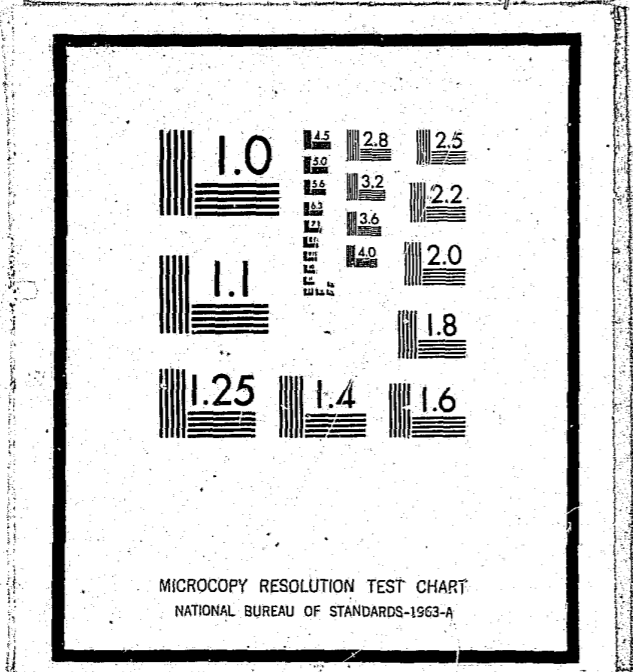


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CALIFORNIA CRIMINAL JUSTICE COST STUDY:  
A Cost Reporting System and Final Technical Report

Prepared for the California Assembly under  
LEAA Grant No. NI 72-012G by

Public Systems Incorporated  
1197 East Argues Avenue  
Sunnyvale, California 94086

Authors:

Paul L. Patterson, Project Director  
Ernest A. Unwin, Ph.D.  
Michael A. Zimmerman  
Howard A. Hayes

AOR No. 3  
Volume I

RULES COMMITTEE

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CALIFORNIA LEGISLATURE

ASSEMBLY OFFICE OF RESEARCH

Room 500, Library and Courts Building  
Sacramento 95814  
(916) 445-9098

James A. Lane  
Director  
445-1638

Joan Gibson Reid  
Asst. Director  
445-1844

October 5, 1972

Jerris Leonard, Administrator  
Law Enforcement Assistance Administration  
U.S. Department of Justice  
Washington, D.C. 20530

Dear Mr. Leonard:

The three-volume report, "California Criminal Justice Cost Project," presents a cost reporting system for California criminal justice agencies. This project was conducted by the Assembly Office of Research for the California Assembly and the Law Enforcement Assistance Administration under Grant Awards NI 70-061 and NI 72-012-G.

Volume I presents a full description of the cost reporting system. The foreword was written by Assembly staff and the balance of the report was prepared by Public Systems Incorporated, the prime contractor.

Volume II contains all computer program documentation for the operation of the system.

Volume III reports the work of the Bureau of Criminal Statistics in developing a new offender tracking system that eventually could operate in conjunction with the cost reporting system.

While the preface in Volume I indicates the fine cooperation and assistance received from many persons involved with the cost study project, I would like to make special mention of the following persons who made major contributions to the study:

Willard Hutchins, Assistant Chief, Bureau of Criminal Statistics; Paul Patterson, Project Director from PSI; Carol Crowther, Consultant to the Assembly Select Committee on the Administration of Justice; and Robin Lamson, Principal Consultant of the Assembly Office of Research. I would also like to express my appreciation to Jay Merrill, Harold Fait and Lou Mayo of your

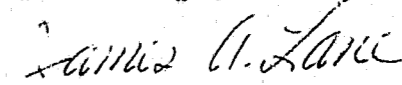
Jerris Leonard

-2-

staff for their assistance.

The cost reporting system is now complete and ready for implementation. We hope to test this system in two California counties and also apply it to a state agency budget.

Sincerely yours,



JAMES A. LANE  
Project Director

JAL:bp

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FOREWORD

COST REPORTING SYSTEM STUDY PRODUCTS

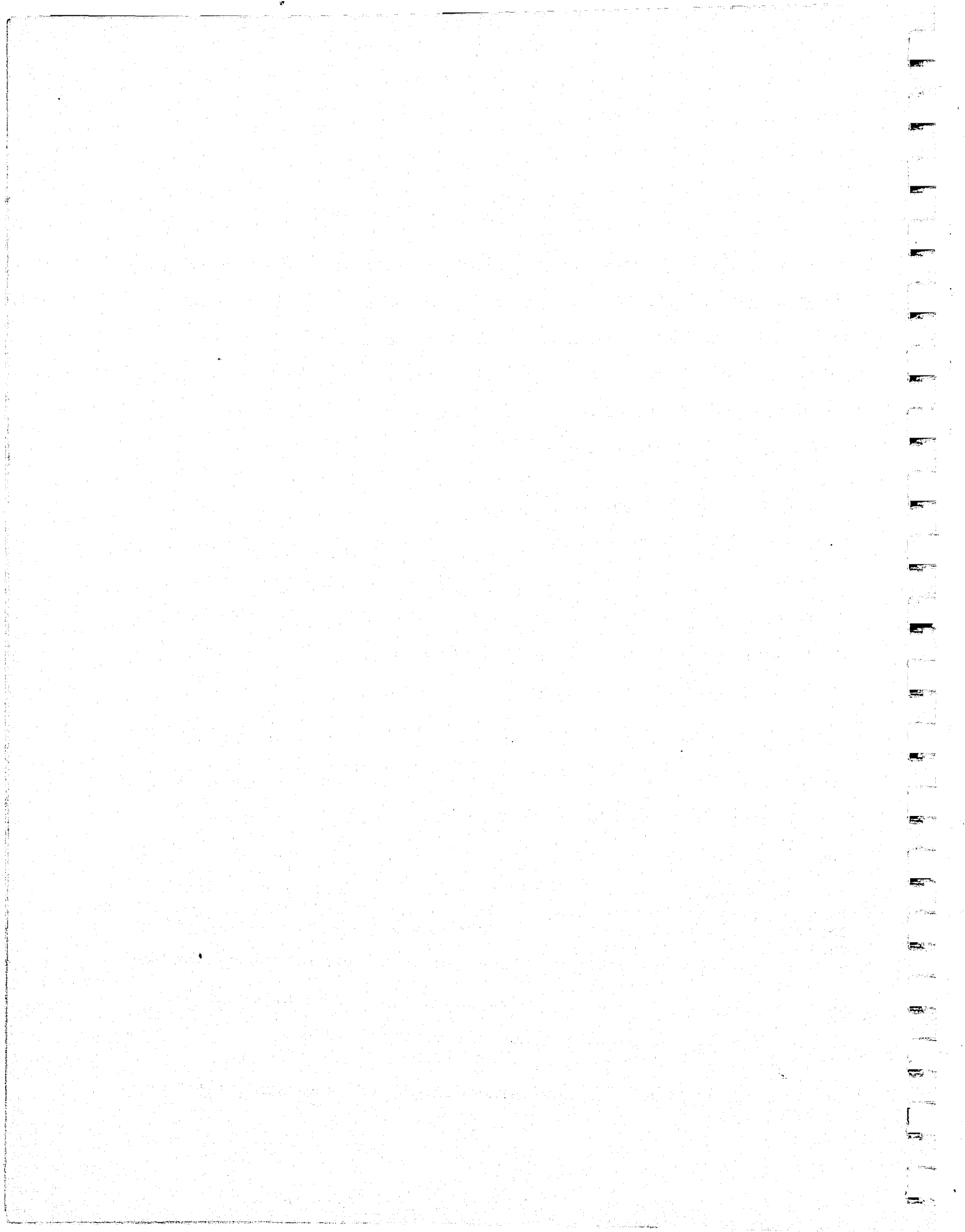
The chief products of this project are a method of reporting the true costs of criminal justice operations and a computer program to analyze results intelligibly for those who use the data. The cost reporting system was designed to increase uniformity in accounting for criminal justice expenditures in California's counties, cities and state agencies.

Conventional budget documents do not provide all the information needed by policy makers, whether legislators or administrators. The fact that the practices of the separately administered subsystems of police, courts, and corrections affect the workload of each other also creates a need for more refined data and new kinds of analysis.

The annual budget of most local and state agencies or units of local government answers the questions of people who want to know how revenues were spent that year. They are satisfied to know, for example, how much was or will be spent in a given county for the police, the courts, and the jail. Decisions regarding capital outlay are usually dealt with within the context of recent and current agency workloads. The fact that activities cannot be coordinated across jurisdictional lines also contributes to a narrow view of the potential uses of budgetary data.

In the last decade increasing crime rates and increasing





expenditures have caused different and broader questions to be asked. The products of criminal justice agency activities are increasingly viewed as services directed toward the reduction of specific crimes or the solution of specific subsidiary problems. The recurrent question is, How much do these services cost?

The following questions have been asked staff by concerned legislators over the past five years in their efforts to come to grips with policy issues.

- What is the total cost of processing drug offenders?
- What is the average cost of committing an offender to prison? (What is the likelihood of released offenders committing more crime than offenders who are placed on probation?)
- How much would the cost of running a jail be reduced if a maximum bail on own recognizance program were instituted in a given county?
- What would be the system and subsystem cost of increasing or decreasing statutory penalty ranges?
- Does a well-staffed and equipped court system process offenders more quickly than one starved for funds?
- How much money would be saved by 24-hour court service in urban areas?
- Would crime be reduced by doubling the police patrol and halving the expenditures for corrections?
- What would be the cost of running an adequate public defender office and what impact would their activities have on the rest of the system?

- Are government administered corrections programs cheaper and more effective than private ones?

Although these questions cannot be answered by using the conventional budget data, the cost reporting system, if implemented, can supply the cost information required to answer most of the above questions. Independent studies to determine outcome and effects will be needed, however, to determine the complete cost/benefit of criminal justice programs.

Consider, for example, the costs associated with processing drug offenders. Using new data available on individual offender flow developed in San Diego by the Bureau of Criminal Statistics,\* either a specific individual case cost or average cost could be developed to indicate what processes are involved with drug offenders for police, district attorney and courts, probation and state agencies. Once the cost reporting system is implemented and operational, process costs can be developed and the total cost of drug offenders determined by adding the sub-costs (i.e., processes costs).\*\*

Thus, in addition to generating the usual information regarding annual expenditures for capital outlay, equipment, and personnel, the cost reporting system will describe the cost of criminal justice services defined in terms of their legal and practical significance.

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\*See Volume III.

\*\*The BCS data system still needs improvement. It cannot, for example, indicate if a person held for trial is incarcerated in jail or is released on bail. Nor can time intervals of less than a day be indicated.

Also, by establishing consistent reporting and analytical procedures for the cost of erratically recorded support services, such as communications networks, some appraisals of agency efficiency can be made.

Although the emphasis of this project was on improved cost reporting methods, some attention was given to revising the basis for criminal workload statistics. Information regarding the cost of criminal justice activities obviously must include an accounting of the disposition of offenders, who are, so to speak, the unit which the activity processes. How they proceed through the system, the time it takes and the final outcome must be known.

Five technical products of this project are provided for those interested in revising budget formats:

- 1) A true cost accounting system which defines criminal justice agency operations as services and permits the assignment of costs to different types of offenders, offenses, and agency programs. Similar or identical functions performed by different agencies can easily be identified. (Volume I, Sections 1, 2, 3, 4.)
- 2) A series of computer programs for performing the required computations and assessing the cost of work performed. These programs make the results of the many possible kinds of analyses intelligible to different users. (Volume II.)
- 3) A list of criminal justice processes describing

the complete operation of the criminal justice system in California. This is the logical element that links costs to the application of criminal sanctions. (Volume I, Appendix A.)

- 4) A method of determining in detail the individual workloads of criminal justice personnel. (Volume I, Appendixes B & C.)
- 5) A revision of the current California offender disposition report in order to provide the recording format for offender-based criminal justice process statistics. (Volume III.)

BACKGROUND OF THE COST REPORTING SYSTEM

The history of this criminal justice cost project sponsored by the California State Assembly began in 1968 when the Assembly Ways and Means Committee asked the Assembly Office of Research to report on costs and effects of the California criminal justice system.

The request was prompted by a report of the Office of Research on the deterrent effects of criminal sanctions which had concluded that there was no evidence that severe penalties reduced crime among ex-prisoners or the public any more than less severe penalties.\* The Legislature had been raising penalties for crimes of violence and drug offenses for some years and questions had been raised about the efficacy of this policy. Another conclusion of the study was that, while variations in the length of incarceration and corrections programming seemed to have little effect on client populations, the variations in cost should be taken into account in future corrections planning.

The Legislature had already begun to act on this principle in passing the Probation Subsidy Act in 1965. That act reimbursed counties for reducing their prison commitments by paying them up to \$4,000 for each prisoner retained in local programs who would otherwise have gone to a state institution. The program was justified by observations of the relative ineffectiveness of

---

\*Assembly Committee on Criminal Procedure. Deterrent Effects of Criminal Sanctions. Part Two--Crime and Penalties in California, May 1968.

prison programs and the much smaller expense of county probation programs.

