phase with the expanded staff and automated data base. The impact of turnover problems will be considerably lessened given the presence of more than one person with knowledge and experience in the total operation of the CAU. The recent inclusion of CAU entries into the Daily Confidential Bulletin (DCB) is a good example of integration, the key concept of the ICAP program. It has occurred, for the most part, because the CAU supervisor was also the original Intelligence Coordinator responsible for implementing and operating the DCB. It is a move that should and could have been done even earlier except that ICAP staff member responsibilities were more specialized in the first phase. It would seem axiomatic that the more specialized and segmentalized a department, project, activity, etc. becomes in order to accomplish a particular objective or goal, the greater the need for a proactive integration process to be pursued.

As a final comment, the finding that the revised offense report captures more information than the old report raises a new question to be addressed. Does this additional information contribute to the identification, apprehension and conviction of criminals? The crime analysts are the most appropriate individuals to address this question and should do so as part of the crime analysis feedback process. Either formally or informally, the collation and analysis process should be reviewed to determine those data elements which have seldom, if ever, provided useful information. A revision of forms should then be undertaken, perhaps towards the end of Phase III, to eliminate these items. Useful items of information which were handwritten onto the cards and which could be categorized could be added at the same time, replacing the less valuable items.

CHAPTER V

PATROL MANAGEMENT

In many departments the day-to-day deployment of patrol personnel is mobilized primarily by citizen calls for service (CFS). ICAP's Patrol Management (PM) component is designed to replace this reactive management of patrol operations with a proactive approach in which operations analysis and crime analysis are integrated to provide patrol managers with the necessary input to develop systematic patrol goals and objectives. In this component, the emphasis is on effectively structuring and utilizing preventive patrol time (i.e., that time when officers are not responding to CFS) to initiate tactical activities aimed at preventing or suppressing crime and apprehending criminals. Such planned activities are often referred to as directed patrol. The ICAP PM component is composed of three major activity areas:

- Allocation of Patrol Personnel (geographic, temporal)
- Management of Service Call Workload
- Patrol Development Program

Activities in the first two areas are designed to equitably distribute or reduce the CFS workload so that sufficient time can be made available for planned patrol activities. Patrol development activities are intended to broaden or enhance the patrol officer's role, function or performance. ICAP activities in this area include a broad gamut of possibilities. Their common objective is to facilitate the planning and implementation of patrol operations which go beyond that of predominantly responding to CFS. These three activity areas will be described further in the following sections and provide a framework for a brief overview of patrol operations in Stockton. A more detailed and pertinent analysis of Stockton's patrol force will be incorporated into the section on ICAP proposals and implementation.

ALLOCATION OF PATROL PERSONNEL

ICAP's emphasis on the efficient allocation of patrol personnel is based on the premise that when officers are allocated according to workload demands, their tactical efforts can be directed to perform pre-planned activities. In order to maximize the time available for directed patrol activities ICAP suggests that departments conduct a workload analysis study to assess the congruence between service demands and manpower deployment. Based on such an analysis, patrol should be reallocated to be more in accordance with when and where service is most needed. Inequities between available manpower and workload leave some shifts and beats with little time for directed patrol, often in areas and at times when it is most needed. ICAP supports the regular monitoring and periodic modification of patrol allocation.

Stockton has redeployed on the basis of workload studies in December 1975, September 1977 and June 1978. Since 1975, the Stockton Police Department has gone from a four to five and back to a four shift configuration.

CONTINUED

1 OF 3

Presently, the department's patrol section (134 officers) operates with four shifts or groups of officers, each group working one of four watches. One watch (8 p.m. to 4 a.m.) overlaps with two other watches. Each shift, with the exception of the shift working the overlap watch is supervised by a watch commander (a lieutenant), while a sergeant supervises the overlap shift. A captain commands the entire patrol section.

Rotation of each shift of officers to a different watch occurred originally on a quarterly basis with reassignment of personnel to other watches in accordance with CFS workload. Based on feedback from patrol commanders and officers, this was changed to rotating shifts every two months with a sliding month so that officers would not be working the same hours during the same seasons of the year. Officers on the overlap watch do not rotate. Exhibit 14 presents the watch schedule and allocation of officers (including lieutenants and sergeants) as of September 1980. As can be seen in Exhibit 14, equal staffing across watches does not occur because of the overlap shift.

EXHIBIT 14

PATROL SCHEDULE AND DEPLOYMENT¹

<u>Watch</u>	<u>Officers</u>
1. 11 p.m. - 7 a.m.	36
2. 7 a.m. - 3 p.m.	35
3. 3 p.m. - 11 p.m.	36
4. 8 p.m. - 4 a.m.	27

Patrol officers work a combination schedule of seven days on, four off and eight days on, two off. For any given watch, approximately two-thirds of that shift's assigned officers are on duty. One day of each week is designated as a training day when all shift patrol officers are available for training. Beat configurations vary by time of day based on CFS, workload and manpower availability. Also considered are area size, street and traffic patterns, and natural and manmade boundaries and barriers. Between 3 a.m. and 3 p.m., the city is divided into six beat areas; between 3 p.m. and 7 p.m., eight beat areas; and between 7 p.m. and 3 a.m. fourteen beat areas. Officers on the first and third watches operated under two different beat configurations depending on time of day.

¹Source: Stockton Police Department, 9/80, Duty Roster.

MANAGEMENT OF SERVICE CALL WORKLOAD

When departments respond to almost all CFS by dispatch of a patrol unit, management of an officer's time is essentially controlled by the radio. Planned, supervised activities require certain amounts of time. In order to provide that necessary time, departments need to develop procedures, techniques and alternatives for managing service call workload. Activities in this component are generally aimed at identifying that portion of the CFS workload that might be effectively handled by alternatives to the dispatch of mobile patrol units or controlling the dispatch response to CFS so that blocks of time are available for officers to implement directed patrol activities. Controlling the dispatch response to CFS usually requires that departments develop guidelines for the prioritization and stacking of calls. This can permit the delaying of a patrol unit response until other activities have been accomplished. Alternatives to patrol dispatch for selected CFS include assignment of civilian personnel to handle the call, referring citizens to more appropriate public and private agencies, taking incident reports over the phone and requesting citizens to file a report at the nearest patrol station.

Since the fall of 1979, Stockton PD has managed its CFS through a computer-aided dispatch (CAD) system which it shares with other city services (e.g., ambulance, fire). CAD programs automatically assign priority values to calls based on their classification when they are entered into the system by communications personnel who receive and classify them. CAD programs operate in accordance with a policy and procedures manual developed for Communications Center personnel prior to the installation of the CAD system. This system automatically assigns the most appropriate unit based on call location and unit availability. Police units have limited direct digital communication with the CAD system and can signal a limited number of responses (e.g., message received, unit available, not available, etc.) without the need of voice communication. This allows the police radio channels to be less cluttered with usual unit transmissions.

Prior to the CAD system, the department dispatched its own calls. Stacking and prioritization of calls occurred informally based on general guidelines and dispatcher discretion during peak activity periods. Although the Communications Center policy and procedure manual had been developed prior to the CAD system's implementation, it did not become fully instituted until conversion to the CAD system was complete. In lieu of patrol unit dispatch, Stockton's alternative responses to non-emergency and/or non-hazardous calls include the use of police trainees, community service officers and a Telephone Report Unit (TRU). The TRU completes offense reports on a phone-in or walk-in basis for which a sworn officer response is not really necessary.

PATROL DEVELOPMENT PROGRAM

The institution of a directed patrol program or expansion of patrol's role in departmental operations (e.g., conduct of follow-up investigations) requires that officers and their supervisors be adequately prepared and supported. The provision of both equipment and training are often

necessary in order to facilitate a successful change in patrol operations. The collection and analysis of data on existing tasks, operations and situations must be conducted for informed planning and decisionmaking purposes. Officers in specialized or supervisory roles cannot be expected to perform to their fullest potential without adequate preparation. To illustrate, development of a directed patrol program involves the integration of operations and crime analysis data into tactical patrol planning. However, many patrol managers have either not had, or used, this information to make operational decisions and implement tactics based on these decisions. Neither have they had extensive training in how to go about integrating a proactive response in conjunction with the simultaneously occurring crime, traffic, service and community relations issues they must also deal with daily. It is the function of patrol development activities to identify and address these types of problems so that an effective directed patrol program can be implemented.

As part of patrol development activities in Stockton, officers participate in the California Patrol Officer Standards and Training (POST) program. Under this program there are annual training requirements for all officers and provision of special training by rank and areas of specialization. Salary increases are tied to participation and completion of college and graduate coursework. Since the patrol officer's role in Stockton has traditionally been to respond to CFS, officer involvement in such areas as crime prevention, crime deterrence and investigations has been minimal. Factors which have contributed to this minimal involvement include the city's high rate of CFS and the departmental approach to such activities through the creation of specialized units (e.g., crime prevention unit) or specific personnel (e.g., field evidence technicians) to fulfill such roles. Officers assigned to these units or tasks do receive relevant training experience. Except for the POST program, almost all general patrol development activities since 1978 have been related to the ICAP project. These activities are detailed in the following section.

ICAP PROPOSAL AND IMPLEMENTATION

Management of Service Call Workload

Stockton's Phase I ICAP grant application proposed programmatic effort in the patrol management areas of handling CFS (See Appendix B, Phase I, Thrust F) and patrol officer development (Appendix B, Phase I, Approach 2, Thrust E and Approach 4). In the area of CFS management, proposed plans called for the creation of a Telephone Report Unit (TRU) to handle minor calls and take crime reports not requiring a unit dispatch. Rationale behind the operation of this TRU was to allow more patrol time by reducing the number of non-crime related calls and minor crime reporting tasks traditionally handled by patrol. As shown in the Exhibit 15 Timeline, this unit became operational in the third month of the project. The types of crime reports taken by the TRU are petty thefts, malicious mischief, auto burglaries, grand thefts and daily reports which are essentially CFS that would not merit immediate or eventual officer investigation. Reports handled by the TRU may be phone-ins, walk-ins or mail-ins.

EXHIBIT 15

TIMELINE FOR PATROL MANAGEMENT IMPLEMENTATION

Date	Month	
2/78	1	First ICAP Grant Begins
4/78	3	Telephone Report Unit (TRU) begins operation
7/78	6	Command Staff Training Seminar on Management by Objectives; patrol shift structure reorganized
9/78	8	Patrol shift changes implemented
10/78	9	ICAP staff assist in development of Communications Center Policy and Procedure Manual; Train Communications personnel in its use.
11/78	10	Community Attitude and Victimization Study completed and disseminated in Patrol Officer's Handbook
		Patrol completes extensive 32 hour block of ICAP training on crime analysis, generalist officer concept, legal awareness, interviewing skills and stress management
		Tactical Systems Unit (Cameras and Alarms) begins operation
1/79	12	Strike Force is implemented
2/79	13	Second ICAP Grant Begins
3/79	14	Patrol completes 32 hour Office Survival Training supported by ICAP
5/79	16	Command Staff Patrol Management Seminar
10/79	21	Traffic Section redeployed on basis of ICAP Accident Study
6/80	29	Plans for involving patrol in follow-up investigations formalized in Managing Criminal Investigations Report
9/80	32	Third ICAP Grant Begins

From its initial start up staffing level of one police clerk and a five day 8 a.m. to 5 p.m. operating schedule, the TRU has expanded. Depending on available personnel, the TRU will operate up to 20 hours a day, seven days a week. Personnel consist of a Supervising Police Clerk who is also in charge of the collocated Report Transcription Unit, a clerk typist who also works part time in the Report Transcription Unit and a varying number of police trainees and/or officers on light duty assignment. On average, the unit operates 16 hours a day, seven days a week and is staffed by three trainees and/or light duty officers. Since this manpower level was obtained in November 1978, the TRU has handled between 689 and 1,270 calls per month. Manpower levels have varied periodically as a function of trainee graduation and transfers. The total number of calls handled by the TRU since its beginning is presented in Exhibit 16.

EXHIBIT 16

NUMBER OF REPORTS COMPLETED BY TRU BETWEEN MARCH 1978 AND AUGUST 1980

Petty Theft	6,158
Malicious Mischief	5,207
Auto Burglaries	2,151
Grand Theft	2,545
Daily Reports	5,456
Other Reports	2,068
TOTAL	23,585

In the year 1979, the TRU handled slightly over eight percent of the total CFS. Averaged across the first six months of 1980, the unit is handling twelve percent of the calls. Of these calls, roughly three quarters would have been handled previously by unit dispatch. In a preliminary cost effectiveness study conducted by the local evaluator of the TRU in its first year of operation, it was reported that, prior to TRU implementation, an analysis of job time showed that response to a CFS for a minor crime took approximately 50 minutes (Harkness, 1979). Using this figure and the number of TRU calls for the first six months of 1980 it was estimated that 630 patrol hours could be saved per month. This was compared to manhours spent staffing the TRU. On average, when the TRU was staffed by fewer than three full time and one half time person, manhours spent in the TRU were less than would have been spent by patrol completing those reports. When TRU staff exceeded these figures, the situation was

reversed. TRU staffing reports were not sufficiently detailed to determine precisely the total manhours spent per month in the TRU. However, it is clear that for two of the six months in 1980, TRU staffing level was below this three and one-half person figure indicating a net savings of departmental manhours. Even when TRU staffing may not result in a net savings of departmental manhours, the value of freeing up patrol manhours may be worth the occasionally greater investment of clerk and trainee hours in the TRU.

TRU reports can also be more cost effective. Monthly cost of TRU operation in 1980 was approximately \$3,500. This figure includes monthly salaries for a half time police clerk supervisor, a full time clerk typist and two police trainees, monthly operating costs (e.g., phones, word processor leases) and initial start up costs discounted at twelve percent over ten years. Dividing by the number of reports produced, the cost of completing one report ranged on a month-to-month basis from \$5.20 to \$6.20. If police trainee salaries were not included, since it is a departmental cost not directly incurred by the TRU, the cost per report then drops to between \$2.50 and \$3.50. The estimated cost of a police officer completing a similar report, based on salary alone, was \$7.09 per report (Harkness, 1979). This estimate is conservative since it does not include vehicle costs, greater fringe benefits for sworn officers or response time. Thus, even if the TRU should exceed a 3.5 staff complement, it can complete reports for approximately a dollar less per report than sworn officers. The actual productivity of the TRU is somewhat underestimated in these figures since only crime reports were used in computing the per report cost. The TRU also completes daily reports (i.e., matters of record) and handles referrals to other agencies. Increases in the number of reports written or reduction in staff size would improve the TRU's cost effectiveness; however, reduction in staff size might negatively impact on the hours of operation which could be maintained. An administrative benefit of the TRU's operation has been an improvement in the standardization and quality of offense reports. Police trainees working in the TRU receive more extensive report writing training while light duty officers get a refresher course. In addition, more reports are being produced in a standard manner since they are being done by permanent TRU staff.

The TRU supervising police clerk has reported few problems with the implementation of the TRU and its acceptance by both sworn officers and the community. A number of newspaper articles about the TRU were used to inform the community of its operation. An explanation is provided by TRU staff to citizens whose calls are referred to them from the communications center. Once the TRU function was explained to them, only one percent of the callers complained about having their report handled through TRU. The supervising clerk also reported that occasionally calls are referred to the TRU which they cannot handle and must be returned to the dispatcher. Conversely, officers who are sent to some calls discover they could be more expeditiously handled by the TRU, refer them there and return to service. Both events, however, were reported to be infrequent. Instances of possibly fraudulent reporting have been very rare and none has been adjudicated. However, there are occasional instances (approximately one per week) of a caller claiming that the report taken had either included incorrect information or omitted information from the phoned in report.

Overall, the TRU seems to be providing a viable alternative response for those CFS which do not require patrol dispatch. This is an important function given Stockton's high CFS rate. Interviews with patrol officers have yielded generally positive perceptions of TRU as having relieved them of the burden of responding to many routine, minor calls. It is also an effective utilization of officers on light duty assignment as long as the staffing level stays at or below 3.5 persons. In unusual circumstances, the TRU can provide necessary support for essential department functions. This was demonstrated during a three day officer job action (sick out) when the TRU operated around the clock handling all non-priority CFS. Given the objective of maximally reducing patrol response to calls which could be handled by the TRU, one future concern regarding TRU operation should be that allocation and deployment of departmental personnel to the TRU should reflect the rate of referred call activity. The same consideration should also be given to the unit's hours of operations. The increased utilization of word processing equipment has increased the efficiency but also the cost of unit operation. Since most TRU's are seldom referred more than 15 percent of all CFS, Stockton's TRU is probably handling almost all the calls which could appropriately be referred to it. Consequently, any future increases in TRU assigned staff (e.g., five police trainees and/or light duty officers for one full month) or additional operating costs may result in a less cost efficient unit unless it is accompanied by the assignment other departmental tasks to the unit or notable increases in the volume of referred CFS. Some attention might also be paid to more formal monitoring and/or review of TRU activity in order to maintain its successful operation. Periodic review of which calls are referred, and what phone procedures are used in handling citizen calls should be made in order to insure that problems such as staff insensitivity to callers and substitution of TRU referral for appropriate patrol dispatches do not occur.

Although implementation of the TRU was the only proposed Phase I activity in the area of managing calls for service, the ICAP project became involved in two other related activities. ICAP personnel worked with sergeants from patrol and communications in writing and assembling a policy and procedures manual for Communications personnel (See Exhibit 15 Timeline). After review and approval of this document by communications and command staff, an eight hour training block using this document as the curriculum was provided to communications personnel by a team consisting of ICAP staff, a senior dispatcher and a patrol training officer. This training session was also used as an opportunity to acquaint communications personnel with the ICAP project and the need for managing CFS. When the CAD system was initiated, this manual provided the guideline for system operation and the extensive training which was given to the telecommunicators.

The second area of unproposed ICAP involvement in managing CFS was its continued operation and support of the department's False Alarm Reduction program. This program was started by the ICAP program manager prior to the initiation of the ICAP project. Under this program, individuals and businesses with frequent false alarms are notified of the problem and the need to reduce their occurrence. Chronic false alarms coupled with a failure to take corrective action result in the suspension of police service until improvements are made. Since the majority of the roughly 9,500 alarm calls in 1979 were false, a program of this nature was

necessary in order to reduce the wasted hours of police officer time spent in responding to such calls. ICAP project staff have continued to operate this program. In 1979, 550 warning letters were sent to alarm owners requesting an improvement in their alarm maintenance practices. This figure jumped to 2,104 in the first nine months of 1980 with the addition of ICAP-supported word processing machines. Less than two percent of these letters were notices of termination.

Patrol Development Program

In the activity area of patrol development, the first year grant application focused on improving patrol officers' investigative skills by providing training in the areas of interviewing techniques, generalist officer concept and crime analysis. Also proposed was the development of a comprehensive community assessment report which would provide officers with a profile of the demography, criminal activity, attitudes and behaviors of all the patrol beats in Stockton. Implementation of both these activities is chronicled in Exhibit 15, the Implementation Timeline. With regard to the training effort, a 32 hour training block was provided to all patrol personnel as follows:

- 8 hours - 1. Crime analysis training
- 8 hours - 2.a. Generalist Officer training
 - b. Legal awareness training
- 8 hours - 3. Preliminary interviewing skill development training
- 8 hours - 4.a. Review of comprehensive community profile
 - b. Orientation to newly revised crime report and field interview report
 - c. Stress and Crisis management

With the exception of 4.b, all training was provided by personnel from outside the department with relevant expertise and experience. The main thrust of the generalist officer training was to acquaint officers with the role changes in patrol which would accompany the implementation of ICAP. Topics focused on police organizations and the role of officers in various organizational structures. Legal Awareness Training provided officers with specific information on the legal ramifications of such things as pursuits, arrests, searches, etc. This training, along with the instruction on Crime Analysis, Interview Skills and Stress and Crisis Management, was provided to prepare patrol for the generalist officer role.

Evaluation of this training was conducted by the local evaluator. For all training, evaluations of course content, course relevance and instructor competency were obtained from trainees. A pre- and post-test of officer knowledge was also conducted on Crime Analysis Training and Generalist Officer Training. Detailed results of these evaluations along with descriptions of the training and course syllabi are presented in the local evaluator's ICAP Status Report for the First Year of Operations (Harkness, 1979) and the second year grant proposal, Appendix J - ICAP Training Package. Overall, officer perceptions of the training and instructors were positive and increases in test scores were noted after training. Patrol personnel who obtained high test scores were sent to

visit other ICAP sites to observe how ICAP and the generalist officer concept were defined and implemented in these departments. These officers were to provide feedback to the Stockton Police Department on the methods and strategies used.

Effort on the proposed comprehensive community assesement produced a 250 page report by the local evaluator which compiled data from an extensive attitudinal survey of the city, census information, crime statistics and patrol workload data. These data were reviewed by beats to provide information on demographic composition, citizen attitudes towards police, attitudes towards law enforcement priorities, levels of criminal activity and crime prevention efforts. The purpose of the document was to provide officers with a better understanding of the neighborhoods they patrolled and serve as baseline data for measurement of ICAP's community impact. Orientation to the document and its contents was provided in the last eight hour block of training. Each officer received a copy of the document.

Stockton's ICAP patrol development training in Phase I appears to have been well received by the officers. Because the training was of short duration, designed to enhance individual officer skills and serve as a prefatory mechanism for ICAP-related departmental changes, little in the way of long term effects should or could be assessed. The Comprehensive Community Profile is a prodigious research document with numerous graphs and charts for each beat. However, its utilization and acceptance by patrol officers may be limited by its formidable size and format. It does provide the necessary baseline data for an assessment of ICAP community impact. If there are specific ICAP program activities which could be hypothesized to effect any of the data presented in this document, a follow-up study could be conducted to assess community impact on a limited basis.

During Phase I, ICAP project staff also initiated additional unproposed activities related to patrol development. In an effort to develop a variety of possible tactical responses to crime, the ICAP project initiated a one man Tactical Systems Unit responsible for the placement, operation and maintenance of alarms and surveillance cameras. Start up of this unit is noted in Exhibit 15, Implementation Timeline. Working with the Crime Analysis unit, this Tactical Systems Unit would place these devices in local businesses with a high probability of being robbed. On average, seven of the cameras and/or alarms are deployed at various locations every month. As of August 1980, nineteen robberies had occurred at sites where these devices were located. In only three instances were suspects not identifiable (e.g., suspect wore ski mask). Six suspects were arrested; five were convicted and one case was pending. On average, two devices would be accidentally tripped each month. The Tactical Systems officer is also in charge of the False Alarm program.

The production of crime analysis reports and the Daily Confidential Bulletin (discussed in Chapter VII on the Serious Habitual Offender component) are Phase I ICAP activities which have also contributed to the development of proactive responses on the part of patrol. The Daily Confidential Bulletin, which is distributed to patrol officers, identifies serious habitual offenders with outstanding warrants, provides crime and

suspect information and contains detective requests for field interviews. The utilization of this Bulletin is described in detail in Chapter VII. The crime analysis products such as Patrol Missions and Patrol Memoranda issued to patrol are addressed in the Dissemination and Feedback sections of the previous chapter on Crime Analysis. Prior to the issuance of these ICAP documents, opportunities for patrol involvement in crime deterrence and suppression activities had been limited to routine patrol and responding to CFS.

Perhaps the most direct involvement of the ICAP project effort in patrol operations was the initiation of a patrol Strike Force in the last month of Phase I (See Exhibit 15, Timeline for Implementation date). The Phase II grant application, submitted before the Strike Force began, formally proposed the creation of this unit (See Appendix B, Phase II, Approach 3, Thrusts A and C) to provide the ICAP project with operational capabilities for extended surveillances, special patrol and apprehension activities. The unit was staffed out of overlap watch (8 p.m. to 4 a.m.) personnel who were not assigned specific beat responsibilities. Depending on scheduling and beat responsibilities, six to ten officers were made available for Strike Force assignments. When evening CFS are high, only four to six officers may be available. Originally two officers were designated as Strike Force Coordinators, but this was later reduced to one. The primary task of this coordinator was to work in conjunction with the CAU and other appropriate units and sections of the department in developing Strike Team Missions. Upon identification of a crime series by CAU, the coordinator would gather intelligence from investigative personnel, informants and other sources. This information would then be analyzed to determine suspects, strategies and tactics. A plan would be developed and the Strike Force deployed. Personnel permitting, this Strike Team has the capability of conducting around the clock operations. Missions have included decoy operations, saturation of high crime areas, surveillance of known criminals, searches for felons with outstanding warrants and tactical support of investigative and sting operations.

In the 20 months since the inception of the Strike Force, this unit has conducted 48 missions - 37 in 1979 and 11 in the first eight months of 1980. Twenty-three of these missions identified particular suspects, usually with outstanding warrants appearing in the Daily Confidential Bulletin, 22 were based on CAU reported crime series, two were search warrants and one was a special request. Twenty-eight of these missions resulted in 49 related arrests. One decoy mission conducted jointly with patrol in response to strong arm robberies of elderly males in a high crime area resulted in an additional 33 arrests for either grand theft or strong arm robbery. No significant differences were noted between the type of mission and its probability of obtaining arrests. Because Strike Force Missions often involve surveillance in high crime areas and rapid saturation responses to felonies in progress, there are usually 30 to 40 additional, nonmission related arrests per month made by the Strike Team. These personnel have also been involved in the review and implementation of special apprehension programs using special, nontraditional techniques and strategies.

Operationally, the Strike Force has been successful in providing a functional outlet for ICAP's crime analysis and career criminal efforts. Organizationally, some of the problems traditionally associated with the creation of a special unit have arisen. Patrol command staff have expressed concern that ICAP and its operational Strike Force may be subordinating patrol. They cited lack of patrol input to mission planning and operation along with insufficient supervisory control as being problems with the Strike Force. In response to these issues, plans were made and implemented to include watch commanders in Strike Force planning sessions. Procedures were also instituted to keep all watch commanders informed of Strike Missions. The number of Strike Force supervisors was increased as well as command emphasis on supervision of the Missions. Other managerial reorganization plans were also considered but never implemented. Subsequent to these changes interviews with departmental personnel at several levels indicated a general consensus that Strike Force operations were now being acceptably managed. Occasional lapses in communication with patrol and other units were reported, but this was not perceived as a chronic problem. Some officers in patrol have expressed interest in joining the unit. To accommodate these requests, some procedures should be instituted to insure the regularly scheduled rotation of such officers into the Strike Team. Besides providing other patrol officers with the opportunity to engage in proactive tactical responses, it would lessen the common tendency of such units to develop a "special" or elite status that might isolate the unit from patrol.

In Phase II of Stockton's ICAP project, formally proposed activities in the area of CFS management consisted of continuing the TRU and False Alarm program from the previous phase. Although it was not proposed, ICAP staff participated in the creation and planning of a steering committee for the implementation of the CAD system. In the area of patrol development, the previously discussed Strike Force was formally proposed along with other training similar to that conducted in the first phase (See Appendix B, Phase II, Approach 4, Thrusts A and B). Areas of proposed training activity included individualized stress management consultations and an eight hour course to teach officers advanced crime scene investigation techniques with emphasis on physical evidence collection. These training plans were held in abeyance to incorporate the graduate research work of an officer on the force into this instructional effort. This program never developed, and officers were not provided with this proposed training during Phase II. However, officers did receive a 32 hour ICAP supported training program on Officer Survival presented by the California Specialized Training Institute. The Tactical System Unit continued its operation.

Proposed patrol management activities in Stockton's Phase III ICAP grant application are focused primarily on patrol development in investigations. One proposed activity addresses the increased utilization of patrol officers in the conduct of investigations (See Appendix B, Phase III, Approach 2, Thrust A). The specifics of this plan are detailed in the following chapter on Managing Criminal Investigations. Two additional activities are proposed in support of this enhanced investigative role.

The first support activity is the provision of computer assisted investigative tools for patrol. Basically, this activity calls for the installation of mobile digital terminals in officers' units so that crime and related information data bases can be rapidly accessed through the CAD system. This equipment would also reduce the amount of clerical time used by officers in the field doing their daily reports. Such information could be entered through the terminal. The second support activity is the provision of training in the management of criminal investigations to patrol and other departmental personnel. This will entail the development of a training manual on the management of investigations in Stockton (See Appendix B, Phase III, Approach 4, Thrust A). On-going ICAP patrol activities such as the TRU, Strike Force, and Tactical Systems unit are continued into the third phase.

Stockton's Allocation of Patrol Personnel

Although a number of activities were undertaken, in no phase of Stockton's ICAP project were there any formally proposed activities pertaining to the patrol management area of resource allocation. Although the allocation studies were an on-going function of the department conducted by the Criminal Justice Planner (now ICAP Project Manager and head of Operations Support Section) prior to ICAP, there was little rationale for addressing this area formally in the grant applications. The department had already developed a management information system (SPMIS) which provided the necessary CFS and crime data for timely workload and crime trend analyses. Review of data from this system in the summer of 1979 showed the percent distribution of CFS workload and patrol manhours to be fairly close. The watch with the greatest number of CFS also had the most officers deployed; the watch with the fewest CFS, the least number of officers deployed. The percent difference between the proportion of CFS per watch and proportion of manhours per watch did not exceed five percent.

Concurrent with the start of ICAP, project staff were also involved in the field test of the Institute for Public Policy Analysis' Patrol/Plan Allocation Model. This was just one of several unproposed activities in which the ICAP project became involved relative to the area of patrol personnel allocation. In Phase I, ICAP held a three day patrol command staff seminar to plan the implementation of a new patrol rotation system and command structure to facilitate ICAP project patrol efforts. See Exhibit 15 for the placement of this seminar in the ICAP patrol timeline. The new plan, which was subsequently adopted and under which the department currently operates, changed the rotation of officers' shift assignments from once every month to once every four months. More importantly, to provide management continuity and unit cohesiveness, it synchronized the rotation of lieutenants and sergeants to be the same as that of the officers under their command. A permanent nonrotating overlap watch was created in the evening to provide the department with the necessary manpower to handle peak periods of CFS and/or engage in tactical response (i.e., the Strike Force). In a similar meeting held almost a year later patrol command staff met again at an ICAP supported seminar to discuss issues and problems relevant to the reorganized patrol operations. The two major topics of concern were the previously discussed issue of Strike Force management and the length of time between rotation of the watch. In regard

to time between shift rotation, a survey of officer preference was proposed at the seminar and later conducted by the ICAP staff. Based on the results, time between rotation was changed to the current period of two months on each watch assignment.

In Phase II, ICAP staff also conducted two special workload studies relative to project activities in patrol. One study reviewed traffic and accident data and recommended that the Traffic section redeploy its manpower to provide more extensive evening coverage. This would reduce the number of patrol responses to accident CFS, one of the most time consuming of all calls to handle. On the basis of this study, the traffic section was redeployed (See Exhibit 15 Timeline for this event). The second study was conducted as part of the implementation planning for management of criminal investigations activities. A study of day watch CFS activity was conducted to determine if there were sufficient free time for officers to engage in follow-up investigations. The results of this study are included in Appendix H.

A total patrol workload analysis has not been conducted since September 1979. Data are not directly available from the CAD system. This system keeps a daily transaction log of all calls with relevant information; however, there are no programs which aggregate this data in any fashion (i.e., by time, unit, area, type of call; for a week, month, year, etc.). The previously used management information system (SPMIS) is not compatible with the CAD system and has not been utilized since the CAD system was initiated. Aggregating CFS data requires hand tallying from the transaction print out. Extensive or detailed analyses of CFS data are prohibitive. Even though it has not been proposed in Phase III, ICAP resources would be well applied in supporting the development of the necessary software to collect this information. This programming requirement could be included in the software specifications for installing the mobile digital terminals.

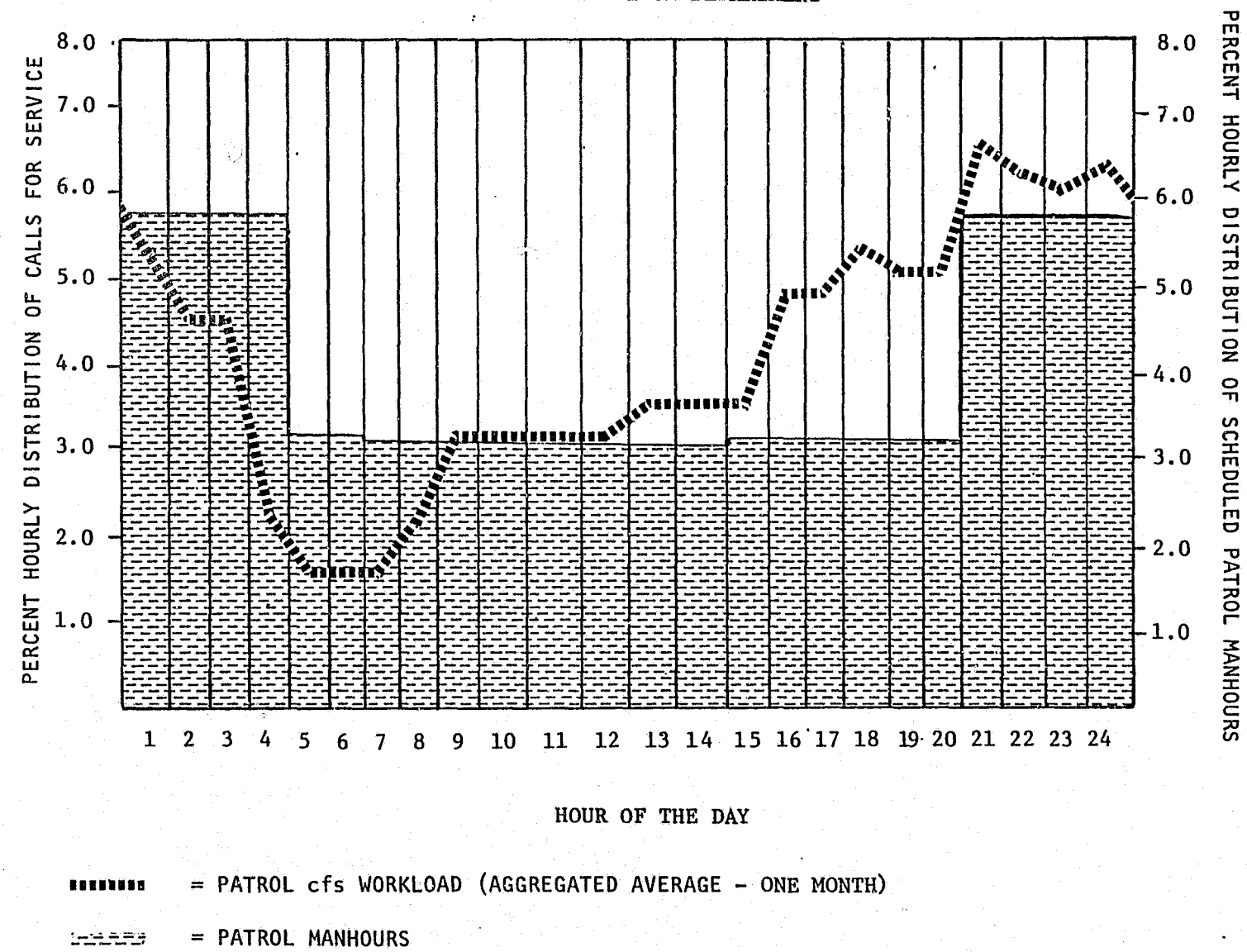
At the request of the evaluator, September 1980 CFS data were tallied. CFS workload and patrol manhour deployment from the duty roster for the same month are presented in Exhibits 17 and 18. Exhibit 17 presents the percent hourly distribution of patrol workload and deployment. This same information is aggregated across watches in Exhibit 18.