The Office of Research report to the Ways and Means Committee was completed in early 1969, and was the first report ever issued in California which attempted to list all the costs of administering criminal justice and raise and answer questions relating to the most effective use of financial resources of the system.\* It demonstrated that, while certain general characteristics of the system could be determined from the crude data available, reliable and credible conclusions regarding the implementation of major improvements would require greatly improved information.

The report contained a "corrections cost projection model" executed by a private contractor which brought to light remarkable discrepancies in the prison commitment rates of felony courts, indicating savings to the state if commitment policies were made uniform.

The cost assumptions of the model, however, did not involve any new analysis of program costs. Those were adopted intact from the California Youth Authority estimates of juvenile and adult prison "career" costs. These program cost estimates were adequate to support judgments on the desirability of some general policies, but not sufficient to account for major discrepancies in cost estimates or to provide the basis for rigorous appraisals of agency efficiency or the exact financial impact of new policies.

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\*Assembly Office of Research. California, Legislature, Sacramento. Preliminary Report on the Costs and Effects of the California Criminal Justice System... April 1969.

The legislation proposed in the Deterrent Effects of Criminal Sanctions would have distributed funds saved by shorter prison terms to the state parole division and local police agencies.

This legislation did not pass, but interest in the determination of true costs continued because the Department of Corrections proposed to build a new prison near San Diego at a cost of over \$30 million. The proposal was not approved by the Ways and Means Committee because of the lack of a corrections masterplan justifying the need for such an institution.

The masterplan, when finally presented to the Legislature, called for \$500 million to be expended for capital outlay and operating costs during the 1970's for several new prisons. This seemed to contradict the basic principles -- and the results -- of the probation subsidy program. The Ways and Means Committee then requested the Office of Research to supply information from which the relative efficacy of different criminal justice agency programs could be determined.

This initial attempt to usefully classify criminal justice costs and effects statewide uncovered many examples of general and specific defects in conventional budget reporting systems.

For example, it was found that:

- Reported costs per prisoner per day in local jails ranged from \$2.00 to \$15.60. The extent to which the difference depended on different accounting methods could not be determined, but it seemed



certain that these discrepancies did not reflect actual expenditures per prisoner.\*

- No state or local budget or other regular report distributed capital outlay over the life of the facility or equipment purchased. Neither current efficiency nor future costs could be determined by a comparison of costs among different jurisdictions or different periods of time.
- Some police agencies were found to include communications systems support as part of their budgets; in other cases such expenses were absorbed under general administration of local governments.
- Computed costs of providing one unit of 24-hour police patrol car service per year varied from \$153,000 to \$328,300, depending on the amount of overhead attached to the unit.\*\*
- The absence of adequate population movement figures further limited the usefulness of available budget information. Only simple annual workload figures were usually available. Often, the output of one agency could not be reconciled with the input of the next. Annual court reports indicated more offenders were committed to state facilities than were received according to the annual prison intake statistics.

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\*County Supervisors Association of California. "California Survey of Prisoner Care Cost." October 1968.

\*\*California Contract City Association. "Determination of Law Enforcement Contractual Costs." February 1971.

- No local criminal justice agency could routinely account for time elapsed in processing offenders or demonstrate relations between court activity and such units of expense as pretrial detention.
- The only statewide data on local agency costs is collected by the State Controller's Office.\* These reports summarize the expenditures of local police, courts and corrections, but only within the categories established by the respective local governments. Since local governments treat overhead costs in various ways and do not prorate capital outlay annually, comparative costs of performing similar functions cannot be determined.
- The relative costs and workloads of California criminal justice agencies showed discrepancies in the resources available to meet needs (see Table I). This information had little impact on policy-making, however, because the available cost information did not provide the kind of detail needed for implementation of the proposed changes.

The need for an extensive criminal justice cost project was thus clearly demonstrated by the results of the first study of costs and effects of agency activities. Conventional budgets were found to describe only annual revenues and expenditures within broad and inconsistent categories.

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\*State Controller. Annual Report of Financial Transactions Concerning Cities of California. Annual Report of Financial Transactions Concerning Counties of California.

TABLE I

Millions Per Year

ESTIMATED MAXIMUM POSSIBLE  
POLICE, SHERIFFS AND HIGHWAY PATROL EXPENDITURES ON FELONY CRIME . . . . . \$ 150

Area of responsibility: all crime, and protection of 20 million citizens

476,000 felonies were reported in 1967 in California

Only 24% were cleared by arrest or other means: 20% property, 49% violence

Police spend less than 10% of their field time on felony activity

Technological aids to police: rapid communications, dispatching, and information systems are 30 years behind the capacities of the military forces of this country

( total  
police  
costs  
\$ 467 )

STATE CORRECTIONS EXPENDITURES ON PRISON AND PAROLE . . . . . \$ 124

Area of responsibility: 2% of intake and 22% of corrections supervision statewide

Intake: 20,000 persons received from courts or returned from parole in 1967

In prisons: 33,000 adults and juveniles during 1967

Parole: 29,000 adults and juveniles during 1967

LOCAL CORRECTIONS EXPENDITURES ON DETENTION FACILITIES AND PROBATION . . . . . \$ 123

Area of responsibility: 98% of intake and 78% of corrections supervision statewide

Intake: 1,000,000 jail bookings and juvenile probation referrals annually

In jails and other detention facilities: 29,000 adults and juveniles on average day

Probation supervision: 189,000 persons, including 39,000 felons

Source: California Assembly. Preliminary Report on the Costs and Effects of the California Criminal Justice System... April 1969. p. 26.

Preliminary discussion concerning a more extensive study took place with officials of the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration in the spring of 1969. These discussions included the intention of determining effects of expenditures in addition to developing a cost reporting system. This element was dropped, except for an effort to speed up implementation of an offender-based statistic system, because the California Council on Criminal Justice had decided to support a separate corrections study. Further, the task of determining costs alone was beginning to seem more difficult than originally forecast.

With Institute encouragement, the California Assembly submitted a formal proposal in December 1969. The purpose and rationale of this proposal were comprehensively stated in the following project progress report which covered the first year.\*

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\*Public Systems Incorporated. "California Criminal Justice Cost Project, Phase I." August 1971. pp. 1-1 to 2-5.

## Purpose

The California Criminal Justice Cost Project is designed to provide critically needed information for basic policy evaluation to take place concerning the criminal justice system.

The combined forces of increased public concern about operation and performance, increased public funds, and increased acceptance of role changes for the elements of the criminal justice system, have led to increased attention to basic policy decisions regarding the administration of criminal justice. In addition to a more rigorous review of the possible outcomes of policy decision-making, a greater number of alternatives are being considered at several different levels in the system, including many alternatives which in the past were not considered either administratively or politically feasible.

The changes in attitudes toward policy selection is evident at three different levels. First, within each process of the criminal justice system, i.e., the intra-process level, serious questions have been raised regarding the allocation of available resources and the operating management policies. For example, police departments are apparently willing to discuss multi-jurisdictional systems in special areas of information and support functions. They are also questioning the traditional allocation of their resources among other functions. Custodial agencies are searching for effective alternatives to incarceration; they are testing and implementing work furlough programs, halfway houses, and other expanded uses of community supervision. A great deal of literature generated during, and subsequent to, the work of the President's Crime Commission deals with the development of more alternatives at this level of decision making.

The second level, or inter-process, is also being addressed. The California State Legislature has specifically begun to examine the tradeoffs between correctional processes and police processes, asking such fundamental questions as how to allocate resources between the various processes and trying to determine the point of political jurisdiction (city, county, state) at which the resources can be most effectively spent.

Finally, there is an increasing, though not very well organized, recognition of the fact that the criminal

justice system is actually a subsystem of a larger social system and that there are tradeoffs to be evaluated in this larger context. Decision-makers at this third level are beginning to explore the complicated relationships between health, education/training, welfare systems, and the criminal justice system, in policies ranging from the choice of sanctions employed to control of behavior, to the selection of criteria for economic assistance.

The real impediment to improved decision-making at all three levels in almost every political jurisdiction in the country is that, in general, the basis for making rational decisions is weak. The absence of a unified theory of criminal justice and the dearth of empirical data on almost every facet of the system prohibits policy selection based on a reasonable expectation of the outcome of the various alternatives. Because the interfaces between processes and systems are not well described, inconsistent decisions are frequently made.

More rational decisions require more precise and detailed information. Decision-makers at all criminal justice levels need to be able to consider the potential cost and the potential outcome of their choices. Improved data on the outcome of criminal justice processes is becoming available. In California, the Bureau of Criminal Statistics (BCS) has started a partial-state program to track felony offenders through the criminal justice system from the point of arrest, with specific dispositions recorded for arresting agency, Superior Court, and lower court.\* In addition to this and other efforts at the state level, local and regional systems are being developed which will improve the data base available for describing the outcome of processes.

Nevertheless, data describing process costs still constitute a missing data set. An accurate estimate of police, courts, and correctional costs to accomplish any single objective of the system cannot be made. This gap in knowledge is not just of passing interest. Faced with alternatives, the public policy-maker or operational decision-maker is obligated to consider both cost and outcome in taking action. Frequently, outcomes may be so similar that the choice between alternatives can be based on cost. Several years ago, for example, research conducted by the Department of Corrections revealed that parole violators kept in local jails for seven months did just as well upon reparole as those returned to prison

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\*For a full report on the offender tracking system, see Volume III, California Criminal Justice Cost Project, 1972.

for 21 months. While it is obvious that some kind of a cost differential existed, no accurate estimate could be made.\* Unless we collect and make available this cost data, there is no way of rationally choosing an alternative in many instances.

Thus, the goals of this project are:

1. To develop a framework for cost data collection and analysis which will:

- facilitate the specific comparison of cost and outcome of criminal justice processes;
- enable the specific assessment of costs for performing services demanded of the criminal justice system;

2. To collect the cost data in California for a year, as a test of the methodology and as a useful data base for legislators;

3. To make the data usable and useful to decision-makers and policy-makers by appropriate means of presentation, including reports and reference tables, both manual and computer maintained.

Relative to these goals, Phase I of the project has been concerned with:

1. Developing the accounting system, including the computerized elements, that will perform the cost data collection and analysis.

2. Establishing the procedures for extracting the required cost data from all governmental agencies within California.

3. Formulating reporting and data presentations that will provide the needed data to decision- and policy-makers.

Phase II of the project will be involved with the implementation of the program on a test basis to demonstrate the utility of its operation.

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\*California Department of Corrections, Research Division, Long Jail Terms and Parole Outcome, 1967.

Section 2

POLICY SELECTION

Problems in criminal justice policy and decision making range from those questions of organizational efficiency that are common to any organization, whether government or business, to those large legal and social considerations that are special to the set of agencies that implement the unique institution of the criminal sanction. These problems are not discrete. What may appear, for example, as a purely operational decision in police methods can have judicial implications. Judicial policies may have impact on correctional structures and budgets, and so on. For purposes of cost analysis, legislative, administrative, and planning issues are viewed in terms of five major decision areas for policy selection. These range from the administrative to the legislative; each raises distinct implications for a system analyzing costs. Conferences were held with several individuals each of whom were involved in the criminal justice system for different perspectives. Among those interviewed were staff members to the Legislative Committee dealing with the criminal justice system, county administrators, and officials from police, probation, and other operational departments. In addition, executives from private industry were consulted to ensure that a complete picture of general management considerations was obtained. The five basic decision areas are listed in Exhibit A. The following paragraphs discuss the types of questions that fall into each decision area.

- Internal Resource Allocation
- Agency Roles and Functions
- Total Resource Allocation
- Statutory Penalty Ranges
- Scope of Criminal Sanctions

Exhibit A. Decision Areas in Criminal Justice



#### INTERNAL RESOURCE ALLOCATION

Issues related to internal resource allocation concern the problems of efficiency and effectiveness common to any organization, such as costs of facilities, equipment, and staff, or of administrative, research, and action operations, etc., in relation to the value of the product or service. Examples of internal resource allocation problems are the costs of police communications equipment in relation to speed of response to complaints, the costs of producing adequate required criminal justice documents in terms of the time consumed, and the custodial costs of prisoner maintenance.

The generation of cost reports for these types of decisions places a great requirement for detail on the accounting system developed as part of this project. If internal allocation of resources is to be determined, costs will have to be organized around the smallest, relevant agency organizational units which can in practice be analyzed, whether a direct, support, or administrative expenditure. Within each unit, the separation of costs into labor, services, supplies, equipment, and facilities must also be accomplished; and certain major expenses, such as communications equipment, may require further subdivision. Finally, the relationship of the cost to the task objective (i.e., direct application, support, or administrative expenditure) must be determined.

In short, the resolution of practical efficiency and operational questions requires a full range of cost descriptors.

#### DEFINITION OF AGENCY ROLES AND FUNCTIONS

Within each agency, issues calling for definition of role and function frequently arise. Alternative choices are most clearly expressed in agency standards adopted to regulate those points where suspects or offenders enter or exit the system. Criteria for the inclusion of juvenile dependency cases in probation caseloads, for bail on own recognizance, for release on parole are typical examples.

The cost information needed for this type of agency determination is similar to that required for internal resource allocation but broader in scope and containing less detail. While the latter involves organizational units of the smallest practicable size, the former need

only be developed to the point of the process being analyzed and breakdowns of type of cost item or directness to the process may not be necessary.

#### TOTAL RESOURCE ALLOCATION

Decisions concerned with total resource allocation involve weighing the use of alternative processes within and between criminal justice agencies; as exemplified by the California Probation Subsidy Act, treatment alternatives such as drug withdrawal versus methadone programs, commitment to state institutions as opposed to community treatment, or the use of interlocutory appeals before judgment. The cost information needed for this area is similar to that required by the previous areas of decision making. Nevertheless, since total resource allocation involves more than one agency, it is important that costs reported for each governmental unit or agency type be comparable. Given the wide variation in local accounting practices in California, this requires that the accounting system developed for this project not be tied to any particular accounting system. To facilitate decision making in this area, the separate cost items are attached to both criminal justice processes being performed, as well as the particular agency responsible for the process. If necessary, then, the total cost of a process or group of processes can be developed independent of any organization structure.

#### STATUTORY PENALTY RANGES

Decisions affecting statutory penalty ranges are an aspect of total resource allocation governed by the legislative process. Traditionally, it has encompassed the creation of distinctions between infractions, misdemeanors, and felonies, and the setting of minimum and maximum fines or terms of confinements. The penal configuration selected has cost consequences through its effect on correctional alternatives, judicial processing, and law enforcement reaction. It is also clear that the legislature can affect penalty ranges, with similar cost consequences, by means other than definition of the offense or penalty provision. The Probation Subsidy Act and laws permitting implementation of methadone treatment in effect also change penalty levels.

In this analysis, the relevant cost items relate to alternative processes and the emphasis is not on cost attributed to individual agencies. For a complete picture, costs related to criminal justice processes have to be combined with effect information derived from the Bureau of Criminal Statistics offender tracking system which was instituted as part of the cost study. Together, the two data bases will determine what relations exist between process expenditures and process outcomes, as well as the relations between expenditures for offender group (classified by offense, age, jurisdiction, program, etc.) and subsequent behavior. Cost presentations which separate the figures for specific offender classes are needed where the issue involves penalty ranges applicable only to these classes. Cost per offender and career costs become significant factors due to the long-range effects of changes in penalties in terms of recidivism, etc. An expensive alternative penalty, for example, may be justified if, in the long term, an individual is removed from the criminal justice system. On the other hand, a less expensive alternative may be advisable if it cannot be shown that the costlier means has an overall gain.

#### SCOPE OF CRIMINAL SANCTIONS

A second key legislative decision area, in addition to statutory penalty ranges, concerns applicability of the criminal sanction. These issues are similar to total resource allocation questions but broader in scope, since they involve tradeoffs, not within the criminal justice system, but between the system and other forms of public service or no public action at all. Proposed changes in the government response to alcoholics and drug abusers are among alternatives currently discussed in this area, or being implemented through action in other decision areas.

This fifth area demands the broadest coverage of useful cost data. As with decisions on statutory penalty ranges, career costs of affected offender groups, developed in combination with the BCS tracking system, become of paramount importance. But in addition, the division of these costs among the functional areas of law enforcement, adjudication, and corrections must be made. This will allow consideration of the impact of modifying any part of the criminal sanction. The transfer of addicts from criminal to civil action is an historic example of changing a portion of the criminal justice system. Figures giving the life cost of an alcoholic to the criminal justice system would allow a true comparison with, for example, a short term but expensive rehabilitation program.

While this project did not intend to devote time and energy to effectiveness measures as indicated above, the California Department of Justice (Bureau of Criminal Statistics) was asked to develop a more complete offender tracking and reporting system. The data produced by such a system is necessary for both cost determination (specific actions taken and the time involved) and for evaluating agency activity effectiveness.

In addition, several other important objectives were realized:

- . Duplication is reduced in reporting dispositions to the Bureau of Criminal Statistics, the Bureau of Criminal Identification and Investigation and the FBI;
- . Reporting responsibility is limited so that:
  - . Police report only police dispositions
  - . Courts report only court dispositions
- . A single form is used to trace each individual arrested and fingerprinted whose prints are sent to CII;
- . The form provided is easily completed by local agencies to serve as source documents for developing data needed by local and state planners;
- . Accuracy and completeness of disposition reporting is improved.

It should be clearly indicated, however, that this offender tracking system cannot now be directly related to the cost reporting system. For example, while the BCS system can indicate many of the Cost Model processes (i.e., a superior court jury trial for

a drug offender), it cannot indicate how long such a trial took in actual court time. If either specific or average time figures are developed, however, as a result of special research (a workload determination approach), the cost reporting system can be used to develop average cost of trials and hence offender and offense costs. More work will be required to produce such information.

It should be pointed out that this project was not able to achieve all the objectives as indicated above (page 15).

Originally, a one-year sample of statewide costs was to be collected using the cost reporting system, thus providing a good example of how the system would work. This could not be done because the budget information and workload statistics in cities and counties are not always recorded in the same categories, and sufficient detail is not available. The revised objective was to obtain such information from six counties. By late in the first year of the project, it became obvious to project staff that even this objective would be of little value. No one knew how criminal justice agency personnel distributed their time over their work tasks, and without this information, sample county data could not be related to process costs.

Consequently, the staff devoted all of its energy to developing workload distribution information in one county, San Diego.

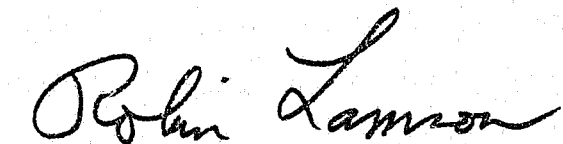
These revisions mean that the project is not an implemented and operating cost reporting system as originally proposed.

The system is ready now, however, to be implemented in one or

more trial counties and in one or more state agencies. Implementation will require that agency personnel determine the level of detail necessary to examine their agency operation. Workload studies will then have to be conducted, since this information seldom exists.

Once these steps are accomplished the data can be programmed for the computer and desired analysis can be made. This entire task should not take more than 12 months.

Implementation costs in other states will depend upon the nature of budget data, existing procedures currently available and the detail desired. There is no evidence to indicate that budget processes in California are any better than other states, so the expense of a cost reporting system may be about the same. California does enjoy a large advantage in terms of criminal statistics information, and other states will need this kind of data if they are to make full use of the cost reporting system.



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Robin Lamson  
Project Manager  
Assembly Office of Research

## PREFACE

To meet the need for realistic figures on the cost of administering the criminal justice system in the State of California, the State Assembly with assistance from the Law Enforcement Assistance Administration of the U.S. Department of Justice, has developed a system to obtain a true cost reporting for criminal justice agencies. The purpose of the true cost reporting system is to provide procedures for pulling together criminal justice costs from all agencies, separating them into costs for each criminal justice process and to combine the costs from all agencies to report total costs for carrying out each process.

The project has had a wide scope. All facets of the criminal justice system have been covered. Universal agreement on process definitions has not been received--and was not expected. The definitions and descriptions given in this report represent an initial standard; that they will be further modified is anticipated. The greatest limitation associated with the project is related to data: the type of data required is almost non-existent in current operations.

This report describes the cost reporting system in some detail in Section 1. The assessment of costs and cost categorization is delineated in Sections 2 and 3. A description of the system cost allocation procedures, along with some simple examples, is given in Section 4. Appendix A covers the criminal

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justice processes. The details of the workload distributions which were derived for judicial and law enforcement agencies are covered in Appendices B and C.

To formulate the concepts for the true cost reporting system operations, develop a description of the criminal justice system, construct the series of computer programs to perform all computations and report generation, and to obtain the data required to operate the system, assistance has been provided by many individuals both inside and outside public agencies. Throughout the project, guidance, review, and necessary agency liaison have been provided by Robin Lamson, principal consultant to the Assembly Office of Research, and Carol Crowther, consultant to the Assembly Select Committee on the Administration of Criminal Justice.

In recognizing the need for true cost reporting and in gathering data from agency records, assistance has been provided by the County Executives, Administrators, Auditors, Sheriffs, District Attorneys, Court Clerks, Public Defenders, Probation, heads of Departments of Buildings and Grounds, and their staffs in Los Angeles, Alameda, Sacramento, San Diego, Santa Clara, San Joaquin, Butte, and Del Norte counties. Special support has been provided in the effort to develop workload statistics by Chief Ray Hoobler of the San Diego Police Department, Sheriff John Duffy of San Diego County, and valuable consultation was furnished by William H. Kennedy, Assistant District Attorney, and Ronald L. Tarbox, Jr., Administrative Assistant, in the San Diego District Attorney's office; Joseph Baker, San Joaquin

County District Attorney; Robert Chargin, San Joaquin County Public Defender; Betty Martindale and Helen Lee, Chief Clerks of the San Diego Municipal Court; Bruce Robinson, Supervising Superior Court Clerk, and Steve Tampos, Chief of the Juvenile Court Division, from the San Diego Superior Court; and Bern M. Jacobsen, Thomas H. Sasaki, and Michael McKay who provided information on the Judicial Council weighted caseload system.

Data concerning the working activities of the police patrolman and detectives was collected from the San Diego Police Department and the San Diego County Sheriff's Department. Those persons primarily responsible for the internal coordination of the data collection activities at the San Diego Police Department were: Assistant Chief Morrison and Inspector W. J. Schenek, of the Service Division; Lieutenant Norm Stamper and Sergeants Ken Moller, Larry Stirling, and Jon Dunchack of the Patrol Planning Unit; and Inspector Sgobba and Captains French, Davis, and Allen of the Investigation Bureau. Special thanks are in order to Larry Wittenberg and Ron Smith for their assistance in collecting data concerning the department's overhead and support costs.

At the San Diego County Sheriff's Department, Undersheriff Don Oliver acted as primary coordinator for the cost study project. The data collection was coordinated by Captains Kenneth Derring and Robert Newsom, and Lieutenants B. R. Oldham and G. L. Bout. Particular thanks go to Sergeants King, Knowles, and Wagner for their direction of the patrol officer's work in data collection, and to Mr. Fredrick Cicalo, Office of Budget and Management, for

his assistance in providing data concerning the department's  
fiscal, administrative, and support functions.

## SUMMARY

The increasing burden upon the tax dollar for administering criminal justice in California has made it essential to obtain a true reporting of the full range of costs associated with the operation of the criminal justice system. The growth in the varied activities performed by the individual agencies involved in criminal justice with the resultant interrelation between functions performed by these agencies has made it impossible to obtain true cost from existing accounting documents where cost figures are structured by department. The purpose of the cost reporting system for criminal justice agencies developed under the present project is to provide a procedure for integrating the criminal justice costs from all agencies, separating them into categories for the individual criminal justice agencies, or combining the costs from all agencies for each criminal justice process to report the total cost for performing each process. The cost reporting system is, in essence, the heart of a Planning, Programming, and Budgeting System (PPBS). Costs can be determined for criminal justice processes (e.g., preventive patrol, felony arraignments, probation supervision, programs (e.g., methadone, community treatment, public relations), or crime types (e.g., burglary, drug abuse, drunkenness). The determination of these costs, within individual agencies and across the entire criminal justice system, would provide a realistic evaluation of the existing costs which would be helpful in making decisions as to future expenditures.

The cost reporting system is based upon the principles of cost accounting with all costs attributed to the operations of a criminal justice agency levied onto the criminal justice services which form the products of the agency. A series of computer programs for performing the required computations and assessing the costs of work performed were developed.

The data used in the computations are a combination of cost and cost-related figures extracted from existing records and specific information on individual workload assignments for personnel directly engaged in carrying out the criminal justice processes. Procedures for recording the cost figures obtained from existing documentation, such as cost for salaries, services and supplies, have been developed. Other procedures for generating the costs not presently recorded as costs, but for which records are available, such as costs for the depreciation of equipment and use or rental charges for facilities, have also been developed. Finally, methods for generating workload data have been formulated and tested on a sample basis.

A list of criminal justice processes describing the complete operation of the criminal justice system in California in terms of the services provided to the public or to individual offenders is included in this report. The process list has been developed over a period of two years with review and modifications made by individuals involved in all phases of criminal justice. The process list has been numerically coded for use by the computer.

In this manner any jurisdiction desiring to change the list for its own purposes can change the process descriptions and need not make any changes in the computer programs.

Using standard accounting definitions, any user can designate the cost sources as direct or indirect, and separate the indirect costs into non-labor and labor, specific support, or overhead. Two overhead classifications are provided. The user also designates the place in the organization at which the costs are applied. The computer performs the operations of assessing the different classifications of indirect costs onto the direct labor, as a cost burden. The burdened direct labor is assessed to the processes using the workload data provided. The computer programs also provide for the generation of standard reports indicating the breakdown of total cost into the processes or into organizational subdivisions. All computer programs have been written in COBOL to facilitate their adaptation to any operating system. Specific system control cards and operating instructions for implementation on a Control Data 6600 are provided.