EXHIBIT 17

PERCENT DISTRIBUTION OF PATROL CFS WORKLOAD AND DEPLOYMENT MANHOURS

<u>Watch</u>	<u>Patrol CFS Workload</u>	<u>Deployment Manhours</u>
11 p.m. - 7 a.m.	28%	38%
7 a.m. - 3 p.m.	27%	26%
3 p.m. - 11 p.m.	45%	36%

EXHIBIT 18
 HOURLY DISTRIBUTION OF PATROL WORKLOAD & DEPLOYMENT
 STOCKTON POLICE DEPARTMENT



As can be seen in Exhibits 17 and 18, there is somewhat of an inequity in workload and deployment based on number of CFS. The 11 p.m. to 7 a.m. shift is relatively overmanned while the 3 p.m. to 11 p.m. shift is undermanned. This trend was also noted in the 1979 figure but the discrepancy between CFS workload and deployment manhours was only half as great. The distribution of CFS workload has not changed notably in one year. The day watch was exactly the same as in 1979. The other two watches have only changed by one percent.

While these figures do reflect a less than optimal allocation strategy, several other factors must also be considered. Types of CFS and time required to handle them have not entered into this analysis. These data can have a significant effect on deployment decisions. On the evening watch, deployment manhours do not include Strike Team officers who do not have beat responsibility or the Traffic Division who would be operating during a portion of this time. In other words, additional manpower can be made available if necessary. For the night watch, the opposite is the case. There is usually less back-up manpower available, hence the higher manhour deployment relative to CFS. Other multiple overlap shift configurations have been considered and attempted, but it was felt that the concomitant problems of manpower coordination and maintenance of unit command outweighed the advantages of a closer workload/deployment distribution. Relative to the previous year, it should also be noted that each shift has from six to eight officers more than it did in 1979. This has increased the total patrol manpower considerably beyond 1979 levels. Shift assignments also reflect the logistics of providing training and support for these newer probationary officers. Undoubtedly all of these factors have influenced, to varying degrees, patrol allocation decisions. The reallocation of more personnel to the evening watch, or initiation of the overlap watch an hour or two earlier, would improve the relationship between CFS workload and deployment. Whether or not this would represent a more efficient patrol plan requires a detailed workload analysis utilizing CAD system data. In the absence of the needed program capability, such an event would be very tedious and is probably unlikely.

COMMENTARY

As in the previous commentary section of the Crime Analysis chapter, the purpose of this section is to discuss those observations and issues which appear relevant to ICAP's role in patrol management in Stockton. The topics discussed are intended to highlight various aspects of the ICAP program as they have been realized in Stockton. As before, they are subjective choices reflecting the perspective and information obtained by the evaluation.

Nature and Extent of ICAP Activities with Patrol

As with most ICAP projects, Stockton's Phase I emphasis was directed towards patrol. Early in the project, officers were provided with an orientation to ICAP through the provision of training, relieved of burdensome minor calls through the initiation of the TRU and provided with the necessary information to engage in non-CFS related apprehensions through the issuance of the DCB and crime analysis reports. The creation of the

patrol Strike Force is in keeping with the department's precedent of creating specialized units (e.g., crime prevention, field evidence) to handle a particular function. In the case of the Strike Force, it was the directed patrol activities espoused by the ICAP program.

Phase II changed focus somewhat to address the area of managing criminal investigations. The patrol activities started in Phase I continued, but the Strike Force provided the substantive operational clout to the crime analysis and serious habitual offender efforts. While the level of patrol/ICAP interaction did not diminish in Phase II, the involvement of patrol officers other than the Strike Force showed little progress or change until the end of Phase II when plans were proposed to engage day watch patrol officers in follow up investigations.

While the institution of a **patrol-wide** directed patrol program would seem indicated as the next step in Phase II, the absence of such an effort in Stockton's case may have been necessary. Considering the problems that are encountered and the effort that is required to train, support and monitor special patrol projects it is doubtful that ICAP resources - personnel and money - could have been used to mount activities in both directed patrol and managing criminal investigations simultaneously. Further, the context was less than ideal for introduction of the directed patrol concept. For most of the Phase II period, officers engaged in annual work slow downs and sick outs over salary. Insufficient patrol supervisors were available as back up on days off. These factors, which have been recently rectified to some extent, plus the continued high rate of CFS mitigated against the implementation of such a program. With the recent increases in manpower and supervisory personnel, consideration should be given to the implementation of more directed patrol activities than have been conducted previously. Joint Patrol/Strike Force operations have been undertaken in the past and should be continued.

The Strike Force Coordinator plays a key role in maintaining departmental support for the Strike Force. The success of a mission is, in many respects, dependent upon the ability of this individual to obtain and synthesize information from a variety of sources. Mission plans are developed on the basis of this input. The thoroughness and reliability with which the Coordinator handles the administrative and logistical details of conducting a Mission can elicit either the commendation or reprimand of command staff. In some instances, it might also effect the actual safety of officers in the field. This officer is the most direct outlet the crime analyst and other sources of intelligence have for operational application of their information.

For these reasons, this position represents a critical function in the ICAP project's effort to demonstrate the value of adopting the ICAP model in the conduct of tactical operations. The Coordinator's role represents a microcosm of the ICAP model. This individual **collects data** pertinent to the Mission, **analyzes** it and participates in the **planning** and **delivery** of a tactical response based on this analysis. The experiences of the Strike Force and its Coordinator can be of instructional use to patrol supervisors and officers interested in implementing similar, but more limited, types of operations. The competence and capability of the ICAP Strike Force Coordinators have been important factors in the effective operation of the unit.

Patrol Perception of ICAP

The implementation of an ICAP project invariably entails changes. Some may be major, others minor. The ICAP precept of expanding the role of patrol can easily and often be viewed by patrol as simply increasing their workload. To illustrate, the revision and addition of forms which usually accompanies many ICAP projects are seldom viewed favorably by patrol initially. An ICAP project, if it is to be successful must demonstrate to the majority of patrol officers the rationale and value of any perceived increases in workload. Better yet, it should also implement other activities designed to reduce workload or shift patrol effort to those tasks which are preferable. In Stockton's case, activities such as the Telephone Report Unit and issuance of the DCB were initiated prior to such changes as the offense report revision and four month shift rotation. Patrol acceptance of ICAP may depend on maintaining a balance between these types of activities.

Stockton's ICAP project appears to have maintained this balance. Interviews with patrol officers indicated a general acceptance of the project and a clear recognition of its support by the chief. Overall perception of the project is very positive. In the ICAP survey of departmental personnel, respondents were asked to rate the program on a six point scale ranging from very positive to very negative (See Appendix F, Item 7D). Seventy nine percent of the patrol officers surveyed rated it as either very or moderately positive. To provide some perspective on this figure and address the question of a possible positive response bias, patrol ratings of patrol and communications should also be considered. As might be expected 92 percent of the patrol officer respondents gave patrol a very positive or moderately positive rating, only 38 percent gave similar ratings to the communications section. This favorable impression of ICAP is further borne out by the Project Manager's observation that officers from other shifts have requested assignment to the Strike Force, and that it is no longer difficult to find sworn personnel interested in filling ICAP staff positions. In the long run, it may be the maintenance of these perceptions that will enable ICAP to engage patrol officers in future project activities.

CHAPTER VI

INVESTIGATIONS MANAGEMENT

The ICAP investigations component is modeled after the Managing Criminal Investigations (MCI) program developed by the National Institute of Law Enforcement and Criminal Justice (Cawley et al., 1977). The six investigative activity areas of ICAP are taken from the National Institute's program (See Appendix I for a brief description of each of these areas). The MCI materials were distributed to the ICAP departments and the project directors were urged to use the Institute's model as a planning guide. This model, for the most part, is focused primarily upon improving the efficiency of the investigative process. Activities are proposed to administratively monitor and subsequently improve the flow of investigations through the department. One significant aspect of this MCI model is the expansion of the patrol officers' role in the conduct of investigations to reduce the duplicated effort which often occurs when detectives conduct follow up investigations. Another is the development of a case screening function so that only those cases with the greater probability of being solved are assigned to detectives. The underlying assumption of the model is that improvement in the management of the case load will reduce the time detectives waste on essentially nonproductive activities and subsequently apply that time to more proactive investigation of cases more likely to be solved. Specialized investigative divisions such as Vice, Narcotics and Sting are not addressed by the model which is geared primarily to investigations of reported crimes which are usually handled by patrol officers who write the initial offense report.

The following sections will review the management of investigations in Stockton. The six activity areas outlined in the MCI model will be used as a guide for the content of this review. These areas are:

- agency organization and allocation for investigations
- police/prosecutor relationship
- patrol role in investigations
- case screening
- management of continuing investigations
- monitoring of the investigation system

Those areas in which changes have occurred due to ICAP-initiated activities will then be addressed.

AGENCY ORGANIZATION AND ALLOCATION

With regard to agency organization and allocation, Stockton's Investigation Division reports to the Deputy Chief of Operations. The division's basic structure provides for a captain as the commanding officer of the

Division with two Lieutenants: one commanding a Crimes-Against-Property Section and the other commanding a Crimes-Against-Persons Section. See Appendix A for an organization chart.

The investigators assigned to the Division are police Sergeants, and there are eighteen assigned: ten in Property and eight in Persons. The work schedule for the majority of the investigators is Monday through Friday on an eight to five shift; however, a "swing shift" provides two investigators from each section for a three to eleven shift and weekends. Command responsibilities for the evening and weekend investigators rest with the Patrol Watch Commander.

The Crimes-Against-Property Section is subdivided into details of auto theft, forgery/checks, arson/explosives and burglary/theft. The investigators work all reported crimes that require follow up investigations in the category of Crimes-Against-Property. The Crimes-Against-Persons Section is organized into the Robbery Detail and the Homicide Detail, and work all cases requiring follow up investigations in the categories of criminal homicide, rapes, robberies, kidnaps, extortions, felony assaults, misdemeanor batteries, sex offenses, lewd and disturbing phone calls, and unattended deaths.

POLICE/PROSECUTOR RELATIONSHIP

Interaction between the police and the San Joaquin County District Attorney's Office is best typified as a regular and generally informal working relationship. A Deputy District Attorney visits the police department each workday morning and reviews with officers those cases that need assistance or that are ready for formal complaint filing. Additional pre-arrest assistance occurs when investigators call a Deputy District Attorney for specific advice on a particular case in such areas as search warrants, probable cause decisionmaking, legal procedure, line-up identifications, and statements/confessions. In very serious cases, a Deputy District Attorney will work with the investigators throughout the investigation. One investigator is assigned primary duties as liaison with the District Attorney's Office, but each investigator working a case will also deal directly with a Deputy District Attorney.

Although the District Attorney's Office has a staff of investigators, they rarely follow up on police department investigations. They are generally used in District Attorney initiated investigations such as corruption, fraud, and white collar crime. The five Deputy District Attorneys interviewed by the national evaluation team all felt that, on the whole, departmental investigations were quite good and seldom, if ever, required any follow up outside departmental capabilities. The attorneys also considered themselves to be available to the investigators on an around the clock basis if an immediate and timely response were required on the part of the prosecutor's office.

Plea bargaining is prevalent in Stockton, but the daily interaction between the District Attorney's office and the police department usually involves officers in that decisionmaking process. It also provides officers with feedback about the decisions which are made and the

rationales for them. The general perception of those investigators interviewed by the evaluation team was that plea bargaining was a problem with the criminal justice system and not the personal and arbitrary act of individual prosecutors. The District Attorney's office regularly participates in the police training program and the lieutenants in charge of each section meet with prosecutors to review the sufficiency of investigative activity and particularly the reasons for unsuccessful prosecutions.

PATROL ROLE IN INVESTIGATIONS

The patrol role in investigations has been primarily confined to the conduct of a preliminary investigation in response to a CFS. The preliminary investigation conducted by a patrol officer includes victim interview(s), interviews(s) with immediately available witnesses, responsibility for crime scene processing by an evidence technician and preparation of the offense report. All follow up investigations are handled by detectives. While arrests from follow up investigations are occasionally made by detectives, most are generally referred to Patrol or the Strike Team. Joint arrests are rarely made. Misdemeanor arrests made by patrol are referred to the Police Department's court officer for processing while felony arrests made by patrol are turned over to the Investigation Division for processing, interviewing, etc.

Traditionally, the problem most often cited for patrol's limited involvement in investigations has been the lack of available time due to the heavy volume of CFS. CFS activity at peak times affords little time for preliminary investigations and no time for follow ups. Departmental administrators and investigators are aware of this condition. An increased role for patrol in the follow up of some investigations has been favorably endorsed in theory but pragmatically viewed with skepticism as to its feasibility in Stockton given the volume of CFS.

CASE SCREENING

Offense reports are prepared, using a one-write system, by the patrol officer or the Telephone Report Unit and submitted directly to the Records Unit. Unless the officer is on probation or otherwise under the direction of a Field Training Officer, this is the official record of which duplicate copies are made. No further patrol review is performed. All reports are routed to the Investigations Division for review. The Captain in Investigations assigns the reports to the appropriate section based on crime classification, and the lieutenants in charge of the sections review and assign if follow up investigation is warranted.

Case screening is performed by the lieutenants in charge of the two sections, but in an unstructured and informal manner. Although formally specified screening criteria such as solvability and case workload do not exist, it appears that these criteria are being applied experientially. Individual investigators prioritize their workloads devoting the greatest amount of their time and energy to more serious cases, working on marginal and minor cases as time permits.

If follow up investigation is not pursued, the case is closed unless additional information or evidence is obtained sufficient to change the status of the case. Should that occur, the case is then assigned for investigation. Incomplete and/or inaccurate reports from Patrol are returned for completion and/or correction. On misdemeanor matters where the victim desires prosecution and the suspect is identified, the initial crime report is referred directly to the District Attorney's Office, and the victim is instructed to seek a complaint with them. The District Attorney's Office refers back to the Investigations Division those crime reports that need additional follow up because the reports are incomplete or lacking the crime elements needed for prosecution.

MANAGEMENT OF CONTINUING INVESTIGATIONS

In Stockton, there are few formal procedures concerning the management of continuing investigations. Because of the detective's rank (sergeant) and traditional procedures, investigators often operate independently. Once a case has been assigned, there is little or no formalized, systematic review or suspension of on-going investigations. These matters are normally worked out informally between the lieutenant and sergeant on a case by case basis. Lieutenants are made aware of the status of cases at roll call where investigators are assigned cases and a general exchange of information on cases and activities occurs. Lieutenants also manage continuing investigations through the review of case reports which are routed through them. Lieutenants review all supplemental reports which investigators file on a given case and their daily reports. The daily report lists all the activities that the investigator undertook during the day. Some of these reports, however, have been noted to suffer from a lack of standardization, considerable variability and some redundancy in content across investigators (ICAP Investigative System Upgrades, 1978). Information about an investigation can also be found in a case "pouch" which contains all the relevant documents and reports on that case. However, these pouches are only created on cases which require extensive investigation or are significant crimes (e.g., homicide).

Overall, these informational sources along with the roll call appear to provide supervisors and investigators with some overview of case progress and disposition. On a practical level, case management does occur; however, there is little quantifiable information upon which to assess utilization of investigator's time, determine case load level, or assign case priorities. Successful case management depends more upon the personal competencies of investigative personnel than any planned, systematic process.

MONITORING THE INVESTIGATORY SYSTEM

Monitoring the investigatory system, the sixth investigations management activity area, encompasses the establishment of management information systems to provide continuous feedback on the investigative process. In Stockton, those mechanisms available for monitoring the investigative system are the same as those described in the previous paragraphs on the

management continuing investigations. That is, information about investigations as a whole in Stockton requires attendance at roll calls and initial case screenings, review of investigators' daily reports, subsequent case loads can be obtained by counting the listing of cases assigned to each individual investigator. However, this figure will be inaccurate to an unknown extent since there is no systematic procedure to identify and remove those open cases which have essentially become inactive.

As in the management of continuing investigations, Stockton's reporting and record keeping procedures provide supervisory lieutenants with the capability to monitor overall investigative activity. However, it is not formal and although some useful management information data are being maintained, it has not been regularly aggregated and reviewed for the purpose of operations analysis.

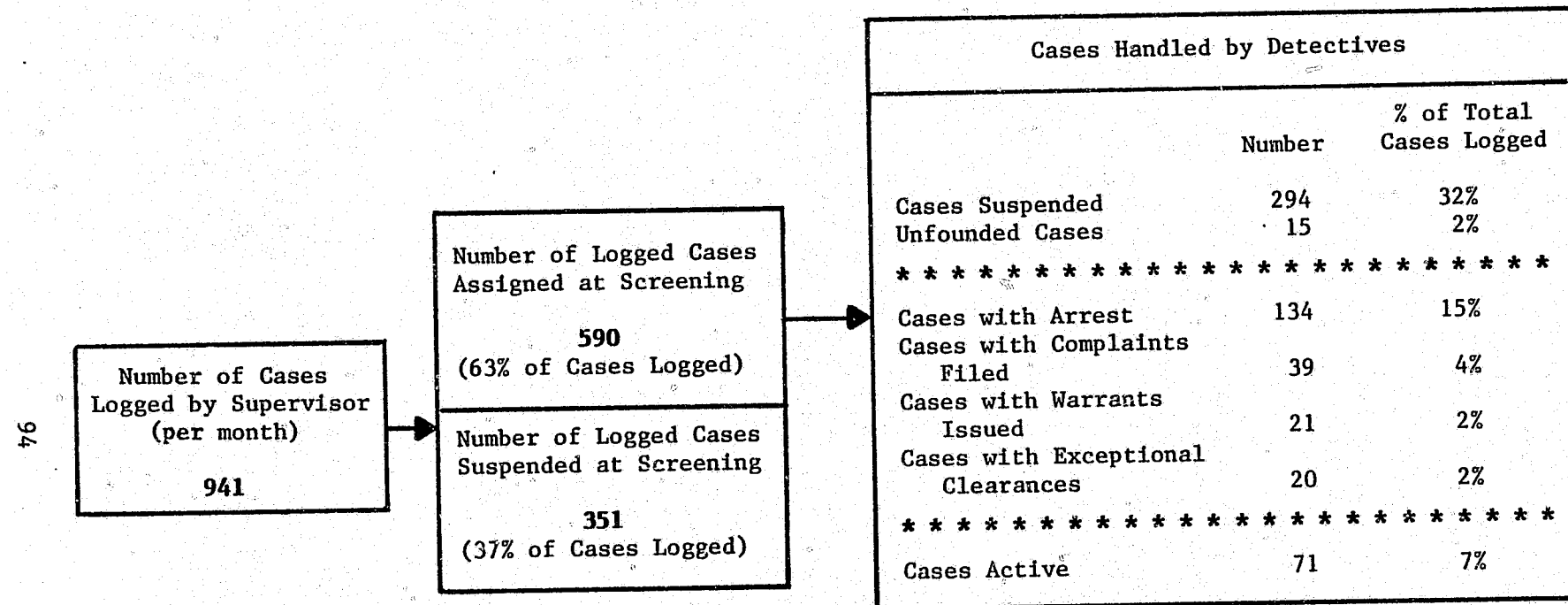
At the request of the evaluator, available aggregate statistics were compiled for the first half of 1980. Average figures for monthly case flow from initial screening by the lieutenants in each section are provided in Exhibit 19. The lieutenants review all felony and misdemeanor reports appropriate to their section; however, their log sheets only contain those felony and misdemeanor cases which are assigned and only those felony cases which are suspended at their initial screening. Fewer than ten percent of the assigned cases are misdemeanors. Percent figures for cases handled by detectives are appropriate since carryover cases from previous months are included in the count. The "cases with arrest" figure is comprised mainly of those cases where a patrol arrest was made prior to the case being reviewed and processed by detectives (e.g., on-scene arrest). The "cases with warrants issued" tends to be more indicative of case outcomes related to investigative effort. Detectives in the Crimes-Against-Property Section carry a larger average caseload (40 cases per month) than either the Crimes-Against-Persons Section (11 cases per month) or Juvenile (8 cases per month).

There is no formal system for feedback on the final disposition of most investigative cases submitted to the prosecutor's office. It is usually the daily and informal interactions between prosecutors and investigators that inform police of final disposition. Final disposition is provided, however, on Career Criminal cases which are handled by a special unit in the District Attorney's office. It should be noted that the establishment of a feedback system on all felony cases requires the support and assistance of administrative staff in the prosecutor's office. Interviews with both legal and administrative personnel from the District Attorney's office indicate that such a feedback system would not be feasible at this time given current manpower levels and the manner in which some cases are handled.

Overall, management of investigations in Stockton has operated in a functional but informal mode. The high volume of personal communication and interaction between investigative personnel and supervisors has provided both groups with an intimate understanding and sensitivity to daily operations. With minor exceptions, the organizational structure and general operation of the Investigations Division has been in effect for more than 20 years. The development of a more formalized monitoring and managerial capability in investigations may not be perceived to have as

EXHIBIT 19

SIX MONTH AVERAGE CASE FLOW
FROM INITIAL DETECTIVE SCREENING
STOCKTON



great a utility by personnel within the unit as other departmental personnel having responsibility for broader planning and operations analysis. As will be discussed in the following sections, ICAP effort in investigations management has reflected sensitivity to this possibility. Implementation activity on the part of Stockton's ICAP project staff in this component has proceeded at a slow, measured pace geared to developing increased investigative participation and involvement.

ICAP PROPOSAL AND IMPLEMENTATION

Stockton's Phase I grant application called for the conduct of two studies (See Appendix B, Phase I, Approach 3); one on possible improvements to the report recording system utilized by investigators and the other on general investigative system upgrades which could improve the efficiency and effectiveness of the investigative function. The rationale behind the first study was to develop mechanisms which would increase the amount of time detectives had to work on cases by lessening the amount of time they had to spend administratively. It was estimated that for each two hours an investigator spent in the field, one hour was consumed in personally having to type reports. The development of better report recording techniques would lessen this burden of transcription. The purpose of the second study was to identify those activities which would enhance the investigative function and interface with ICAP plans to expand patrol's role in this area. No operational plans were formally proposed in the grant application, but instead were made contingent upon the findings of the studies.

Both reports were completed in the first phase by the ICAP grant's coordinator with the assistance of other ICAP staff and departmental personnel. The first study, Report Recording System for Investigations appears in the Second Quarterly Progress Report for Phase I while the second study, Investigative Systems Upgrades, appears in the Third Quarterly Progress Report. See Exhibit 20, Timeline of Investigations Management Implementation, for a listing of these and other significant events relevant to this ICAP component. The content of the first report was based on site visits to a number of police departments to study their report transcription techniques, a review of the literature, and a survey of 48 California police and sheriff's departments. Based on an analysis of the study findings, it was recommended that: 1) the one-write system of report taking be maintained for patrol since maintenance of clerical support personnel for transcription of all offense reports would be prohibitive, and 2) that a substantial amount of investigator's time could be freed by implementation of a report transcription unit. Additional points made were that standardized information would be collected and that this standardization would lend itself to the utilization of other investigations management techniques.

The Investigative Systems Upgrades report reviewed current training and evaluation literature on the management of criminal investigations and summarized the observations from several on-site visitations to other police departments who were field testing various investigations management concepts. Also provided in the Upgrades report was an overview and analysis of existing investigative structure and procedures in Stockton. The report

EXHIBIT 20

TIMELINE OF INVESTIGATIONS MANAGEMENT IMPLEMENTATION

DATE	MONTH	EVENT
2/78	1	First ICAP Grant Begins
6/78	5	Thirty-two hours of <u>Investigative Skills Development</u> training provided to patrol
7/78	6	Study on <u>Report Recording System for Investigations</u> is completed Selected officers attend advanced training classes on Investigative Skills and MCI model
10/78	9	Study of <u>Investigative Systems Upgrades</u> is completed
11/78	10	Investigators receive 12 hours training on MCI model
2/79	13	Second ICAP Grant Begins
5/79	16	Meetings of Investigations Steering Committee begin
9/79	20	Report Transcription Unit (RTU) initiated
6/80	29	<u>Managing Criminal Investigations</u> report is completed
9/80	32	Third ICAP Grant Begins

concluded with a series of recommendations for the Stockton Police Department in each of the six major activity areas of investigations management. Among some of the major proposed activities were: the development of a patrol report review and case screening capability, the institutionalization of a management by objective approach to case management, and the development of a monitoring information system on case activity. An implementation plan for the realization of these recommendations was also provided. Because these recommendations were fairly extensive, the implementation plan called for the establishment of an ICAP Investigations Steering Committee to structure and develop the specific areas of project activity. The report reflected a fairly comprehensive and careful consideration of the investigative management areas and their application to the Stockton Police Department. It represented the initial planning document and starting point for the work of the Investigations Steering Committee.

While these reports provided the only formal Phase I plans, some unproposed activities also occurred. One was the provision of 12 hours of training for all investigative unit personnel on managing criminal investigations. This training was presented by the lieutenant in charge of the Robbery/Homicide section and an ICAP staff member. The training was an outgrowth of their attendance at University Research Corporation's Managing Criminal Investigations Training Program. A significant increase in the number of items answered correctly on a pre-post training test of knowledge about criminal investigation was noted after the training - from 42% correct to 90% correct (Harkness, 1979). Selected investigators were also sent to a special school on advanced interviewing skills sponsored by the Los Angeles Police Department. This course included training in investigative hypnosis which has been used, with varying degrees of success, in a half dozen Stockton cases. Exhibit 20 displays the occurrence of these events on the implementation timeline for this component.

The Phase II grant application formally proposed the implementation of many of the recommendations presented in both Phase I studies. As a result of the Report Recording System for Investigators study, the Phase II ICAP grant application (See Appendix B, Phase II, Approach 5, Thrust A) proposed the implementation of a two-person Report Transcription Unit (RTU) for Investigations.

Dictaphones and word processing equipment (Burrough's Redactron) were purchased and personnel to staff the unit were hired and trained. Detectives from the Investigative and Juvenile sections were trained in the techniques and format of dictating reports. Seven months into the second phase, the RTU became fully operational. Some initial problems were encountered in establishing workflow priorities among the investigators and the types of reports which would be typed (e.g., no lengthy verbatim transcripts of suspect interviews). As procedures and policies for use of the unit were clarified, these problems diminished. For the most part, crime, arrest and subsequent reports which were to be submitted to prosecutors were transcribed. Some victim/witness correspondence was also prepared along with other miscellaneous reports.

The RTU is both physically and organizationally collocated with the Telephone Report Unit. They are both supervised by the same police clerk and share the same office space. Normal weekday hours of operation are followed. In one full year of operation, this unit has prepared over 6,000 reports. In an average month, the RTU produces between 500 to 550 reports; this represents at least one report every other day from each investigator. In its busiest month last year, 750 reports were completed by the RTU. The RTU staff estimates that fewer than five investigators have continued to type reports themselves or utilize the RTU on a very limited basis. For most investigators though, the RTU has alleviated some burdensome administrative tasks. Investigator estimates of time saved range from 5 to 20 percent depending, to some extent, on the size of the detective's caseload and the amount of administrative work associated with it.

The previously discussed recommendations of the other Phase I report, Investigative Systems Upgrades were also formalized in the Phase II grant application (See Appendix B, Phase II, Approach 5, Thrust B). Although

some of these proposed activities are fairly well defined, the specific approaches to be taken and the final implementation plan were left to the Investigative Steering Committee. Training in support of these investigative changes was also proposed (See Appendix B, Phase II, Approach 4, Thrusts C and D). Grant application plans called for the provision of instruction to investigators in the areas of advanced interviewing skills and management by objectives.

The constitution and convening of the Investigative Steering Committee four months into the second phase represented the first real introduction of change into investigative operations. Members of the committee included Investigations Division command staff, detective sergeants, patrol watch commanders and representatives from other departmental units (e.g., Records) which could be affected by changes in investigations. The recommendations and plans of the Investigative Systems Upgrades report were presented to the committee along with other investigative approaches and models. Progress on the adoption and modification of specific plans progressed at a very slow pace. Considerable reluctance and resistance on the part of investigators to the proposals were encountered. In general, all members of the committee felt that improvements could be made in the investigative process, however, there was considerable dissension as to what should be the nature and extent of these changes. It was the perception of some investigators that ICAP was directing the committee rather than participating as a member. While ICAP project staff were the driving force behind the push for change, it is questionable that they determined the committee's actions. Few, if any, ICAP plans were ever adopted by the group as originally proposed. The successful implementation and operation of the RTU provided the ICAP staff with the necessary credibility to maintain its impetus with investigators for change.

As the second phase drew to an end, specific plans for revision of investigative operations were formulated and adopted. A number of factors contributed to the committee's closure on a plan of action. Besides the RTU's demonstrated value, changes in investigative command personnel created a more favorable environment for innovation. ICAP staff's Intelligence Coordinator - a sworn officer - was increasingly involved in the planning process along with the ICAP Project Manager. This brought more expertise and experience to the committee's deliberations. Some investigative personnel were exposed to innovative investigations programs in other departments, and/or further training in the management of criminal investigations.

The formal specification of these finalized plans was contained in the Managing Criminal Investigations report produced by the ICAP staff (See Exhibit 20 for timeline). This document proposed:

- implementing a "Case Management Receipt System" similar to that used by the Santa Anna Police Department which included case solvability factors;
- increasing patrol responsibility in the conduct of preliminary investigations and selected follow ups;

- implementing a case screening process; and
- implementing a standardized case monitoring system between Investigations and Juvenile.

Appendix H contains excerpted sections of this report which describe in more detail the procedures, arrangements and documents which will be used in the implementation of these investigative upgrades.

In many respects, this plan represents the culmination of the various compromises, alterations and modifications which occurred since the inception of the Steering Committee in Phase II. When this plan is implemented, the accountability and responsibility of patrol in preliminary investigations will be significantly increased. The officer preparing the offense reports will make the initial determination based on solvability factors as to whether the case merits some type of follow up or not. The proposed case screening mechanisms will serve as a quality control check on this determination. Officers on the day shift will become involved in the conduct of follow up investigations on which some solvability factors are present but insufficient to merit the initial attention of detectives. Analysis of CFS data on the day shift indicated that sufficient time should be available for officers to conduct such follow up (See Appendix H for this analysis). Actual changes in the investigations division are not extensive and mostly administrative in nature. However, the monitoring and tracking of cases, particularly at the individual level, will become much more formalized and systematic. The lieutenants in charge of each section will be relieved of some of the extensive case screening and review activities which they currently perform. Their case management and reporting tasks, however, will be increased.

Because of the unanticipated time and effort required to establish the specific thrusts of these investigative upgrades, the Phase II training proposed in support of these activities was suspended. This training support was reintroduced and expanded to include patrol in the Phase III grant application (See Appendix B, Phase III, Approach 4, Thrust A).

The Phase III grant application does not specifically propose many of the plans presented in the Managing Criminal Investigations report. This is due mostly to the fact that the grant application had to be submitted before this report was completed. The proposal does address the area of enhancing patrol's role in conducting preliminary investigations but not in the detail presented in the report (See Appendix B, Phase III, Approach 2, Thrust A). In similar fashion, the Phase III proposal also calls for the development of a case tracking system (See Appendix B, Phase III, Approach 3, Thrust A) with detectives which would provide data on case load, individual cases and investigator activity related to each case. Proposed activities call for the collection and automation of this information so that timely reports on the management and monitoring of cases can occur. The Managing Criminal Investigations report does not include reference to the establishment of such an automated data base, but it does provide copies of proposed manual record keeping forms which could serve as source documents for input into such a computerized investigations management information system. Most likely, plans for automation will have to wait until the manual reporting system has been installed and is fully

operational. While reluctance to implement many of these plans will persist, the groundwork for these changes seems to have been sufficiently established by the Steering Committee in Phase II to provide a steady progress towards their eventual adoption in Phase III.

COMMENTARY

Initiating changes in the management of criminal investigations in Stockton represents one of the most difficult and sensitive areas encountered by the ICAP project. Traditionally in Stockton, as in many other departments, an officer's assignment to investigations bestows greater freedom and choice in determining how and when work tasks will be accomplished. Direct, detailed supervision is minimal. Consequently, detectives enjoy a fairly high degree of autonomy in the performance of their job. Since many aspects of the ICAP investigations management model involve the monitoring of performance, it is not surprising that these proposed changes and innovations are viewed with suspicion and skepticism by the detectives. The accountability of investigators for their actions is certainly enhanced by many of the proposed changes. If these changes are seen primarily as a mechanism for individual performance measurement rather than improvement of the entire investigative process, detective recalcitrance is inevitable. The context in which the change process is introduced in investigations may be of critical importance for the acceptance of proposed changes.

Issues associated with the implicit performance measurement aspects of the investigations component should be acknowledged and proactively addressed in planning for the implementation of investigative changes. Stockton's gradual but escalating approach to implementing investigative changes seems to be a viable plan. ICAP project activities in Phase I served to familiarize ICAP staff and investigators with each other. Investigators were also exposed to the concepts of investigations management. The two studies provided ICAP staff with a needed understanding of the investigative operations in Stockton. The Phase II creation of an Investigative Steering Committee initiated the start of a more involved level of interaction. ICAP support and development of the RTU provided investigators with an appreciated service and demonstrated a positive aspect of the ICAP intervention into investigations. It was not until after a year and a half of these efforts at familiarizing investigators with ICAP and demonstrating its support of investigative functions that more changes were tentatively proposed to the committee. It should also be noted that, even with this preparation and the lengthy period of Steering Committee deliberations, it is quite probable that some of the adopted plans would have proven unacceptable to some committee members had there not been command support for their adoption.