Critical portions of the system (data collection and computational processes) were verified using sample data collection from several state and local sources throughout California. This data was of two types. First, the basic cost and cost allocation information, providing all data needed to calculate burdened labor, was examined from the point-of-view of the state and seven counties representing a range from large to small populations. These counties are: Los Angeles, San Diego, Santa Clara, Alameda,

San Joaquin, Butte, and Del Norte. At the state level detailed evaluations were made for the Department of Corrections and Youth Authority operations. The second category of data is the workload statistics required to allocate the burdened direct labor costs onto the processes. Generally, this information is not available. For this reason, projects were conducted in several criminal justice agencies to test methods of obtaining workload data. Workload information on department activities currently maintained through the use of time cards was also gathered to check the system operations.

In general, the absence of workload statistics was the major obstacle in obtaining a true cost reporting for criminal justice agencies on an extended scale, although estimates of workload statistics obtained by limited sampling can be used to roughly estimate these figures. Other areas where some clerical effort is required to obtain data dealing with obtaining values for equipment inventories and department floor space allocations. The detail and amount of existing records varies greatly among counties.

The sample determination of judicial workloads was done in three ways. The first was a direct study of actual time spent on various tasks and required employees to fill out time cards. The second method was an indirect analysis based on various forms of estimation as to how work is allocated. The third method applied judicial workload distribution data developed by the California

Judicial Council for approximating the courtroom time of district attorneys, public defenders, and clerks of courts.

The direct method of work analysis was tested for all personnel in a metropolitan district attorney's office and for courtroom clerks in a metropolitan superior court. The indirect analysis based on estimation provided a basis for study of a metropolitan municipal court. Application of judicial council data was performed in smaller district attorney and public defender offices.

In all situations where employees were asked to fill out time cards, results showed a significant amount of time which was either spent out-of-court on a process or could not be allocated directly to one of the processes in the cost system. This indicates that the direct workload approach provides the most complete methodology for determining the full variety of cost information. In judicial process agencies, adequate work sampling could be accomplished on a periodic basis. The main limitation of the estimation method was that it could not easily capture the miscellaneous time not allocated directly to processes; nevertheless, except for this limitation, it is a practical method for use when employees spend all of their time on only one or two process assignments or are involved in very regular work patterns. This was the case for many personnel in the clerks of court offices and for some personnel in other agencies. Thus, this method is reliable in appropriate situations. The data, finally, on judicial workload distribution developed by the Judicial Council



does contain a basis for computing the time of judges which is not spent directly on processes in the cost model. Therefore, it is the only system needed for allocating judicial time to the cost system. As applied to district attorneys, public defenders, and some clerks of court personnel, it cannot provide definitive cost information; but does furnish an adequate basis for developing the general kinds of cost data useful for legislative decision makers.

In order to determine the workload distribution--and hence the true costs--for law enforcement processes, four methods of data collection were considered. Three of the techniques involved sampling and are appropriate for estimating distributions on an occasional basis. The other method used data collected routinely via time cards. This technique is to be preferred if continuing analyses are to be performed.

One of the sampling techniques utilized an observer in the patrol car. At regular intervals, he recorded the activity in process at the time. The second method had the officer actually record his activity (coded) at regular intervals. A reminder of time was provided via the car radio. The third technique involved interviewing the officer at the completion of a shift to determine the amount of time spent on various activities. Since the true distribution is unknown, and in fact each day may be quite different, no absolute judgment can be made relative to the accuracy of the data. No statistically significant differences were detected in the methods.

With the completion of this project, a methodology is available for determining true costs associated with the criminal justice system. A computer program, written in COBOL, will process workload data along with salaries and other costs to ascertain true costs of processes, agencies, programs, or offenses. Both the program and the methodology for obtaining the data have been checked out; what remains to be done is for an agency to implement the system.

SECTION 1  
COST REPORTING SYSTEM DESCRIPTION

Introduction

The cost reporting system is designed to provide critically needed information for basic policy evaluation concerning the criminal justice system. The cost reporting system includes a series of computer programs, data collection procedures for these programs, and cost reports that will furnish responsible decision makers information on the true cost of operating the criminal justice system in the State of California and its political subdivisions.

The combined forces of increased public concern about operation and performance, increased public funds, and increased acceptance of role changes for the elements of the criminal justice system, have led to increased attention to basic policy decisions regarding the administration of criminal justice. In addition to a more rigorous review of the possible outcomes of police decision making, a greater number of alternatives are being considered at several different levels in the system, including many alternatives which in the past were not considered either administratively or politically feasible. Policy makers need to be able to consider the potential cost and potential outcome of their choices.

Improved data on the outcome of criminal justice processes is becoming available. In California, the Bureau of Criminal

Statistics (SCS) has started a program to track felony offenders through the criminal justice system from the point of arrest, with specific dispositions recorded for arresting agency, Superior Court, and lower court. In addition to this and other efforts at the state level, local and regional systems are being developed which will improve the data base available for describing the outcome of processes.

Comprehensive criminal justice process costs, on the other hand, are not available. An accurate estimate of police, courts, and correctional costs to accomplish any single objective of the system cannot be made. Unless we collect and make available this cost data, there is no way of choosing an alternative based on cost and effect considerations.

The goals of this project have been:

1. To develop a system for reporting true costs, including computerized elements that will perform the cost data collection and analysis.
2. To formulate reporting and data presentations that will provide the needed information to policy makers.
3. To establish procedures for extracting the required cost data from all governmental agencies in California.
4. To develop and evaluate procedures for obtaining required cost data not currently available.

### Features of Cost Reporting System

A true cost reporting system is based on accrual principles, rather than the expenditure principles used in all governmental agencies. There are several major differences between cost figures developed under the two sets of principles.

First, an expenditure system "charges off" a total expenditure at the time the money is spent, whereas an accrual system spreads this expenditure over the useful life of the item purchased by a depreciation schedule. This feature of a time cost reporting system smooths capital expenditures (e.g., facilities and equipment) to a more meaningful figure.

Second, an expenditure system charges off an expenditure to the agency making the expenditure, whereas a true cost reporting system allocates this expenditure to the process which uses the goods or services purchased. Following industrial practices, such allocation of costs to using agencies and processes is accomplished through the establishment of direct, support, overhead, and general and administrative cost categories.

The cost of operations performed by any single department with cost accountability will not agree with the annual budget and expenditure accounts for that department. Equipment purchased by the department will appear as a dollar expenditure but only a single year depreciation or equivalent rental charge will be made to operations for that period. Subsequent years will also show a depreciation or rental charge with no actual cash payments. Also the department operations will be charged

for overhead and other support provided by and paid for by other departments. Support provided by the department to another will appear as charges to the using organization.

#### Criminal Justice Processes

A major effort in obtaining true cost reporting for criminal justice agencies has been applied to the description of the processes of these agencies that form their product. There is no unique method of describing these processes. In developing the process list that follows, primary consideration was given to its usefulness both by people collecting data for the true cost reporting system and by the people who will be using the cost reports. Uniform application to all jurisdictions also was of primary concern.

The process descriptions must be relevant to the real world of administrators and decision makers. They must describe system activity in a way keyed to their perceptions and the issues which they raise. They must facilitate the identification of specific process costs, the aggregation of related costs, and the comparison of competing costs. In the same way, they must clearly delineate separate work processes, yet group those which are materially or logically related. And, they must do this in a format which has logical arrangement and commonly accepted terminology so as to permit a user to quickly locate the information wanted.

But the process descriptions must also satisfy the limits placed on it by the existing level of budgetary knowledge. The

process elements cannot be construed so finely as to make cost allocation impractical, if not impossible. Similarly, they must take cognizance of the concepts established by existing statistical systems which tabulate work activities. Finally, where process-specific cost data is simply not available, the process elements must be arranged so as to identify the nearest level of data that is available.

The development of the criminal justice processes first considered the functions performed upon, or services provided to, the individual offender. This, of course, only applies following an arrest or booking and arraignment. To extend the process descriptions to the law enforcement functions prior to arrest, the functions performed relative to a specific crime were added to the process list. Finally, the remaining processes were described in terms of non-crime oriented services provided to the public.

The basic work activities performed by the different criminal justice agencies describe the particular manner in which a process is performed. These activities may differ from jurisdiction to jurisdiction, but each criminal justice related activity falls within the scope of some process. It is recognized that there are activities performed by criminal justice agencies that are within their charter but not covered by the process list. Many police activities covered under the general heading of disturbing the peace are of this type. If desired, these could be added to the process list. However, they have not been included

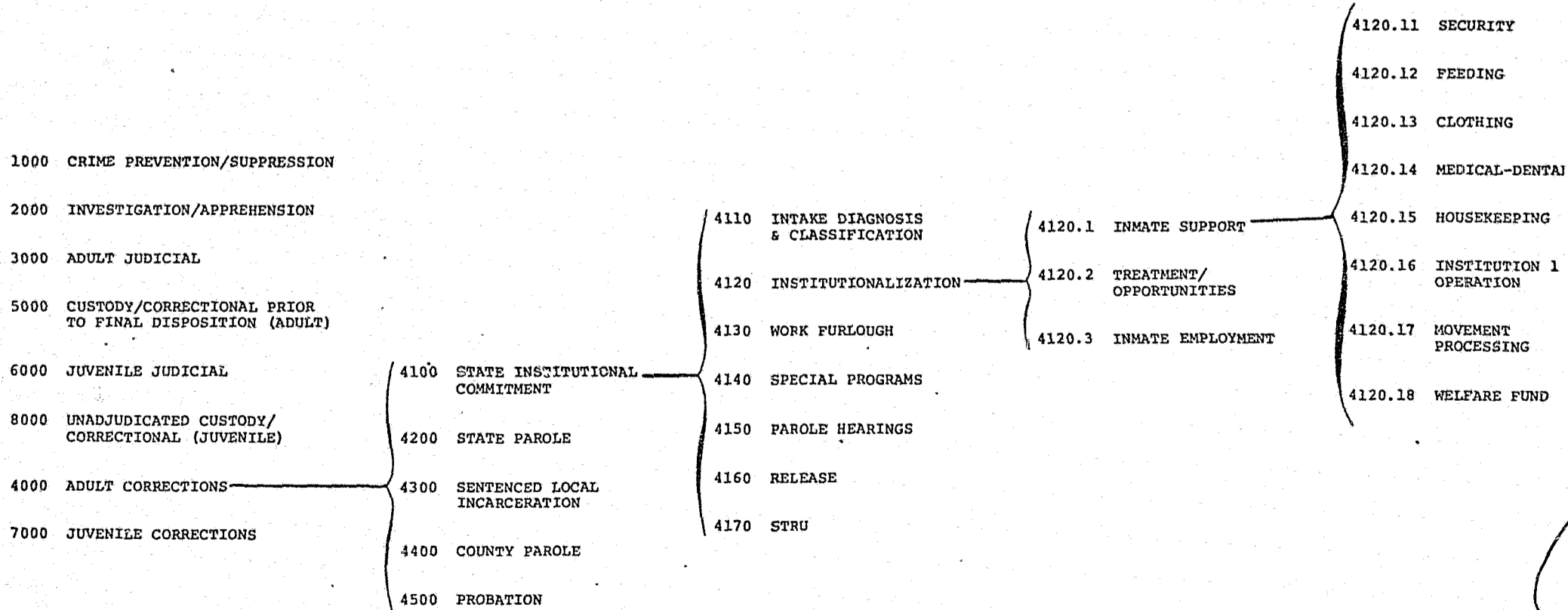
since, strictly speaking, they are not part of the administration of criminal justice.

The process list is hierarchical in nature, allowing for subdivision of a single process into its components, or of aggregation of processes into a single super-process. When necessary for clarity, process levels (in descending order) are referred to as functions, activity categories, processes, and activities respectively. Examples of these levels, which are distinguished by the thousands, hundreds, tens, etc., digits in the numerical code, are provided in Exhibit 1-1. Whenever ambiguity will not result, the term "process" is used generically.

The process list developed during this project is presented in Appendix A.