ICAP's beginning as essentially a patrol emphasis program may have also contributed to its slower rate of progress in influencing investigative operations. However, some aspects of this patrol focus have directly supported the planned expansion of patrol's role in the conduct of both preliminary and follow up investigations. Inasmuch as available time and expertise were seen as important factors in determining patrol's investigative capabilities, many of Stockton's other ICAP activities directly

addressed these issues. The Telephone Report Unit freed officers from having to respond to some routine calls; the CFS stacking and prioritizing policies permitted the postponement of others. The revised offense report standardized the type and increased the amount of crime information collected.

The provision of generalist officer training and interviewer skills training further prepared patrol for an expanded investigative role. Additionally, the Strike Force aided detectives in the follow up of some investigations, and patrol indirectly assisted investigations by completing field interview reports (FIR) requested by detectives with ICAP Daily Confidential Bulletins (DCB). The manner in which all of these activities interface with the expansion of patrol's role in investigation demonstrates both the need and value of planning and implementing an interrelated or integrated set of project activities.

In regard to the proposed investigative innovations put forth in the **Managing Criminal Investigation** study, several elements seem to be of particular relevance to its successful implementation. The case screening sergeant who reviews the classification of all cases plays a critical role in the management of investigations. This individual represents a previously nonexistent point of contact and feedback between patrol officers and investigators regarding crime investigations. The case screening officer provides investigators with a formal medium through which to inform patrol supervisors and officers of investigative case requirements. The case screening officer's standards for offense reports and the consistency with which these standards are applied will determine, to an important extent, the quality of preliminary investigation conducted by patrol. Demonstrable command support of the case screening function at all levels will be necessary to indicate the importance that the department places upon the preliminary investigation.

The crime analysis function will also take on increased importance as the primary source of information on those cases which patrol officers have classified as having few, if any, solvability factors. In essence, these cases will be suspended at the patrol level subject to review by the case screening officer. While little information of value comes from these cases individually, there may be an occasional item or a set of cases which reveals some useful data relating to other cases being worked. Under the proposed investigative changes, detectives will not review, nor be assigned as many cases as they are now. Hence, any opportunities to discover any interrelationships will be lessened. Since data on these cases will reside in crime analysis files, that unit must be capable of reliably and usefully responding to investigators' requests.

The **Managing Criminal Investigation** report is also notable in terms of those activity areas of the investigations management model that are not addressed. The report did not propose any changes in the organization or deployment of investigative personnel. In fact, detectives' routine operations would change very little under the proposed plan. Administratively, however, the amount of work assigned would be less and the formal tracking of activity on each case would be enhanced. For the first time, detailed feedback on case effort and outcome would be available.

The police/prosecutor relationship was also not formally addressed in the report. The tenor of the police/prosecutor relationship in Stockton was set by the current Chief of Police prior to the advent of ICAP. In many respects, the relationship contains many of the police/prosecutor elements suggested in ICAP's investigations management component. The interaction between Stockton police officers and the Deputy District Attorneys seems most active and effective but informal. The more formal relationships suggested by the investigations management model did not enter into any of the Steering Committee's considerations. Quite probably, the prevailing attitude was that it would be better not to tamper with an existing, mutually acceptable relationship.

One final remark concerns the value of training activities on the implementation process. As the thrust and direction of the managing investigations component developed in Stockton, the lieutenant in charge of the Crimes-Against-Persons section who had received ICAP supported MCI training, began independently adapting and utilizing some of the forms and procedures in the first phase of the ICAP project. His experience provided a useful perspective and response to the questions and issues discussed in Steering Committee meetings.

CHAPTER VII

SERIOUS HABITUAL OFFENDER

The Serious Habitual Offender (SHO), or Career Criminal, component of ICAP consists of two major activity areas. The first area concerns those police efforts or activities designed to identify and apprehend serious habitual offenders in the community. Part of this effort includes the establishment of a liaison with the local District Attorney's office to support special prosecutive emphasis on such cases. Crucial functions in this area include:

- the pre-arrest and post-arrest identification and selection of serious habitual offenders based on formally established screening criteria and the dissemination of all relevant information about serious habitual offenders to patrol, investigative and prosecutive personnel; and
- the forwarding of cases to the prosecutor with relevant information (i.e., arrest information, criminal history) and the return of timely comprehensive feedback regarding the case to relevant department personnel.

The second area focuses on the development of techniques or mechanisms for the service of outstanding warrants on known offenders who often commit additional offenses while eluding arrest on these warrants.

In addition to a police program directed towards habitual offenders, the District Attorney's office may establish a career criminal program designed to provide special attention to those cases which meet their criteria define of a career criminal. In many such programs, more experienced prosecutors are assigned to handle these cases, and emphasis is placed on speedy adjudication, maximum sentences and little or no plea bargaining.

Prior to ICAP, the Stockton Police Department had no special programs, procedures or units which focused on serious habitual offenders. On an informal, experiential basis, sworn personnel could identify known felons who had a high probability of being active in the community; however, no centralized formal intelligence gathering or dissemination procedures existed. Warrant services were handled by patrol with two officers assigned primary responsibility for the distribution and follow up of warrants. Occasionally, all patrol and investigative personnel would be informed of those felony warrants which, for various reasons of crime severity or immediacy of response, required special attention. For the most part, however, there was no systematic dissemination of information about outstanding warrants.

As will be detailed in the following section, part of the Stockton Police Department's ICAP efforts were directed toward the development of a serious habitual offender (SHO) component. One major aspect of this effort was coordination with a subsequently initiated LEAA-funded Career Criminal Program in the local San Joaquin County District Attorney's Office. Administratively, these programs are separate entities under the direction of their respective departments. Programatically, they have similar goals. In addition, a high level of interdependency is required between the two programs if both efforts are to be successful.

The prosecutor's Career Criminal Program is patterned after the California Career Criminal Program and generally follows the criteria set out by statute; however, the San Joaquin County Career Criminal Program is not actually a part of the state program. The criteria set out by statute and followed by the San Joaquin District Attorney targets the crimes of arson, burglary, sale of narcotics, grand theft, auto theft, receiving stolen property and robbery. Defendants with three pending target crime charges or one pending target crime charge and two previous convictions for target crime violations are subject to career criminal prosecution. The San Joaquin District Attorney has added the category of "Prosecutor's Discretion" which provides for the most serious and/or difficult prosecutions to be assigned to the Career Criminal Unit. The program is designed to provide more timely prosecutive actions, more effective prosecution, reduction of prosecutor caseload, vertical prosecution and reduction of defendant releases on bail.

Four attorneys were originally assigned to the Career Criminal Unit as full-time Career Criminal prosecutors. There were also a Project Manager, one technical assistant and one clerk-stenographer in the unit. For a variety of factors, including a case load 84 percent below that of other county attorneys, the number of career criminal attorneys was reduced to three in the second year of the program's operation. The Career Criminal Unit's caseload at the end of the program's second year of operation was 12 cases per attorney. For other San Joaquin County prosecutors, the average caseload was 52 cases per person. This lower caseload provides adequate time for prosecution of career criminal cases, but there is some feeling among the Career Criminal Unit's attorneys that the caseload could be higher without deleteriously affecting prosecutive efforts.

These attorneys are available to police officers in all law enforcement agencies within the county on a 24-hour basis and are occasionally involved in pre-arrest assistance on career criminal cases. Plea bargaining is generally not utilized in career criminal cases; however, when it is, the police officer is involved in the decisionmaking process. With arrestees the police department usually conducts a preliminary screening for criminal histories which would suggest possible career criminal prosecution; all prosecuting attorneys also screen cases for reference to the Career Criminal Unit. The attorneys assigned to the Unit do additional screening to assure compliance with state criteria and maintain a manageable caseload.

At the end of two years of operation, the Career Criminal Unit had accepted and completed prosecution of 128 defendants who qualified for career criminal status. Ninety percent of these defendants were convicted. Sixty-nine percent of these defendants pleaded guilty, while 20 percent

were found guilty by either a jury or the court. This represents a seven percent increase over a baseline group of comparable defendants. Career Criminal Unit defendants also had more charges against them, higher bail and longer prison sentences. These data have been abstracted from the quarterly reports of the Unit and summarized in Appendix I. Points of interface and interaction between Stockton Police Department's SHO component and the prosecutor's Career Criminal Program which has begun its third year of operation are discussed in the following section.

ICAP PROPOSAL AND IMPLEMENTATION

The first of the four major approaches presented in Stockton's Phase I ICAP grant application proposed the establishment of a career criminal program (See Appendix B, Phase I, Approach 1). The major thrusts of this approach were to establish and integrate the police and prosecutor's programs, develop systems for identifying and tracking career criminals, and increase warrant service on career criminals. To promote and direct this effort, the ICAP proposal also called for the assignment of an Intelligence Coordinator (See Appendix B, Phase I, Approach 2, Thrust D) who, in addition to handling the SHO component, would serve as liaison among various departmental units in the collection, coordination and dissemination of criminal intelligence related to serious offenders. The coordinator's other duties included tasks related to the development and enhancement of patrol activities. A patrol officer from the Stockton Police Department was placed on special assignment in this coordinator position at the start of the project.

This coordinator served as liaison to the local prosecutor's Career Criminal Program in its formative stage. For the most part, the already existing interface between investigators and the District Attorney's office described in the Managing Investigations chapter of this report was used as the mechanism for career criminal cases. The daily interaction of the assigned deputy District Attorney with the department's investigators has proved satisfactory in the screening, referral and handling of departmental cases for the prosecutor's Career Criminal Unit. In the early months of the prosecutor's Career Criminal Unit, feedback about cases to the police department was on an informal and mostly personal basis. However, in the ensuing months, a more formal reporting system was instituted. At first, these reports were periodically-issued, summary sheets of the Unit's caseload. Later, the format and content of the report were changed to a listing of the court calendar and case status for all career criminal cases. These changes are noted in Exhibit 21, the Timeline of SHO Implementation. These reports are provided to the Investigations Division since it has the most contact with this Unit. Dissemination of this information beyond the Investigation Division is informal and a matter of personal interest. Roughly 70 to 75 percent of all career criminal cases are submitted by the Stockton Police Department with the remainder coming from the Sheriff's Office and a few smaller towns in the county.

Although the prosecutor's office does not disaggregate the Career Criminal Unit's statistics by jurisdiction, a review of the case status listings for the first half of 1980 indicates the proportion of Stockton's convictions and dismissals are not notably different than that of the other local law enforcement agencies. The summary results of the Unit presented

EXHIBIT 21

TIMELINE OF SHO IMPLEMENTATION

Date	Month	Event
2/78	1	First ICAP Grant Begins
6/78	5	Daily Confidential Bulletin (DCB) is initiated by ICAP
8/78	7	County Prosecutor's Career Criminal Unit begins
9/78	8	Work on SHO Mugbook is begun
12/78	11	Distribution of the DCB is expanded to law enforcement agencies in adjoining jurisdictions
1/79	12	Investigative Division regularly receives Summary Statistics on Career Criminal Caseload from Prosecutor's Office
2/79	13	Second ICAP Grant Begins
10/79	21	Investigative Division regularly receives listing, calendar and disposition of all career criminal cases from Prosecutor's Office
2/80	25	Mugbook of local SHO's is completed and distributed to sworn officers
9/80	32	Third ICAP Grant Begins, Mugbook is updated

earlier and detailed in Appendix I are generally reflective of the Stockton Police Department cases. In interviews by the evaluation team of all Career Criminal attorneys, Stockton Police Department investigators and patrol officers were rated highly with particular praise for investigator's performance.

Even though it outlined the general thrust and objectives of the SHO component, Stockton's Phase I grant application proposed few specific activities which would be undertaken in the first year. The specific activities which were initiated through the efforts of the Intelligence Coordinator and other ICAP and departmental personnel were formalized and refined in the Phase II grant application (See Appendix B, Phase II, Approaches 2 and 3, Thrust B).

The major on-going activity undertaken by the Coordinator in the first phase and continued into the second and third phases was the development of a Daily Confidential Bulletin (DCB). This bulletin contained photographs and/or information on subjects for whom warrants have been issued, subjects that can be arrested on probable cause, or subjects that investigators have requested to be field interviewed. Cancellations are also listed for previously published subjects. In the summer of 1980, the DCB began to include items prepared by the crime analysis unit regarding crime series and patterns. The DCB is distributed to the local federal law enforcement agencies, university police, port police, the San Joaquin County Sheriff's office, and other police departments in the county. User interest in the DCB is maintained by publishing only quality data that are of timely use. The policy and procedures for operation and publication of the DCB are provided in Appendix E along with a sample publication issue. Original plans called for daily publication of this bulletin; however, other coordinator activities and adherence to the guidelines for inclusion of items on the DCB have resulted in fewer than five publications a week on a few occasions. Semi-annually, all DCB issues are reviewed. Outstanding warrants for subjects which intelligence suggests may still be in the city are given special attention, usually by the Strike Team. The others are dropped or cancelled.

The data suggest that the issuance of the DCB has been quite efficient as a mechanism for improving warrant service and apprehending serious offenders. Exhibit 22 shows the number and percent of local warrant entries and arrests by crime types on over 500 issues of the DCB from June, 1978 to June, 1980. As shown in the Exhibit, 70 percent of the warrant entries in the DCB were arrested. Due to the decentralized nature of warrant dissemination and monitoring prior to the DCB, no comparable baseline figures could be obtained. Patrol officers and investigators who were interviewed by the evaluation team expressed favorable comments on the DCB. Investigators reported that it was of considerable assistance to them. Inasmuch as the regular and widespread dissemination of the DCB represents one of the most visible signs of ICAP in the department, the results from the ICAP evaluation survey of sworn officers may be relevant. When respondents were asked to agree or disagree with the following statement, "Some ICAP activities have improved the flow of communications between various sections and units of the departments," 82 percent indicated some degree of endorsement (See Appendix F, item 5RR).

EXHIBIT 22
DAILY CONFIDENTIAL BULLETIN
ENTRY AND ARREST RATE

<u>Category</u>	<u>Entries</u>	<u>Arrests</u>	<u>% Arrested</u>
Murder	25	18	72
Sex Offense	24	16	67
Robbery	88	75	85
Aggravated Assault	80	66	82
Burglary	152	105	69
Larceny Theft	67	48	72
Motor Vehicle Theft	23	18	78
Drug Offenses	61	40	66
All Other Offenses	<u>235</u>	<u>141</u>	<u>60</u>
	755	527	70%

Programmatic activity geared toward identifying and tracking career criminals was formalized in the development and distribution of a departmental "mugbook" of roughly 80 local subjects active in the community who, on the basis of previous arrests and convictions, would be of investigative interest to the department and prime career criminal candidates. Selections for this mugbook were made from nominations by officers in Patrol and Investigations and then reviewed for compliance with the California career criminal criteria. The purpose of the mugbook was to: 1) permit all police personnel to know who meets the criteria for SHO subjects; and 2) provide the younger, less experienced officers with the same information on subjects that the older officers have learned through personal experience.

The mugbooks are loose leaf binders which contain photographs and information on those nominees who meet the career criminal criteria. This information has been noted and interfaced with the crime analysis unit's known offender file and the arrest files in the Records Section of the department. Arrangements were made with local probation and parole authorities to receive information on the return of SHO's into the community. Procedures have also been instituted for updating the mugbook. The most recent activity in this area consists of the placement and maintenance of a career criminal bulletin board which is posted in the roll call room. This bulletin board contains photographs and information on selected individuals with extensive criminal records.

Although activity on the mugbook was initiated in Phase I, the final product was not distributed until Phase II. See Exhibit 21 for relevant timeline dates. A variety of factors contributed to the lengthy process involved in producing the mugbook. Considerable time was required to search and verify the criminal records of mugbook nominees to insure their compliance with career criminal criteria. This was a manpower intensive effort which required greater involvement with other departmental and law enforcement personnel than had been anticipated. Problems were also encountered on the logistics of printing and binding the documents.

The Intelligence Coordinator's other ICAP and departmental responsibilities restricted the amount of time which could be devoted to the development of the mugbook. In addition to responsibility for the DCB and other intelligence liaison activities, the Coordinator played a major or contributory role in the development of the new offense, arrest, accident and field interview report forms; a crime report syllabus; various procedural guides; a traffic accident study; a managing criminal investigations study; and a juvenile/gang file. He also attended a variety of meetings, conferences and training programs on ICAP, career criminals, managing criminal investigations, criminal intelligence, and officer survival. When the original crime analyst resigned, the Coordinator was assigned to supervise the restaffed CAU. Due to the fairly recent implementation of the mugbook and lack of procedures for centrally collecting information about its application, no data are available, as yet, on its utility to the department.

One major approach proposed in the second phase of ICAP (See Appendix B, Phase II, Approach 1) called for the establishment of a career criminal victim/witness management system, procedures for police input to career criminal plea bargaining and sentencing, and procedures for feedback to police on career criminal case dispositions (e.g., reasons for charge reductions, rejection, dismissals, etc.). Thus far, little has been done in the area of victim/witness management as this aspect of the approach was made contingent upon the award of a victim/witness grant to the local District Attorney's Office. This did not occur. Tentative plans call for resubmission of this grant and subsequent implementation of the ICAP portion should it be awarded. Approach 1 of the Phase III ICAP application is identical to Approach 1, Phase II. It should be noted that some elements of this project thrust, such as the development of a booklet to document a victim/witness role in providing testimony, could be initiated in the absence of a District Attorney Victim/Witness Project provided resources and personnel were allocated to such an endeavor. The Report Transcribing Unit could be utilized, as proposed, in the preparation of necessary victim/witness correspondence. This has been done to a limited extent and should be expanded regardless of whether or not other grant funds become available.

With regard to the establishment of procedures for police input to career criminal plea negotiation and sentencing, the current procedures of daily departmental interaction with an assistant District Attorney described in the Investigations Management chapter of this report seem to provide a fairly effective informal mechanism for police involvement. In keeping with the career criminal program philosophy, plea bargaining is not allowed or held to a minimum in Stockton, and maximum sentences are usually

sought. Thus, at this time, there is seldom a basis for chronic dissension between police and prosecutors on career criminal cases. No notable problems were discerned by the evaluation team in interviews with investigators or attorneys concerning this topic. As discussed earlier, procedures for providing the department with some feedback on career criminal cases are currently in place. The development of similar systematic feedback procedures for other departmental cases and summary reports - abstracted from the case calendar and status reports - would be of benefit in the management of investigations. Except for issues related to victim/witness management, the tasks to be accomplished in Phase III relative to Approach 1 would seem to be the formalization and/or specification of operating relationships between the police and prosecutor's office. Review of ICAP project reports, logs, documents, etc. did not indicate notable activity in relationship to this Approach during Phase II. Interviews with ICAP project staff suggest that work on this approach was not seen as a priority but was contingent on other funding support and prosecutor interest and cooperativeness. In all likelihood, Phase III effort will be conditionally dependent upon these or similar factors. Efforts in this area might also encounter considerable resistance if there is an implicit belief on the part of both attorneys and officers that the existing, more informal police/prosecutor relationships permit a degree of flexibility which would be restricted by the establishment of more formalized procedures and mechanisms.

COMMENTARY

This section introduces and discusses those observations and issues which appear to have significantly influenced the implementation and operation of ICAP's SHO component in Stockton. With regard to police/prosecutor relationships, Stockton's ICAP has capitalized on pre-existing interfaces to develop the links between the prosecutor's Career Criminal Unit and the department's SHO activities. There appears to be a general consensus that current procedures and mechanisms are adequate to identify post-arrest cases for referral to the Career Criminal Unit. Given the logistics of searching records in other counties of the state for criminal arrests and convictions, it is unrealistic to expect the department to be able to provide a complete case history before a case is presented to the county prosecutor. In addition, prosecuting attorneys indicated that it was their role to determine whether or not an arrestee should be tried as a career criminal. As long as the current level and quality of police/prosecutor interactions maintains itself, there is a natural reluctance to modify a working system without the active support and endorsement of the county attorney's office.

Stockton's Mugbook

The pre-arrest identification and selection of serious habitual offenders via the mechanism of the mugbook did not proceed as rapidly as hoped, but it has been completed. Now, a new set of issues relative to its maintenance and utilization must be addressed in Phase III of the project. The Intelligence Coordinator acknowledged that problems would be faced in

maintaining updated mugbooks. Although updates and new entries may be circulated to sworn officers, there is the realistic expectation that the books will not be carefully maintained by all officers. This is regrettable considering the effort that went into their compilation. The Coordinator intends to maintain a set of up-to-date mugbooks for use in the training of new officers. As for the rest of the department, the Coordinator had not yet adopted a specific strategy for dealing with this issue. One plan under consideration would inform officers when updates were available and interested officers could request and receive copies. Another approach consisted of collecting the mugbooks annually, updating and then reissuing them. Whatever the strategy, it is important that some procedures for revision of the mugbook be implemented and maintained. Failure to do so will, with the passage of time, limit the utility of the mugbook to officers for identifying the city's serious habitual offenders. By identifying the mugbook entries in the department's Records Section, a mechanism has been established to expedite the post-arrest handling of these individuals. Routine processing of all arrestees through records insures that career criminals will be identified even if the arresting officer is unaware of the suspect's status. This arrangement can also serve as a source of feedback to ICAP staff for revisions and updates.

One additional plan which has been considered for utilization of the mugbook is to select a "Top Ten" from among the entries to receive increased departmental attention via the Strike Force. This perpetrator-oriented tactical response represents a potential operational application of the mugbook information and merits further consideration and perhaps, implementation to determine if it is viable.

ICAP Daily Confidential Bulletin

The DCB represents Stockton's ICAP approach to improving warrant services. In many respects it is a quintessential ICAP activity. In the absence of ICAP, problems with warrant services in Stockton would probably have been addressed or handled by increasing the number of officers responsible for warrant service or command directives to patrol to serve outstanding warrants. It is doubtful that personnel and resources would have been allocated on what is essentially a departmental intelligence/information bulletin. ICAP enabled this service to be provided. The collection and analysis of information from throughout the department (records, crime analysis, investigations, juvenile, etc.) for the DCB is part of the ICAP decision method. The synthesis of this information reflects the integration process alluded to in the program's title and the utilization of the DCB enhances service delivery by providing all officers with information on criminals which was not as systematically or consistently available before. Many officers provide feedback on items in the DCB by making a notation in the running log kept in the Records Section. This and other sources of information are conscientiously reviewed by the Administrative Aide who produces the bulletin in order to provide arrest information and cancellation of previous DCB entries. Essentially, ICAP provided the department with a means and a rationale for the use of the DCB to meet an identified need. The DCB represents an improvement in departmental efficiency which can be logically related to improvement in apprehension effectiveness.

ICAP Personnel

In the Spring of 1980, the Intelligence Coordinator and DCB Administrative Aide were relieved of DCB and mugbook responsibilities in order to spend more time in CAU activities and development of the investigations management component of ICAP. The Strike Force Coordinator was placed in charge of the SHO activities and a new administrative aide was brought in and trained in production of the DCB. Since the DCB procedures had become routinized and the original staff responsible for these activities were still available, no notable transition problems were experienced. Such continuity may be important in maintaining the DCB's utility and acceptability among sworn officers. Successful coordination and integration of organizational efforts has been identified as being dependent, in part, on the existence of individuals who serve as "linking pins" through their formal and informal involvement in a number of working groups (Hampton, Summer and Webber, 1973). The Intelligence Coordinator appears to serve in this crucial capacity. The assignment of the Strike Force Coordinator, another experienced officer, to continue these activities maximizes the continued contribution to and use of the DCB by departmental personnel. As Phase III begins, Stockton's SHO component will face the difficult task of maintaining and routinizing departmental involvement in these activities. For the DCB, the issue will be maintaining the quality and quantity of input to the DCB from departmental personnel. For the mugbook, effort must be directed towards the enhancement and utilization of the document, or it will face eventual disappearance into the bottom of vehicle trunks, officer lockers, and departmental trash cans.

CHAPTER VIII

INITIAL ASSESSMENT: THE ICAP PROCESS AND IMPACT IN STOCKTON

Previous chapters of this case study have detailed the implementation of project activities in Stockton across the four major program components of ICAP. The purpose of this chapter will be to provide some overall assessment of ICAP in Stockton, and the effect that initiation of these project activities has had on departmental operations. The relationship between the theory of ICAP and the reality of the project implementation represents one major consideration in evaluating the program. Other factors such as the extent of integration among project activities and departmental involvement with the project, are also addressed. Some limited indicators of impact are presented and discussed as are the feasibility of and requirements for the conduct of a major impact evaluation.

ICAP Program Approach and Local Project Implementation

ICAP, as it has been formulated at the Federal program level, represents a broad and comprehensive attempt to improve the efficiency and effectiveness of police services. It is different from other LEAA or National Institute of Justice programs in that it does not focus on a single innovation (e.g., a STING operation, directed patrol) but, instead, supports many diverse planned activities implemented in accordance with the ICAP decisions methodology. ICAP promulgates changes in patrol and investigative operations and the implementation of a crime analysis capability. It encourages focusing on serious habitual offenders and it has advocated special efforts in the areas of crime prevention, arson, warrant services and juvenile offenders. In brief, it is meant to be a multi-faceted system for integrating a variety of innovative activities into a police department. The value of these activities rests on the assumption that improvements in the efficiency and effectiveness of police department operations can improve criminal apprehension and suppress crime, the overall program goals of ICAP.

To accomplish those goals, the national ICAP approach to implementation has been to permit each department the freedom to develop its own project specification in regard to most aspects of the local ICAP operation. National program guidelines are so broad, and specific programmatic requirements so few, that considerable leeway exists at each local site in terms of the particular activities and objectives the police department will pursue under the rubric of ICAP. Federal program managers have, until very recently, operated primarily in a reactive fashion disapproving of elements in the local project which did not seem appropriate for ICAP to support. Proactive specification of the local project activities was minimal and occurred primarily in conjunction with the first grant application or as an offshoot of technical assistance recommendations. A consequence of this combination of factors has been an absence of any extensive Federal program formulation of what would constitute a fully implemented ICAP project.

This naturally imposes limitations on the precision which accompanies an overall determination of the degree to which the local ICAP project has been successfully implemented. As illustrated in the previous chapters, evaluations which assess ICAP project implementation must do so primarily at the local level in relation to the project as proposed or specified in the grant application. Extrapolating beyond the local project efforts toward the ICAP program model is more tenuous. Given this set of circumstances, the approach taken here towards an overall assessment of Stockton's ICAP implementation process vis-a-vis the national program model will be to review Stockton's ICAP efforts in relation to some of the basic and consistently espoused tenets of the ICAP model. The rationale behind this approach is best summarized by Williams and Elmore (1976) in their text on social program implementation:

In the ideal situation, those responsible for implementation would take the basic idea and modify it to meet special local conditions. There should be a reasonable resemblance to the basic idea, as measured by inputs and expected outputs, incorporating the best of the decision and the best of the local ideas (278).

These "basic ideas" of ICAP will serve as a framework for assessing the overall extent of the program's adoption in Stockton.

Focus, Sequence and Scope of Implementation

The ICAP Program Implementation Guide (1978) states that implementation of an ICAP project does not mean that a participating agency can assume a narrow focus and concentrate on just a single program component for the duration of the project. It suggests that the local project adopt an incremental process of implementation over the duration of the project. More specifically, the ICAP Program Implementation Guide states that:

ICAP projects normally concentrate first-year efforts on developing patrol operations and corresponding support systems, such as crime analysis and field reporting. Second-year efforts can focus on the continued development of patrol operations, support capacities, and managing investigations. There is no firm guideline that recommends implementation of some program components over others. Departments that already have built requisite capacities in certain areas can use the ICAP project to enhance the development of other functional areas and the establishment of links between the operations unit and the support systems (5-2).

As demonstrated in the ICAP Activity Matrix (See Exhibit 7, Chapter III), Stockton's project has undertaken activities in each major ICAP component area starting in Phase I. The actual sequence of project implementation efforts followed in Stockton closely parallels the suggested

order presented in the ICAP Program Implementation Guide. By way of overview, Stockton's Phase I efforts could be typified as being most concentrated and observable in the areas of crime analysis, calls for service and serious habitual offender. The creation of the Crime Analysis Unit and Telephone Report Unit and the issuance of the Daily Confidential Bulletin (DCB) respectively represent major Phase I accomplishments. For these activities, departmental acceptance and utilization were of primary concern. Actual implementation was less problematical since each of these activities represented the addition of a fairly discrete ICAP support service which did not require extensive alterations in the existing operation of other departmental units and sections.

It is these types of departmental enhancement activities which seem most capable of quickly establishing ICAP's presence within the department. However, they can be meaningless efforts if their services or products are not used by other departmental personnel. In Stockton, the DCB and Telephone Report Unit addressed identified needs within the department. The value of these enhancements was generally acknowledged. The Crime Analysis Unit did not possess such immediate departmental relevance, and the extensive preoperational analysis and planning period for unit implementation probably contributed notably to the departmental acceptance and use of the unit. In general, these ICAP support activities created an atmosphere for continued innovation on the part of ICAP within the department.

Second phase efforts focused more on activities directly related to patrol and investigative operations. Initiation of the Strike Team and Investigations Steering Committee marked ICAP's entry into the realm of on-going activities in other departmental sections and units. Even though preliminary ground had been broken in patrol with the DCB and Crime Analysis, and in investigations with two initial studies and the creation of a Report Transcription Unit, implementation of these ICAP activities was more difficult. The planning function became increasingly important. In both divisions, ICAP proposed activities and changes were not as uncritically accepted. Implementation activities required support of the Chief and Deputy Chief and participation by those departmental personnel affected by the changes. Time taken to plan and implement project activities of this operational nature took longer. In many respects, these Phase II activities are probably indicative of the progress which can realistically be made in applying the ICAP model to a local police department which is, for the most part, favorably disposed towards it. It is clear that in Stockton's case the implementation of operational changes, both in investigations and patrol, required greater effort and activity on the part of ICAP staff than did those support activities initiated in Phase I.

The effect of these ICAP activities on departmental operations has yet to be determined. As Phase III begins, Strike Team missions are becoming a permanent fixture of the department, yet manpower shortages can curtail any given operation. The investigations management plans are being initiated. The extent to which these plans are actually adopted and maintained in Phase III will provide some indication of ICAP's influence on the departmental handling of investigations.

Relative to the national ICAP model considered in its entirety, Stockton's local project, even at the end of Phase III, could not be considered to have implemented a total ICAP program. Some elements of the four program components will not be addressed. Departmental and/or ICAP staff have considered these elements of the ICAP model as being inappropriate, not needed in Stockton, infeasible, unacceptable or incapable of being addressed within the confines of available time and resources. What can be said about the scope of Stockton's ICAP project is that it has initiated in each major program component significant activities which it considers relevant to the department's needs and wishes. To the extent that progress in each major area represents an adequate manifestation of the ICAP program model, Stockton's project can be used as an indicator of its potential utility to police departments. It is doubtful that all the major elements of the national ICAP program can be implemented in a police department, especially in a four year period.

Integration of ICAP Activities

An underlying tenet of ICAP has been its emphasis on the integration of departmental and project activities. The purpose behind many ICAP program activities is to forge or improve the links between various departmental operations. The ICAP premise is that by improving the coordination between various units and sections of the department, the effectiveness and efficiency of police operations will be increased. This seems to suggest that one attribute of implemented project activities is that they are designed to support or interface with each other and/or various departmental operations. The corollary to this proposition is that successfully implemented project activities elicit departmental involvement in the project. The role of a crime analysis unit is often cited to demonstrate these points. The operation of this unit can provide information of use to patrol commanders in deployment decisions or detectives on follow up investigations. However, if the unit does not meet the needs of its departmental users, or if other ICAP activities which promote the utilization of this data are lacking, departmental involvement in one major component of the ICAP project is missing.

Stockton's major areas of ICAP project implementation have interfaced with departmental operations. The previously mentioned ICAP units - Crime Analysis, Telephone Report and Report Transcription - have established the necessary linkages with patrol, investigators, communications, records, etc., to obtain the departmental inputs (e.g., referred calls, crime reports, follow up reports, intelligence) necessary to perform their tasks. Output from these units is being utilized by the department. As with other functioning units within the department, the interaction of these ICAP units with other departmental components is dynamic. There are periods of greater and lesser involvement. Relationships vary as a function of previous interactions and the compatibilities and incompatibilities of personnel. Keeping this in mind, there is no meaningful distinction which can be made between the involvement of these ICAP units and any other support units in the daily operation of the department. The function of these units has been accepted and incorporated into the organizational framework of the department. On another level, ICAP project activities have also interfaced with departmental resources. The use of the CAD

system's backup computer for automation of the crime analysis data base is an example of this integration of departmental and project capabilities.

The Strike Team and plans for investigations management are best typified as still being in an accommodation stage relative to departmental integration. The Strike Team appears to have achieved a degree of acceptability and credibility within the department, but issues on the specific supervision, operation and staffing of this team cannot be said to be completely stabilized. The concept itself has proved quite viable and will probably be retained in some form. The implementation of the investigations management plan is in its early stages which limits any assessment of its eventual institutionalization into the department. Case screening aspects of the plan have already been incorporated into the departmental flow of crime reports with few problems or difficulties. Critical factors in the success of the overall plan will revolve around the capability and motivation of day watch officers to conduct follow up investigations and the detectives' acceptance of and compliance with the proposed case management/monitoring procedures. Considering the past performance of implementation activities on the part of ICAP staff, it can be expected that major aspects of this plan will be successfully introduced. The performance of the ICAP staff has been very good in the formulation of plans and activities which are not rejected by departmental personnel as being unrealistic or infeasible.

In addition to interfacing ICAP project activities with departmental operations, Stockton has developed, perhaps to a lesser extent, linkages between the project activities themselves. The Crime Analysis interface with the Strike Team and the Daily Confidential Bulletin (DCB) which were discussed in previous chapters are examples of this. The Report Transcription Unit supports the investigations management plan by freeing up investigator's time from administrative tasks. ICAP training activities have been used to prepare and explain to the department such ICAP project activities as crime analysis, report revisions and call prioritization and stacking. While many of these linkages have been intentional, the primary orientation of the ICAP staff has been more towards the incorporation of ICAP activities into the department rather than with each other. This may have restricted ICAP staff perception of additional possibilities.

Current circumstances suggest that some closer linkages could be advantageous. The separation of DCB production from the crime analysis function may be less efficient than when it was originally conceived. Since crime analysis required a longer Phase I developmental period than the DCB, these capabilities were initiated separately by different personnel. Now that both are established and share similar data sources, some consideration should be given to reassignment of DCB duties to the crime analysis unit, especially since it is currently staffed with personnel familiar with DCB operation. This arrangement would aid the centralization of crime data and criminal intelligence into a single unit.