Exhibit 1-1. Process Hierarchy



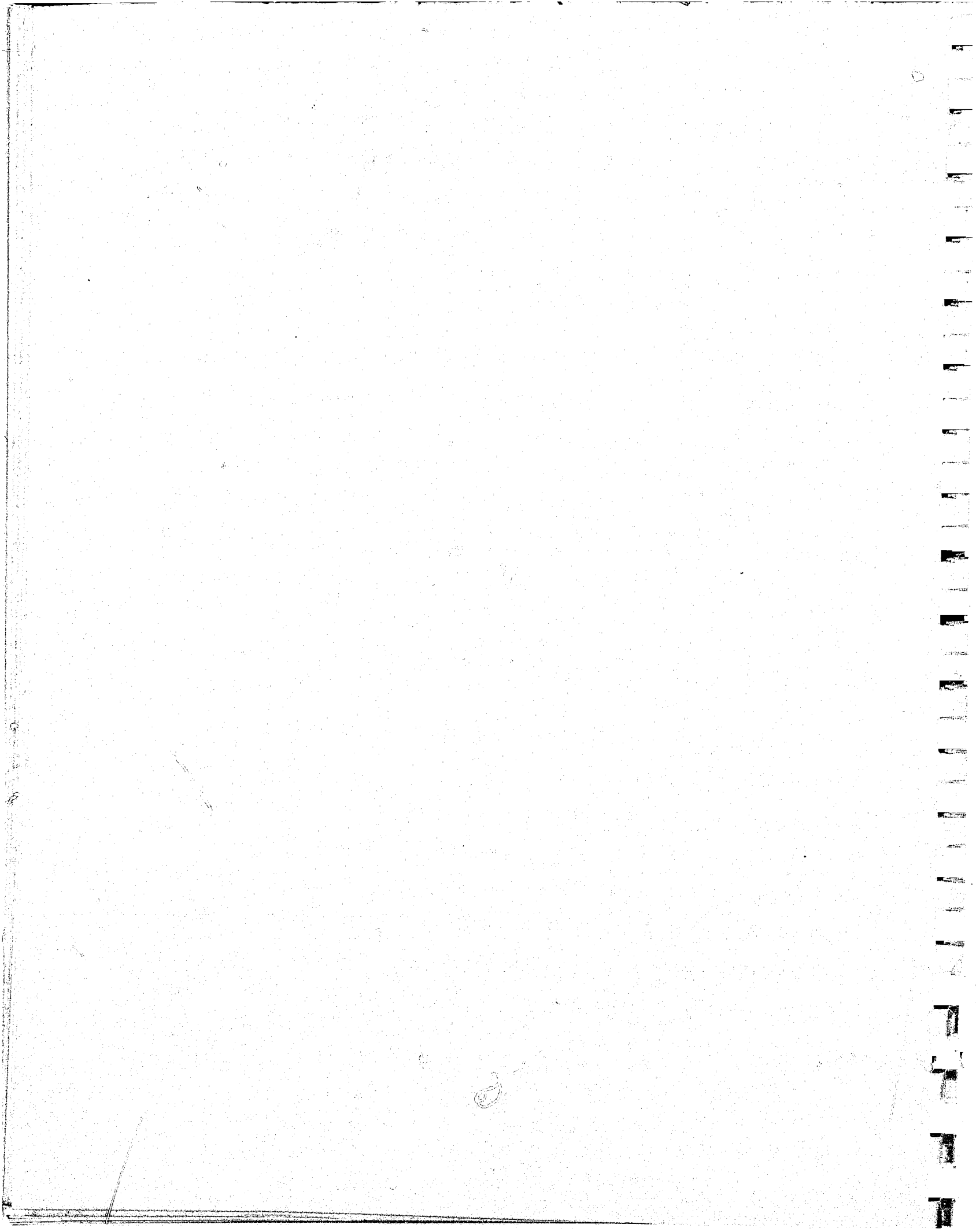
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In performing the cost allocation resulting in the assessment of all costs to the processes, the indirect costs are first charged to the direct cost items, forming what is commonly termed a cost burden. The direct costs, with the burden applied are then charged to the appropriate processes.

#### Direct Labor Sources

Within the public services structure, there are many places where direct labor costs for the administration of criminal justice are found. The most obvious are the various governmental agencies specifically connected to the criminal justice system. Less obvious are those agencies which in one aspect of their work are recognized in law as possessing definite law enforcement functions. Examples of these are agricultural commissioners, building inspectors, and sealers of weights and measures. Another group of agencies incur direct labor cost attributable to criminal justice activities through their involvement in support, rehabilitation, or correctional programs. Public assistance to families of incarcerated offenders, departments of public health, and school districts are examples. In addition to these public agencies, there are a variety of private organizations that fall within the operations of the criminal justice system. Examples are halfway houses and preventive programs in the drug abuse and juvenile delinquency areas. Significantly, the direct labor services provided by the private organizations in some jurisdictions are performed at public expense in other localities.



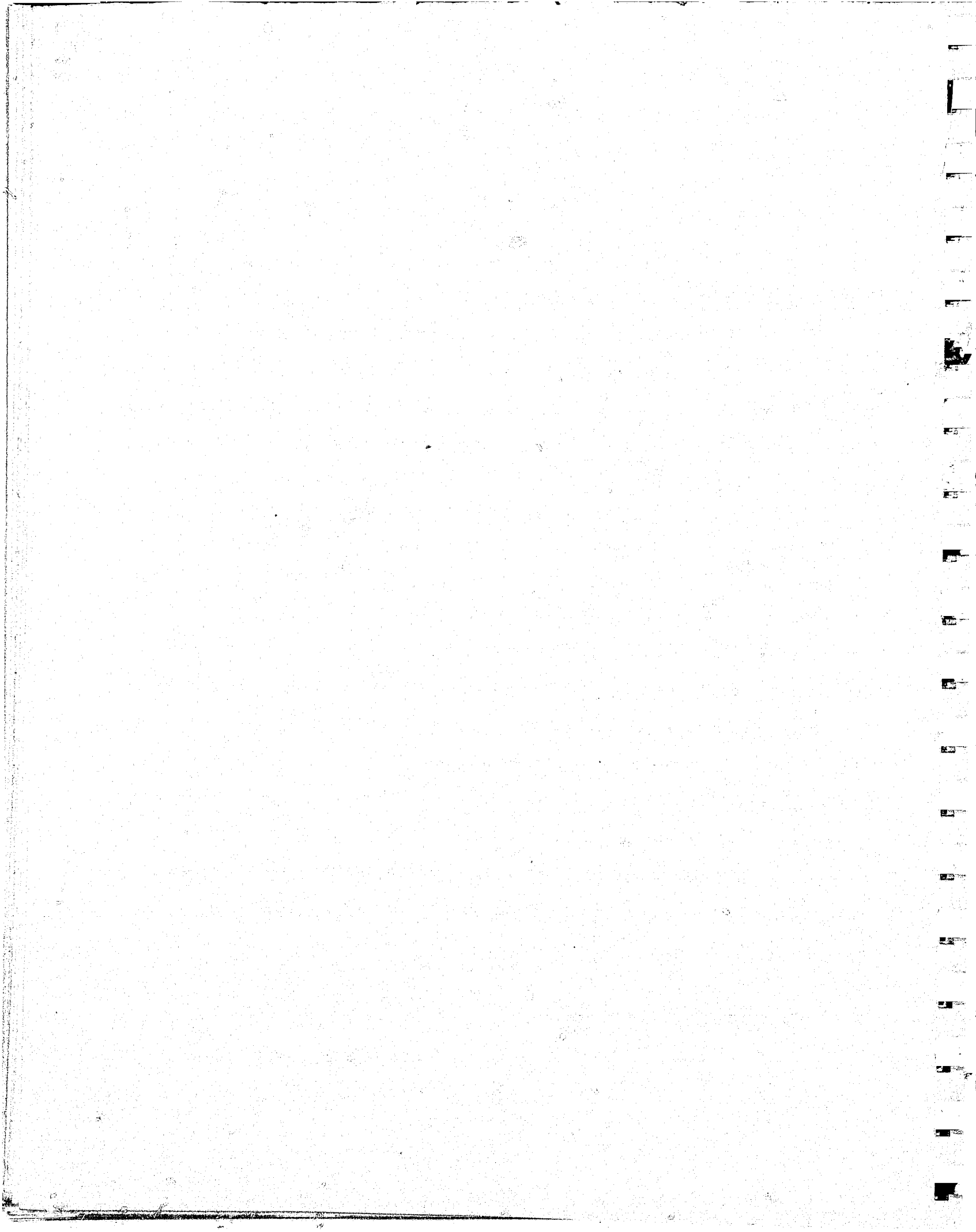
SECTION 2  
COST ASSESSMENT

Direct and Indirect Costs

The major effort in expanding a general accounting system into a cost reporting system is the allocation of costs to the criminal justice processes. The performance of this cost assignment is a principal operation of the computerized portion of the cost system. Methods used in standard business accounting practices are employed within the system in determining these cost assignments.

All costs are first separated into two classifications: direct and indirect. Strictly, the direct classification applies to costs of all labor actually engaged in performance of a process. Practically, this concept is modified to classify as direct only those labor costs that are conveniently allocable to the processes. By convenient, it is meant that the determination of labor time can practically be obtained. For example, the police dispatcher, in assigning a car to a burglary, is performing direct labor (crime against property) but it is impractical to tabulate since the time involved is so minute.

All other costs are classified as indirect.



State Agencies:

Court of Appeals  
Department of Corrections  
Department of Justice  
Highway Patrol  
Supreme Court  
Youth Authority

County Agencies:

Care of Court Wards  
Clerk  
Coroner  
District Attorney  
Grand Jury  
Jails, Holding and Correctional  
Facilities  
Marshal  
Municipal Court/Justice Court  
Probation Department (Adult)  
Probation Department (Juvenile)  
Public Defender  
Sheriff  
Superior Court

City Agencies:

Holding Facilities  
Police

Exhibit 2-1. Criminal Justice Agencies

For present considerations, the sources examined for direct labor have been restricted to the first group of agencies; a list of these agencies is given in Exhibit 2.1. The cost accounting methodology and computer programs of the cost reporting system are capable of accepting data from agencies in the other categories discussed. Actual data collection was not attempted for these other sources during this phase of the project.

#### Indirect Cost Classification

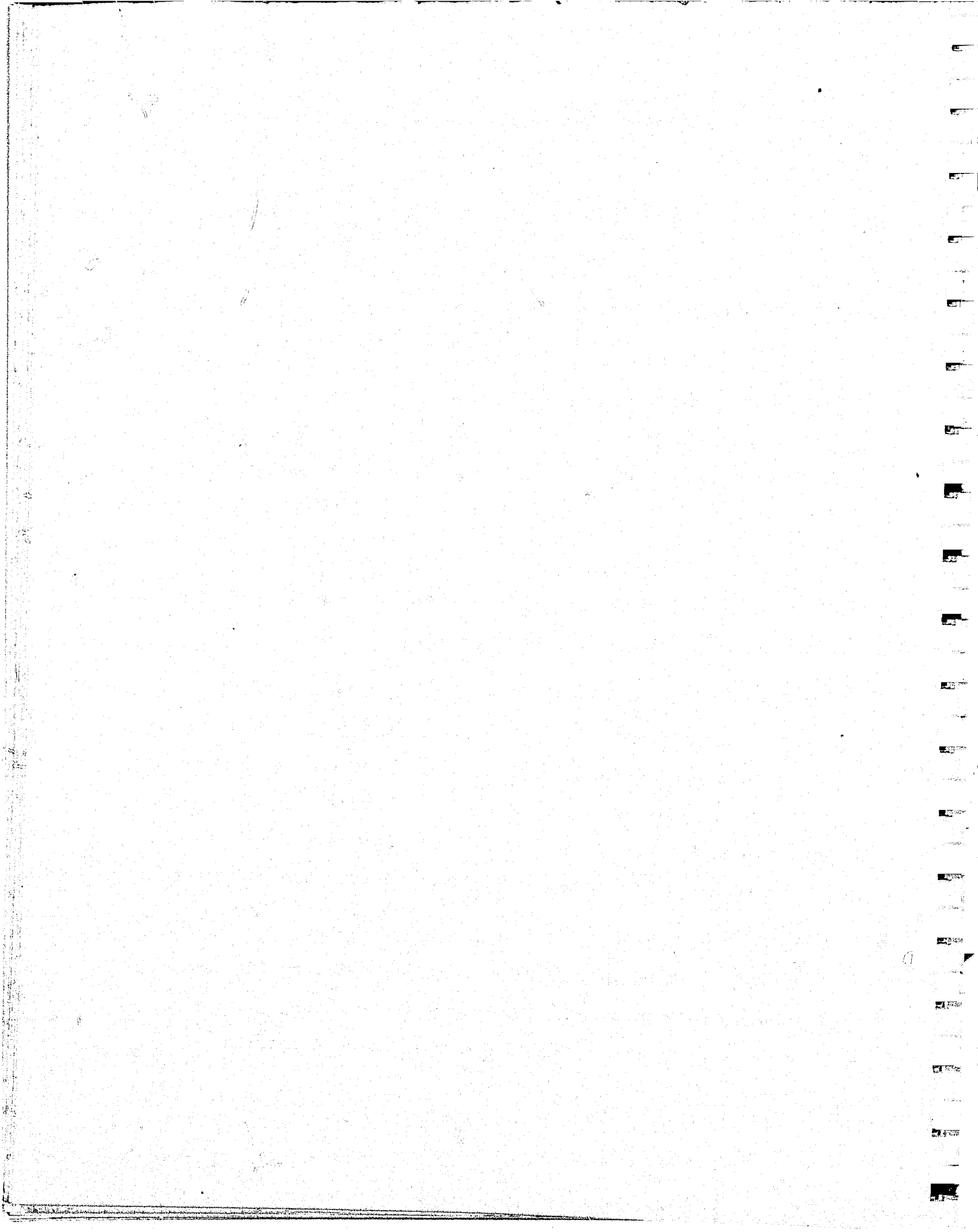
Each indirect cost item is placed into one of four categories according to the level of its directness to the performance of the processes.