While no particular ICAP element could be considered indispensable to agency functioning, the total absence or cessation of ICAP would reduce the department's capabilities to collect and analyze information which supports planning and service delivery. Special patrol operations and follow up investigations would probably be curtailed from their current levels. More

importantly perhaps, no departmental mechanism would exist for the consideration, testing and implementation of new and different approaches to policing. Ultimately, the extent to which ICAP has been integrated into departmental services will be reflected by those project activities that are continued after federal funding has ceased. Activities that are perceived as having made the transition from being part of ICAP to part of the department will have a greater likelihood of being considered an asset to be incorporated into future departmental budget plans.

ICAP Decision Method

As discussed in Chapter I, one major theme of the national ICAP model is the utilization of a police decisionmaking methodology in the management of police operations (See Exhibit 2 for a schematic of this method). This methodology emphasizes the collection and analysis of data, planning and service delivery. Stockton's pre-ICAP success with implementing special programs and the planning background of the Project Manager are strong indicators that the department was informally following this decision method to some extent prior to ICAP. With the advent of ICAP, this method appears to have become more routinized and supported within the department. The project itself has conformed to this decision method in the development of its major areas of activity. The use of departmental steering committees, pre-planning operations studies, and formal planning documents all suggest an effort to systematize the decisionmaking process which accompanies the implementation of ICAP activities. The use of this approach by ICAP has also served as a model for other non-ICAP changes. Many of the planning and implementation procedures utilized in the installation of the CAD system were adopted from those used by the ICAP project staff. A user's committee, which included ICAP personnel, was established to assist in the development and operation of this communications system.

It should be noted that organizational utilization of the ICAP decision method in Stockton is not a consciously acknowledged process. That is, the steering committees do not discuss their decisions or plans in terms of collection and analysis of data, feedback or other elements of the ICAP decision methodology. Rather, it seems to be the recognition that a successfully implemented activity possesses the elements of this decision method. Plans are formulated on the basis of an analysis of information collected about the proposed activity. When an activity is initiated, feedback procedures for debugging and handling unanticipated problems and difficulties are incorporated into the process. The diverse concerns and perceptions of the group help to insure that, collectively, all important aspects and approaches to the problem or activity under consideration are addressed.

On an individual level, the ICAP decision method is illustrated in the roles of the Strike Force Coordinator and the Intelligence Coordinator. Application of the decision method to their roles is discussed in the Commentary sections of Chapters V and VII respectively. Again, their use of the methodology is not acknowledged. Use of the method by first-line patrol supervisors for tactical deployment - a suggested element of the

national ICAP program model - has been neither planned nor pursued extensively in Stockton. Supervisory planning of a patrol's tactical response to a crime analysis report has usually been a coordinated effort directed by the watch commander. Such planning activities have not occurred as frequently as similar Strike Team planning sessions.

The fact that the ICAP decision method is such an abstract process has probably contributed significantly to its lack of formal promulgation in Stockton by the ICAP staff. Also, the national ICAP program literature offers only a modicum of examples which delineate tangible, specific applications of this decision method to police operations. There is even less information provided on how this decision method could be formally introduced into the department's decisionmaking process. Finally, as one of Stockton's ICAP staff members observed, the decision method reflects a logical, common sense approach to doing things. In this sense, its simplicity may be its greatest shortcoming. The decision method may appear to be too simplistic to be taken seriously as a viable process to use in police management in the absence of any extensive literature on how this method can be applied or sometimes misapplied or only partially applied. While Stockton has followed the ICAP decision method in several aspects of the project, an awareness of this fact is probably restricted to a few ICAP staff members.

Departmental Influence on the Implementation Process

One important consideration in determining what effect ICAP concepts actually have on departmental operations is whether or not a particular activity is directed towards the original objectives espoused by the ICAP model after it has been revised and modified by the implementation process. The feasibility of any subsequent impact assessment is also predicated on the outcome of this determination. The Stockton experience, thus far, suggests that ICAP activities which support or enhance on-going operations without unduly impacting the status quo are generally put in place as proposed by the department. The various support units - Crime Analysis, Telephone Report and Report Transcription - are illustrative of this in Stockton. If anything, there may be a tendency for the role of these units to be expanded from their original plans. The Telephone Report Unit handled a wider variety of calls than initially conceived. The Juvenile Division was an addition to those departmental investigators who would use the Report Transcription Services. ICAP activities which affect existing modes of operation or supervision are, as previously discussed, more difficult to initiate. Those changes which are eventually implemented reflect the influence of a wider diversity of individuals and organizational factors. Stockton's Phase II efforts, particularly in the area of investigations management, were of this nature.

For the most part, Stockton has generally maintained the intent of ICAP activities as espoused in the program literature, though procedurally they may be somewhat at variance. For example, the ICAP program suggests that patrol, in general, should participate in directed patrol activities which are supported by crime analysis. Less emphasis is placed on the use of

special units for these types of operations. In Stockton, the situation is reversed. The Strike Team mounts the majority of special operations in response to detailed crime analysis products. Several factors, especially a high CFS rate, have contributed to patrol's lower level of involvement. However, the basic ICAP tenet that there be some planned, operational response to crime analysis reports has been maintained. The same can also be said for Stockton's plans in the area of investigations management. Though these plans do not closely follow the managing criminal investigations model identified in the ICAP literature, patrol's role in the investigative process should be notably expanded when they are implemented. The formal management and monitoring of follow-up investigations should also be improved over current practices.

Many factors have undoubtedly contributed to the ICAP staff's ability to retain the basic purpose of a project plan through its various permutations during implementation into the department. Two factors may be of particular significance. One concerns the Project Manager's understanding of the rationales, objectives and concepts underlying the various ICAP program activities. This enabled the project to flexibly propose, consider and assess alternative plans and modifications which could still potentially achieve the original plan's objectives. In the absence of such a capability, those modified project activities which are the result of departmental negotiation and compromise may not be reflective of either the ICAP approach or departmental needs. The second factor which appears to have aided Stockton's observance of ICAP concepts in its project activities was the retention of final planning responsibility by ICAP staff used in conjunction with the measured incremental approach to implementation as suggested in the **ICAP Program Implementation Guide**.

In project activities requiring the cooperation and participation of departmental personnel, ICAP staff regularly obtained input from these individuals prior to initiation of activities. When steering committees were involved in the planning process, an iterative approach was adopted in which ICAP staff would formulate a plan of action for review and modification by the committee. Plans and activities would then be reworked by the ICAP staff based on the committee's response. Since it was primarily the ICAP staff who worked on the suggestions and recommendations of the committees, the revised plans would continue, as much as possible, to address the underlying purposes of the original plan. Williams (1978) in an article on implementation analysis distinguishes between different types of project failure. One type, implementation failure, is the failure to properly initiate and/or maintain those activities and functions which would have culminated in the achievement of intended goals and objectives. On the whole, activities initiated by the Stockton ICAP staff have not encountered this problem in the first two phases. Departmental influences have shaped the conduct of specific activities, but there is little to suggest that any major departures from the ICAP program components as presented in the ICAP literature have occurred.

IMPACT EVALUATION

Assessment of Stockton's ICAP project has thus far focused extensively on the ICAP implementation process. Primary emphasis has been on documenting the quantity and quality of project activities and the organizational

and personal dynamics which have shaped it. Less has been presented about the outcome or impact of these ICAP activities. Some arrest data have been presented relative to crime analysis, the Strike Team and DCB operations. This lack of emphasis on impact was intentional. Because of the diversity and complexity of the ICAP program at the local level, it was realized early in the evaluation that some assessment of the extent and nature of the local project activities which were actually implemented would be necessary before the question of any extensive impact assessment could even be addressed. The sequential and incremental approach to implementation adopted by local projects like Stockton also indicated that a longer time period would be required to more equitably assess those impacts that might occur. In Stockton, for instance, it is not until the beginning of Phase II that fully operational ICAP activities (i.e., joint crime analysis - Strike Team operations) designed to directly impact apprehensions can be identified. Even after these operations have begun additional influences (e.g., sickouts, work slowdowns, crime rate increases) internal and external to the department may mask the outcomes of an activity. Longer observation periods than 18 months may be necessary for a more reliable determination of project impact. In addition to these concerns, several other points should be considered in any impact evaluation of Stockton's ICAP project. These other points are discussed in the following section.

ICAP Impact Evaluation Considerations

A previous section of this chapter discussed Williams' (1978) tripartite typology of program failure. Besides the previously discussed **implementation** failure, there can also be a failure in program **theory** or **specification**. A failure in **theory** indicates a fault in the ideas or "causal process". Even with proper implementation, the program cannot succeed because the underlying premises are invalid. **Specification** is the link between theory and implementation. **Specification** failure represents an inability to translate the imprecise, operational language of the theory into a useful set of guidelines for the field. **Specification** can include descriptions of what is to be done and how, the expected changes (outputs) that should occur, and the measurable objectives to be used. While implementation has been the focus of this evaluation, assessment of project impact must also consider failures of **theory** and **specification**.

Aspects of the ICAP program which suggest that such **theory** and **specification** problems may exist have been presented and discussed in Chapter III - Issues in the Design of the National ICAP Evaluation of the GENERAL DESIGN AND GUIDE FOR EVALUATION OF ICAP, (Gay et al., 1979). These issues will not be reviewed here except to say that, in addition to the problems of short observation periods and extraneous influences, minimal project impact can reflect failures in program **theory** and **specification** and not failures on the part of the local department to implement the activity. One purpose of the current evaluation has been to distinguish the various aspects of the program in order to facilitate the interpretation of impact analysis results.

Relative to the issue of program theory, one point of consideration concerns the conceptual or logical chain of assumptions which link various program/project activities to their proposed outcomes. More specifically, it is clear that some local project activities involve a more tenuous and

longer set of assumptions relating the influence of that activity to improved law enforcement. Of particular note are those project activities that are primarily aimed at improving the efficiency of administrative functions within the department. For example, in Stockton, the Report Transcription Unit has freed up some investigative time which was previously spent in report preparation. This improved efficiency will not automatically lead to increased investigator effectiveness unless this time is structured and utilized in the investigation of cases. Even if the time is thus utilized, minimal value may accrue if adequate time had already existed to work those cases with a good probability of solution (i.e., sufficient number of solvability factors). In such a situation, those cases worked in the extra time will have less possibility of successful resolution.

A similar case can be made for the Telephone Report Unit. Officers who no longer have to respond to those calls for service (CFS) now handled by the unit may or may not respond by increasing the time they spend on other reports, preliminary investigations, field interviews or preventative patrols. Given Stockton's high CFS rate, the primary outcome may simply be that the stacking of calls is not as extensive as in the past.

For project activities such as the crime analysis unit and issuance of the DCB, the connection between the activity and possible outcomes is, in some instances, less tenuous. Though difficult to trace, arrests and convictions in a number of cases can still be unambiguously related to information contained in crime analysis and DCB reports. The most direct activity/outcome relationships in Stockton are found in ICAP supported operations such as the Strike Team. The often used impact measure of arrests is directly related to the objective of a Strike Team mission.

Considering this analysis, it is clear that those ICAP project activities which are primarily efficiency oriented (i.e., their immediate purpose is to accomplish such things as improving organizational workflow, reducing duplication of effort, improving the match between resources and service demands, and streamlining operations) are a priori, less likely on both theoretical and practical grounds to impact on ICAP's major goal - the prevention and deterrence of crime. Such efficiency oriented project activities are also more likely to be susceptible to a variety of additional factors which can disrupt or adversely effect the chain of events linking the project activity to enforcement outcomes. On the other hand, effectiveness oriented project activities (i.e., activities which directly influence the department's criminal apprehension and crime deterrence capabilities) are less influenced by these factors and more obviously related to project impact on crime.

Classifying Stockton's project activities as shown in Exhibit 7 as being primarily efficiency or effectiveness oriented, it appears that many of the activities would fall into the efficiency category. The Strike Team, Tactical Systems Unit and the DCB are the most clearly specifiable effectiveness oriented project activities. Such a limited number of directly outcome related activities may make the existence and identification of ICAP enforcement impacts less likely. Given this situation, two final points should be considered in any impact evaluation of Stockton's ICAP project.

The first consideration concerns nonspecified project effects. A traditional impact assessment usually addresses the general evaluation question of how or to what extent the program goals or objectives have been achieved. In ICAP's case, this is the apprehension of criminals and deterrence of crime. However, considering the nature and intermediate objectives of many ICAP project activities in Stockton, a more pragmatic approach may be to evaluate ICAP projects with other criteria more appropriate to local intent. The training and equipment enhancements which ICAP has supported in Stockton suggest that outcome measures assessing organizational climate and individual health vis-a-vis job satisfaction, communication flow, officer safety, etc. may provide a better perspective on ICAP impact in Stockton. More appropriately, evaluation of ICAP impact in Stockton could utilize an organizational efficiency model which considers such outcomes as reduced waste, improved resource allocation, improved integration of activities and increased service delivery with costs held constant or reduced. With either approach, the locus of impact is located primarily within the department. This is, perhaps, more realistic since the outcomes of many project activities were intended to improve internal management which may not influence or improve police impact on the environment beyond the agency (Goldstein, 1979). In fact, there has been some suggestion that the capability of police to affect overall crime levels through deterrent strategies and tactics is also limited (Hough and Clarke, 1980).

The second consideration concerns the need to specify and quantify the means-end linkages for both efficiency and effectiveness oriented project activities. In order to meaningfully evaluate the impact of Stockton's ICAP activities, the collection of three interrelated, but different types of measures - process, response and impact - is necessary. First, data which measures or quantifies the **process** by which the activity is performed should be collected. For crime analysis, examples of process measures would include the number of file searches conducted, number of crime patterns identified and number of reports issued per unit of time. Next, **response measures** are needed to assess the external response of the department to the environment. These are the activities of the department which interface directly with the community. Finally, **impact or outcome measures** are required to assess the interaction or response of the environment to the departmental or ICAP activities. Such measures could include selected Part I crime rates, arrests, clearances and prosecutor acceptances of cases. Exhibit 23 presents examples for the crime analysis component illustrating the interrelationship between these measures. In the absence of project related process and response measures, data from the impact measures become increasingly difficult to interpret or meaningfully attribute to project activities. The extent to which supporting process and response measures are absent restricts any impact analysis to a more macrolevel approach with limited applicability and generalizability. The use of this approach rests on the assumption that the set of local ICAP objectives and activities implemented should have some department-wide impact since ICAP does emphasize integration and does permit a department to develop its own customized project. It also assumes that this impact will be reflected in commonly used measures of departmental effectiveness. The problems inherent in this set of assumptions have been discussed in the previous paragraphs; however, some preliminary consideration of this type of data on a tentative and exploratory basis may be of some formative value

EXHIBIT 23

IMPACT EVALUATION MEASUREMENT SYSTEM

ICAP PROCESS	RESPONSE	IMPACT
<p>Crime Analysis</p> <ul style="list-style-type: none"> - Portion of robbery suspects identified by number of searches conducted - Number of CAU reports of exceptionally high crime rate in given area - Percent of searches for similar MO/suspect description of an arrestee which results in identification of related offenses 	<p>Number of surveillances of suspects conducted</p> <p>Number of saturation patrols conducted in target area</p> <p>Portion of identified related offenses which result in collection of additional evidence, witnesses; placement of additional charges</p>	<p>Arrests resulting from surveillance</p> <p>Rate of reported offenses in target area subsequent to saturation patrol; number of on-scene arrests</p> <p>Ratio of arrests to prosecutor acceptances; arrests to conviction; proportion of cases cleared by arrest</p>

in the conduct of a more extensive, detailed impact assessment later in the life of the project. The following section presents a limited descriptive and statistical analysis of some macrolevel measures. Its purpose is to provide an interim perspective on the impact of ICAP in Stockton.

Preliminary Analysis

As stated previously, the basic goals of ICAP are to deter crime and apprehend criminals. In Stockton, many diverse project activities have been undertaken in pursuit of these goals. Some activities are more clearly and directly related to attainment of these overall goals than others. Outcome data bearing on some project activities have been presented in previous chapters (e.g., Strike Team, Crime Analysis Unit). However, the question of overall departmental impact by ICAP activities has not been addressed. As there are varied project activities, there are also varied impact measures which could be considered for analysis. Virtually all these measures are co-determined by many factors and subject to at least one or another threat to their validity (Campbell and Stanley, 1963; Hudson, 1977).

The approach taken here is to utilize those available measures which have been kept, as far as can be determined, in a fairly reliable and consistent manner by the department. From this set, only those measures which have been hypothesized or identified as pertaining to ICAP objectives or activities will be considered. To further limit the analysis of possible outcomes to some *a priori* meaningful parameters, only a single intervention point will be used. While there are a number of fairly discrete intervention points which could be identified (e.g., initiation of the Strike Team, DCB, Crime Analysis Unit, Telephone Report Unit) the use of multiple intervention points incurs additional methodological problems (e.g., the limited number of observations between succeeding interventions obfuscates any given intervention effect). As discussed earlier, the assumption used here is that the net effect of all project activities will result in the attainment of the overall program objectives.

The intervention point chosen in Stockton is the beginning of Phase II of the project. Many major operational components had been initiated by that time and continued to operate at varying levels for the duration of Phase II. The measures for this analysis will be arrest rate (i.e., the ratio of arrests for a given offense to the number of such offenses reported) for total Part I crime and the specific crimes of rape, robbery and burglary. These particular crimes were selected on the basis of their being specifically targeted by the crime analysis unit. Ratio measures were chosen since they reflect the interdependent relationship between crime and arrest data. In a single value they present departmental productivity (i.e., arrests) relative to reported criminal occurrences. In addition, these measures are less susceptible to measurement errors than clearance data and are not as prone as reported crime data to strong cyclical or seasonal variation.

A time series regression analysis was conducted on three of the four dependent arrest rate measures using monthly data from January 1976 to June 1980. Since the purpose of this analysis was not to build a substantive model of arrest rate in Stockton but rather to assess any influence which

the ICAP project may have had, the general procedure followed for each measure was to identify any pre-ICAP intervention time series trends with a polynomial fitting function and seasonal dummy variables. The resulting model was then applied to the entire time series. Dummy variables coded to reflect post-intervention changes in the level and/or slope of the series were then added to the model to see if they significantly improved the amount of "explained" variance (R^2) in the dependent measure. Residuals from these models were tested for autocorrelation (Durbin-Watson d-statistic) in order to assess the existence of possible bias in standard errors for the coefficients which could result in misleading significance tests. If autocorrelations were found to exist or were suspected, the model was reestimated using a pseudo-generalized least squares method with the indicated autoregressive parameter (Berk, et al., 1979). This procedure adjusts for the possible bias. Because some months had no rape offenses and several contiguous months had no rape arrests, the rape measure could only be meaningfully computed on a quarterly basis. This reduced number of observation points ($N=18$) precluded the use of the time series analysis on this measure since it would be rather insensitive to possible project effects and more susceptible to bias.

Pre-intervention arrest rates for total Part I crime, robbery and burglary displayed no significant linear or higher order trend components. Only the arrest rate for total Part I crime showed a marginally significant seasonal component ($p = .07$) which reflected a slight increase in rate for the spring and summer months. Neither the robbery nor burglary analyses conducted on the full time series resulted in a significant R^2 for arrest rate as a function of the intervention dummy variables. In addition, there was no significant autocorrelation among the residuals observed. The pre- and postintervention means for these measures and those of rape and total Part I crime are shown in Exhibit 24. As can be seen in this exhibit,

EXHIBIT 24

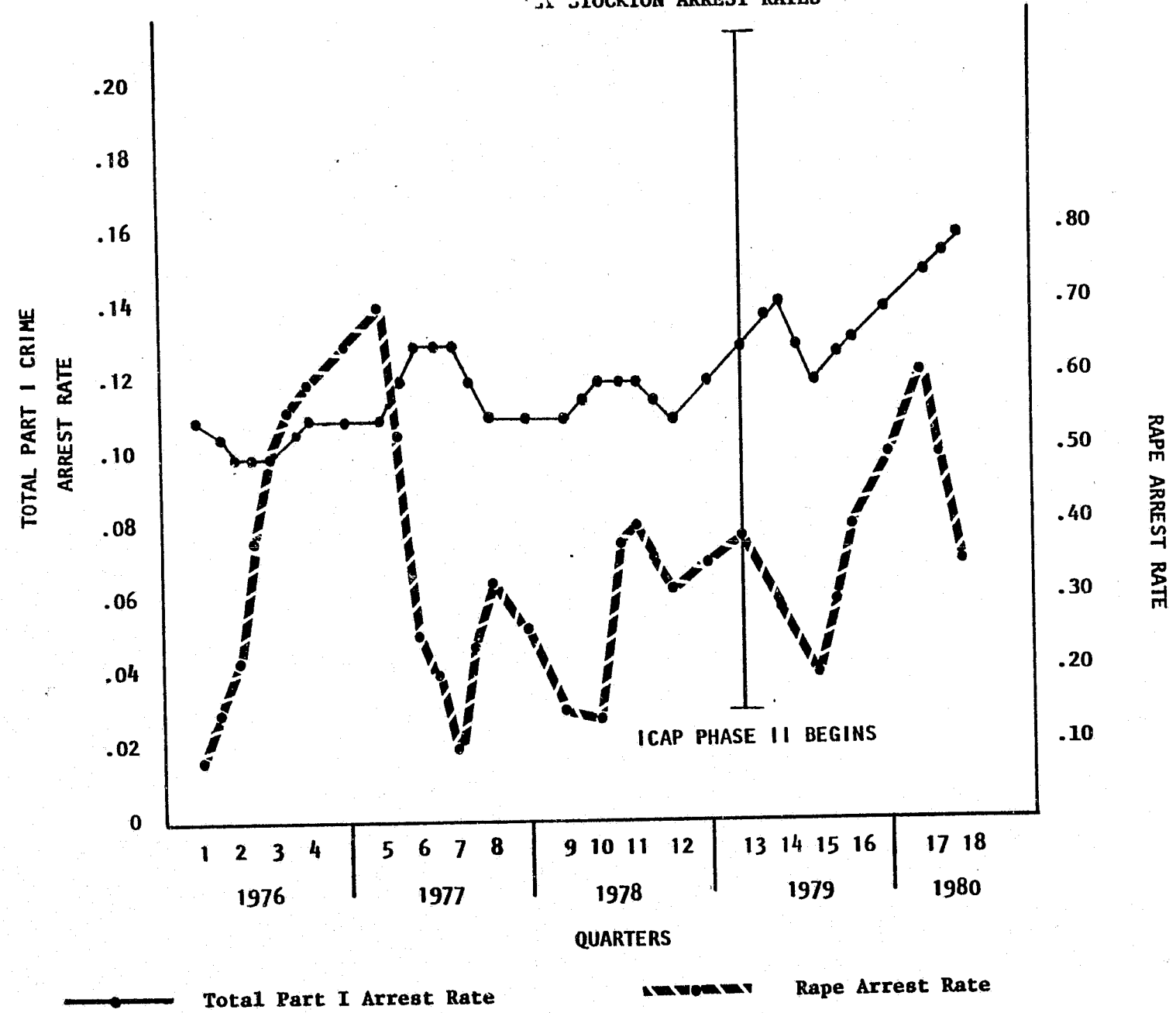
MONTHLY ARREST RATE* MEANS PRE/POST ICAP PHASE II START UP (2/79)

MEASURES	Pre-ICAP (N=37)	Post-ICAP (N=17)
Total Part I Crimes	.11 (.016)	.13 (.009)
Rape	.32 (.19)	.37 (.13)
Robbery	.26 (.11)	.26 (.09)
Burglary	.09 (.02)	.08 (.01)

* Arrests per month ÷ offenses per month = arrest rate
() = Standard Deviation

EXHIBIT 25

STOCKTON ARREST RATES



pre/post means for robbery and burglary are essentially identical. There is a slight post-ICAP increase in the total Part I arrest rate and a larger increase in the rape arrest rate. A quarterly plot of these two measures is presented in Exhibit 25. Inspection of the rape arrest rate data suggests that, until additional observations are obtained, series variance prohibits serious consideration of this postintervention increase as a reliable improvement.

A significant postintervention change in level was observed for the total Part I arrest rate measure. As with the previous analyses, there was no notable presence of autocorrelation among the residuals. Exhibit 26 presents this equation and the regression results. The significant coefficient for the intervention dummy variable suggests that the overall Part I arrest rate increased, on average, about two points since the start of ICAP's second phase in Stockton. While this may appear as a negligible improvement relative to the number of total offenses committed, it should be kept in mind that this figure does represent an 18 percent increase over the pre-ICAP mean level arrest rate performance. The addition of the postintervention dummy variable for slope of the series failed to improve the equation.

EXHIBIT 26
ORDINARY LEAST SQUARES ESTIMATES OF
TOTAL PART I ARREST RATE
STOCKTON

Variable	Regression Coefficient	t-Value
Intercept	.117	363.32 (p < .01)
S1 (Seasonal dummy)	-.0066	-1.69 (p = .09)
ICAP (Dummy)	.021	5.01 (p < .01)

R² = .36 F (3,51) = 14.9 (p < .01)
Durbin-Watson d-statistic = 1.79

The finding of an increase in overall arrest rate is indicative of improved enforcement effectiveness on the part of the Stockton Police Department. The extent to which it can be attributed to ICAP is, as yet, difficult to assess. As discussed in the previous section, the linkages between ICAP project activities and outcomes must be delineated and measured in order to establish or document the hypothesized relationship. The lack of significant results for the two crime analysis target crimes of

robbery and burglary indicates that the other Part I crimes and arrests - homicide, larceny, motor vehicle theft and assault - contributed to the observed effect. Unfortunately, these data were not collected since specific project activities were not identified to directly impact on these offenses.

Two possible sources of ICAP influence on these other Part I crime arrest rates are Strike Team operations and issuance of the DCB. Although a content analysis of Strike Team missions was not conducted, a review of their monthly reports indicates that 35 to 45 percent of the missions were directed towards crimes other than burglary and robbery (e.g, homicide, warrant arrests for narcotics and assaults, larcenies and vehicle theft). Similarly, roughly two-thirds of the arrests made on DCB entries were for crimes other than burglary and robbery (See Exhibit 22). However, it should also be noted that individually these two target crimes had the highest and second highest number of arrests. A plausible alternative event which could account for the arrest rate increase in conjunction with, or independent of ICAP, is the increase in the size of the patrol force. This took place during the latter half of Phase II through officer reassignments and new officer additions. During this time, patrol manpower increased about 16 percent over its previous level.

Overall, this preliminary analysis illustrates the need for more extensive and detailed data in order to provide a meaningful impact assessment of ICAP. In Stockton's specific case, there is a need to include a manpower parameter in future models to reflect as accurately as possible the addition of officers to patrol. The specification of other intervention points along with alternative models and methods of analysis should also be considered. Relative to the current analysis, the addition of more data points before and after ICAP would strongly support the use of an ARIMA time series approach. Alternatively, the application of more sophisticated least squares techniques (e.g., inclusion of endogenous lagged variables, ridge regression) might also provide a more sensitive analysis which avoids some problems associated with multicollinearity among the variables. Finally, this preliminary analysis and the related data presented in previous chapters argue strongly for a continued evaluation effort. In an area as vital and costly as law enforcement, identifying and understanding not only what has worked but also what has not worked may improve police services.

CHAPTER IX

SUMMARY

The Integrated Criminal Apprehension Program (ICAP) represents a comprehensive effort on the part of LEAA to introduce several state-of-the-art planning, patrol and investigative programs into police agencies across the country. The program draws upon criminal justice research and the efforts of individual police departments to develop improved systems of service delivery. Within the ICAP framework, local ICAP projects identify and implement program activities in accordance with departmental plans and needs. The Stockton Police Department has participated as a local ICAP project site for over two years. In that time, the Stockton project has initiated activities in the four major components of the ICAP program - crime analysis, patrol management, investigations management and serious habitual offender. These activities have been designed to improve the effectiveness and/or efficiency of the department's administrative and law enforcement functions.

Organizationally, Stockton's ICAP project has created and staffed a number of units which support both patrol and investigative operations. A crime analysis unit was established in the first year of the project to assist sworn officers in the detection of crime patterns and suspect identification. This unit has facilitated several arrests and convictions which would probably not have occurred without the information and analysis provided by the unit. A Telephone Report Unit was also initiated to handle certain nonemergency calls for service which had previously received an officer dispatch. This unit has provided an administratively viable and often cost effective alternative to unit dispatch for certain routine calls. An ICAP supported Report Transcription Unit reduced the administrative burden placed on investigators in the preparation of case reports and related documents. The Tactical Systems Unit provided the department with the capability of addressing commercial robbery problems through the installation of special alarms and cameras in targeted local businesses. As with crime analysis, this unit has also contributed to several arrests and convictions. Notably, the initiation of the ICAP project itself engendered the department's creation of an Operations Support Section of which these units were a part. This section, which was comprised of ICAP project staff, was responsible for major departmental research and planning activities pertaining to enforcement operations.

Operations Support implemented several activities to facilitate the identification and apprehension of criminals. Early in the first year of the project, ICAP initiated a Daily Confidential Bulletin which provided all Stockton patrol officers and adjacent jurisdictions with information and photographs on known criminals with outstanding felony warrants. Seventy percent of the entries appearing in this bulletin were arrested. A Strike Team was created from one of the patrol watches to conduct special apprehension operations. These operations utilized information and intelligence developed by crime analysts or other ICAP staff. Over half of the operations carried out by the Strike Team resulted in mission related arrests.

Future ICAP plans in Stockton call for the implementation of an investigations management system which would expand the investigative role of day watch patrol officers, install more rigorous and systematic case review and screening procedures and establish a more formal case management and monitoring capability. In conjunction with those major areas of planned and on-going endeavor, other supplemental ICAP activities have included training of departmental personnel; revision of offense, arrest and field interview forms and studies of various departmental operations (e.g., investigations, traffic, day patrol).

The Stockton project reflects a reasonable and realistic effort to introduce some of the basic tenets and recommended activities of the national ICAP program at the local departmental level. Considered individually, the project activities implemented in Stockton have influenced, in a positive fashion, departmental functioning. The magnitude or extent of this influence, in aggregate, has not yet been clearly demonstrated. It is clear, however, that the presence of the ICAP program in Stockton has provided the department with the rationale and resources to undertake changes. Its presence has encouraged and/or forced administrators to examine existing modes of operation and consider alternatives which may prove to be more effective or efficient. In this respect, Stockton and its ICAP project have served as a testing ground for the feasibility and utility of several innovations in policing.

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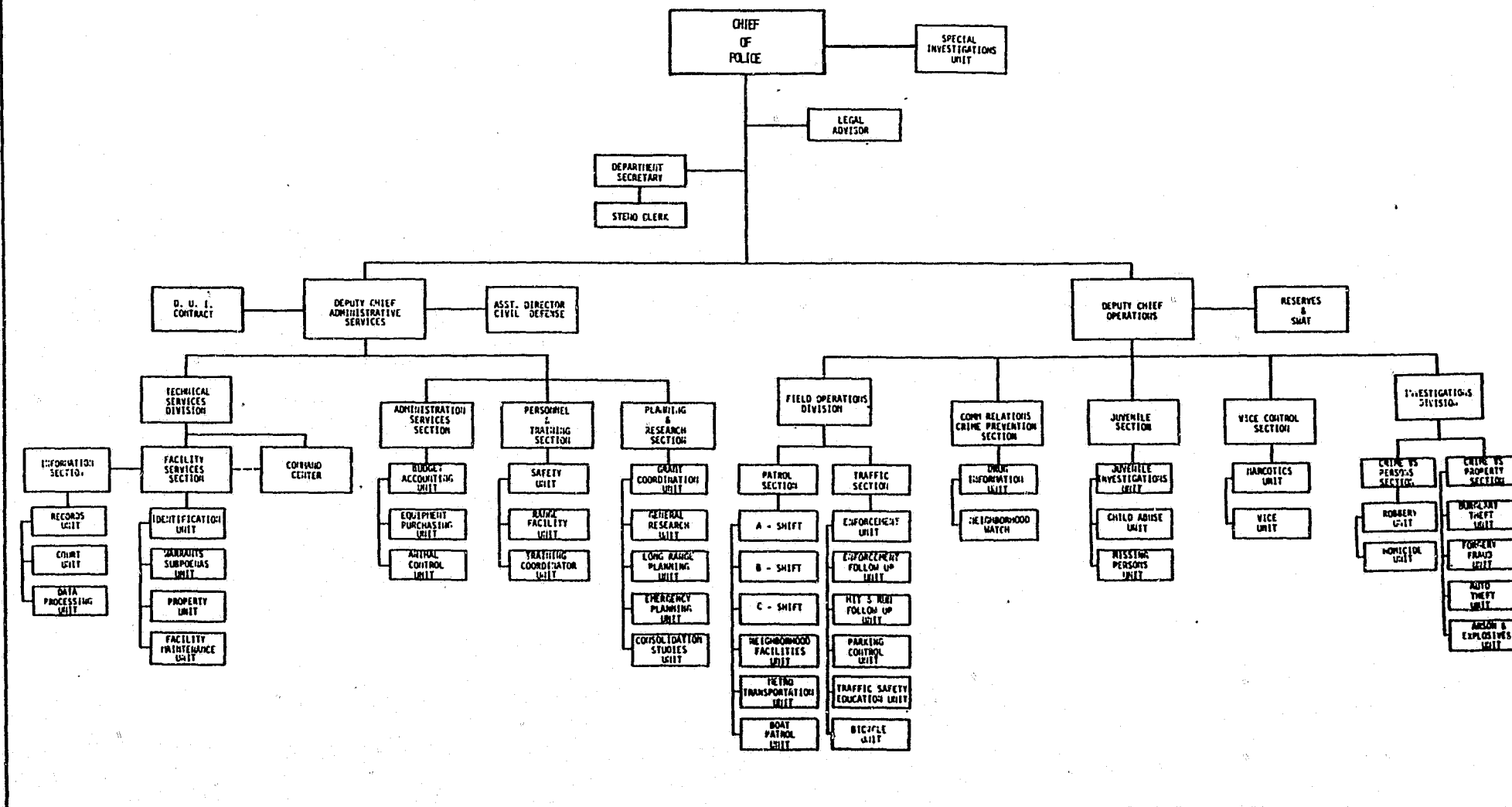
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APPENDICES

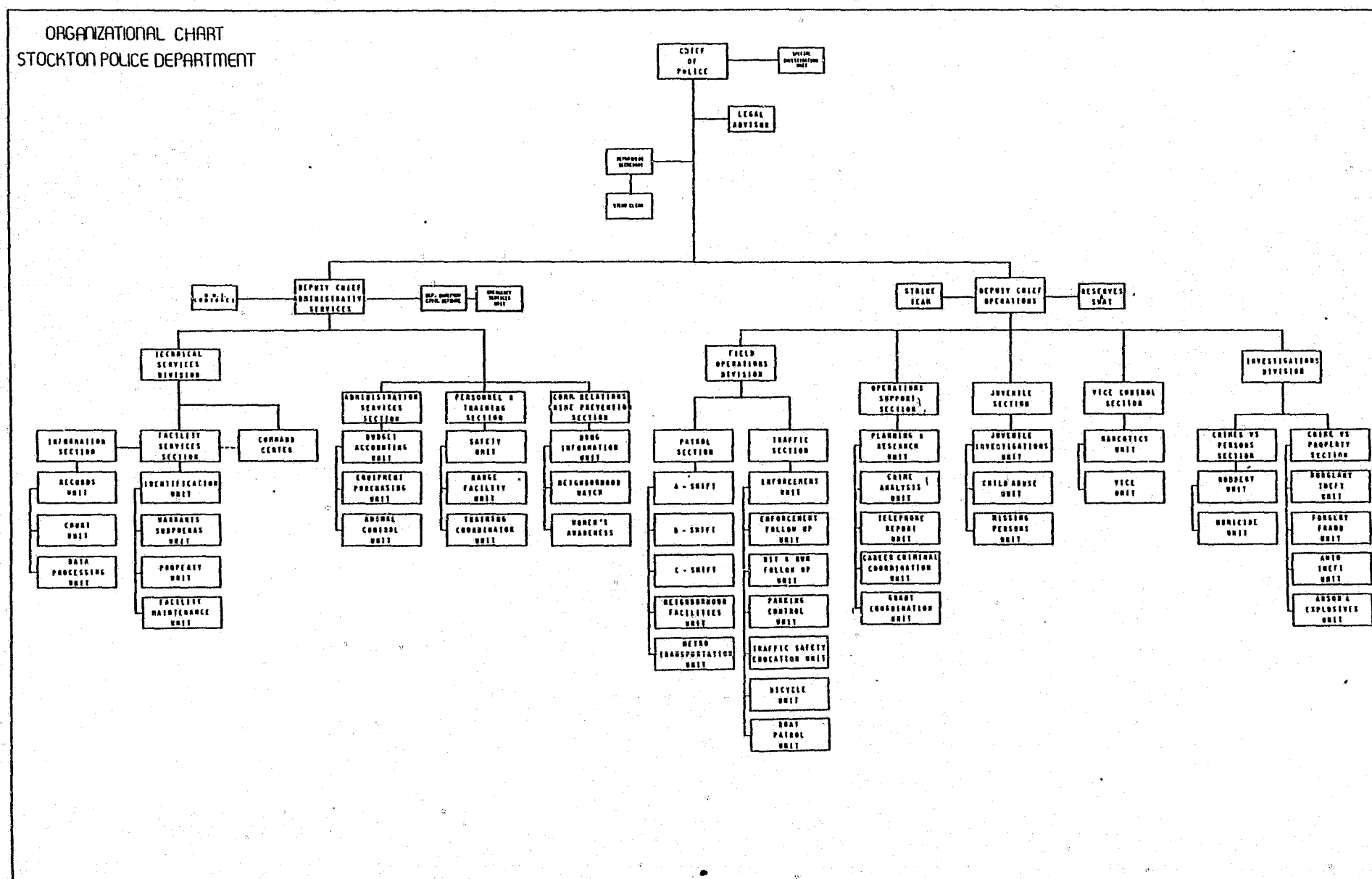
PRE-ICAP

ORGANIZATIONAL CHART
STOCKTON POLICE DEPARTMENT



APPENDIX A

POST-ICAP



APPENDIX B
ICAP Grant Applications
PHASE I

APPROACH 1 - THRUST (a)

I. NARRATIVE OVERVIEW: ESTABLISH A JOINT POLICE/PROSECUTOR CAREER CRIMINAL PROGRAM

If Stockton's ICAP program is to be successful in ridding the community of career criminals, those career criminals which are apprehended through the efforts of the Stockton Police Department must be successfully prosecuted and sentenced to long jail terms. In order to accomplish this goal, it will be necessary that the police join with the prosecutor's office in a combined effort against the career criminal. The successful integration of Stockton's ICAP program with the San Joaquin County District Attorney's Office's Career-Criminal Program will go a long way towards achieving this objective.

II. OBJECTIVES

- A. Increase the number of cases jointly prepared by police and prosecutor in order to improve the chances of successful prosecution of career criminals.
- B. Development of a criteria to identify career criminals from among those arrested or identified as offenders.
- C. Develop a team approach between police and prosecutors to follow up cases through to sentencing of career criminal.

APPROACH 1 - THRUST (b)

I. NARRATIVE OVERVIEW: Career Criminal Program Systems Development

In order to function properly, the police/prosecutor Career Criminal Program must develop mechanisms to identify career criminals coming into the system. A career criminal tracking system for identifying and accounting for career criminals includes the development of feedback systems in order to maintain dispositions on career criminal cases.

II. OBJECTIVES

- A. Identification of the career criminal among those arrested or identified as offenders.
- B. Improve the quality and quantity of information on known career criminals.
- C. Increase the amount of feedback on case dispositions.

APPROACH 1 - THRUST (c)

I. NARRATIVE OVERVIEW: The Police/Prosecutor Career Criminal Program

When all the preparatory work is completed, the police/prosecutor Career Criminal Program will be implemented. This implementation will include a career criminal warrants system to insure that as many career criminals stand trial as possible.

II. OBJECTIVES

- A. To increase the rate of convictions for cases prosecuted.
- B. To increase the number of offenses for which individual career criminals are convicted.
- C. To increase the amount of information available on wanted career criminals.
- D. To increase the number of career criminals removed from the community.

APPROACH 2 - THRUST (a)

I. NARRATIVE OVERVIEW: Departmental Reorganization

The proper placement of the ICAP program within the police organization can be one of the key elements in determining whether or not ICAP will be successful. In view of this fact, the ICAP program has been placed under the Deputy Chief of Operations. The Project Manager will deal directly with the Deputy Chief of Operations with regard to the daily activities of the ICAP project. It is our belief that this will facilitate communications between ICAP and Field Operations personnel.

A new section will be formed to be known as the Operations Support Section (OSS). Exhibit B shows the relationship of the Operations Support Section with other operations/functions within the department. The actual working units within OSS are shown in Exhibit C.

Another important consideration was in determining a physical location for the ICAP project personnel. It was felt that the ICAP project should be located in a place easily accessible by patrol and other operations personnel. Unfortunately, locations in and around the roll call room were not available. Therefore, the project personnel were placed in a location near the elevator in the police facility. It was felt that this location would be the next best place for the ICAP project.

II. OBJECTIVES

- A. The proper placement of ICAP within the police organization to facilitate communications between ICAP and patrol personnel.
- B. To physically locate the ICAP project where it is easily accessible by operations personnel.

APPROACH 2 - THRUST (b)

I. NARRATIVE OVERVIEW: Steering Committee

If ICAP is to serve as the resource for the Field Operations Division, it is very important that the products which ICAP produces are accepted and used by patrol personnel. In order to accomplish this goal, we will utilize a steering committee concept as a means of communicating and discussing ideas with field personnel. At present, we have a group of officers who serve as Field Training Officers (F.T.O.'s). These Field Training Officers are senior officers who train new recruits in the basics of patrol operations. This group of Field Training Officers meets on a regular basis to discuss training problems. Under the ICAP program, this group of Field Training Officers will be utilized as an ICAP steering committee.

II. OBJECTIVES

- A. To provide patrol officer input on information and other ideas developed under ICAP.
- B. To keep the Patrol Section abreast of the progress of ICAP through regular meetings with patrol officers.

APPROACH 2 - THRUST (c)

I. NARRATIVE OVERVIEW: Crime Analysis

The police department currently collects a myriad of information in the form of crime reports, daily officers' reports, and intelligence information. Because of the sheer volume of reporting that is done from various sources, it has been difficult to correlate crime information for the purposes of analyzing crime data for analysis purposes.

Under ICAP, the police department will establish a crime analysis function within the police department to gather, analyze, and disseminate crime analysis data to assist Field Operations and Investigations staffs in identifying and apprehending perpetrators of crime, especially career criminals.

II. OBJECTIVES

- A. To increase the police department's analytical capabilities, including the hiring of a full-time Crime Analyst to develop a crime analysis system.
- B. To develop a systematic way of looking at crime information.
- C. To gather, analyze, and disseminate the information on the career criminal to patrol and investigations personnel.
- D. To develop report formats which will provide information useful for the apprehension and prosecution of career criminals.

APPROACH 2 - THRUST (c)

II. OBJECTIVES (cont'd)

- E. To provide crime pattern information for strategic, operational and tactical planning purposes.

APPROACH 2 - THRUST (d)

I. NARRATIVE OVERVIEW: Intelligence Coordinator

The police department is currently made up of a number of specialized divisions and units with specific assigned areas of responsibility: i.e., narcotics, intelligence, investigations, patrol, etc. Because of the great number of specialized units within the police department, it is difficult to coordinate information on a specific crime or series of crimes. The ICAP grant will provide an intelligence coordination function to assist in gathering, analyzing, and disseminating information about crime incidence and persons involved in crime. This will include the development of a career criminal file which will be used in conjunction with the Career Criminal Program currently being sought by the San Joaquin District Attorney's Office.

The Intelligence Coordinator will maintain liaison with the various functioning units within the police department and outside agencies, including Parole, Probation, CYA, and other police departments in the county. The intelligence gathered by the Intelligence Coordinator will be kept on file and disseminated through a daily countywide confidential bulletin. Agencies throughout the county will be encouraged to submit articles for the bulletins for the purposes of coordinating intelligence throughout the county. (Up-to-date want/warrant information will be included as part of this intelligence information.) Patrol personnel will receive this bulletin before their tours of duty.

In addition to activities related to the development of intelligence for patrol, the Intelligence Coordinator will also develop other aids to assist patrol in doing a better job.

II. OBJECTIVES

- A. Increase the amount of information available to patrol personnel on career criminals through the development of an intelligence coordination function.
- B. To develop and implement various ways of disseminating intelligence information on career criminals and their activities both inside and outside the police department.
- C. To develop a resource person within ICAP for patrol.
- D. Increase the number of warrant arrests, especially of career criminals.

APPROACH 2 - THRUST (c)

I. NARRATIVE OVERVIEW: Generalist Officer Concept

Under current conditions, the crime fighting role of patrol officers is limited to making initial contacts with crime victims and preparing a basic crime report form. In most cases, investigation of the crime is delegated to detectives. Under ICAP, the role of patrol officers will be expanded and directed towards a more active role in crime case follow up. There are three basic reasons for this move: (1) The patrol officer is usually the first at the scene of a crime and is in the best position to make an arrest or question witnesses; (2) Information secured by the patrol officer most often leads to the arrest of the perpetrator of the crime; and, (3) Patrol force represents a large manpower block (usually 60 to 75% of all sworn officers.) By focusing the attention of this large group of officers on increased follow up of crimes, we should make more and better arrests which will hopefully lead to the incarceration of many career criminals.

II. OBJECTIVES

- A. Increase and expand the role of field officers in crime-related activities.
- B. Increase the number of investigations and arrests made by patrol officers.
- C. Increase the number of successful case clearances.
- D. Enrich the patrol officers' job and direct it more towards law enforcement activities.
- E. Increase the number of "good" arrests made by officers.

APPROACH 2 - THRUST (f)

I. NARRATIVE OVERVIEW: Patrol Assistance Program

In order to develop the generalist officer concept, it will be necessary to free officers' time from minor crime and non-crime related calls for services. This will enable officers to do more intense investigations on career criminal type incidents.

II. OBJECTIVES

- A. To free up officer time to conduct more intensive preliminary investigations.
- B. Find alternative means of handling minor complaints and problems through the use of civilians and paraprofessionals.

APPROACH 3 - THRUST (a)

I. NARRATIVE OVERVIEW: Report Recording System for Investigations

As a result of rising crime and the lack of time for patrol to do intensive preliminary investigations, the police department has had to depend more upon the Investigations Division to do routine follow ups. This has caused a backlogging of cases for the detective follow up. The ICAP program hopes to increase the amount of field officer time in conducting preliminary investigations, thereby freeing up more detective time to do intensive case follow up on major cases. At the same time, ICAP will study the possibility of implementing a report recording system. This will be a big factor in reducing the amount of report writing and clerical functions that detectives must do under the current system.

II. OBJECTIVES

- A. To find more efficient ways of handling the clerical duties of detectives.
- B. To provide more time for detectives to conduct intensive investigations on serious cases.

APPROACH 3 - THRUST (b)

I. NARRATIVE OVERVIEW: Investigative Systems Upgrade

The implementation of the generalist officer concept within the police department will have a definite effect on other units within the police department, especially the Investigations Division. A study will be conducted to determine the effect the ICAP program will have on the investigative function. In addition, the study will attempt to identify ways of improving the effectiveness and efficiency of the investigative function. This study will include a look at: (1) Case screening; (2) Management of continuing investigations; (3) Police/prosecutor relationships; (4) Monitoring of the investigations system; and, (5) Police agency organization and allocation decisions.*

II. OBJECTIVES

- A. To study the effect ICAP will have on the investigative function within the police department.
- B. To document the existing investigative system.
- C. To study other investigative systems and to document those systems for the purpose of technology transfer.
- D. Prepare a report on findings and recommendations with regard to investigative systems upgrades.

*See example of case management model in Appendix AA.

APPROACH 4 - THRUST (a)

I. NARRATIVE OVERVIEW: Comprehensive Community Assessment

Patrol officers in Stockton face a problem of serving a rapidly growing community. This rapid growth has restricted the development of close community-police relationships. In addition, the apparent psychological distance between officers and the public they serve has impeded effective communications. A survey of the community attitude toward the Stockton Police agency illustrated a change for the worse between 1972-1974. To compound this problem, the areas that showed the most decline in supportive attitude have also been the geographic areas that have shown the greatest growth in population. (The number of housing units has increased 1052 in three years in these areas.)

At this time, the Stockton Police Department has little information on the psychological and attitudinal make-up of the numerous subsections within the City. There is a critical need to develop a community profile of attitude, behavior, and demography, and pass this information on to the patrol officers. Lastly, there is a need for training and professional development. The focus of the training will be to increase communication skills and knowledge of the community.

II. OBJECTIVES

- A. To provide a comprehensive written documentation of the current community attitude toward the Stockton Police Department.
- B. To provide a comprehensive written documentation of the current demography and criminal activity associated with the City of Stockton.
- C. To illustrate quantifiable increase in patrol persons' knowledge of the community.
- D. To reduce the number of citizen complaints concerning police persons' behavior.

APPROACH 4 - THRUST (b)

I. NARRATIVE OVERVIEW: Training Part 1: Preliminary Interviewing Techniques

Increasing apprehensions through improving the interrogation skills of patrol officers and investigators requires training in interviewing skills, recall and memory processes, and establishment of rapport with witnesses, informers, and victims. Research illustrates that information gathered during the preliminary investigation is most likely to lead to apprehension. As citizen recall sharply declines with time after the crime, initial interviewing skills are critical to apprehension.

To compound the problem, the clearance rates of crime in Stockton have dropped significantly since 1974. An example of this problem is the 1974 burglary clearance rate of 13.92 compared to the last quarter of 1976 burglary clearance rate of 62. There is a clear need to improve the investigative and information-gathering skills of patrol officers. The focus

APPROACH 4 - THRUST (b)

I. NARRATIVE OVERVIEW: Training Part 1: Preliminary Interviewing Techniques (cont'd)

of the training will be to provide group and individual instruction on maximizing recall in witnesses and improving the initial investigation skills of police officers.

II. OBJECTIVES

- A. To increase patrol officers' knowledge of the memory and recall processes.
- B. To improve interpersonal communication between patrol officers and community residents.
- C. To increase the quality and quantity of information gathered during preliminary investigations.

APPROACH 4 - THRUST (c)

I. NARRATIVE OVERVIEW: Training Part 2: Generalist Officer Concept

Officers in Stockton currently respond to thousands of calls each year that involve minor citizen complaints and civil disturbances. The department has recently prioritized its calls for services due to the need for more investigation of serious criminal activity. According to the F.B.I. Annual Report, Stockton experienced a 92 increase in serious crimes during 1976 even though there was a nationwide decrease in serious crimes during the same timeframe.

The ICAP program will assist the departmental effort in increasing the amount and quality of investigative time given in the research of serious criminal activity by providing training to officers concerning their role change to a generalist officer. The generalist officers will spend more time than they presently do in the preliminary investigation stage. The transition from the current officer function to the generalist officer function requires the training and expertise provided in Thrust (c).

II. OBJECTIVES

- A. To document the discrepancy between the current patrol practices and the generalist officer concept.
- B. To increase knowledge of the generalist officer concept by providing training to patrol officers.

APPROACH 4 - THRUST (d)

I. NARRATIVE OVERVIEW: Training Part 3: Crime Analysis Techniques

Stockton has developed an extensive management information system but lacks the personnel to organize routine crime analysis reports for patrol officers. Approach 1 provides the expertise for such crime analysis. Officers operating under the new role as generalist police officers will need to understand how to use the routine information provided by the crime analysis team. The ICAP program will greatly improve patrol officers' knowledge of crime analysis by providing the training of crime analysis techniques and procedures. The officers will use this knowledge during directed patrol operations and investigative activities.

II. OBJECTIVE

- A. To increase the knowledge of crime analysis techniques and procedures.

PHASE II

APPROACH 1 - THRUST (a)

I. NARRATIVE OVERVIEW: Establish a system for victim/witness management in career criminal cases

In order to insure a maximum prosecution rate, a victim/witness management system needs to be developed. Under such a system, time would be spent with victims/witnesses to orient them about the criminal justice system. Each victim/witness would be provided with documentation about the criminal justice system and the role they are going to play as prosecution witnesses.

Specific and detailed ground rules need to be established between the District Attorney's Office and the Stockton Police Department with regard to the handling of victims/witnesses. These ground rules will be established in order to avoid confusion with regard to contacting witnesses, transporting witnesses, and advising witnesses with regard to testimony. A liaison from the police department will be working with the District Attorney's Office on a regular basis in order to troubleshoot any problems with regard to victim/witness management.

II. OBJECTIVES

- A. Increase and maximize the effectiveness of citizen testimony in career criminal cases.
- B. Provide a means of managing citizen participation in the criminal justice system.
- C. Significantly increase the number of successful prosecutions of career criminals.

APPROACH 1 - THRUST (b)

I. NARRATIVE OVERVIEW: Establish procedures to provide police input to plea negotiation and sentencing of career criminals

The subject of plea bargaining has always been the source of problems between the police department and the District Attorney's Office. Under the Comprehensive Career Criminal Program, more police input into plea negotiation and sentencing of career criminals will be established. This will provide an opportunity for police officers to see the problems encountered by prosecutors in preparing a case for trial. Officers will be provided an opportunity to see weaknesses in the case which require either plea negotiation or further investigation. This should provide feedback to officers on how to develop better investigative procedures to insure strong cases for trial.

Officer input can also be important during the sentencing of individuals who have been successfully prosecuted. Officers have insights into individuals which can be relayed to prosecution staff before sentencing. This information could well determine the length of time the person is sent to prison.

APPROACH 1 - THRUST (b)

II. OBJECTIVES

- A. To provide more police input into plea negotiation and sentencing of career criminals.
- B. Assist in building better cases against career criminals.
- C. Provide a feedback mechanism to police officers in case development.
- D. Increase the prison terms for those successfully prosecuted under the Comprehensive Career Criminal Program.

APPROACH 1 - THRUST (c)

I. NARRATIVE OVERVIEW: Establish procedures for information feedback to police on case dispositions and the reasons for rejection, charge reductions, or dismissal in career criminal cases

One of the most important aspects of the Comprehensive Career Criminal Program is the sharing of information between the District Attorney's Office and the police department. Currently, many problems arise as a result of the lack of communication between the people who are developing cases on the streets and the people are preparing cases for trial. Under the Comprehensive Career Criminal Program being developed by the Stockton Police Department and the San Joaquin County District Attorney's Office, feedback mechanisms will be developed to increase the interaction between the two agencies on case development. This will provide a means of working out problems between the two agencies in preparing cases for trial. In addition, training will be given on a regular basis by representatives of the District Attorney's Office to advise officers on procedures needed to insure a strong case for trial. This type of feedback, of course, works both ways. The police department will also provide feedback to the District Attorney's Office on procedures needed with regard to officer testimony and etc. The impact of this component should be a better working relationship between the two agencies focusing on development of career criminal cases.

II. OBJECTIVES

- A. To establish a better working relationship between the District Attorney's Office and the police department in the development of career criminal cases.
- B. To increase the feedback between the agencies on case dispositions, the reasons for case rejections, charge reductions, or dismissals in career criminal cases.
- C. To provide regular training by deputy D.A.s to assist officers in building stronger cases.
- D. To provide feedback to the District Attorney's Office on improving procedures with regard to criminal cases in which officers must testify.

APPROACH 2 - THRUST (a)

I. NARRATIVE OVERVIEW: Crime Analysis

In the first year of Stockton's ICAP Project, crime data was collected, collated, and stored in four manual criminal information files. These are: method of operation file; suspect/vehicle description file, known offender file, and field interview file. This data became the basis of the crime specific trend and pattern analyses prepared by the Crime Analyst. Approximately 4,000 robberies, rapes and burglaries will occur in Stockton in 1978. Examination of these crimes yields a tremendous amount of data susceptible to crime analysis. Effective management, analysis, and interpretation of this data is inhibited by a manual crime analysis system. The most effective means to achieve the basic goals of crime analysis and meet the crucial system requirement of information dissemination timeliness is a semi-automated Crime Analysis System.

During the second year of Stockton's ICAP Project, the crime analysis system will be transformed to a semi-automated mode that utilizes the existing police department computer. The four criminal information files will be entered into the computer to facilitate the rapid retrieval of information and minimize the amount of time expended on file maintenance by the Crime Analyst. Automation will permit the Crime Analyst to dedicate more time to crime trend and crime pattern analyses.

II. OBJECTIVES

- A. To increase the Crime Analysis Unit's effectiveness by developing a computer capability to assist the crime analyst in data collation and file searches.
- B. To develop system specifications for a semi-automated crime analysis system.
- C. To transform the manual crime analysis files into automated files.
- D. To provide crime trend and pattern information to facilitate strategic and tactical planning.

APPROACH 2 - THRUST (b)

I. NARRATIVE OVERVIEW: Systematic Identification of Career Criminals

In the first year of Stockton's ICAP project, a Career Criminal Coordination Unit was formed. One of the main objectives of the Career Criminal Coordination Unit was to establish a Career Criminal file containing information on local Career Criminals. A file containing the names of some one hundred plus individuals known to be active criminals in the community was developed.

During the second year of Stockton's ICAP project, the Career Criminal Coordination Unit will develop an offender release/notice procedure to assist Operations Divisions in keeping abreast of Career Criminals who

APPROACH 2 - THRUST (b)

I. NARRATIVE OVERVIEW: Systematic Identification of Career Criminals (cont'd)

have been released from penal institutions and are back in the community. This will require cooperation of County Jail personnel, Probation, and Parole Officers in informing the Career Criminal Coordination Unit (CCCU) when such Career Criminals are returning to Stockton. Once the CCCU receives information regarding the release of Career Criminals, these individuals' known addresses will be plotted on a City map located in the CCCU office. Information will be added to Career Criminal file system and will also be disseminated to Operations personnel. One of the forms in which it will be disseminated is the Career Criminal "Mug Book" (see Appendix W, Approach #3, Project Thrust b for additional information on "Mug Book").

II. OBJECTIVES

- A. To develop an offender release/notice procedure to keep abreast of individuals coming back into the community from penal institutions.
- B. Implement a means of maintaining information on people on parole or probation in the community.
- C. To develop a means to enable field officers to more easily identify Career Criminals in the community.

APPROACH 3 - THRUST (a)

I. NARRATIVE OVERVIEW: Strike Team

Although the majority of activities under Stockton's ICAP Project will be handled by regular beat officers, there are situations where extended stake-outs and surveillance duties will require special units. The City Council has authorized the hiring of six officers and a sergeant to work directly for ICAP as a special strike team. In order to avoid setting up an elitist unit, it was decided to place the strike team in the "power shift" which was established in the first year of Stockton's ICAP. Men will be selected routinely from this power shift to work on extended stake-outs, special area patrols and other apprehension/surveillance duties. This will avoid utilizing the same men for ICAP missions.

II. OBJECTIVES

- A. To provide additional manpower for extended surveillance, area patrols, and surveillance/apprehension activities.
- B. To provide ICAP with a law enforcement "punch" to work with ICAP on a regular basis.
- C. To increase apprehension of career criminals.

APPROACH 3 - THRUST (b)

I. NARRATIVE OVERVIEW: Monitoring Career Criminals

In order to provide field officers with a means of monitoring local Career Criminals, during the second year of the ICAP project a Career Criminal "Mug Book" will be developed. Timely and accurate information received by the Career Criminal Coordination Unit concerning the 100-plus designated Career Criminals will be incorporated into the "Mug Book." It is envisioned that it will be a small, convenient-to-carry book containing each Career Criminal's name, photograph, and physical description. The Mug Book will be printed and distributed to Field Operations personnel so that they may familiarize themselves with local Career Criminals.

It is hoped that "Mug Book" will greatly assist Patrol and Detective Division personnel in monitoring the activities of Career Criminals and should increase apprehensions and identification of Career Criminals.

II. OBJECTIVES

- A. To develop and implement procedures for quickly identifying Career Criminals or suspects during field interrogation or arrest processing.
- B. To evaluate the impact of such methodologies in the tracking of Career Criminals in the community.

APPROACH 3 - THRUST (c)

I. NARRATIVE OVERVIEW: Apprehension Tactics

In the second year of Stockton's ICAP Project, a special strike team has been provided to ICAP to handle special missions. Apprehension will be one of the main objectives of this strike team. We will be looking at several apprehension tactics utilized in other cities for possible application in Stockton. These will include such things as decoy operations, anti-fencing operations, and etc.

II. OBJECTIVES

- A. To provide innovative ways to apprehend career criminals and others suspect of crimes in the community.
- B. To increase the number of apprehensions made in cases where these innovative techniques can be used.
- C. To increase the number of prosecutions of those involved in making their living from crime.

APPROACH 4 - THRUST (a)

I. NARRATIVE OVERVIEW: Training Part 3, Field Evidence Collection Techniques

When Stockton Patrol Officers move to the generalist officer mode of functioning, it will be important that field evidence collection and preservation training be conducted. As patrol officers presently have little knowledge in field evidence collection and preservation it will be necessary to provide training in this area. Many cases are currently lost in subsequent court proceedings due to poorly collected or preserved evidence. It is hoped that the ICAP training related to preservation and collection of field evidence will improve the quality of criminal investigations and increase case clearance rates.

II. OBJECTIVES

- A. To increase patrol officers knowledge of field evidence collection techniques.
- B. To increase field officers knowledge of preservation of field evidence.
- C. To increase the quality of criminal investigations and increase clearance rates.

APPROACH 4 - THRUST (b)

I. NARRATIVE OVERVIEW: Investigative Hypnosis and Stress Management Consultation

During the first year of ICAP operation, investigative hypnosis was used as a tool to increase recall in victims and witnesses to crime. There is a need to provide professional assistance to continue the use of investigative hypnosis in increasing recall of crime related facts in victims and witnesses of crime. In many cases, victims and witnesses of crimes can not recall vital information due to the stress and anxiety related to the event or because they have "poor" memory, short attention span, etc. Investigative hypnosis has proven its worth in police environments. A study conducted by Dr. Martin Reiser and Dr. Ann Saxe of the L.A. Police Department illustrated additional information was obtained through the use of investigative hypnosis in 80% of the cases where victim or witness recall was impaired. Numerous other studies illustrate similar success and many police personnel now use this tool to break previously unsolvable crimes.

Stress management training was presented during the first year of ICAP operations. The focus of this training was to illustrate and identify sources of stress common in police work and demonstrate effective ways to manage on-the-job stress. Patrol officers were encouraged to use the professional services of the Police Psychologist to continue individualized training in job related stress management. Studies in industrial psychology have illustrated that employee productivity diminishes as chronic stress and anxiety becomes uncontrollable by the individual employee. In addition, medical research has associated stress with essential hypertension, cardiac failure, increased cholesterol and general cardiovascular deterioration.

APPROACH 4 - THRUST (b)

I. NARRATIVE OVERVIEW: Investigative Hypnosis and Stress Management Consultation (con't)

As a result, many individuals reporting chronic hypertension associated with job related stress have received workman's compensation benefits, medical leaves of absence and disability settlements. The focus of the stress management training is to decrease the number of days lost by patrol persons as a result of job related stress and provide psychological assistance so as to increase individual productivity and develop stress management skills early in a patrolman's career.

II. OBJECTIVES

- A. To provide professional assistance during hard-to-break cases where a victim or witness's recall is impaired.
- B. To increase clearance rates associated with crimes where witnesses or victims' recall is impaired.
- C. To provide psychological stress management training to individual officers who require development of these skills.
- D. To decrease the number of patrol manhours lost as a result of poor stress management and job related stress.

APPROACH 4 - THRUST (c)

I. NARRATIVE OVERVIEW: Training Part 2, Advanced Interviewing Techniques

Increasing apprehensions through improving the interrogation skills of investigators requires training in the interviewing skills, recall and memory processes, and the establishment of rapport with witnesses, informers and victims. Research illustrates that information gathered during the preliminary investigation is most likely to lead to apprehension. As citizen recall sharply declines with time after the crime, initial interviewing skills are critical to apprehension. During Phase I of the Stockton ICAP Program patrol persons were trained on an individual basis in the area of preliminary interviewing techniques. The training was designed to provide patrol personnel with a basic understanding of the methods and techniques used to conduct effective initial interviewing. However, the Investigative Division which will be working directly with patrol persons on a regular basis did not receive interviewing skill training. During the second year of ICAP operation, 18 investigators will receive the same training in basic interviewing skills techniques plus advanced interviewing skills training. There is a clear need to improve the investigative and information gathering skills of patrol officers and investigators. The focus of the training will be to provide group and individual instruction on maximizing recall in witnesses and improving the initial investigation skills of police officers.

APPROACH 4 - THRUST (c)

II. OBJECTIVES

- A. To increase patrol officers knowledge of memory and recall processes.
- B. To improve interpersonal communication between patrol officers, investigators and community residents.
- C. To increase the quantity and quality of information gathered during preliminary and subsequent investigations.

APPROACH 4 - THRUST (d)

I. NARRATIVE OVERVIEW: Training Part I, Management by Objective for Investigators

During the first year of the ICAP Program, training was provided to patrol officers that was aimed at assisting the departmental effort in increasing the amount and quality of investigative time given in the research of serious criminal activity. The training during the first year of ICAP was oriented toward training patrol officers to become better investigative generalist officers. The generalist officers will spend more time than they presently do in the preliminary investigation stage. The transition from the current officer function to the generalist officer function required a careful examination of how the Patrol Division will impact the Investigative Division. It is believed, that implementation of ICAP and the generalist officer concept will free investigators to concentrate on more difficult, serious, challenging investigations that require the skill and expertise of an investigator. The training of the Investigative Division will involve the specifics of generalist officer operation, utilization of directed patrol procedures, establishment of quantitative goals and objectives and the methodology involved in evaluation of objectives. The training will be undertaken in two eight-hour training blocks in a retreat setting away from the downtown police facility. A major purpose of the investigative staff training will be to increase staff cohesiveness and improve group problem-solving skills.

II. OBJECTIVES

- A. To increase the knowledge of ICAP objectives and the impact ICAP will have on the investigative function by providing training to investigators.
- B. To increase staff cohesiveness and improve group problem-solving skills by providing training to investigators.

APPROACH 5 - THRUST (a)

I. NARRATIVE OVERVIEW: Implementation of a Report Recording System for Investigations

During the second ICAP grant year, we will implement a recording/transcribing report system for the Investigations Division. Project staff during the first grant year studied reporting and word processing systems suitable for the generation of police reports. Our research findings lead us to conclude that a recording/transcribing reporting system will create efficiencies over the present system of having each investigator type his own reports on a manual typewriter. We studied recording/transcribing systems for both the generation of initial crime reports by patrol officers and for reporting of follow-up investigations conducted by criminal investigative units. We have concluded that recording/transcribing suffers from major deficiencies when used in the generation of initial crime reports by patrol officers. These deficiencies include difficulties in maintaining adequate staffing levels in a transcribing unit needed to expeditiously generate initial crime reports for referral to investigative units for follow-up and District Attorney's Office for proper charging of arrestees within the required time frame. A recording/transcribing system for investigative units was found to be feasible because of the smaller number of users with lesser percentage of reports requiring immediate transcription for factors beyond the control of the department (initial crime reports generated by patrol officers normally have the minimum number of elements required for the initial charging of arrestees, however, reports generated by the Investigative Division requiring an immediate completed report may still have to be typed by the respective Investigator).

With a report/transcribing unit, we will also implement procedural changes within the Investigative Division. These changes are directed at increasing and enhancing criminal apprehensions and prosecutions through the preparation of investigative reports which are more comprehensive and better organized, producing a final product that, in every respect, is an improvement in its clarity, content, and organization. Examples of this include the preparation by investigators, (when indicated), of a prosecutor's case summary (see below). This report will be submitted to the District Attorney's Office after an initial complaint has been issued but sufficiently in advance of preliminary hearings and criminal trials. The investigator will take the initial crime report and all subsequent follow-up reports, bring them together in one document which will be dictated and transcribed specifically for the use of the District Attorney's Office.

The Report Transcribing Unit will also assist investigators in establishing and maintaining contact and communications with witnesses and victims of crimes. Victims will be advised through the use of forms that their report of crime has been assigned to a certain investigator for active follow-up and in instances where follow-up investigation is not deemed necessary, victims will be advised of this determination. (See attached examples of forms). Investigators will also have a secretarial resource for the notification of victims/witnesses/reporting parties/suspects through the use of a form that they are being requested to contact an investigator for an interview/questioning. The Report Transcribing Unit will also produce specific individualized correspondence as directed by investigative personnel.