The first category includes all non-labor expenses. Examples include supplies, equipment, facility expenses, and miscellaneous services.

The non-labor indirect costs are assessed to the labor charges for the personnel employing them. Thus the cost of a patrol car appears as a burden on the patrol officer and the courtroom cost as a burden on the presiding judge. In this manner the non-labor costs are assessed to the processes in the same proportions as the personnel time of individuals using them.

The remaining three indirect cost classifications refer to indirect labor. This includes all administrative, staff, and support personnel not immediately engaged in carrying out one or more of the processes. Basically, the three categories





describe the level of directness with which the labor in each is applied to the criminal justice processes.

At a first level are those labor cost items, such as police communications and record sections, trial transcript typists, direct equipment maintenance, and the like, which, while not directly engaged in criminal justice processes, form the operational support of those direct activities. In this project, such expenses are entitled Support. (It would be possible to handle the major portion of these support costs as direct. They are treated as indirect primarily as a matter of convenience.)

At the second level are expenditures for supervision, planning staffs, and research which, though not specifically supporting a criminal justice process, serve to administer, coordinate, supervise, etc., the activities of the direct and the support portions of the system. Cost items of this type are entitled Specific Administrative Expenses.

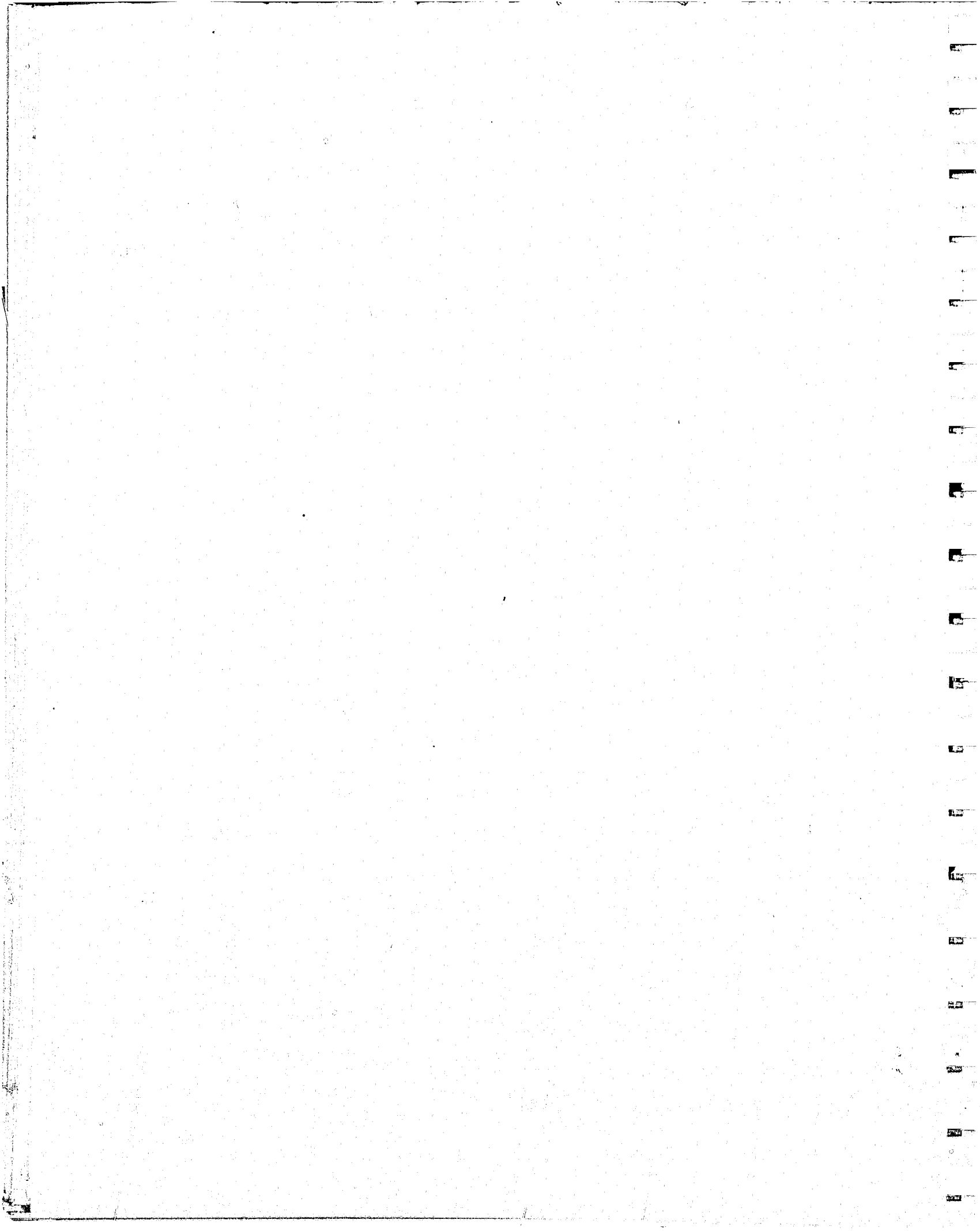
Costs at this second level are seen to be of the type for which it is impossible to determine precisely the portion of their total cost that is attributable to specific processes. It is, however, possible to determine the organizational units supported by these second level costs. The supported organization may be an entire department or department head, secretarial pool, planning staff, etc. The expenses are assessed onto the personnel within the supported organization and form part of the total burden on direct labor.

The third level refers to general functions necessary for governmental operation, but not specifically serving any one particular system of public services. The Governor, the Legislature, Boards of Supervisors, and City Councils are representative of these operations. The cost of these general administrative expenses support all public services and add to the total service cost. The true cost reporting system provides for the inclusion of these costs under the category entitled General Administration Expenses.

#### Indirect Cost Assessments

Any individual indirect expense will fall logically into one of the four categories which associates it with the corresponding method of computing the burden. In any particular case it may be desired in the future to compute the burden for an item from one category using costs from another category. The cost accounting system provides for this capability by allowing for expense items to be reclassified at any time.

It is evident from considering the operations of any organization that some of the indirect expenses are used by or support other indirect functions as well as serving the direct labor personnel. Non-labor items are used by administration as well as by support and direct labor, and administration serves support as well as direct labor. For this reason a "step-down" procedure and "specific allocation" is used to allocate indirect costs. With the "step-down" procedure, non-labor expenses are first allocated onto all labor categories giving an initial non-labor



burden to every labor expense. Administrative expenses with their non-labor burden applied are then levied onto both support and direct labor. Finally, support labor with its combined burden is assessed onto direct labor. The burden appearing with direct labor expenses is, hence, seen to be compounded from several sources. The total of all burdened direct labor is equal to the total operating expense of each governmental unit (see Exhibit 2-2).

As a simple, incomplete example consider a portion of a typical police department. A patrolman performs a significant amount of direct labor. Support labor burdened on him includes communications personnel. Specific administration expenses include his line supervisor, patrol planning, and personnel. A non-labor item such as the cost of a patrol car would also be burdened to the direct labor performed by the patrolman. The cost of joint facilities (e.g., buildings) would be proportionately allocated to all four labor categories.

The "specific allocation" provision allows for any of the indirect expenses to be applied at any selected place in a department's organizational structure. This provides for allocating patrol car costs solely to patrol division and office space to a department overall. This capability will be useful in the future as refinements in available data are made. With current government recordkeeping procedures, items such as office equipment are inventoried only at the department level and, hence, must be allocated to the department as a whole. A change

to maintaining inventory accounts for subsidiary organizational levels will allow for a specific allocation of equipment expenses to using organizations.

Currently the cost reporting system charges non-labor items to the lowest organizational level for which records are maintained. For most items this is the department level. Where it is possible to identify specific items, such as radio equipment, cars, etc., as being used by subsidiary organizational levels the costs are charged at this level. The costs are allocated among the labor accounts within the charge organization in proportion to salary. A department having a salary base of \$100,000 with \$50,000 in non-labor expenses charged at the department level will have each labor dollar within the department burdened with fifty cents of non-labor. The labor base includes all administrative, support and direct labor within the department.

Specific and general administrative expenses, with non-labor burdens applied are handled separately. Specific administrative expenses are charged to the organizational level to which they apply and are allocated to direct and support labor within that level in proportion to non-labor burdened labor dollars. General administrative expenses are charged to the organizational level to which they apply and are allocated to the direct and support labor at that level in proportion to the labor dollars burdened with non-labor and specific administration charges.

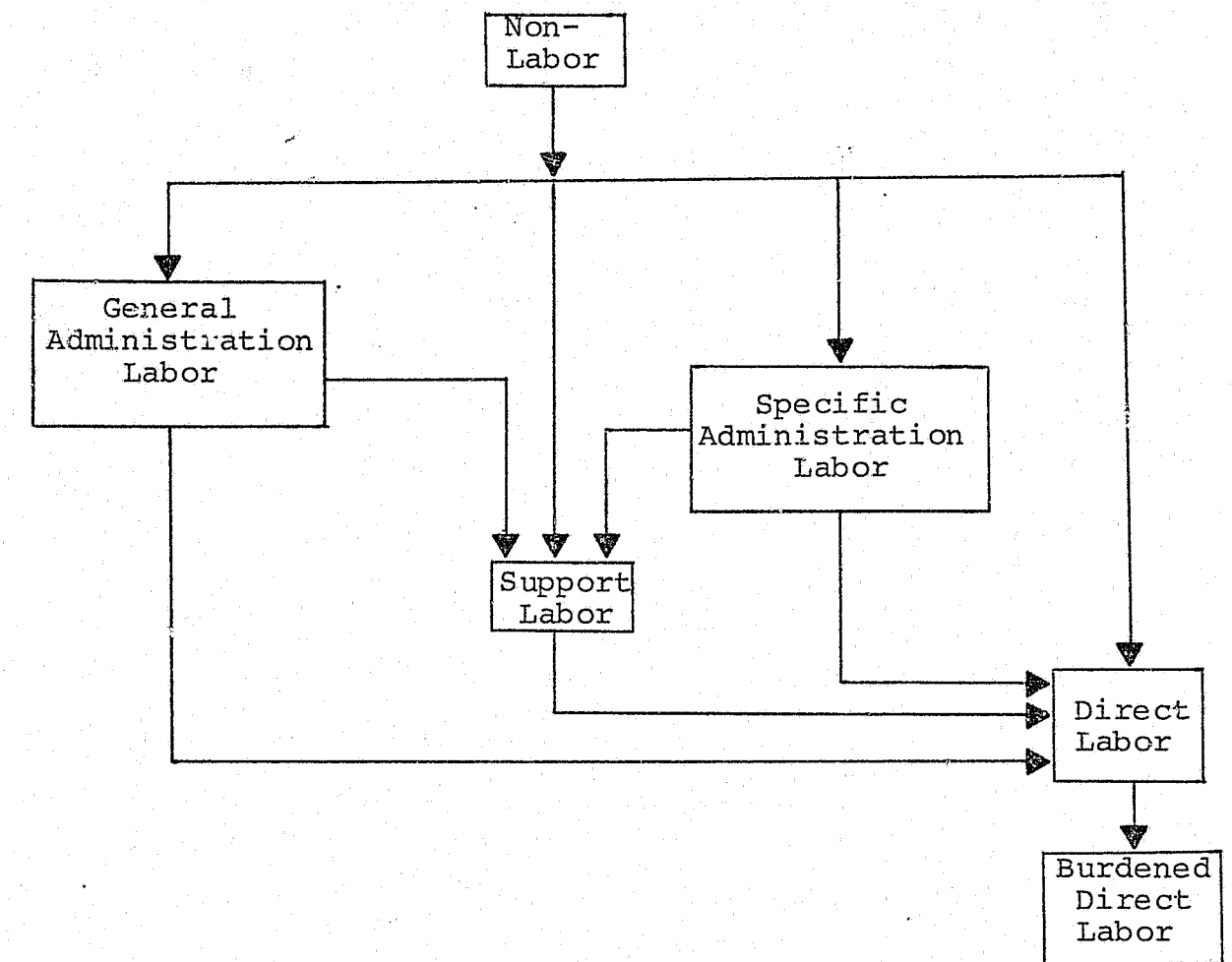


Exhibit 2-2. Cost Assessment

### Direct Cost Allocation

The time spent by individuals in directly interfacing with the public or offenders in carrying out the criminal justice processes forms the direct labor base. The cost of each process is the sum of the charges for each direct hour spent in their performance. The previous paragraphs have described the method of obtaining total or burdened cost for these direct labor hours. Workload statistics are used to assign each time increment of direct labor to one of the processes. These statistics indicate the total number of hours of each type of labor that are expended in carrying out each process.

At present, government records are structured by organization. It is only for large departments, such as the Youth Authority and the Department of Corrections, in which entire sections or units are engaged in one process, that records show work assignments in sufficient detail. In a majority of criminal justice organizations, particularly those engaged in law enforcement, the number of processes in which individuals are involved does not allow a breakdown of costs by processes from existing documentation.