CONTINUED

2 OF 3

APPROACH 5 - THRUST (a)

I. NARRATIVE OVERVIEW: Implementation of a Report Recording System for Investigations (cont'd)

It was the project staff's observations that many hours of investigative time was fruitlessly spent in attempts to contact victims/witnesses/suspects at a specific address only to find repeatedly that they were not home at the hours contacted.

Another procedural change that the Report Transcribing Unit will assist investigative personnel in performing is the sending of victim/witness status letters. Project staff observed, through a review of literature published on the investigative function (RAND, SRI, etc.), and observations of Stockton Police Department Investigative Division personnel, that while an investigation is in progress, constant contact and advisement of victims and witnesses are made concerning the status of the investigation. But when a suspect is apprehended and the case referred to the District Attorney's Office for prosecution, communications between the police department and the victim/witness is often suspended until the case is brought to trial and a contact is required to serve a subpoena. It is not unusual for a time lapse of three to six months to occur between the arrest of a suspect and the trial. During this time victims/witnesses may move to another location in Stockton or leave the area entirely. When this happens, investigative personnel are faced with opening a second investigation to locate and serve subpoenas on victims/witnesses. This, of course, is a drain on investigative time and project staff believes that the better and more formal advisement of the victims/witnesses of the procedures and time lapse required to bring a suspect to trial with the request that the police department be notified of any change of address or telephone number will decrease this problem. (A police officer is assigned to subpoena service and works out of the Records Section but where the victim/witness can not be reached at the address listed in the crime report, the matter is referred to the Investigations Division.)

II. OBJECTIVES

- A. Establish a user manual with written procedures for the operation of the Report Transcribing Unit (RTU).
- B. Improve the clarity, content and organization of police reports generated by investigative personnel.
- C. Relieve Investigative personnel of burdensome but necessary clerical chores through written advisements to victim(s), witness(es) and reporting parties.

APPROACH 5 - THRUST (b)

I. NARRATIVE OVERVIEW: Investigative Systems Upgrade

During the first months of the Investigative Systems Upgrade study, the following research steps were taken: 1) Onsite visit to Santa Monica Police Department to observe their LEAA funded field test of the Managing

APPROACH 5 - THRUST (b)

1. NARRATIVE OVERVIEW: Investigative Systems Upgrade (cont'd)

Criminal Investigations Concepts, 2) Attended NILECJ course on Managing Criminal Investigations, and 3) Conducted a comprehensive search and review of the literature available on the investigation function. Our research has lead us to conclude that the HCL concepts field tested by Santa Monica Police Department have application to the specific needs and conditions of Stockton. However, as these concepts do not involve the incremental change or reorganization of the Investigations Division but rather the transfer of a total technology, implementation is the most important step. Such massive implementation can not result from a planning process conducted by staff personnel, but must involve the inputs and considerations of the systems users--Investigative Sergeants and divisional commanders. A staff planning process that identifies deficiencies and recommends improvements is inappropriate. A structured participatory management process involving the establishment of an implementation committee with a set agenda is recommended for the implementation of the HCL concepts listed below:

Improvement of the initial investigation -- The crime report form has been restructured and increased emphasis has been placed on obtaining specific information. Boxes with forced choice responses have been provided for officers to check and a guide has been developed for patrol officers to use when obtaining the information from victims and witnesses and filling out the boxes and completing the narrative portion of the crime report. The taking of an initial crime report is a deductive process where the officer works backwards from the manifested evidence that a crime has been committed to the identification of the perpetrator. The investigation process is dependent upon the uncovering, and unraveling of the events leading up to the commission of the crime. All information that might lead to the identification of the suspect must be thoroughly and accurately reported so the investigation can be successfully concluded. A report review process will be implemented which will stress proactive guidance and instruction of patrol officers in the proper gathering of information and the proper reporting within the format of the crime report. Corrective action will be initiated when crime reports are found to be deficient or lacking in attainable elements of information. Both these proactive and corrective actions are the functions of first line supervision. Report review will be a function of the patrol sergeants assisted by the Watch Commanders. During the first year of the ICAP Program, all patrol officers were given specialized training in crime analysis, generalist officer (the expanded role and increased responsibility of the patrol officer) and interviewing/interrogation techniques (refer to appendix Y).

Case Screening -- The Watch Commanders and their relief as part of their middle-managerial responsibility of controlling and directing the activities of subordinates will review completed crime reports as an adjunct to the report review process. Crime reports will be screened using unweighted criteria to determine which cases based on the information presented in the body of the report justify follow-

APPROACH 5 - THRUST (b)

I. NARRATIVE OVERVIEW: Investigative Systems Upgrade (cont'd)

Case Screening (cont'd)

up investigative activity by the Investigations Division. Crime Reports which either for their 1) serious injury to the victim, potential for repeat offenses and/or danger to society or 2) where it can be affirmatively answered that there is sufficient reason to believe that the crime may be solved with a reasonable amount of investigative effort, will be referred for follow-up investigation. Crime reports with insufficient information to make a case screening determination will immediately be flagged and referred back to the officer to gather further information so an intelligent decision concerning the decision to investigate can be made. Specific criteria for case screening and other case screening procedures will be established by the Investigations Upgrade Steering Committee.

Follow-up Investigative Procedures and Controls -- Specific guidelines and procedures will be established for the conduct of investigations. Reporting time frames will be established along with improved procedures for the documentation of investigative steps and efforts. Emphasis will be placed on the conduct of investigations through management by objectives. The Steering Committee will formulate a comprehensive implementation plan of specific procedures and reporting requirements. H.B.O. will be instituted as part of a training package for investigative personnel to be conducted by training and evaluation component of the ICAP grant. (Refer to Appendix Y)

Improved Police Prosecutor Relations -- The Steering Committee will evaluate the current methods of police/prosecutor relations to see that these are consistent with career criminal coordination procedures and that maximum benefit is being made of prosecutor resources.

Monitoring and Managing Information Systems -- Once the investigative upgrades are in place and have been through an initial shake-down period, a monitoring and management information system will be designed and implemented to provide quantitative data on: 1) Case clearances by category and degree of investigative effort, 2) case processing within follow-up and reporting periods, and 3) case log providing the information concerning the expenditure of investigative time. Monitoring information will provide department management and Investigative Division supervisors with important information concerning the results of the investigative function, adherence to follow-up reporting and time frame requirements and the allocation of divisional resources concerning emphasis and direction of investigative effort.

The design and implementation of investigative upgrades must be a joint undertaking of investigative personnel and patrol commanders. Project staff will assist in providing the structure for the design and implementation process. The working procedures of the investigative upgrades will be developed using a structured approach to problem solving. The types of improvements to be made have been identified. There is little debate as to the appropriateness

APPROACH 5 - THRUST (b)

I. NARRATIVE OVERVIEW: Investigative Systems Upgrade (cont'd)

or the need of improving the investigative function. The problem is now to implement a system that will serve the needs and desires of management to have an effective and well functioning investigative division which is result oriented and at the same time, maximizes the efforts of those who are working in the unit. Planning and implementation will proceed with input at all levels. A committee structure was decided upon as it provides the best vehicle for structuring this process. Project staff will provide support for the committee and will generate the written procedures and documents to implement the changes and upgrades which were structured during the initial study phase.

II. OBJECTIVES

A. Implement investigative upgrades:

1. Improved Initial Investigations through Report Review
2. Case Screening
3. Follow-up Procedures
4. Improved Police/Prosecutor Relations
5. Monitoring and Management Information Systems

B. The structuring of an implementation process that thoroughly considers the needs and requirements of the users of the system as well as management considerations concerning the direction and emphasis of criminal investigations.

C. The adaptation of nationally tested and proven management principles for the conduct of criminal investigations to specialized local conditions such as the rate and particular variety of crime experienced in Stockton, the organizational structure and constraints of the department, and the substantial maintenance of traditional service levels which the community has come to expect of the police department.

D. Provide monitoring and management information systems for documenting and measuring the effectiveness of criminal investigation function.

PHASE I: I

APPROACH 2 - THRUST (a)

I. NARRATIVE OVERVIEW: Enhancing patrol's role in conducting preliminary investigations

As shown in several recent studies of the investigative process, the preliminary investigation conducted by patrol officers in the field has proven to be most valuable in the eventual solution of cases. Because the patrol officer is at the scene of the crime first, he has access to witnesses, evidence, and other important facts which can be used in determining the perpetrator of a crime. However, due to increased workloads and the tendency for organizations to limit the scope of the investigation done by patrol officers in the field, there has been a trend towards limiting the patrol officer's role in preliminary investigations to doing a minimal amount of paperwork which must later be followed up by investigators.

During the second year of Stockton's ICAP project, we began looking at the investigative process and developing a more enhanced role for patrol officers in doing preliminary investigations. It is our belief that such a system will result in better investigations in the field. Also, much of the redundant work done by investigators doing routine follow-up work will be eliminated. This time can be diverted towards cases which by their nature require more follow-up activities.

II. OBJECTIVES

- A. To enhance the role of patrol officers in conducting preliminary investigations, thereby enriching his job responsibilities.
- B. To provide a systematic way of gathering information in the field during the critical hours after a crime has been committed.
- C. To free up valuable investigative time which is now spent on doing routine follow-up investigations on cases which were originally handled in patrol.
- D. To make better use of unstructured patrol time.

APPROACH 2 - THRUST (b)

I. NARRATIVE OVERVIEW: Provide computer assisted investigative tools for patrol

In order to provide patrol with the tools necessary to complete investigations in the field, it will be necessary to provide patrol officers with a means of accessing information systems currently available through such networks as CLETS, NCIC, and NLETS. One of the ways of providing these information bases for patrols through mobile digital terminals which can be added to patrol units in the field. The City of Stockton has spent 1.2 million dollars on a new computer-aided dispatch system which is capable of taking these mobile terminals. These mobile terminals will not only allow patrolmen to do investigative work in the field, but will also provide a means of reducing the

APPROACH 2 - THRUST (b)

I. NARRATIVE OVERVIEW: Provide computer assisted investigative tools for patrol (cont'd)

the amount of writing being done by patrol officers in the field. The officer's daily reports which are currently being done on a daily basis by patrol officers can be completed through the use of terminals in patrol cars. The mobile digital terminals will add a significant timesaving device for officers in the field. This will free up a lot of time which can be spent in doing more complete preliminary investigations.

II. OBJECTIVES

- A. To provide information basis to patrol officers in the field that are necessary to complete preliminary investigations.
- B. To provide a means of reducing the amount of clerical time in the field by eliminating the necessity of doing officer daily reports.
- C. To fully utilize the state-of-the-art technologies available to assist patrol officers in the field in conducting preliminary investigations.

APPROACH 3 - THRUST (a)

I. NARRATIVE OVERVIEW: Developing a case tracking system

Some of the problems which are common in the Management of Criminal Investigations are:

- Inequitable case loads;
- Improper assignment of cases
- Incorrect priority decisions;
- Delay in response by investigator
- Lack of investigator continuity.

In the first year of Stockton's ICAP grant, we studied the current investigative system being utilized in our Investigative Division. It was found that once a case was assigned, almost no systematic way of accounting for these cases had been established. Also, very little was done in keeping track or accounting for investigators' time spent on specific cases. It became very difficult to determine how much time was being spent on a specific case. In addition, it was nearly impossible to determine the type of investigative activities which normally took place in handling a case. Such things as time spent in interrogating suspects, questioning witnesses, and going to court, were unavailable. The number of cases assigned to various investigators and time spent on each case was also not available. It became apparent that some system was needed to account for the time spent on cases as well as the type of activity which took place.

APPROACH 3 - THRUST (a)

II. OBJECTIVES

- A. To provide a means of accounting for investigator time spent on cases.
- B. To account for the type of activities which took place in investigating any particular case.
- C. To provide an ongoing method or system of accounting for time and activity on various cases assigned to investigators.

APPROACH 4 - THRUST (a)

I. NARRATIVE OVERVIEW: Training in the Managing Criminal Investigations System

Training is one of the most important elements in making any program a success. Training will be provided for patrol and investigative personnel as well as supervisors and command staff in the Managing Criminal Investigations system. The role of each person will be explained in detail in order to acquaint everyone with their particular role in the successful operation of the MCI system.

II. OBJECTIVES

- A. To increase patrol officers' knowledge of MCI and the role that the officer will play in making MCI a success.
- B. To acquaint investigators and supervisory personnel in MCI and the role they will play in making MCI a success in investigations.
- C. To acquaint management staff in MCI concepts and acquaint them with their role in making MCI a success in the department.

APPENDIX C

CRIME ANALYSIS PRODUCTS

Part 1

Patrol Missions

78-0003
October 24, 1978

STOCKTON POLICE DEPARTMENT
OPERATIONS SUPPORT SECTION
CRIME ANALYSIS UNIT

Crime Specific Burglary Mission

ATTACHMENT I

I. PROBLEM:

During the period September 22 to October 20, 1978, the San Joaquin County Housing Authority was the victim of ten (10) burglaries, and four (4) malicious mischief. Property loss on the burglaries totaled \$2,500. Property damage on malicious mischief totaled \$320. Please see Attachment I for crime location information.

II. M.O. INFORMATION:

The above fourteen crimes were committed at vacant residences. It should be noted that the only items stolen in the burglaries were refrigerators. The burglaries have primarily occurred on weekends, however the last occurred on a Thursday/Friday. There is no specific time element of the occurrences as they were not discovered until the Housing Authority employees check the residences. Entry is made via breaking out a window (four cases) or kicking open a door (four cases). During each weekend, the responsible took four refrigerators. The refrigerators are the size that would require either a truck or a large van. All the refrigerators are Westinghouse brand and are white in color. The serial numbers are:

(1) RUA 44941	(4) RUA 43122	(7) RTD 18982	(10) RUC 3224
(2) RUC 32055	(5) RTD 19060	(8) RTD 190203	
(3) RTD 18780	(6) RUC 32308	(9) RUA 43121	

The four malicious mischiefs involved the breaking of windows or the kicking in of doors. It appears these malicious mischiefs are related to the burglary series. It is probable the damage to the houses occurred as the responsables were affecting entrance into the residence to commit burglary. There were no refrigerators present in the residences where the malicious mischief occurred.

III. COMMENTS:

Currently this burglary series has been generally confined to vacant units in the Sierra Vista area. However, Field Operations Personnel should be aware that this problem could also occur in the Conway area. Attachment II presents a list of vacant Housing Authority Residences.

BURGLARIES:

<u>CR#</u>	<u>DATE</u>	<u>LOCATION</u>
78-17230	9/22-9/25	707 Elmira
78-17621	9/28-10/3	1614 E. 11th
78-17623	9/28-10/3	2408 Anne St.
78-17624	9/28-10/3	1644 E. 11th
78-17685	9/22-9/26	1686 E. 11th
78-17686	9/22-9/26	2516 Bellevue
78-17687	9/22-9/26	1662 E. 11th
78-17688	9/22-9/26	1668 E. 11th
78-18661	10/15-10/16	2348 Scriber
78-18798	10/19-10/20	1539 E. 11th

Malicious Mischief:

	<u>DATE</u>	<u>LOCATION</u>
78-15811	9/5-9/7	721 Glendale
78-17511	9/29-10/2	2436 S. Bellevue
78-17625	10/2-10/3	1608 E. 11th
78-17626	10/2-10/3	1662 E. 11th

78-0004
November 16, 1978

STOCKTON POLICE DEPARTMENT
OPERATIONS SUPPORT SECTION
CRIME ANALYSIS UNIT
Patrol Mission

I. PROBLEM:

During the past six weeks, an increasing number of 211 PC strong arms and purse snatches have occurred in the shopping center parking lots in the North Stockton area. Particular problem areas are Weberstown Mall, Gemco, and the College Square Shopping Center. In addition, a review of the crime history of these areas indicates the above problem increases from mid-November until January. During this period there is also a significant problem of auto burglaries in these shopping center parking lots.

II. H.O. INFORMATION:

Robberies -- The most common type of robbery is purse snatches. The majority of victims are elderly or defenseless women. There are two common methods of operations. The first is jumping the victim from behind in a parking lot and then fleeing the area on foot. However, recently there has been an increase in the frequency of suspects driving their vehicles alongside the victims and grabbing their purses. There is no specific time element for either method of operation. Robberies have occurred from 1200 hours to 2200 hours. The robberies have also occurred on each day of the week, however the activity has been greater on weekends. There are indications from both victim and witness statements that suspects loiter in parking lot areas or sidewalk areas and select their victims.

Auto Burglaries -- There is no specific time element. Auto burglaries are committed during both the day and the evening on every day of the week. However, it should be noted a significant number of auto burglaries recently occurred during weekdays, particularly during the 1130 hours to 1330 hours and again after 1530 hours. The increase during these time periods is an indication that juveniles are most probably the primary suspect group.

III. SUSPECT INFORMATION:

Robberies -- During the past six weeks, three groups were responsible for the majority of the robberies in the areas noted above. The first groups are pairs of Mexican males or pairs of females, 16-20 years, generally "vato" types. The second group involves several pairs of white females, 16 to 18 years. The third group involves a number of white males, 16-18 years.

Attachment II

EST. AVAIL.	ADDRESS	SIZE	TYPE	VACANT	NOTIFIED	INSPECTED	LHA COMPLETE	OWNER				DATE	DAYS VACANT	C.A. CONTROL	NOTE
								NOTIFIED	RENT STOP	COMPLETED	INSPECTED				
1514	Lucy 414	2	1/2	5/15	5/15	5/15								510	
2420	Phoebe	3	1/2	5/15	5/15	5/15								511	
1540	Lucy 414	3	1/2	6/1	6/1	6/1								512	
1413	Lucy 414	1	1/2	6/1	6/1	6/1								513	
2108	Lucy 414	1	1/2	6/1	6/1	6/1								514	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								515	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								516	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								517	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								518	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								519	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								520	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								521	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								522	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								523	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								524	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								525	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								526	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								527	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								528	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								529	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								530	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								531	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								532	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								533	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								534	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								535	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								536	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								537	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								538	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								539	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								540	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								541	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								542	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								543	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								544	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								545	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								546	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								547	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								548	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								549	
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1519	Lucy 414	1	1/2	6/1	6/1	6/1								551	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								552	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								553	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								554	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								555	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								556	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								557	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								558	
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1519	Lucy 414	1	1/2	6/1	6/1	6/1								560	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								561	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								562	
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1519	Lucy 414	1	1/2	6/1	6/1	6/1								564	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								565	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								566	
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1519	Lucy 414	1	1/2	6/1	6/1	6/1								569	
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1519	Lucy 414	1	1/2	6/1	6/1	6/1								572	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								573	
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1519	Lucy 414	1	1/2	6/1	6/1	6/1								575	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								576	
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1519	Lucy 414	1	1/2	6/1	6/1	6/1								591	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								592	
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1519	Lucy 414	1	1/2	6/1	6/1	6/1								596	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								597	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								598	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								599	
1519	Lucy 414	1	1/2	6/1	6/1	6/1								600	

Attachment II

7B-0004
November 16, 1978

Auto Burglaries -- There is little suspect information regarding auto burglaries. Suspects either observed or arrested are of all races and vary in age from 16 to 24 years. An analysis of auto burglaries in this area does not reveal any significant pattern other than geographic proximity.

IV. COMMENTS:

We recommend a combination of intensified patrol and covert operations. The patrolling can be done by regular beat units. Flex units are recommended for covert operations. Also, based on the above method of operation and suspect information, it is recommended that some type of intensified FI program be initiated in the above defined problem areas. Please send copies of any FI's made to the Operations Support Section. Please also request that officers on their dailies mark check-outs "Attention: Operations Support Section."

cc: Community Relations
Juvenile
Investigations Division

Part 2
Patrol Memorandums

MEMORANDUM

October 31, 1978

TO: PATROL WATCH COMMANDERS
FROM: OPERATIONS SUPPORT SECTION, CRIME ANALYSIS UNIT
SUBJECT: BURGLARY-CLOTHING STORES

I. PROBLEM

Below is information that should be disseminated to beat officers and considered in the deployment of your Flex Units. Since October 27, 1978, there have been three burglaries of clothing stores in which windows were smashed and a large quantity of expensive suits or leather coats were stolen.

II. M.O. INFORMATION

The first burglary occurred on 10/27/78, 0358 hours, at the Roos Atkins store, located in Websterstown Mall. A tire iron was used to smash the window.

On 10/29/78, 0313 hours, the Leather Works, 2230 Pacific Avenue, had a garbage can thrown through the front window, and a number of leather coats stolen.

The third burglary occurred on 10/30/78, at 0307 hours, Joseph Bernards, 5638 Pershing Avenue. Again a garbage can was thrown through the front window, and the loss was a large number of suits and leather sports jackets.

It should be noted that all three burglaries occurred between 0300 and 0400 hours. The loss in all three burglaries indicates a vehicle would be necessary to remove the property. In all three cases an alarm was tripped. Based on response time information, it can be concluded that the suspects remained in the store no longer than 3 to 4 minutes. It is probable the suspects case the business prior to the actual attack.

III. SUSPECT INFORMATION

During September there was a similar burglary that occurred on Pacific Avenue in which a 1973 yellow compact sports car (possibly a Dodge Colt) was observed by witnesses leaving the area. This vehicle was driven by a #2 male. This subject is a suspect in this current series. Both the Leatherworks and Bernards report that on the day of their burglaries, a M/H/25-30, 6-1, 180 lbs., slim build, short cropped hair, well dressed (three-piece suit) came to their businesses. This subject was also accompanied by a M/F/25-30, 5-2 to 5-3, thin build, pregnant. The owners feel these subjects cased their stores.

IV. COMMENTS

Lt. Ayers advises his personnel are investigating suspects in this series. He further advises the following stores are good potential targets:

1. Bravo McKeegan - 2323 Pacific (has alley entrance also)
2. John Falls - 2105 Pacific Avenue
3. Galls - 357 Lincoln Center
4. Malone's - 1503 St. Marks Plaza
5. Oxford Shop - 2043 Pacific Avenue

cc: Lt. Ayers
Community Relations
Officer Buckingham

MEMORANDUM

December 22, 1978

TO: LTS. WHITEMAN AND GARIBALDI
FROM: OPERATIONS SUPPORT SECTION, CRIME ANALYSIS UNIT
SUBJECT: BURGLARY - CONSTRUCTION SITES

Below is information relative to patrol deployment. On September 7, 1978, a memorandum was prepared regarding a burglary crime series. The targets of these burglaries were storage sheds on new construction sites. Since September, these burglaries have subsided. However, it appears the responsables are again active (See attached cases 78-23393, 23487, 23506). Construction sites were burglarized on the 14th, 15th, and 16th of this month. As in September, the responsables gained entry via using bolt cutters to cut padlocks or chains that secured the doors. The burglaries are probably occurring after dark. The type of property stolen indicates the suspects are probably driving a van or a truck. Please direct any FI's or check-outs to the Operations Support Section.

cc: Deputy Chief Novaresi, Field Operations
Lt. Ayers - Burglary
Sgt. Noble - Community Relations/Crime Prevention

December 29, 1978

I. PROBLEM:

During this month, there has been a sharp increase in auto burglaries in the North Stockton area. Both a geographic and similar offense pattern have been identified. During the past two weeks, the auto burglaries have been concentrated in the parking lots of movie theatres.

11. M.O. INFORMATION:

There is an excellent temporal pattern. 80% of the burglaries are occurring on Thursdays, Fridays and Saturdays between 2100 hours and 2300 hours. The suspects are entering both locked and unlocked vehicles. The method of entry on the locked vehicles has been the smashing out of side windows. See Attachment #1 for a list of times and locations.

III. SUSPECT INFORMATION:

As of this date, no suspects or suspect vehicles have been observed.

IV. GENERAL COMMENTS:

It is recommended that Flex Units either saturate the parking lot areas or use covert tactics after activity at the Heberstown Mall decreases.

cc: Deputy Chief Novaresi, Field Operations
Community Relations/Crime Prevention
Lt. Ayers, Investigations Division - Burglary

[illegible]

Page 3

CRIME SERIES ANALYSIS MATRIX

MEMORANDUM

September 18, 1978

TO: SGT. ANDREW JACKSON, ROBBERY-HOMICIDE
FROM: HAROLD SPICE, CRIME ANALYST, OPERATIONS SUPPORT SECTION
SUBJECT: METHOD OF OPERATION COMPARISON--SINCLAIR

As per your request, I compared case 78-15008 (Torlai) with Sinclair's previous arrests. The Torlai case was compared against 64-10452 (Martinez), 71-18320 (Marquez), and 71-20215 (Rebosio). It should be noted that [redacted] was convicted in both the Marquez and Rebosio cases.

Examination of Previous Cases:

Analysis of the case reports concerning [redacted]'s previous arrests revealed a consistent and unique method of operation. In all three cases (Martinez, Marquez, and Rebosio), [redacted] contacted the victim just prior to initiating the criminal offense. During this contact, he asked the victim some type of irrelevant question. He knocked on Martinez's door and asked for a Mr. Thompson. When the victim told him that Mr. Thompson did not live there, [redacted] left. He asked Marquez about the house next door that was for sale and then left. And he asked Rebosio for directions to Stanislaus Street, and then left.

In all three cases, [redacted] returned almost immediately to force entry into the victim's residence. In both Marquez and Rebosio, [redacted] cut through the screen door and then confronted the victim at the front door. In Martinez, he cut through a window screen, smashed open the window and then confronted the victim. In all three cases, immediately upon confronting the victims, [redacted] demanded money. He told Martinez, "I want your money. If you don't give it to me, I will kill you." He shouted at Marquez "Where's your money, I know you have money?" And he stated to Rebosio, "I want your money."

In all three cases, [redacted] struck the victim with his fists. In all three cases, [redacted] went through or forced the victims to go through their purses and give him money. In both Rebosio and Martinez, [redacted] ripped the victim's clothing, and then sexually assaulted the victim. In Marquez, he threatened the victim with sexual assault, but following the victim's pleading with him he left. It should be noted that [redacted] victims are primarily elderly. Martinez was 56 years, Rebosio was 69 years.

Thus, [redacted] method of operation can be summarized as follows: Initially the victim is contacted at the front door just prior to the offense. The victim is then asked a question. [redacted] returns and cuts either a window or door screen. Entry is then affected. [redacted] was armed in all three cases with a knife, threatened the victim, and then demanded money. The victim was then hit by [redacted] and money was taken, usually from the victim's purse. Finally, [redacted] rips the victim's clothing and then sexually assaults the victim.

Examination of Case Report 78-15008:

In this case (Torlai) one victim heard the suspect knocking on the front door saying, "Let me in. Let me in." Victim went to the door and told the suspect to go away. The suspect left but returned approximately one minute later and attempted to enter the residence through the locked door. He was unsuccessful at the door, so he broke a glass window next to the door and entered through the window. Upon entering, the suspect was immediately confronted by Torlai, who struggled with the suspect. The suspect struck Torlai and began hitting the other two victims. The suspect then yelled, "Money! Give me your money, where's your purse?" The suspect throughout the attack continually demanded money and the victim's purses. The suspect reached under the victim's dresses and tore their underclothing. Following this attack, the suspect then fled. It should be noted Torlai is 80 years, Santini is 73 years, and Cavasin is 61 years.

Method of Operation Comparison and Analysis:

Examination of [redacted]'s previous arrests identified ten particular method of operation factors. These factors are: Contacts victim just prior to the offense; asks victim a question; attempts entry through a door; breaks glass; armed with a knife; threatens victim; asks victim for money; hits victim; ransacks purse; and rips victim's clothes. Please refer to the attached Crime Series Analysis Matrix for a comparison of cases and method of operation factors.

The Torlai case contains eight of the ten method of operation factors identified during the examination of [redacted]'s previous arrests. The two method of operation factors not found in Torlai are: armed with a knife and threatens victim. It is my belief based on the original case report and subsequent interviews with the victims that the suspect did not have an opportunity to pull a knife. The suspect was confronted by Torlai immediately upon his entry. It appears that because Torlai attempted to drive the suspect off with a broom, the suspect became excited and struck all three victims with the nearest available objects. The suspect did not threaten the victims because he had already injured them and demanded their money and purses. There was no need to further threaten the victims.

However, it should be noted there is one unique factor in [redacted] method of operation. This factor is [redacted] characteristic of contacting his victims just prior to the offense and asking the victim some type of question. As previously stated, in the Torlai case the suspect contacted the victim just prior to the offense, mumbled something to the victims, and shortly thereafter affected entry and committed the crime. This series of events is consistent with [redacted] method of operation. Also, the victims in Torlai are elderly.

Conclusion:

Based on the examination of [redacted]'s previous arrests and the above method of operation comparison and analysis, it is my belief that [redacted] is the responsible in the Torlai case. This belief is based on the unique method of operation factor described above under the analysis section. It is this factor that distinguishes [redacted] from other offenders. In reviewing and analyzing approximately 300 rapes, attempted rapes, residential robberies, and burglaries where the suspect confronted the victim, I have not yet found this unique method of operation factor.

10	9	8	7	6	5	4	3	2	1	C/R#	DATE	VICTIM	TIME	CRIME SERIES ANALYSIS MATRIX									
														DESCRIPTION									
														Premise									
														Age									
														Height									
														Weight									
														Build									
														Other									
														Contact v. Just prior to offense									
														Asks v. question									
														Attempts entry through door									
														Breaks glass									
														Armed with knife									
														Threatens v.									
														Asks v. for money									
														Hits v.									
														Snatches purse									
														Rips v. clothes									

STOCKTON POLICE DEPARTMENT - OPERATIONS SUPPORT SECTION

Part 4
Crime Specific Bulletin
STOCKTON POLICE DEPARTMENT
CRIME ANALYSIS UNIT

Bulletin No. 79

TO: PATROL LIEUTENANTS AND SERGEANTS
FROM: CRIME ANALYSIS UNIT
SUBJECT: BURGLARY PROFILE - BEAT ELEVEN

I. PROBLEM:

During the past two weeks, six residential and two commercial burglaries have occurred in Beat eleven. Analysis indicates at least two separate suspects or groups of suspects are operating in this area. One group is probably juveniles; the second group prowls late at night, seeking cash.

II. M.O. INFORMATION:

Area: The majority (8) of the burglaries have occurred in the area bordered by Lafayette, Laurel, Hazelton, and Wilson Way.

Day: Three (3) occurred Wednesday through Thursday. No other pattern noted.

Time: Four (4) occurred after 2230 Hrs. The remainder generally occurred between 1600 and 0630 Hrs.

Premise: Single family dwellings (6), Business (1), Fire House (1).

Point of Entry: Front door (3), Rear Door (2), Side Window (2), and Roof (1).

Method of Entry: No Force (4), Cut Window Screen (2), Pry (1).

Tools Used: Knife and Screwdriver.

Property: The primary property type was cash. See Attachment 2 for a complete property list.

III. SUSPECT INFORMATION:

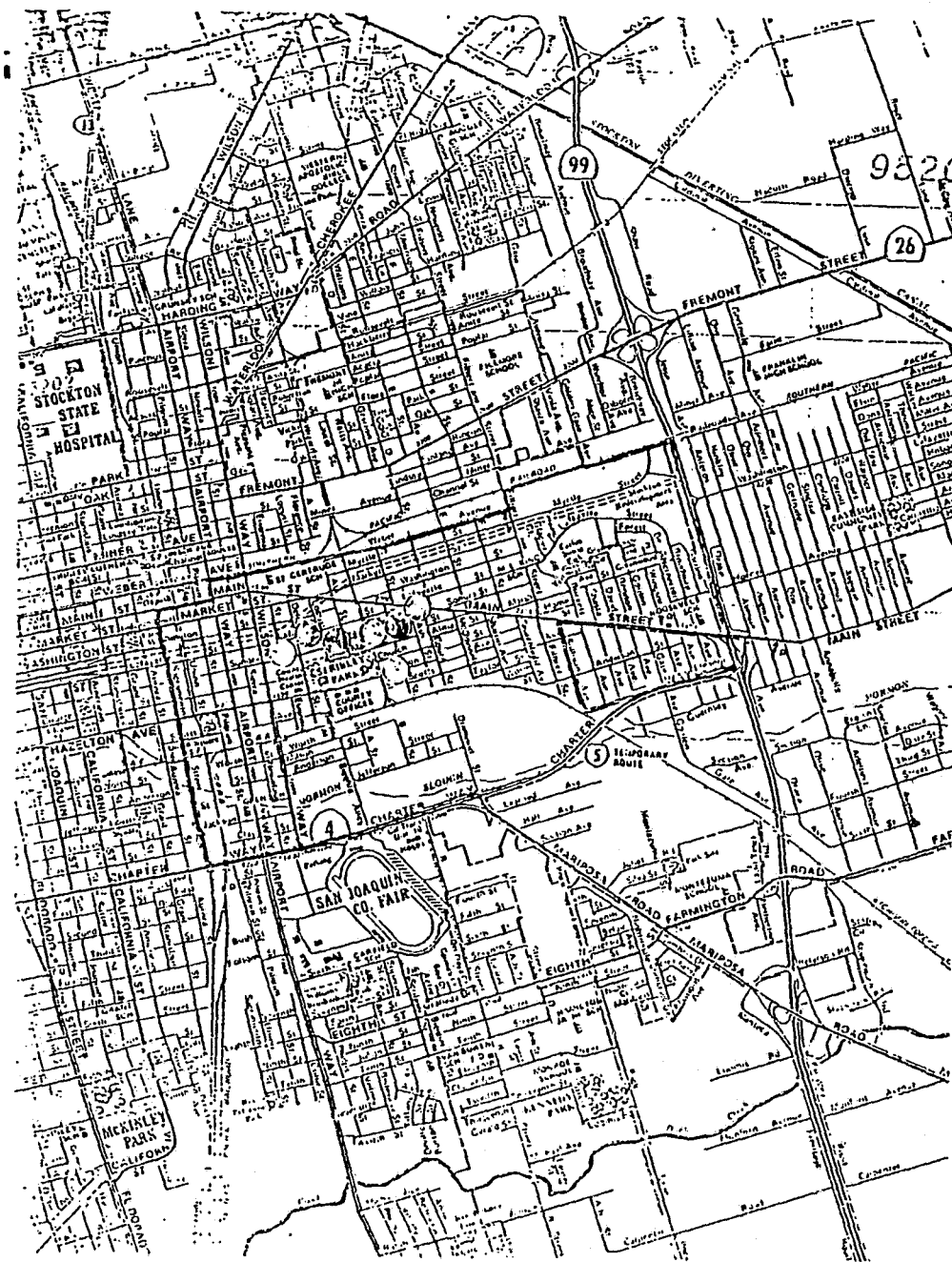
C/R#	Suspect Description
79-10306	#1 - M/H/18, 5'7", 140-150, Blk Hair, Thin Build #2 - M/H/18, 5'3", 140, Blk Hair, Medium Build
79-10843	#1 - M/H/20's, Tall

IV. ADDITIONAL INFORMATION:

The property loss in several of the burglaries indicates the suspect or suspects are juveniles. NOTE: Two suspects have committed three burglaries on East Sonora Street when the victims were home (C/R#s: 79-10386, 10602, 10843). These suspects are striking every four days (May 15 - 1600-1830; May 18-19 - 2300-0300; and May 23 at 0330 Hrs.).

Please route any information regarding this series to the Crime Analysis Unit.

ts
nora
pects



ATTACHMENT 2

C/R#	DATE	TIME	LOCATION	PROPERTY
79-10073	5/9-10/79	1600-2100	2031 E. Sonora	Springfield Rifle, Lamps, Mirror
79-10119	5/10-11/79	2300-0730	2012 E. Hazelton	Stereo Equipment
79-10386	5/15/79	1800-1830	1712 E. Lafayette	Unknown at Time
79-10425	5/15/79	1450*	2002 E. Sonora	Unknown at Time
79-10602	5/18-19/79	2300-0300	1859 E. Sonora	\$400
79-10683	5/20/79	2230*	2062 E. Sonora	Power Tool, Grey Tool Box
79-10843	5/23/79	0330*	1620 E. Sonora	\$200
79-10932	5/23-24/79	1800-0630	2153 E. Main	10 Cases of Sodas

* In progress calls.

Bulletin No. 79 ...
UPDATE

STOCKTON POLICE DEPARTMENT
CRIME ANALYSIS UNIT

TO: PATROL LIEUTENANTS AND SERGEANTS
FROM: CRIME ANALYSIS UNIT
SUBJECT: UPDATE - BEAT ELEVEN

Vehicle: Older Van, blue/white stripe

ADDITIONAL INFORMATION:

The above suspect may be responsible for several of the additional burglaries. However, there are definitely other suspects in this area committing burglaries. Please forward any FI's or information on your dailies to the Operations Support Section.

Since May 25, 1979, an additional five burglaries have occurred in this area.

M.O. INFORMATION:

<u>CR#</u>	<u>DATE</u>	<u>TIME</u>	<u>LOCATION</u>	<u>PROPERTY</u>
79-11254	5/29/79	1400-1430	1321 E. Washington	tv
79-11291	5/29/79	0830	1101 S. Pilgrim	tv, stereo equipment, calculator, jewelry
79-11336	5/31/79	0000-0530	727 S. Della	Drills, tool boxes, ass. tools
79-11382	5/31/79	1300-1545	2027 E. Marsh	.38 cal. SH 2 1/2 bbl, jewelry, knives
79-11384	5/31/79	0750-1715	1101 S. Pilgrim	Unk.

Area: See attached map. (Note: Squares indicate most recent burglaries.)

Premise: Five single family dwellings.

Point of Entry: (2) Rear doors, (2) Front doors, (1) Rear window.

Method of Entry: (2) No force, (2) pry, (1) window smash

Tool: Tire Iron

SUSPECT INFORMATION:

79-11254 - S#1 - WALTER LEE ~~WALTER~~, DOB-5/2/50, STKIL. #105,776
Address: 1424 S. Stanislaus #1
PRIORS: 487.3 P.C., 10251 CVC

S#2 - N/A - NFD

S#3 - N/A - NFD

[illegible][illegible]

[illegible]

PRE-ICAP REPORT

1. CODE SECTION		2. CITATION NUMBER		STOCKTON POLICE DEPARTMENT				3. CRIME REPORT NUMBER							
4. SPECIFIC OFFENSE				5. CUSTODY		7. FOLLOW-UP		9. JUVENILE INVOLVED		11. FELONY					
				6. CITATION		8. NO FOLLOW-UP		10. TRAFFIC CASE		12. CLEARED					
13. DATE AND TIME OCCURRED				14. LOCATION OF OCCURRENCE				15. DATE AND TIME REPORTED TO P.D.							
16. VICTIM'S NAME (Firm or Business)						17. RESIDENCE ADDRESS				18. RES. PHONE					
19. OCCUPATION			20. RACE		SEX	21. AGE	22. D. O. B.	23. BUSINESS ADDRESS (School If Juvenile)			24. BUS. PHONE				
25. CODES FOR BOXES 28 - 38				V=VICTIM		W=WITNESS		P=PARENT		26. MOTIVE - TYPE OF PROPERTY TAKEN OR OTHER REASON FOR OFFENSE		27. EST. LOSS VALUE			
				RP=REPORTING PARTY		DC=DISCOVERED CRIME									
28.	29. NAME						30. RESIDENCE ADDRESS				31. RESIDENCE PHONE				
32. OCCUPATION			33. RACE		SEX	34. AGE	35. D. O. B.	36. BUSINESS ADDRESS (School If Juvenile)			37. BUS. PHONE				
38.	39. NAME						40. RESIDENCE ADDRESS				41. RESIDENCE PHONE				
42. OCCUPATION			43. RACE		SEX	44. AGE	45. D O B	46. BUSINESS ADDRESS			47. BUS. PHONE				
	SUSPECT 48. NO. 1. NAME						49. RACE	SEX	50. AGE	51. Ht.	52. Wt.	53. HAIR	54. EYES	55. I.D. NO. - D.O.B.	
	CITED														
	CUSTODY														
56. ADDRESS				57. DRIVER'S LICENSE NUMBER				58. SOCIAL SECURITY NUMBER				59. ARREST NO.		60. CHARGE	
61. DATE OF ARREST		62. LOCATION OF ARREST				63. TIME OF ARREST		64. ARRESTING OFFICERS							
	SUSPECT 65. NO. 2. NAME						66. RACE	SEX	67. AGE	68. Ht.	69. Wt.	70. HAIR	71. EYES	72. I.D. NO. - D.O.B.	
	CITED														
	CUSTODY														
73. ADDRESS				74. DRIVER'S LICENSE NUMBER				75. SOCIAL SECURITY NUMBER				76. ARREST NO.		77. CHARGE	
78. DATE OF ARREST		79. LOCATION OF ARREST				80. TIME OF ARREST		81. ARRESTING OFFICERS							
82. YEAR		MAKE OF VEHICLE		MODEL	COLOR	LICENSE NO.		83. TOWED TO				84. CLAIM CHECK NO.		85. HOLD	
														<input type="checkbox"/> YES	<input type="checkbox"/> NO

APPENDIX D

86. EVIDENCE OR PROPERTY IMPOUNDED				87. PROPERTY TAG NUMBER				88. REPORTING OFFICER				89. APPROVED BY			
<input type="checkbox"/> YES <input type="checkbox"/> NO								164							

STOCKTON POLICE DEPARTMENT
CRIME REPORT

1. VICTIM INDEXING RECORD		2. DISPATCHED CUSTODY		3. STOCKTON POLICE DEPARTMENT CRIME REPORT				4. CRIME REPORT NO.	
5. TYPE OF CRIME (MAJOR OFFENSE ONLY)		6. NO.		7. YEAR		8. TIME OF OCCURRENCE		9. DAY OF WEEK	
10. LOCATION OF OCCURRENCE (OR ADDRESS)					11. FIRM NAME (IF COMMERCIAL)				
12. VICTIM'S NAME (FIRST, MIDDLE, LAST)					13. RESIDENCE ADDRESS				
14. EMPLOYER					15. BUSINESS/SCHOOL ADDRESS				
16. RACE					17. SEX				
18. AGE					19. DATE OF BIRTH				
20. BUSINESS/SCHOOL ADDRESS					21. RESIDENCE ADDRESS				
22. BUSINESS PHONE					23. RESIDENCE PHONE				
24. EMPLOYER					25. BUSINESS/SCHOOL ADDRESS				
26. RACE					27. SEX				
28. AGE					29. DATE OF BIRTH				
30. BUSINESS/SCHOOL ADDRESS					31. RESIDENCE ADDRESS				
32. BUSINESS PHONE					33. RESIDENCE PHONE				
34. EMPLOYER					35. BUSINESS/SCHOOL ADDRESS				
36. RACE					37. SEX				
38. AGE					39. DATE OF BIRTH				
40. BUSINESS/SCHOOL ADDRESS					41. RESIDENCE ADDRESS				
42. BUSINESS PHONE					43. RESIDENCE PHONE				
44. PLACE OF ATTACK					45. DESCRIPTION OF SURROUNDING AREA				
46. TYPE OF STRUCTURE					47. POINT OF ENTRY				
48. METHOD OF ENTRY					49. SUSPECT ACTIONS				
50. EVIDENCE OBTAINED					51. DISPOSITION OF EVIDENCE				
52. PROPERTY CARD NO.					53. ARTICLE NAME				
54. IDENTIFICATION NUMBERS					55. BRAND, MAKE OR MANUFACTURER				
56. MODEL NAME & MODEL NUMBERS					57. MISCELLANEOUS DESCRIPTION				
58. VALUE					59. TOTAL				
60. DATE/TIME OF REPORT					61. REPORTING OFFICER				
62. APPROVED BY					63. FOLLOW-UP				

PAGE OF									
73 SUSPECT #1: NAME (FIRST, MIDDLE, LAST)									
79 RACE 80 SEX 81 AGE 82 DATE OF BIRTH 83 HT. 84 WT. 85 HAIR 86 EYES 87 BUILD									
83 NICKNAME AKA									
89 SUSPECT'S ADDRESS									
90 STOCKTON NO.									
91 SUSPECT #2: NAME (FIRST, MIDDLE, LAST)									
92 RACE 93 SEX 94 AGE 95 DATE OF BIRTH 96 HT. 97 WT. 98 HAIR 99 EYES 100 BUILD									
101 NICKNAME AKA									
102 SUSPECT'S ADDRESS									
103 STOCKTON NO.									
104 HAIR LGTH. TYPE									
105 HAIR STYLE									
106 FACIAL HAIR									
107 COMPLEXION									
108 GEN. APPEARANCE									
109 DEMEANOR									
110 SPEECH									
111 VOICE									
112 RIGHT/LEFT HANDS									
113 SUSPECT WORE									
114 GLASSES									
115 TATTOO SCARS									
116 FACE									
117 WEAPON N/A									
118 WEAPON FEATURE N/A									
119 ADDITIONAL WEAPON DESCRIPTION									
120 NARRATIVE: INCLUDE ACTIONS AND CONVERSATION BY SUSPECT(S) AND VICTIM(S) AND OTHER EVENTS NOT PREVIOUSLY COVERED.									
121 WITNESS CHECK YES NO									

POST-ICAP REPORT									
STOCKTON POLICE DEPARTMENT									
ARREST REPORT									
5. CRIME REPORT NO.									
PAGE OF									
8 DATE/TIME OF REPORT									
7. TYPE OF CRIME(S) AND SPECIFIC OFFENSE(S)									
9. VICTIM									
10 ADDRESS									
11. PERSON ARRESTED (FIRST, MIDDLE, LAST)									
12 RACE 13 SEX 14 AGE 15 DATE OF BIRTH 16 HT. 17 WT. 18 HAIR 19 EYES 20 BUILD									
21 NICKNAME AKA									
22 ADDRESS									
CITY									
STATE									
23 EMPLOYER									
24 DRIVER'S LICENSE NO.									
25 SOCIAL SECURITY NO.									
26 LOCATION OF OCCURRENCE									
27 DATE									
28 TIME									
29 CITATION NO.									
30 STOCKTON NO.									
31 LOCATION OF ARREST									
32 DATE									
33 TIME									
34 CHARGE(S)									
35 ARREST NO.									
36 ARRESTED BY									
37 CITIZEN ARREST YES NO									
38 HAIR LGTH. TYPE									
39 HAIR STYLE									
40 FACIAL HAIR									
41 COMPLEXION									
42 GENERAL APPEAR.									
43 SPEECH									
44 VOICE									
45 FURTHER SUSPECT DESCRIPTION (i.e. GLASSES, TATTOOS, TEETH, BIRTHMARKS, JEWELRY, SCARS, MANNERISMS, ETC.)									
46 PERSON ARRESTED (FIRST, MIDDLE, LAST)									
47 RACE 48 SEX 49 AGE 50 DATE OF BIRTH 51 HT. 52 WT. 53 HAIR 54 EYES 55 BUILD									
59 NICKNAME AKA									
57 ADDRESS									
CITY									
STATE									
58 EMPLOYER									
59 DRIVER'S LICENSE NO.									
60 SOCIAL SECURITY NO.									
61 LOCATION OF OCCURRENCE									
62 DATE									
63 TIME									
64 CITATION NO.									
65 STOCKTON NO.									
66 LOCATION OF ARREST									
67 DATE									
68 TIME									
69 CHARGE(S)									
70 ARREST NO.									
71 ARRESTED BY									
72 CITIZEN ARREST YES NO									
73 HAIR LGTH. TYPE									
74 HAIR STYLE									
75 FACIAL HAIR									
76 COMPLEXION									
77 GENERAL APPEAR.									
78 SPEECH									
79 VOICE									
80 FURTHER SUSPECT DESCRIPTION (i.e. GLASSES, TATTOOS, TEETH, BIRTHMARKS, JEWELRY, SCARS, MANNERISMS, ETC.)									
81 VEH. YEAR									
82 MAKE									
83 MODEL									
84 BODY STYLE 85 COLOR									
86 LICENSE NO.									
87 STATE									
88 EXP. DATE									
89 ADDITIONAL VEHICLE IDENTIFIERS (DAMAGE, CHROME WHEELS, ETC.)									
90 VEHICLE HOLD YES NO									
91 VEH. DISPOSITION									
92 EVIDENCE									
93 DISPOSITION OF EVIDENCE									
94 PROPERTY CARD NO.									
95 DATE/TIME OF REPORT									
96 REPORTING OFFICER									
97 APPROVED BY									

3. ARRESTED PERSONS

#1: CLOTHING DESCRIPTION	CONDITION	#2: CLOTHING DESCRIPTION	CONDITION
HAT OR CAP _____	<input type="checkbox"/> DISARRANGED	HAT OR CAP _____	<input type="checkbox"/> DISARRANGED
JACKET _____	<input type="checkbox"/> SOILED	JACKET _____	<input type="checkbox"/> SOILED
SHIRT OR DRESS _____	<input type="checkbox"/> NORMAL	SHIRT OR DRESS _____	<input type="checkbox"/> NORMAL
PANTS OR SKIRT _____		PANTS OR SKIRT _____	
TYPE OF SHOE _____		TYPE OF SHOE _____	

99. INTOXICATION REPORT — INVESTIGATION:

Was subject involved in an accident? _____ Was subject ill or injured? _____ Had subject been treated by a doctor recently? _____ Does subject have diabetes? _____ Is subject on any kind of medication? _____

Type of test given: ☐ Blood ☐ Breath ☐ Urine ☐ Refused

BREATH (Alcohol Odor) <input type="checkbox"/> Strong <input type="checkbox"/> Moderate <input type="checkbox"/> Faint <input type="checkbox"/> None	EYES <input type="checkbox"/> Bloodshot <input type="checkbox"/> Watery <input type="checkbox"/> Sleepy <input type="checkbox"/> Normal	PUPILS <input type="checkbox"/> Dilated <input type="checkbox"/> Contracted <input type="checkbox"/> Poor reaction to light	FACE <input type="checkbox"/> Flushed <input type="checkbox"/> Pale <input type="checkbox"/> Normal	SPEECH <input type="checkbox"/> Mumbled <input type="checkbox"/> Thick Tongued <input type="checkbox"/> Confused <input type="checkbox"/> Slurred <input type="checkbox"/> Incoherent <input type="checkbox"/> Normal	ATTITUDE <input type="checkbox"/> Polite <input type="checkbox"/> Carefree <input type="checkbox"/> Cooperative <input type="checkbox"/> Talkative <input type="checkbox"/> Confused <input type="checkbox"/> Indifferent <input type="checkbox"/> Excited	<input type="checkbox"/> Combative <input type="checkbox"/> Insulting <input type="checkbox"/> Nervous <input type="checkbox"/> Crying <input type="checkbox"/> Sleepy <input type="checkbox"/> Antagonistic <input type="checkbox"/> Hilarious	UNUSUAL ACTION <input type="checkbox"/> Profanity <input type="checkbox"/> Vomiting <input type="checkbox"/> Fighting <input type="checkbox"/> Belching <input type="checkbox"/> Unconscious	
Ability to follow instructions: <input type="checkbox"/> Good <input type="checkbox"/> Fair <input type="checkbox"/> Poor				ROADWAY <input type="checkbox"/> Concrete <input type="checkbox"/> Blacktop <input type="checkbox"/> Gravel <input type="checkbox"/> Divided <input type="checkbox"/> Median <input type="checkbox"/> Undivided <input type="checkbox"/> Total Lanes _____				<input type="checkbox"/> Muddy <input type="checkbox"/> Slippery <input type="checkbox"/> Ice <input type="checkbox"/> Traffic Control Devices <input type="checkbox"/> Parked Vehicles <input type="checkbox"/> Loose Material <input type="checkbox"/> Other _____
WALKING FROM CAR <input type="checkbox"/> Stumbling <input type="checkbox"/> Falling <input type="checkbox"/> Needs Support <input type="checkbox"/> Swaying <input type="checkbox"/> Normal				BASIC STANCE <input type="checkbox"/> Swaying <input type="checkbox"/> Falling <input type="checkbox"/> Staggering <input type="checkbox"/> Needs Support <input type="checkbox"/> Normal				BALANCE SWING <input type="checkbox"/> Wobbling <input type="checkbox"/> Needs Support <input type="checkbox"/> Falling <input type="checkbox"/> Normal
HEEL TO TOE <input type="checkbox"/> Unsure <input type="checkbox"/> Swaying <input type="checkbox"/> Staggering <input type="checkbox"/> Falling <input type="checkbox"/> Normal				WEATHER <input type="checkbox"/> Clear <input type="checkbox"/> Cloudy <input type="checkbox"/> Rain <input type="checkbox"/> Snow <input type="checkbox"/> Fog <input type="checkbox"/> Sleazy				
BALANCE <input type="checkbox"/> Wobbling <input type="checkbox"/> Needs Support <input type="checkbox"/> Falling <input type="checkbox"/> Normal				ROMBERG <input type="checkbox"/> Swaying <input type="checkbox"/> Staggering <input type="checkbox"/> Falling <input type="checkbox"/> Normal				ALPHABET <input type="checkbox"/> Hesitation <input type="checkbox"/> Missed <input type="checkbox"/> Normal
FINGER TO NOSE <input type="checkbox"/> Uncertain <input type="checkbox"/> Missed <input type="checkbox"/> Normal				RIGHT <input type="checkbox"/> Uncertain <input type="checkbox"/> Missed <input type="checkbox"/> Normal				
FINGER TO NOSE <input type="checkbox"/> Uncertain <input type="checkbox"/> Missed <input type="checkbox"/> Normal				LEFT <input type="checkbox"/> Uncertain <input type="checkbox"/> Missed <input type="checkbox"/> Normal				
Type and condition of area where sobriety performed: _____								
TRAFFIC <input type="checkbox"/> Light <input type="checkbox"/> Medium <input type="checkbox"/> Heavy				ENVIRONMENT <input type="checkbox"/> Residential <input type="checkbox"/> Urban <input type="checkbox"/> Suburban <input type="checkbox"/> Light Business <input type="checkbox"/> Central Business District				
				LIGHT <input type="checkbox"/> Daylight <input type="checkbox"/> Darkness <input type="checkbox"/> Dawn <input type="checkbox"/> Dusk <input type="checkbox"/> Street Lights <input type="checkbox"/> No Street Lights				

100. CERTIFICATION OF NON-PLACEMENT IN THE DETOXIFICATION CENTER

The suspect was not placed in the detoxification facility because _____

☐ The facility reported there was no room.
☐ The suspect is under the influence of drugs or a combination of drugs and alcohol.
☐ There is probable cause to believe suspect has committed a felony.

☐ Suspect has committed a misdemeanor in addition to 647.1 P.C.
☐ This officer believes the suspect will attempt escape or be unreasonably difficult for medical personnel to control.

101. Check each reason for not releasing the subject with a written notice to appear. ADULTS ONLY

1. The person arrested was so intoxicated that he could have been a danger to himself or to others.
2. The person arrested required medical examination or medical care or was otherwise unable to care for his own safety.
3. The person was arrested for one or more of the offenses listed in Section 40302 of the Vehicle Code.
4. There were one or more outstanding arrest warrants for the person.
5. The person could not provide satisfactory evidence of personal identification.
6. The prosecution of the offense or offenses for which the person was arrested or the prosecution of any other offense or offenses would be jeopardized by immediate release of the person arrested.
7. There was a reasonable likelihood that the offense or offenses would continue or resume, or that the safety of persons or property would be imminently endangered by release of the person arrested.
8. The person arrested demanded to be taken before a magistrate or refused to sign the notice to appear.
9. Any other reason: _____

National Criminal Justice Reference Service

ncjrs

While portions of this document are illegible, it was micro-filmed from the best copy available. It is being distributed because of the valuable information it contains.

National Institute of Justice
United States Department of Justice
Washington, D. C. 20531

APPENDIX E
DAILY CONFIDENTIAL BULLETIN
POLICY/PROCEDURES

I. MINIMUM REQUIREMENTS FOR PUBLICATION

A. Felony Warrants:

1. All felony warrants will be published as space is available in the DCB.
2. A minimum bail of \$1,000 is necessary for publication.
3. DCB staff shall prioritize each warrant published, giving preference to the severity of the crime.
4. The DCB staff shall have the final decision regarding publication.

B. Misdemeanor Bench Warrants:

1. A minimum bail of \$1,000 is necessary for publication.
2. For publication, a misdemeanor bench warrant should originally have been a felony charge lowered by the court to a misdemeanor.
3. As a rule, misdemeanor warrants charging 484, 594, 653M P.C., etc. will not be published.

C. Felony FI Requests:

1. Normally, all felony FI requests will be published in the DCB. This includes, but is not limited to, suspect description, vehicle description, stolen property description, etc.
2. The Chief's Office must approve any FI requests which list a specific individual's name, date of birth and address, or those which include a mug shot. The Chief's Office or Department Legal Advisor are the only individuals with authority to approve this type of entry. This is necessary to protect both the City of Stockton and contributor from a possible lawsuit, and the citizen from unnecessary interference with his right to privacy.

II. CANCELLATIONS

A. Procedures:

1. On a daily basis, DCB staff will check with Warrants Section personnel to determine if an entry should be canceled.

11. A. 2. Upon notification of a cancellation, it shall be published in the next issue of the DCB.
3. A cancellation will always be listed on the front side of the DCB immediately following the sentence reading *"This publication is classified as restricted and confidential -- for police use only."*
4. Each cancellation will include the arresting officer(s) name(s), item number, and issue date of canceled entry.
5. Entries can only be canceled as a result of the person being arrested, the court recalling the warrant, or in conjunction with the semi-annual purge.

III. PURGE CRITERIA

A. Weekly:

1. On a weekly basis, DCB staff will check the Warrants Section file of each warrant/want published in the bulletin to determine whether they are still valid. This will be done to eliminate a possible oversight by DCB staff, Warrants Section, Detectives, etc. in not canceling a suspect who may have been arrested.
2. Upon completion of the weekly check, DCB staff member will date and initial the log located in the master file binder.

B. Semi Annual:

1. At the end of each six-month period, commencing with June 13, 1978, a special supplemental DCB (maximum two pages/back to back) will be printed and distributed. All entries other than those on this special bulletin are to be considered canceled.

DAILY CONFIDENTIAL BULLETIN FORMAT

The Daily Confidential Bulletin will be printed on an 8 1/2 x 11" buff colored sheet of paper. The bulletin format will consist of three major entries: (1) Suspect Want; (2) FI request; and, (3) Cancellation of information previously published.

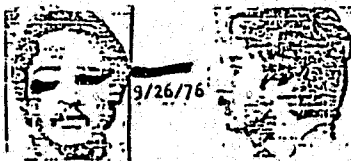
Suspect Want

A want entry appearing in the Daily Confidential Bulletin may be either on a felony or a misdemeanor. A felony want may be based on probable cause (Section 832 of the California Penal Code) or on a warrant. Unlike a felony want, a misdemeanor want must be based on a warrant.

Suspect want entries will include the subject's name, complete physical description (including any distinctive characteristics such as tattoos, scars, etc.), places known to frequent, relatives, etc.

Example of a wanted suspect entry is as follows:

4) FEL. WNT. 664/211 PC
Wnt #124872 Bail \$5,000
Refer to Stockton PD
Sgt. Jackson, #944-8323



Veh: (possible only) DRK BLUE 70 PONTIAC, 2DR,
LIC: 643 QED

Subj: Arturo "The Indian" NHA, 22 yrs.
(2/25/56), 5'8, 165, urn med lgth hair
desc'd as wavy, thinly trimmed mustache,
Heat dresser, CII #A05344125, PFN #ATR 181.
See photo.

Add Info: This subject entered a gay bar in central Stockton on Monday, 3/6/78, at 2200 hrs. After having a few drinks that took him up to closing time, he confronted the bar owner in the parking lot, simulated a weapon, and forced the owner back inside for the purposes of obtaining the bar's money. During the course of the robbery, the suspect made the statement, "Don't #24 with me or I'll blow you to bits!" Before he gained possession of the cash, the owner set off an audible alarm which spooked the subject. He then split before the robbery was completed. The Pontiac noted above was utilized as a getaway vehicle. Subject's priors include 211 and 148 PC so CAUTION should be taken in his arrest. The Sgt working the case would like to acknowledge the excellent police work that was done by Stockton PD Officers Howard and Johnson as they did the initial follow-up in this case and successfully I.D.'d the subject.

FI Request

An FI (field interview) request will probably be the most common type of entry that appears on the Daily Confidential Bulletin. This type of entry is used in cases where a suspect and/or vehicle description is available but the perpetrator(s) is unknown. Investigators submitting an FI request are asking that field units be on the lookout for any possible suspects and/or suspect vehicles based on the available descriptions. Pertinent details of the offense are listed which not only adds interest for the field personnel, but assists other investigators who may be working on a similar case or who may already have the same suspect identified.

Example of an FI request entry is as follows:

4) FI FOR 20002A

Refer to Off. J. Joy #944-8354

Veh: Yellow '67-68 Mercury Cougar with
probable right-front damage and
green paint transfer.

Susp: No Description

Add Info: At 2205 hrs 2/12/78, Sunday, the Susp vehicle spun out while making a U-turn on Longview Avenue and zoomed up into the victim's driveway - striking his parked 240Z. The Suspect vehicle then promptly split. Information developed so far indicates that the Suspect vehicle is a frequent speed violator in the same area. Any FI info should be forwarded to Off. Joy, Traffic Sect.

Cancellations

Cancellations are entries previously published in the bulletin which have since been resolved. That is, wanted suspects are no longer wanted. They may have turned themselves in to the authorities, been arrested out of state, died, etc.

Example of a cancellation entry is as follows:

1) CANCELLATION

Cancel the FI request involving the 211 at the Adult Bookstore at 314 Central Avenue. This entry appeared as item #9 on 3/2/78. The report of the robbery turned out to be false.

Reference to Bulletin Information

Each individual item appearing in the bulletin is referred to as an entry. Each entry in turn is assigned a sequential number. In this way, any particular item appearing on the bulletin can easily be referenced by the specific bulletin's date and entry number. Cancellations and updated information will refer back to the previous bulletin entry in which they were contained.

It is anticipated that field officers will maintain their own file of bulletins on a daily basis. It is hoped they will maintain a file in their field units for quick reference.

Visual Appearance of Bulletin

The Daily Confidential Bulletin will be typed using a variety of type elements. This will draw the reader's attention to the more pertinent information such as vehicle descriptions, armed and dangerous subjects, etc. The information will be displayed as attractively and easy-to-read as possible. (See Exhibit F for sample copy of Daily Confidential Bulletin.)

Internal Distribution

Upon completion of the editing and printing process of the Daily Confidential Bulletin, the Administrative Aide with assistance from the assigned Police Officer, will see that the bulletin is distributed to each division.

It is recommended that some type of folder be distributed to each beat officer to provide them with a uniform manner to store their bulletins.



JULIO A. CECCHETTI
CHIEF OF POLICE

DAILY CONFIDENTIAL BULLETIN

MARCH 7, 1978
(65)

OFFICER MARK W. HERRER
JUDY E. HERR
EDITORS

1 OF 1

SHEET

THIS PUBLICATION IS CLASSIFIED AS RESTRICTED AND CONFIDENTIAL -- FOR POLICE USE ONLY.

- 1) CANCELLATION Cancel the FI request involving the 211 at the Adult Bookstore at 314 Central Avenue. This entry appeared as item #9 on 2/2/78. The report of the robbery turned out to be false.
- 2) CANCELLATION Cancel the 211 want for Charles appearing as item #11 on the 3/4/78 Daily Confidential Bulletin. Stockton PD officers Gabe Herrera and Ed Chavez arrested him at the Alpine Avenue address noted on the DCB.
- 3) CANCELLATION Cancel the Juvenile Want for Robert who appeared on the 3/5/78 DCB, item #7. Stockton PD Patrol Officer Mark [unclear] found the subject and arrested him early this morning.

1) FEL. WIT. 664/211 PC
Inc #124872 Bail \$5,000
Ref to Stockton PD
Sgt. Jackson, #944-8323



3/26/78



Veh: (possible only) DRK BLUE 70 PONTIAC, 2DR, LIC: 643 QED
Subj: Arturo "The Indian", HMA, 22 yrs. (2/25/56), 5'8, 165, Brn med lgth hair desc'd as wavy, Thinly trimmed mustache, Heat dresser, CII #A05344125, PFN #ATR 181. See photo.

Add Info: This subject entered a gay bar in central Stockton on Monday, 3/6/78, at 2200 hrs. After having a few drinks that took him up to closing time, he confronted the bar owner in the parking lot, simulated a weapon, and forced the owner back inside for the purposes of obtaining the bar's money. During the course of the robbery, the suspect made the statement, "Don't #320 with me or I'll blow you to bits!" Before he gained possession of the cash, the owner set off an audible alarm which spooked the subject. He then split before the robbery was completed. The Pontiac noted above was utilized as a getaway vehicle. Prior to this, include 211 and 148 PC so CAUTION should be taken in his arrest. The Sgt working the case would like to acknowledge the excellent police work that was done by Stockton PD Officers Howard and Johnson as they did the initial follow-up in this case and successfully I.D.'d the subject.

5) VEHICLE CORRECTION
RE: 211 S/A on 3/4/78, #4
Sgt. Stewart, #944-8323

211 S/A
SUSPECT
IDK II
COMPOSITE



Veh: BLUISH-GREEN or TURQUOISE 68-69 DODGE VAN, with a broken driver's window, NFD.

Susp: Probable 1st name of "Doug", HMA, 24 yrs., 5'9, 175, Stocky build, Blk wavy collar lgth hair, Mustache, Sideburns, L/S/W a Navy striped shirt and Blu Levi pant. See IDK II composite.

Add Info: We're re-running a portion of this entry as we've been advised of a vehicle color change. On the original entry that appeared as item #7 on 3/4/78, the vehicle color was given as Blu/Grn. The Sgt would now like FI on any possible suspects based on this new description. For the specifics regarding the strongarm robbery, refer to the DCB noted above.

APPENDIX F
ICAP SURVEY OF STOCKTON POLICE DEPARTMENT

The following survey of sworn personnel was conducted in January and February 1975. The survey was administered at weekly training sessions which represented the only time officers could be conveniently assembled. One hundred and three sworn officers responded to the survey; this represents approximately 45 percent of the department's total sworn complement. Seventy-five percent of the survey respondents were in patrol, this oversamples their actual representation on the force by 25 percent. However, given the focus of the ICAP project on this group, this bias is, in some respects, desirable. Items were selected and designed to assess various aspects of the ICAP project and departmental climate. Follow up surveys are planned pending continuation of the evaluation.

STOCKTON ICAP QUESTIONNAIRE

As part of the national evaluation of ICAP, we are interested in finding out what departmental personnel think about various aspects of the department, their job and ICAP. Your response to this questionnaire will not be made available to anyone. Only aggregated statistical results will be reported; anonymity and confidentiality will be preserved. Please take the time to answer the questions thoughtfully. Your answers will be appreciated.

1. For each item below, please check the appropriate space. There are no "right" or "wrong" answers to this questionnaire, we want your honest opinion.

Percent of respondent checking each category.

- a. To what extent does information about the department and things that will affect you come through formal channels, that is, through communications from those who are over you in the department, official information bulletins, policy memos, etc.?
- b. To what extent does information about the department and things that will affect you come through informal channels, that is, through conversations with other people in the department, advice from fellow officers, etc.?
- c. To what extent do people in the department share information about things that happen?
- d. To what extent could departmental personnel do a better job if their superiors let them know more about what is going on?
- e. To what extent does this department emphasize the following of rules, regulations, and procedures?
- f. To what extent does your supervisor provide the help you need for solving job-related problems?

	TO A GREAT EXTENT	TO SOME EXTENT	TO A SMALL EXTENT	HARDLY AT ALL
a.	61	32	6	1
b.	22	60	13	5
c.	38	48	11	3
d.	41	42	15	2
e.	85	14	1	0
f.	65	24	8	3

2. Does the department have formally stated goals or objectives (role or mission statement)?

83 Yes 4 No 12 Don't Know

3. For each of the items that follow, please indicate how satisfied or dissatisfied you are with it:

- a. Top administration
- b. Immediate supervisor
- c. In-service training
- d. Organization of the department
- e. Methods of determining assignments
- f. Your current job assignment

	VERY DISSATISFIED	MODERATELY DISSATISFIED	SLIGHTLY DISSATISFIED	MODERATELY SATISFIED	VERY SATISFIED
a.	8	8	4	2	42
b.	6	6	5	4	21
c.	6	6	4	16	52
d.	6	6	6	4	58
e.	11	12	14	25	32
f.	7	5	0	6	25

4. In regard to your present job mark in the appropriate box how often you feel that you:

	RARELY	OCCASIONALLY	SOMETIMES	FAIRLY OFTEN	VERY OFTEN
g • are able to use your skills from your previous experience and training.....	2	10	8	36	44
h • are certain about what others expect of you on the job.....	0	3	12	48	37
i • get conflicting orders from superiors.....	58	18	19	2	3
j • experience a sharp increase in workload.....	7	12	23	23	35
k • have your workload decreased because of ICAP activities.....	24	18	14	14	10
l • are able to influence the decision of your immediate supervisor which affects you.....	25	15	39	14	7
m • have to do things on the job that are against your better judgement.....	61	17	16	4	2
n • do different things each day.....	8	12	29	28	23
o • are able to participate with others in making decisions that affect you.....	29	12	27	18	14
p • have feelings of pressure to do more work.....	34	24	19	13	10
q • have feelings of pressure to improve the quality of your work.....	53	23	17	3	4
r • have your workload increased because of ICAP activities.....	48	21	18	7	6
s • have administrators and supervisors willing to recognize situations where it was necessary to "bend" departmental rules or procedures...	38	27	20	12	3

5. Read each of the following statements carefully and decide how you feel about it. You will agree with some statements, and you will disagree with others. Please check the box which corresponds most closely with how you feel about the statement. Please answer all statements. Responses will be held in the strictest confidence.