Estimates of time spent on processes provide a measure that produces a more accurate determination of process cost than has been previously obtainable. However, a precise determination of cost will require that daily records on direct labor distribution be routinely maintained. Less precise estimates can be made on the basis of periodic work load distribution studies. Without



these products, it is generally impossible to obtain any refined process costs.

The estimates of daily workload distributions for direct personnel have been made from a wide range of sources. Most of these involve sampling actual work activity over a limited period of time and assuming that the workload figures obtained are representative of the entire year. In addition to using results obtained from outside sources such as the California Judicial Council, several samplings were conducted during this project. The sampling procedures used were directed at obtaining an overall measure of time-in-work, distribution rather than a highly refined measure of time spent on actual tasks. The general objective of the data collection procedures used for this program was to develop workload statistics as could be obtained using individual daily time cards. This is the information needed to make the allocation of direct cost to the criminal justice processes.

Details on this work are presented in Appendices B and C of this report. The data collection covered several agencies and included several different data collection techniques.

#### Assumptions Underlying Cost Allocation

Certain assumptions must be made if workload distributions obtained by sampling activity over limited periods of time are taken to be representative of total work loads. The validity of the criminal justice process costs obtained using these estimates is directly proportional to the validity of these assumptions.

The first assumption is that the time periods included in the sampling are truly representative of the overall picture. The validity of this assumption depends upon the continuity of the criminal justice processes themselves. This is to say that if the jobs of individuals having similar assignments are examined over a period of time, it will be found that their total involvement in each activity is approximately the same in the time periods not sampled as it is in the periods sampled. To be valid, the sampling procedures must take into account all variations in work assignments: seasonally as well as daily and weekly, etc. It is clear that infrequent activity will be missed. This is not important if the activity missed is low cost, but is significant for such items as major murder trials and large public disturbances. The following assumption also pertains to these infrequent activities.

It is assumed that the accuracy and detail required in the reported cost data is proportional to the cost. This implies that it is sufficient to report the total cost of groups of similar or related processes rather than the individual process costs if the total group cost is a small fraction of the overall costs. For example, if a ten percent error is made in estimating an item which accounts for only five percent of a cost, a net error of the order of 1/2 of one percent is made.

SECTION 3  
COST CATEGORIZATION

The cost reporting system uses the usual categorization of expense items for item identification:

- Labor - personnel
- Supplies - expendable materials
- Services - work provided by outsiders
- Equipment - depreciable assets other than real property
- Facilities - real property or rentals
- Transfer and reimbursements - accounting adjustments between departments
- Other expenses - monies paid to outside sources.

These cost categories are those defined by law and are tied to other accounting procedures used throughout the state. Within each category an individual item is identified by employee number, inventory number, part number, etc.

These categories separate items that are to be accounted for differently as required to obtain accrued cost rather than purchase cost.

Labor, Supplies, and Services

One costing method applies to all expense items that can be considered to be consumed or used during the same fiscal year in which they are purchased. Labor, services, supplies all fit this

category. Although strictly speaking, supply inventories at the beginning and end of the year should be accounted for in the period actually expended rather than when purchased, the usual practice has been followed of assuming that approximately the same inventory value is on hand at the beginning and end of the accounting period.

Values for labor, service, and supply expenses are obtained directly from the departmental expense accounts. In some jurisdictions, the recorded labor expense includes employee benefits and in others these are kept in separate accounts. As they form a real part of labor costs, the cost system adds employee benefits to arrive at an individual's cost. Service and supplies are usually paid for by the using department. Where this is not the case, these costs are extracted from the accounts where they appear. The cost is then assigned by the cost reporting system to the criminal justice department that is the actual consumer.

#### Equipment and Facilities

The second expense area contains all items that are paid for during one year with a major portion of their use applied during other years. All equipment and facilities fall into this area. It is necessary to establish a method of determining the portion of their actual cost that is to be assessed to each year of their lifetime.

Different methods have been developed to determine annual charges in each of these two categories. First, purchased equipment inventories are maintained in property accounts. These

accounts contain item identification, inventory numbers, purchase cost, date of purchase, purchasing department. Original purchase price and age establish a present value on the basis of an eight year declining balance method. An average age of four years has been used when a better estimate has not been available.

Using the computed figure for current value, the annual depreciation expense of 12.5% of present value, the eight year declining balance figure is used to establish a cost for the current year.

Where the inventory accounts are maintained by separate categories such as desks, chairs, typewriters, law enforcement equipment, etc., the cost system maintains this separate accountability.

When inventory is not maintained on items in this category (e.g., items less than \$150 per SAM8652.2(d)),\* a choice must be made as to their method of accounting. Probably the easiest method would be to treat them as supplies, although this then suffers from the traditional accounting shortcoming of showing expenditures in one year which should be spread out. If the items in this category are purchased at approximately the same dollar rate each year, there is no appreciable problem in considering them as supplies. If large variances occur in annual purchases of these items, some assumption must be made as to their useful life.

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\*State Administrative Manual.

The actual data collected for equipment inventories is inventory cost, assigned department and equipment category (if available). In those cases where equipment is rented rather than purchased, the rental charge is used.

Facilities are subjected to a different treatment. Too many problems arose in attempting to use an annual depreciation process. In assessing depreciation, the primary problem lies in determining the present value of a facility. Each of the possible methods, original construction price, replacement cost of either existing or equivalent structures, etc. proved to be unsatisfactory. For this reason, it was decided to use equivalent rental charges for all facilities based upon square footage. The data collected for facilities is then department identification and floor space area. State and business interests were consulted to arrive at the figure of \$4.80 per square foot as the annual rental charge. The space measurement includes only that actually used by personnel. Conference rooms, lobbies, lavatories, etc., are omitted with their costs included in the \$4.80 figure. The rental charge includes all utilities and ordinary maintenance. In the cases where these costs are paid for by the department, the charges for them are not included in the determined departmental costs.

Separate consideration was given to correctional facilities. Construction costs were found to be comparable, because decreased expenses for finishing work was offset by higher structural costs. Building maintenance, however, is less due to the use of

inmates in this role. The charge for these facilities was taken as \$4.00 per square foot annually. Court rooms and associated office space were found to have a significantly higher construction cost. A survey of court rooms built in the last few years shows construction costs as high as \$40 per square foot which is almost twice that of office space. Court facilities are, therefore, being charged a higher rental of \$6.00 per square foot per year. This figure was arrived at based upon the portion of the overall rental charge that is attributed to construction costs. In further applications of the cost reporting system, each of these estimates should be reconfirmed or changed.

#### Cost Data Sources

It is possible for a criminal justice agency to incur support expenses which are not represented in its budget. To give a common example, police and sheriff's department budgets do not always contain a cost item for vehicles used in patrol processes. Although some departments are totally responsible for patrol cars, including purchase and maintenance, other departments are responsible for purchase but not for maintenance. Sometimes, purchase is budgeted by a transportation group and the law enforcement agency may or may not be charged a rental fee. Similar examples exist for personnel as well as for other types of equipment.

This variability between jurisdictions in services provided by and to similar units places an important requirement on the ability of the cost system to generate cost reports which are of

use in assessing cost of operations and resource allocation. A knowledge of the component parts of each process must be formed, and the budgets of non-criminal justice agencies carefully scrutinized to locate the sources of these components. Such an approach is the only way to meet the important demands upon the cost system for uniform applicability for all governmental units and to include similar costs from each.

A variety of data sources have been used for collection of data. Exhibit 3-1 indicates the basic sources used to obtain information for each of the cost categories. The sources for labor, service, and supply expense data are the basic departmental account sheets. From these, the item cost is used as the annual charge with the exception of labor where employee benefits are added if not on the basic labor cost sheet. Each item of expense is identified as to type and departmental unit in which it appears in the government organizational structure. At the same time this cost and identification data is recorded, a record is made assigning the cost to criminal justice system. This assignment takes one of three forms. Direct labor engaged in carrying out the criminal justice processes is assigned as a direct charge to the processes. Items of expense that are used in operations that support these direct charges are assigned to the supported direct item. Administrative items of expense are assigned to the organizational level at which they are applied.

Department equipment inventory lists are used to obtain book values for owned equipment. This data is recorded as the basis



<u>SOURCE OF COST DATA</u>	<u>COST ITEM CATEGORY</u>
Criminal Justice Department Accounts	Services Supplies
Salary and Wage Supplement	Labor
Equipment Inventories	Equipment
Building Floor Space	Facilities
Supporting Department Accounts	Support Services

Exhibit 3-1. Cost Data Sources

for determining annual charge. The appropriate rate indicating the percentage of book value taken for the annual depreciation charge is also recorded. The organizational identification and assignment to the criminal justice system is recorded at this time.

There is no one source that exists uniformly within all jurisdictions for obtaining data on facility space assigned to each department. The offices of property management maintain space assignment records but usually the area measurements must be developed as a separate task. The square footage values are recorded and become the basis for determining the annual charge. The space rental as a rate per square foot is recorded and is used by the computer for computing the total rental charge. As with the other expenses, the organizational identification and criminal justice process assignment is recorded.

#### Data Availability

In the absence of procedures based upon cost accounting there are several problems that arise in utilizing the cost reporting system with existing records. These problems result from the non-existence of certain records for some jurisdictions and lack of detail in others. The very fundamental problem that results from the absence of direct labor workload statistics has been discussed previously.

For indirect labor, salary records are readily available. Specific work assignments for support personnel are somewhat

time consuming to generate but can be obtained through interviews with supervisors.

In determining the amount of employee benefits that must be added to salaries, discrepancies exist among counties. Approximately half of the total benefit cost results from items such as insurance premiums, social security taxes, etc. Records for these are consistent across jurisdictions. The other half of the total, however, is due to paid time off for sick leave, holidays, and vacations. Some accounting systems include this cost in the base salary and some do not. This cost forms a real part of the salary burden and must be separated from the total annual salary and added to the cost of the productive working time.

Although required by law, equipment inventory accounts are not maintained by all counties. Of those interviewed, lack of funds to initially establish inventory control is the primary reason this has not been done. Where inventory values are not available, estimates can be made based upon the values found in other jurisdictions, with resulting loss of accuracy.

Where inventories are maintained, accounting is done for the department level. This necessitates charging equipment costs uniformly to all parts of the department. In most cases, this is acceptable. However, there are major equipment expenses, particularly in law enforcement, where it is desirable to separately charge sub-units of the department for particular items. Autos and radio equipment are examples.

Almost uniformly, facility space records are not maintained. Working from floor plans, the space allocations by department can be obtained.

The space rental charge used to obtain the true cost includes amounts for utilities, structural and grounds maintenance, conference rooms, lavatories, etc. The departmental floor space measurements must, therefore, not include amounts for these rooms and any charges levied against the department accounts for any of these items must be extracted or the space rental charge reduced by an appropriate amount.

#### Data Recording

A previous section explained the sources of the basic data provided to the system and described the types of data used. These data types are categorized as depicted in Exhibit 3-2. A copy of the data collection form for recording this information for use by the computer is shown in Exhibit 3-3.

The item description is a combination of an alphabetical description of the item and a numerical identification similar to the usual part or employee number which is used by the computer for item identification and classification.

The item cost is composed of two data: one providing the basis for determining the cost and the other the rate at which the basis is charged. For labor service and supplies, the basis for the actual cost with the rate being all of the cost. For equipment, the basis is the inventory value, and the rate

1. Item Description
  - a. Name
  - b. Identification Number
2. Item Cost
  - a. Basis
  - b. Rate
3. Organizational Address
  - a. Agency Identification
  - b. Unit Identification
4. Charged Account
  - a. Criminal Justice Process
  - b. Organizational Address
5. Allocation
  - a. Type
  - b. Amount

Exhibit 3-2. Basic Data



is the depreciation. For facilities, the basis is the square footage and the rate is the annual footage rental.

The organizational address is a numerically coded identification of the organization to which the item is charged by the existing agency accounting system. The government and agency identification forms part of this address.

The charged account identifies, for the computer, the place in the criminal justice system where the item is used. The account will be either a criminal justice process in the case where an item is directly utilized in carrying out a process, or the address of the unit served for support and administration charges.

Finally, the type of allocation identifies the item as being direct, support or administrative and indicates the fraction of the total item expense to be charged to the indicated account. This last designation allows a single cost item to be charged to several accounts. This is of particular significance for personnel who are engaged in several processes.

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#### SECTION 4

#### COST REPORTING SYSTEM ALLOCATIONS

There are several meaningful cost determinations which can be made with the cost reporting system. Starting with an agency within the criminal justice system, it is possible to determine, in detail, the costs associated with that agency for the various processes which collectively form all of the activities associated with criminal justice. Another important analysis available with the cost model is the computation of agency costs related to various offense categories. Two further determinations are program costs and department costs. Certain aspects of the utilization of the model are standard for all applications. These facets are described in the following section. Some specific utilizations of the model are defined in succeeding sections.