	PERCENT				
	STRONGLY AGREE	AGREE	TEND TO AGREE	TEND TO DISAGREE	DISAGREE
A • Command in this department is open to suggestions about how changes should be implemented.....	9	31	24	1	16
B • ICAP training activities have helped patrol officers to become more effective.....	31	42	20	2	4
C • I don't often get useful information about beat (sector) problems at roll call.....	1	8	8	18	43
D • In this department, police officers are constantly being pressured to change the way they operate.....	2	9	8	32	34
E • Different sections and units of this department cooperate well with each other.....	8	23	32	18	11
F • This department tries to develop and promote alternatives to arrest for some offenses (e.g., referrals of domestic problems to social services, special education programs for traffic violators).....	8	30	35	13	12
G • My immediate supervisor could do a much better job of passing on information to me.....	6	5	12	17	36
H • Patrol receives as much recognition in this department as most other departmental units.....	15	30	22	8	11
I • I don't usually find out about changes in this department until after the changes are made.....	12	25	20	25	16

- J • ICAP should try harder to keep patrol officers informed about what it is doing.....
- K • I have a clear understanding of departmental policies and procedures.....
- L • Many of the department's regulations are unrealistic.....
- M • Changes in policy and procedure occur so frequently in this department that it affects my job performance unfavorably.....
- N • The communications section needs to improve its dispatch procedures.....
- O • This department encourages officers to enforce all laws as strictly as possible in as many situations as possible.....
- P • When changes are made in this department, they are usually introduced from the top down.....
- Q • I have a clear understanding of how my daily activities relate to departmental goals, objectives, and policies.....
- R • My attitude towards preventing or deterring crime is much less optimistic now than it used to be.....
- S • During the same shift, officers on some beats are always much busier than officers on other beats.....
- T • I am too bogged down in paperwork to do an effective job.....
- U • This department makes mistakes but I am still willing to support it in every way possible.....
- V • Most of the people in power in this department are afraid to try innovative programs.....
- W • No matter how hard I work, it doesn't do much good.....
- X • Information is usually communicated promptly and quickly throughout the department.....
- Y • This department places great importance on communicating instructions and orders through the chain of command.....
- Z • Steering committees (or task forces) are important in the adoption of new programs.....
- AA • Presently, some cars are still dispatched to handle routine calls-for service which really do not need a unit to respond.....
- BB • Having an understanding of the crime patterns in a community is very important in the performance of patrol duties.....
- CC • Closer communication between detectives and patrol officers in this department would significantly improve police services.....
- DD • There is no need to have patrol officers involved in investigation work if there is an adequate detective division in the department.....
- EE • The ICAP project initiates activities or changes without consulting with the people who would be most affected by the plans.....
- FF • Information is usually communicated accurately throughout the department.....

	STRONGLY AGREE	AGREE	TEND TO AGREE	TEND TO DISAGREE	DISAGREE	STRONGLY DISAGREE
J • ICAP should try harder to keep patrol officers informed about what it is doing.....	8	18	39	18	11	6
K • I have a clear understanding of departmental policies and procedures.....	24	54	20	1	1	0
L • Many of the department's regulations are unrealistic.....	2	9	13	27	39	10
M • Changes in policy and procedure occur so frequently in this department that it affects my job performance unfavorably.....	2	3	4	36	39	16
N • The communications section needs to improve its dispatch procedures.....	39	21	22	14	2	2
O • This department encourages officers to enforce all laws as strictly as possible in as many situations as possible.....	8	20	24	29	11	8
P • When changes are made in this department, they are usually introduced from the top down.....	17	38	33	8	4	0
Q • I have a clear understanding of how my daily activities relate to departmental goals, objectives, and policies.....	10	41	34	11	3	1
R • My attitude towards preventing or deterring crime is much less optimistic now than it used to be.....	9	17	29	20	19	6
S • During the same shift, officers on some beats are always much busier than officers on other beats.....	21	27	27	17	6	2
T • I am too bogged down in paperwork to do an effective job.....	12	11	33	25	15	4
U • This department makes mistakes but I am still willing to support it in every way possible.....	37	32	20	3	5	3
V • Most of the people in power in this department are afraid to try innovative programs.....	2	8	13	21	26	30
W • No matter how hard I work, it doesn't do much good.....	4	5	18	25	36	12
X • Information is usually communicated promptly and quickly throughout the department.....	3	26	40	22	5	4
Y • This department places great importance on communicating instructions and orders through the chain of command.....	20	35	39	4	2	0
Z • Steering committees (or task forces) are important in the adoption of new programs.....	18	33	38	7	3	1
AA • Presently, some cars are still dispatched to handle routine calls-for service which really do not need a unit to respond.....	28	29	23	12	7	1
BB • Having an understanding of the crime patterns in a community is very important in the performance of patrol duties.....	55	33	11	1	0	0
CC • Closer communication between detectives and patrol officers in this department would significantly improve police services.....	13	24	31	6	5	1
DD • There is no need to have patrol officers involved in investigation work if there is an adequate detective division in the department.....	8	4	8	31	31	18
EE • The ICAP project initiates activities or changes without consulting with the people who would be most affected by the plans.....	5	9	24	30	24	8
FF • Information is usually communicated accurately throughout the department.....	4	29	48	15	0	4

	STRONGLY AGREE	AGREE	TEND TO AGREE	TEND TO DISAGREE	DISAGREE	STRONGLY DISAGREE
GG • I have a clear understanding of the ICAP Project's goals and objectives.....	36	28	22	4	2	
HH • Collecting statistical information is a waste of patrol officer's time.....	3	2	6	27	44	18
II • Involvement in projects such as ICAP helps to keep the department aware of the latest enforcement techniques.....	26	42	29	3	0	0
JJ • This department tends to ignore some minor crimes unless they start to get out of hand.....	7	13	14	36	24	6
KK • Officers on some shifts consistently have to work much harder than officers on other shifts.....	9	28	30	19	9	5
LL • This department really needs reorganization.....	4	6	12	24	37	17
MM • Generally speaking, patrol officers do a good job in their preliminary investigation of felonies.....	18	51	26	4	0	1
NN • Patrol officers have adequate training in investigative techniques and procedures.....	7	24	46	16	7	0
OO • This department is becoming more professional through better management techniques.....	11	41	31	13	4	0
PP • It seems like many programs in this department are started and stopped by the whim of command staff.....	5	15	22	32	20	6
QQ • This department effectively minimizes the disruptions which occur when operational and procedural changes are made.....	4	20	58	15	3	0
RR • Some ICAP activities have improved the flow of communications between various sections and units of the department.....	23	26	33	9	0	9
SS • It would be good if the ICAP project continues after the federal funding ended.....	34	34	23	3	3	3
TT • The presence of the ICAP project has helped the department to accomplish things which would have been impossible without it...	43	33	19	2	1	2
UU • Overall, the way the department operates has changed for the better as a result of ICAP.....	37	39	17	5	0	2
VV • Officers frequently participate in decisions concerning the adoption of new programs.....	11	20	34	18	12	5

6. How familiar are you with the operation of the following departmental units and programs?

	VERY FAMILIAR	MODERATELY FAMILIAR	SLIGHTLY FAMILIAR	NOT AT ALL FAMILIAR
Patrol.....	86	12	4	0
Investigations.....	31	52	15	2
Communications.....	20	38	38	4
CAP.....	21	41	33	5

7. How would you rate the following departmental units and programs?

	VERY POSITIVE	MODERATELY POSITIVE	SLIGHTLY POSITIVE	SLIGHTLY NEGATIVE	MODERATELY NEGATIVE	VERY NEGATIVE
A • Patrol.....	56	37	4	1	2	0
B • Investigations.....	44	38	15	2	1	0
C • Communications.....	14	28	26	14	7	11
D • ICAP.....	43	40	15	2	1	0

BACKGROUND INFORMATION

8. Age (check appropriate box)

- ☐ less than 20 years old
☐ 20-29 years old
☐ 30-39 years old
☐ 40-49 years old
☐ 50-59 years old
☐ 60 years or older

9. How long have you been a police officer in the department? _____ years

10. Have you been a police officer with any other department prior to this one?

☐ YES ☐ NO If YES, how long? _____ years

11. What is your rank? _____

12. What division are you currently in? _____

Administrative - 1
 Patrol - 76
 Communication - 4
 Narc-View - 6
 Traffic - 5
 Juvenile - 6
 Investigations - 2
 Other Units - 3
 (e.g., Community Relations)

VY
6. II
u

A
B
C
D

Appendix G

ICAP INVESTIGATIONS MANAGEMENT COMPONENT

OVERVIEW

Managing investigations is one of the four program components of ICAP. It focuses on the development of investigative case management techniques and the enhancement of the investigative activity of the patrol force. The general purpose of this program component is to increase arrests for serious crimes which are prosecutable, ultimately leading to an increased number of convictions. There are six major areas of activity which comprise the investigations management component of ICAP.

1. Patrol Role in Initial Investigations

Whether addressed in terms of case clearances or other solutions outcomes, the quantity and quality of the information gathered by the officer who first responds to the scene of a crime in a preliminary investigation has emerged as the key to the solution of most cases by the police. These findings have resulted in a re-evaluation of the patrol force in the investigative process and a specific reappraisal of the activities of patrol officers at crime scenes. It has included expanding the role of the patrol officer in determining which cases, based upon the preliminary investigation, should be closed or warrant follow-up investigation by detectives.

2. Case Screening

Case screening is the mechanism whereby patrol decisions determining the status of a case receive supervisory review. Case screening is an investigative management function since approval of case continuation will result in the assignment of that case for follow-up investigation. Case screening can include an assessment of: (1) the accuracy and completeness of the crime information collected by patrol officers; (2) the on-scene determination pertaining to the sufficiency of information and evidence pertaining to case solvability; and (3) the patrol officer's decision that a follow-up investigation is or is not warranted. When used for these assessment purposes, it serves not only as a supervisory decision-making activity but also as a general case review process.

3. Management of Continuing Investigations

The management of continuing investigations activity area is designed to provide management controls over the follow-up investigation. Once the necessity for continuing a case is determined as a result of case screening, the investigations manager must then: (1) assign the case; (2) monitor the investigative activities during the follow-up; (3) maintain quality controls in the conduct of investigative activities and case preparation; (4) measure investigative progress; and (5) make a determination to continue a case if sufficient progress has occurred. Essential to continuing investigations management is the existence of a formalized system for: (1) distribution of caseloads and assignment of investigative priorities; (2) documentation of case activities and progress; and (3) case reassessment.

4. Police/Prosecutor Relationships

Impacting on the investigations management component and its successful function-

ing is the relationship which exists between the police agency and the prosecutor. ICAP envisions the relationship to be one which is formalized, institutionalized and systematic. While a number of legal, governmental, and environmental factors combine with tradition and attitude to complicate the development of formal criteria for describing this relationship, the presence of certain elements indicate the existence of a police/prosecutor interface. These elements are: (1) the existence of a continuing and recognized working partnership on matters of obvious mutual law enforcement interest; (2) the identification of the prosecutor's information needs and their incorporation in the police investigative process; (3) the existence of a formal, liaison capability with the prosecutor; and (4) the existence of a formal feedback mechanism from the prosecutor to the police encompassing, at a minimum, the reasons for dismissal and rejection of cases by the prosecutor. Other possible articulations include major case/offender screening oriented to prosecutor interest, prosecutive involvement in case preparation and case management, availability of prosecutive personnel to the police, and joint training efforts.

5. Monitoring of the Investigation System

Essential to the introduction of formal management systems in the ICAP Investigations Management component is a sub-system to promote and evaluate the overall success of the component. Continuous monitoring is designed to track all component elements of investigations management. The goal is to afford police managers with reliable indicators - as to how well the other components of investigations management are contributing to the overall performance of the criminal investigation process and meeting individual objectives and management information system to provide continuous feedback on the investigative process. Some common factors which define a fully implemented monitoring system are (1) the monitoring is a continuous activity as opposed to a one-time occurrence; (2) the system comprises established forms, procedures, and criteria for data collection, analysis and validation; (3) formal distribution channels are established.

6. Police Agency Organization and Allocation Decisions

The introduction of the Investigations Management component into a police agency impacts upon traditional police management and investigative practices. Many innovations in managing criminal investigations are not amenable to pro-forma accommodation in the traditional police agency. The assignment of initial investigative responsibilities to patrol alone results in major police questions pertaining to resources allocated to patrol, investigations, and the validity of existing policies, procedures and department-wide support systems. This area of investigations management addresses those changes in the organization and allocation of departmental resources.

APPENDIX II

Excerpted from: Managing Criminal Investigations

SECTION III

PROPOSAL FOR INVESTIGATIVE SYSTEM UPGRADES

STOCKTON POLICE DEPARTMENT

In the preceding section of this report, we have described some of the more notable deficiencies in our current investigative system. In this section, we are presenting a proposal for upgrading the investigative system through some proven innovative techniques which have been used in other police departments with success. Exhibit A is a flowchart which shows the case review and follow-up system to be used in the upgrade of our current investigative process. This section will provide an overview of the changes to be made in the investigative process under the new system.

Preliminary Investigation (Patrol)

As indicated on the flowchart in Exhibit A, the changes will begin in the preliminary investigation done by Patrol. The primary change in investigative techniques to be utilized by Patrol Officers will be the addition of a Case Management Receipt system (CMR) to what is currently being done in the field. The CMR is a multi-copy form printed on NCR paper. Included in the CMR will be an original, investigations, recontact investigations, and victim copy of the CMR form.² The purpose of the CMR is to provide a means by which a Patrol Officer will become more involved in the investigative process through the classification of crimes the officer is investigating. Nine separate solvability factors have been identified on the CMR form. It will be the responsibility of the Patrol Officer investigating the crime to indicate whether any or all of the solvability factors are present in the crime being investigated. It will then be the responsibility of the Patrol Officer to classify the crime as: (A) Needing follow-up by investigations; (B) Needing follow-up by Patrol; or (C) Follow-up not warranted. A copy of the CMR will be given to the victim. The CMR will contain information such as: (1) Crime report number; (2) The name, shift, and watch of the reporting officer; and, (3) Information regarding the California Government Code Section 13959 "Aids to Victims of Violent Crimes".

More importantly, however, the CMR will provide a means by which Patrol Officers will begin focusing their investigation on information which studies have shown provides the best leads to identifying the perpetrator of a crime. It will also provide a means by which case review officers can quickly look through a crime report to determine if follow-up is necessary. Through the use of the CMR, Patrol Officers become intimately involved in the investigative process. They are primarily responsible for classification of crimes based upon solvability factors. In addition, Patrol Officers have the responsibility of expanded preliminary investigations on crimes classified as "Needing follow-up by Patrol". This provides Patrol Officers with more direct involvement in the investigations process. The end result should be an increase in the quality and quantity of information collected at the scene of the crime.

² A copy of the CMR is contained in Appendix II.

CASE REVIEW AND FOLLOW-UP SYSTEM

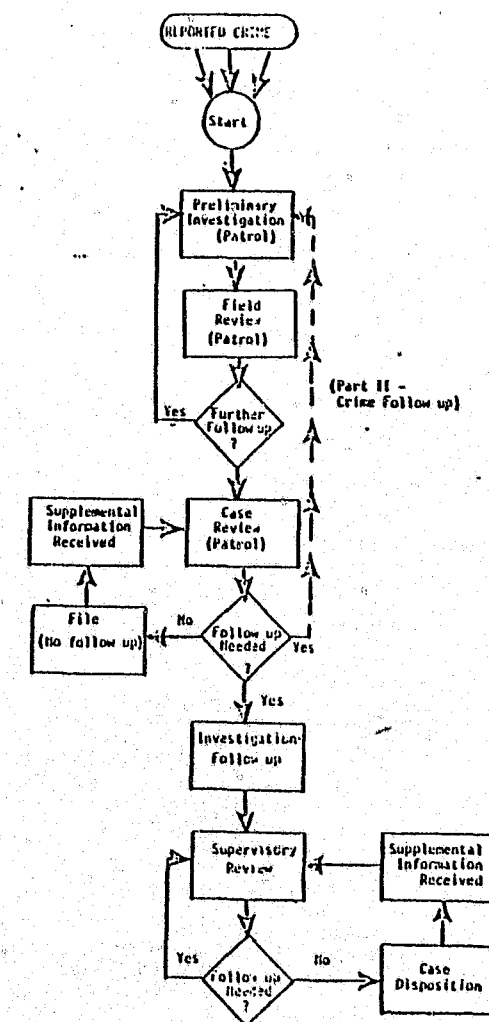


EXHIBIT A

Field Review of Crime Reports (Patrol)

One of the key elements to improving the quality and quantity of information being gathered in the investigative process in Patrol will be supervisory review of crime reports by Patrol Sergeants. It cannot be overstressed that the information available to Patrol Officers has been found to be most critical in the successful closure of criminal cases. Therefore, it is equally important that a supervisor review reports in the field to insure that needed information is being collected by Patrol Officers at the time the incident takes place. Therefore, it will be necessary that sergeants review and sign off before they are submitted to the Records Section.

Case Review and Case Control Section (Patrol)

Two sergeants have been assigned as case review and control officers in the Patrol Section. Once the case management receipts and reports are written on a crime, they will be submitted to the Records Section for distribution. The original copy of the CHR and a copy of the crime report will be sent to the Case Screening and Case Control Section. The primary responsibility of this unit will be to review the CHRs to insure that the proper classification of the cases have been made by Patrol Officers. In addition, this section will have primary responsibility for case control of those cases which have been designated as "Needing follow-up by Patrol". This means that all reports classified as "B" will be handled by Patrol. This section will develop a system for distribution of those cases which must be followed up by Patrol Officers during the Second and Third Watches. Officers assigned for case follow-up will complete the follow-up and resubmit the cases for review by the Case Control Section. In all such cases, the incident will be reclassified as: (A) Needing follow-up by Investigations or (C) No follow-up necessary.

Follow-up on Case Classified in "A" Category (Investigations)

The Investigations Division will receive copies of all crime reports regardless of classification. However, it will be the primary responsibility of the Investigations Division to follow up on crimes classified as: (A) Needing follow-up by Investigations. In addition to the established procedure in Investigations, the new system will require a revision of the existing assignment log and a new investigator assignment record plus a form to be completed by investigators on cases assigned to them.³ These new forms have been developed to assist in keeping a record of cases assigned to investigators and progress made on various cases assigned to investigators. Under the new system, investigative supervisors will be expected to review case loads on a regular basis to determine which cases are being worked and how many hours are being spent on various cases. This is to insure that case loads are evenly divided and that investigators are keeping up with their work assignments.

SECTION IV

CONCLUSIONS AND RECOMMENDATIONS

Based upon studies done on other police departments and within the workings of the Stockton Police Department, we believe that the proposed upgrade of the investigative system will significantly increase the effectiveness and efficiency of our current in-

³See Appendix C for forms.

vestigative process. A lot of pre-implementation planning has preceded the writing of this report and will continue until the entire system is implemented. The status of work completed to date includes: (1) Forming of a steering committee to oversee the development of the investigative systems upgrade; (2) The development of a Case Management Receipt form; (3) The development of investigative logging forms; (4) A study completed on the time available for officers working Second Watch to conduct extended preliminary investigations;⁴ and, (5) This report outlining the proposal for the investigative systems upgrade has been submitted to the Chief of Police for approval to implement the investigative systems upgrade project.

In terms of the items which will be necessary to implement this system, we anticipate that the following will need to be done as soon as the proposed system is approved for implementation: (1) Revising the Report Manual to include the Case Management Receipt form with instructions on how to fill out the form; (2) Training of officers in the filling out of Case Management Receipts; (3) Establishment of a Case Screening and Case Control Unit; (4) Modification of the current paperwork flow for crime reports to accommodate case screening; (5) Increasing the responsibility of Records personnel for sorting of reports and other materials going into the Investigation Division/Juvenile Section; (6) Training for investigative personnel in the use of the new logging form; (7) Development of an activity report from the Investigations Division to the Chief of Police outlining activities similar to the one submitted by Patrol Commanders on hours worked, cases assigned, etc.⁵

⁴See Appendix D for results.

APPENDICES TO MANAGING
CRIMINAL INVESTIGATION

PATROL FOLLOW UP INVESTIGATIONS

Patrol follow up is being implemented in the Stockton Police Department to expand the patrol officers' role during the investigative process. Additionally, by conducting follow up, the Patrol Section will assist investigations personnel in coping with today's ever-increasing case load.

Patrol officers will conduct follow up investigations on selected felony and misdemeanor cases. Generally, patrol case follow up will be conducted during Second or Third Watch.

The following procedure was developed to assist Patrol Section personnel in their new role:

1. All patrol officer follow up will be coordinated by the Case Screening Unit.
2. Cases requiring patrol follow up will be filed by beat in a hard cover folder and placed in a rack on the sergeant's table prior to roll call.
3. It will be incumbent upon the patrol sergeant to check for case follow up prior to the start of his shift.
4. The patrol sergeant will assign follow up to the proper beat car or flex unit. The type of unit assignment is up to the Sergeant or Watch Commander.
5. Upon being assigned a case follow up, the patrol officer will complete a Case Assignment Record, P.D. Form # , and turn it into the Case Screening Unit. (This form will be included by the Case Screening Unit in the case follow up folder.)
6. A patrol officer will have five working days to complete any follow up on a case once it is assigned.
7. If an officer is going on his days-off or annual vacation, it is the officer's responsibility to notify his sergeant and the Case Screening Unit of this fact. The case will only be reassigned under these circumstances.
8. Upon completing the follow up, the officer will do the following:
 - a. If no additional information is developed, reclassify the case on the "Recontact Copy" of the Case Management Receipt to "Crime Analysis", status "Inactive".
 - b. If additional information is developed, the case will be reclassified on the CMR from "Field Operations" to "Detectives", with the status remaining "Active".
 - c. If after obtaining this additional information the patrol officer cannot clear the case by arrest, the officer will complete a subsequent report containing all additional information developed. The subsequent report and entire case folder will be placed into the Case Screening box at the Headquarters counter.
 - d. The Case Screening Unit will determine if the case has been properly classified. Upon completion of the review, the Case Screening Unit will then either reclassify the case or forward the case to Investigations.

PATROL SERGEANT REPORT REVIEW

The following procedure is being implemented to insure reporting officers are collecting the maximum amount of information when the initial report is taken and that the report itself is complete.

1. The Patrol Sergeant shall review each crime or arrest report and the Case Management Receipt before they are turned in at Headquarters.
2. Each report shall be reviewed for proper grammar, spelling, quality of investigations, etc.
3. Each Case Management Receipt shall be reviewed for completeness and proper classification, i.e., Detectives, Field Operations or Crime Analysis, etc.
4. Upon approval, the Patrol Sergeant shall sign his name and badge number in the "Approved By" box located on each report form.
5. If the reporting officer's shift sergeant has secured from duty, the shift commander shall see to it that the report is reviewed and approved.
6. Reports which have not been approved by a Patrol Sergeant will not be accepted by Headquarters personnel.
7. The reviewing Patrol Sergeant along with the reporting officer shall be held responsible and accountable for each report.

CASE SCREENING AND CONTROL UNIT

The Case Screening and Control Unit will coordinate each follow up investigation conducted by patrol officers. A sergeant has been assigned to this function and will act as a liaison with the Investigations Section.

Initially, the unit's duty hours will be 0700 to 1600, Monday through Friday. The Case Screening and Control Unit will be located in Room 116 which is next to the Patrol Roll-Call Room.

A. REPORT REVIEW

1. Records Personnel shall place a copy of each crime/arrest report and Case Management Receipt in the Case Screening Box located at Headquarters.
2. The Case Screening Unit will randomly review crime/arrest reports for grammar, spelling, punctuation, and quality of the investigation. Corrective action will be taken on reports as necessary.
3. Additionally, each Case Management Receipt shall be reviewed for completion and proper classification, i.e., Detectives, Field Operations, Crime Analysis.

B. PATROL FOLLOW UP

1. The Case Screening Unit shall coordinate each "Field Operations" case follow up with investigations and patrol personnel.
2. All "Field Operations" cases will be followed up by patrol officers primarily on Second or Third Watch. However cases may be assigned as circumstances dictate to other watches.
3. The Case Screening Unit will record for monitoring purposes each case assigned follow up by patrol.

4. Those cases assigned patrol follow up will be in beat folders located on the sergeants' table in roll call.
5. At the beginning of each shift the patrol sergeant in conjunction with the Case Screening Sergeant will assign any case follow up to the appropriate beat of flex officer.
6. Upon completion of the follow up, the Case Screening Unit will review the Recontact Case Management Receipt and/or subsequent report for proper classification, etc.
7. If the case is closed by the patrol follow up officer, Case Screening will notify the proper investigations section and file the CMR in their office.
8. If additional information is developed, the patrol officers will submit a subsequent report and re-classify the case to "Detective".
9. Case Screening and Records Section will then forward all subsequent information to the Investigations or Juvenile Section.

STOCKTON POLICE DEPARTMENT
22 East Market Street
Stockton, California 95202
(209) 944-8323 (Detectives)
(209) 944-8474 (Juvenile)

CASE MANAGEMENT RECEIPT

DATE: _____

TYPE CRIME: _____

CRIME REPORT NO.: _____

NATURE OF LOSS/DAMAGE: _____

CLASSIFICATION: A ☐ B ☐ C ☐

STATUS OF REPORT: _____

Cleared	Active	Inactive	Juvenile	Involved
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
1. Suspect named, known, identified	_____	_____
(A) 2. Suspect vehicle with license	_____	_____
3. Eyewitness able to I.D. suspect	_____	_____
4. Suspect vehicle description	_____	_____
5. Eyewitness able to I.D. vehicle	_____	_____
(B) 6. Traceable stolen property	_____	_____
or 7. Victim Condition/Urgency for action	_____	_____
(C) 8. Significant physical evidence	_____	_____
(A) 9. Supervisory judgment	_____	_____

COMMENTS: _____

Reporting Officer
Badge No. _____ Shift _____ Watch _____

Recontact Officer
Badge No. _____ Shift _____ Watch _____

ORIGINAL

STOCKTON POLICE DEPARTMENT
22 East Market Street
Stockton, California 95202
(209) 944-8323 (Detectives)
(209) 944-8474 (Juvenile)

CASE MANAGEMENT RECEIPT

DATE: _____
TYPE CRIME: _____
CRIME REPORT NO.: _____
NATURE OF LOSS/DAMAGE: _____

CLASSIFICATION: A ☐ B ☐ C ☐
STATUS OF REPORT:
Cleared ☐ Active ☐ Inactive ☐ Juvenile Involved ☐
Yes No

1. Suspect named, known, identified _____
(A) 2. Suspect vehicle with license _____
3. Eyewitness able to I.D. suspect _____
4. Suspect vehicle description _____
5. Eyewitness able to I.D. vehicle _____
(B) 6. Traceable stolen property _____
(C) 7. Victim Condition/Urgency for action _____
8. Significant physical evidence _____
(A) 9. Supervisory judgment _____

COMMENTS: _____

Reporting Officer
6 Badge No. _____ Shift _____ Watch _____
Recontact Officer
6 Badge No. _____ Shift _____ Watch _____

VICTIM'S COPY
SEE REVERSE FOR INSTRUCTIONS

INSTRUCTIONS

1. RETAIN THIS REPORT RECEIPT AS YOU MAY NEED THIS INFORMATION FOR THE FOLLOWING:
A) ADDITIONAL CONTACTS WITH THE POLICE DEPARTMENT
B) YOUR INSURANCE REPORT
C) TAX PURPOSES
2. CALIFORNIA GOVERNMENT CODE/SECTION 13959 - AID TO VICTIMS OF VIOLENT CRIMES

If you have sustained PHYSICAL INJURY as a direct result of a crime of violence, or are legally dependent for support upon a person who has sustained PHYSICAL INJURY OR DEATH as a direct result of a crime of violence, or, in the event of a death caused by a crime of violence, you have legally assumed or voluntarily paid the medical or burial expenses incurred as a direct result thereof, you may qualify for indemnification by the State of California for the out-of-pocket wages, medical and/or burial expenses which you have incurred as a result of the crime. Section 13959 et. seq. of the Government Code has established a program to indemnify and assist in the rehabilitation of residents of California who have, as the direct result of a crime, suffered a pecuniary loss which they are unable to recoup without suffering serious financial hardship. Claims must be filed with the State Board of Control for the State of California.

For further information regarding this program, please contact:

<i>Victims of Violent Crime</i> Program State Board of Control 926 "J" Street Suite 300 Sacramento, CA 95814 Telephone: (916) 322-4426	<i>Victims of Violent</i> Crime Program Legal Advisor Stockton Police Dept. 22 East Market Street Stockton, CA 95202 Telephone: (209) 944-6511
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STOCKTON POLICE DEPARTMENT
22 East Market Street
Stockton, California 95202
(209) 944-8323 (Detectives)
(209) 944-8474 (Juvenile)

CASE MANAGEMENT RECEIPT

DATE: _____

TYPE CRIME: _____

CRIME REPORT NO.: _____

NATURE OF LOSS/DAMAGE: _____

CLASSIFICATION: A ☐ B ☐ C ☐

STATUS OF REPORT:

Cleared ☐ Active ☐ Inactive ☐ Juvenile Involved ☐

Yes No

1. Suspect named, known, identified _____

(A) 2. Suspect vehicle with license _____

3. Eyewitness able to I.D. suspect _____

4. Suspect vehicle description _____

5. Eyewitness able to I.D. vehicle _____

(B) 6. Traceable stolen property _____

or 7. Victim Condition/Urgency for action _____

(C) 8. Significant physical evidence _____

(A) 9. Supervisory judgment _____

COMMENTS: _____

Reporting Officer
& Badge No. _____ Shift _____ Watch _____

Recontact Officer
& Badge No. _____ Shift _____ Watch _____

VICTIM'S COPY
SEE REVERSE FOR INSTRUCTIONS

INSTRUCTIONS

1. RETAIN THIS REPORT RECEIPT AS YOU MAY NEED THIS INFORMATION FOR THE FOLLOWING:
 - A)- ADDITIONAL CONTACTS WITH THE POLICE DEPARTMENT
 - B) YOUR INSURANCE REPORT
 - C) TAX PURPOSES
2. CALIFORNIA GOVERNMENT CODE/SECTION 13959 - AID TO VICTIMS OF VIOLENT CRIMES

If you have sustained PHYSICAL INJURY as a direct result of a crime of violence, or are legally dependent for support upon a person who has sustained PHYSICAL INJURY OR DEATH as a direct result of a crime of violence, or, in the event of a death caused by a crime of violence, you have legally assumed or voluntarily paid the medical or burial expenses incurred as a direct result thereof, you may qualify for indemnification by the State of California for the out-of-pocket wages, medical and/or burial expenses which you have incurred as a result of the crime. Section 13959 et. seq. of the Government Code has established a program to indemnify and assist in the rehabilitation of residents of California who have, as the direct result of a crime, suffered a pecuniary loss which they are unable to recoup without suffering serious financial hardship. Claims must be filed with the State Board of Control for the State of California.

For further information regarding this program,
please contact:

Victims of Violent Crime
Program

State Board of Control

926 "J" Street

Suite 300

Sacramento, CA 95814

Telephone: (916) 322-4426

Victims of Violent
Crime Program

Legal Advisor

Stockton Police Dept.

22 East Market Street

Stockton, CA 95202

Telephone:

(209) 944-8511

[illegible]STOCKTON POLICE DEPARTMENT
CASE ASSIGNMENT RECORDSECTION/
DETAIL

MONTH OF _____ 19____

[illegible]

[illegible]

BEAT	TOTAL CFS	HRS. CFS	AVERAGE CFS	AVERAGE HRS. CFS	
				TOTAL AVERAGE HRS.	CFS Includes 1
Adrian 1	249	123	8.0322	3.9677	4.9677
Adrian 2	248	108	8.000	3.4838	4.4838
Adrian 6	187	83	6.9322	2.6774	3.6774
David 7	215	100	8.2258	3.2258	3.2258
David 10	243	99	7.8387	3.1935	4.1935
David 13	254	113	8.1935	3.6451	4.6451
David 14	182	71	5.8709	2.2903	3.2903

SECOND MATCH - 7 BEATS - DAY SHIFT				
BEAT	TOTAL CTS	HRS. CTS	AVERAGE CTS	AVERAGE HRS. CTS
Adam 1	202	112	6.5161	3.6129
Adam 2	245	132	7.9032	4.2581
Adam 6	247	120	8.3226	3.8710
David 7	319	119	10.2903	3.8387
David 8	277	120	8.9355	3.8710
David 13	251	105	8.0968	3.3871
David 14	238	107	7.6774	3.4516

TOTAL AVERAGE IN CTS: Includes 1 Admin. Time
4.6129
5.2581
4.8710
4.8387
4.8710
4.3871
4.4516

APPENDIX I

SUMMARY DATA

SAN JOAQUIN COUNTY CAREER CRIMINAL PROJECT

Abstracted from: FOURTH QUARTER REPORT - SECOND YEAR GRANT

	<u>Baseline*</u>	<u>First Year</u>	<u>Second Year</u>
Percent of Defendants in Custody			
At Preliminary	64	86	93
At Trial	67	84	86
Percent of Defendants with Bail/ Bond Set			
At Preliminary	87	96	100
Average Amount of Bail/Bond	\$6,549	\$22,441	\$37,685
At Trial	89	98	100
Average Amount of Bail/Bond	\$8,273	\$22,858	\$44,691
Average Number of Charges per Defendant	2.65	3.55	3.53
Average Number of Days from Arrest to Conviction/Dismissal	87	102	77
Percent Guilty Defendants (Plea, Jury, Court)	83	90	94
Percent of Defendants Sentenced to State Prison	56	86	91
Average Length of Prison Term	2.84 years	4.19 years	4.68 years

*Career criminal type cases/defendants prosecuted in San Joaquin County before pro-gram began.

END