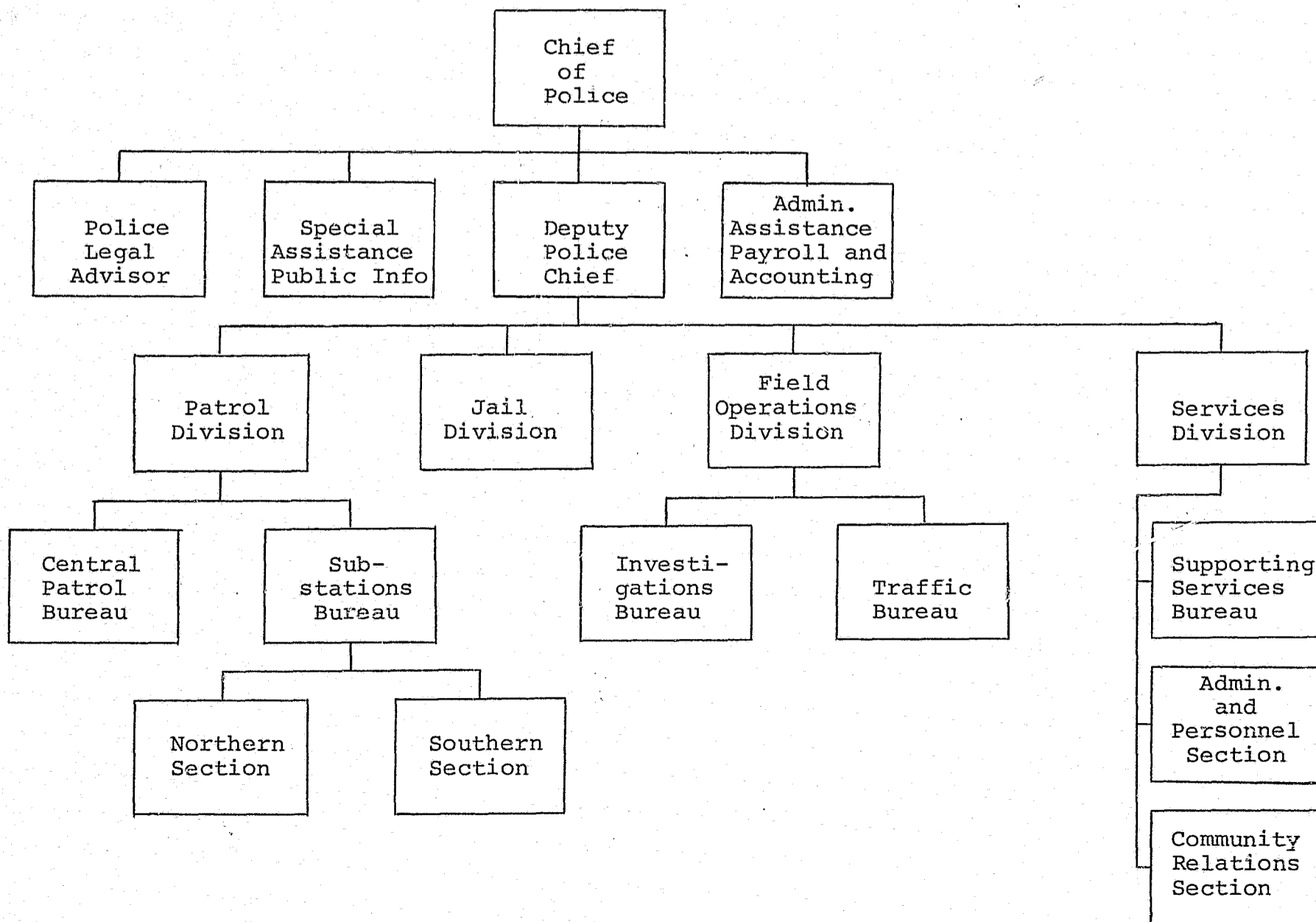
##### General Considerations

The first consideration which an agency must make in utilizing the cost model regards the structure of the organization itself. A detailed organization chart which shows the formal management relationships must be constructed. A chart similar to the example in Exhibit 4-1 must be prepared. Having done this, every person in the organization is now assigned to a location on the chart. The function of each individual must now be specified. This is the determination of the general responsibilities of each individual. The choices for these duties are: working directly on criminal justice processes, working in support

of personnel who are working on criminal justice processes, and administrative. The administrative tasks can be further subdivided to specific administrative within a department and general administrative relative to the agency. The amount of time that each employee spends on each type of responsibility must also be determined and specified, including the actual process for those working directly on criminal justice processes. Techniques for determining these percentages are described in the following paragraph.

The determination of the proportion of time spent by each employee on various tasks can be done in several ways. The most accurate method is with the use of time cards. Under this scheme, each employee would complete a summary of the hours on each classification of task each week. This would provide a comprehensive data base which would also be acceptable (with the introduction of appropriate procedures) for payroll and audit purposes. Of course, there is some expense involved in instigating such a time card system. Another similar, less extensive system would have each employee tabulate his activity each week, without any validation or utilization for either payroll or audit purposes. This would be less expensive since no modifications need to be introduced into the existing personnel procedures; only the summary activity log is added. This may be done on a continuing or occasional basis, depending on the accuracy desired and the rate of change of workload statistics anticipated. Other techniques for gathering workload information occasionally include interviews to determine typical activity and random direct

Exhibit 4-1. San Diego Police Department  
(Excluding lower levels)



sampling of activity. Both of these require extra data gathering personnel and tend to be expensive and somewhat disruptive. The method to be selected for gathering workload statistics depends on the use to which the analysis is going to be put, the accuracy required, and the type of agency involved. If continuity and high accuracy are needed, time cards should be used. However, the agencies involved are also significant: time cards are easily utilized in police agencies, while they may never really be needed in the courts.

Other costs associated with each agency are the non-labor costs, which include supplies, equipment, and facilities, the services contracted for from outside sources, and intra-agency transfers and reimbursements. These costs must all be assigned to the appropriate level in the organization in order to determine the true costs associated with the various processes.

#### Process Costs

All activities which are considered to constitute processes within the criminal justice system have been defined and numbered. This classification has been described in some detail in Phase I of this project\* and is further elaborated in other sections of this report. It is these processes to which the direct labor within each agency must be charged. Conceptually, this is simple. Practically, it requires a data gathering effort analogous to that described in the previous section. Detailed time cards or

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\* "California Criminal Justice Cost Project--Phase I," Public Systems incorporated, Sunnyvale, California, August 1971.

less detailed activity summaries would provide continuing data. Occasional data can be gathered by interview or observation.

Once the activities of all the personnel in the agency have been defined (including the process number for direct costs), the data must be assembled for keypunching for input to the computer.

An example of this type of cost determination follows. Further details are provided in Appendix C. Suppose the chief of police in a city wants to know how he is spending his resources relative to the various processes within the criminal justice system. He currently has the standard line item budget which accounts for the budgeted expenses in his organization. But how much is he actually spending on, for example, direct investigation and apprehension associated with criminal activity? Or, in a department which is striving to be aware of and responsive to the service needs of the community, how much is being expended on community and personal contact activities? These, and many more specific questions can be readily answered through the use of the cost reporting system. Exhibit 4-2 provides a sample output listing some process costs.

Similar examples of process costs attributable to salaries are presented in Exhibits 4-3 and 4-4. These are for a district attorney's office and a municipal court. Further details of these tabulations are given in Appendix B.

Process		Cost	
No.	Description	Total	Subtotal
1000	PREVENTION/SUPPRESSION	2,262,943	
1100	Community/Personal Contact		487,477
1200	Preventive Patrol		809,587
1300	Maintenace of Public Order		86,437
1400	Traffic Control		879,442
2000	INVESTIGATION/APPREHENSION	3,356,618	
2110	Crimes against Persons		666,621
2120	Crimes against Property		829,479
2130	Vice/Organized Crime		157,300
2140	Alarm Responses		178,457
2170	Miscellaneous Offenses		832,869
2190	Report Preparation		218,540
2300	Special Programs		473,352
3000	COURTS	53,362	
5000	CUSTODY	1,992,147	
--	MISCELLANEOUS/ADMINISTRATIVE	1,680,947	
		9,346,017	

Exhibit 4-2. Sample Annual Police Department Process Costs

Process		
No.	Description	Cost
3100	Initiation of Prosecution	1,173,029
3200	Proceedings Prior to Trial	944,948
3300	Trial Proceedings	525,405
3400	Post Trial Proceedings	114,801
3500	Habeas Corpus	14,377
6200	Juvenile Detention Hearings	5,590
6300	Proceedings to Declare Minor a Ward of the Court	55,898
6400	Other Juvenile	2,795

Exhibit 4-3. Sample Annual District Attorney's  
Office Process Costs (Salaries only)

Process		
No.	Description	Cost
3100	Initiation of Prosecution	523,850
3200	Proceedings Prior to Trial	297,588
3300	Trial Proceedings	251,328
3400	Post Trial Proceedings	319,426

Exhibit 4-4. Sample Annual Municipal Court  
Process Costs (Salaries only)



#### Offense Costs

Perhaps the most significant single breakout of costs within the criminal justice system is the determination of costs by offense category. This can readily be done with the cost model, although all of the workload statistics must now be gathered in more detail. Namely, each process must be subclassified to include the offense type.

This was done in the data gathering experiment described in Appendix C (i.e., for law enforcement activities), but was not done for the judicial processes. The simplest format for this type of costing would be as shown in Exhibit 4-5. This depicts a listing which would be appropriate for specifying offense costs at the county level.

#### Department Costs

One of the computations that an agency may be interested in is the determination of actual department costs. These can readily be determined if the complete organization has been analyzed as to process costs. Department costs then are a simple by-product of the total agency result. If department costs are desired without extensive workload statistics, approximate values can be obtained without too much effort, depending on the accuracy desired. This can be done by simply estimating the percentages of direct labor, support labor, and administrative labor, along with non-labor costs. This then provides an estimate of the total costs associated with a department.

Agency	Offense				
	Robbery	Burglary	...	Marijuana	...
Sheriff					
Police Department A					
Police Department B					
Superior Court					
Municipal Court A					
Municipal Court B					
District Attorney					
Public Defender					
Marshal					
Grand Jury					
Probation Department					
County Corrections					
:					
TOTAL					

Exhibit 4-5. Typical Format for Offense Costs  
at County Level

A simple appropriate example of the utility of this type of output would be for a department in which the line budget did not include significant costs. This occurs in some police departments in which the cost of patrol vehicles is not budgeted to the patrol division, but is budgeted elsewhere.

An example of the labor costs of a specific department, in this case an institution, is given in Exhibit 4-6. This does not include any related outside agency costs, but does show a tabulation for the 1971 labor costs associated with the institutionalization process at Folsom State Prison. This can be compared with the standard budget shown in Exhibit 4-7.

#### Computer Program Applications

The overall computer program system structure is illustrated in the logic flow diagram given in Exhibit 4-8. The model is composed of three phases: initialization, computation, and report generation. The initialization phase is responsible for handling all data inputs and creates the master data file on magnetic tape.

The master data file is maintained by the use of an update program. In this manner, only new input data cards are required to update the master file. The computation phase creates account records for all organizational positions and processes from the basic input data. All needed calculations are performed to generate an augmented master file from which the reports are generated. Finally, the report generation phase takes the augmented master file, extracts necessary information, and compiles

4120	INSTITUTIONALIZATION PROCESS		4,216,332
4120.1	INMATE SUPPORT		3,481,181
4120.11	Security	2,831,597	
4120.12	Feeding	104,866	
4120.13	Clothing	30,733	
4120.14	Medical-Dental	376,718	
4120.15	Laundry-Housekeeping	29,102	
4120.17	Movement Processing	89,547	
4120.18	Welfare Fund	18,618	
4120.2	TREATMENT/ OPPORTUNITIES		247,026
4120.21	Psychotherapy/ Counseling	42,388	
4120.22	Education	138,669	
4120.23	Leisure Activities		
	Handicraft	18,618	
	Recreation	15,412	
	Religion	31,939	
4120.3	INMATE EMPLOYMENT		488,125
4120.31	Correctional Industries	488,125	
4200	LABOR BURDENED TO PAROLE		250,524
TOTAL WORKING LABOR BASE			4,466,856

BASIS:	Salaries for Folsom Personnel (Budget)	4,192,313
	Salaries for Correctional Industries Personnel	460,982
	Salaries for Welfare Fund Personnel	35,169
	Salaries for Structural Maintenance	(81,420)
	Salaries for Maintenance of Grounds	(9,960)
	Salaries for Heat, Power, Water	(130,228)
	Base Folsom Salaries	4,466,856
	Overhead Salaries	(247,928)
	Direct Labor Base	4,218,928
	Overhead Rate	5.88%

Exhibit 4-6. Labor Accounting for Folsom State Prison  
(1970-71)

ADMINISTRATION	197,336	
CARE AND WELFARE	3,482,649	
SUPPORT AND SUBSISTENCE	155,554	
PLANT OPERATION	356,774	
TOTAL LABOR EXPENDITURE		4,192,313

Exhibit 4-7. Standard Line Item Budget Report -  
Folsom State Prison (1970-71)

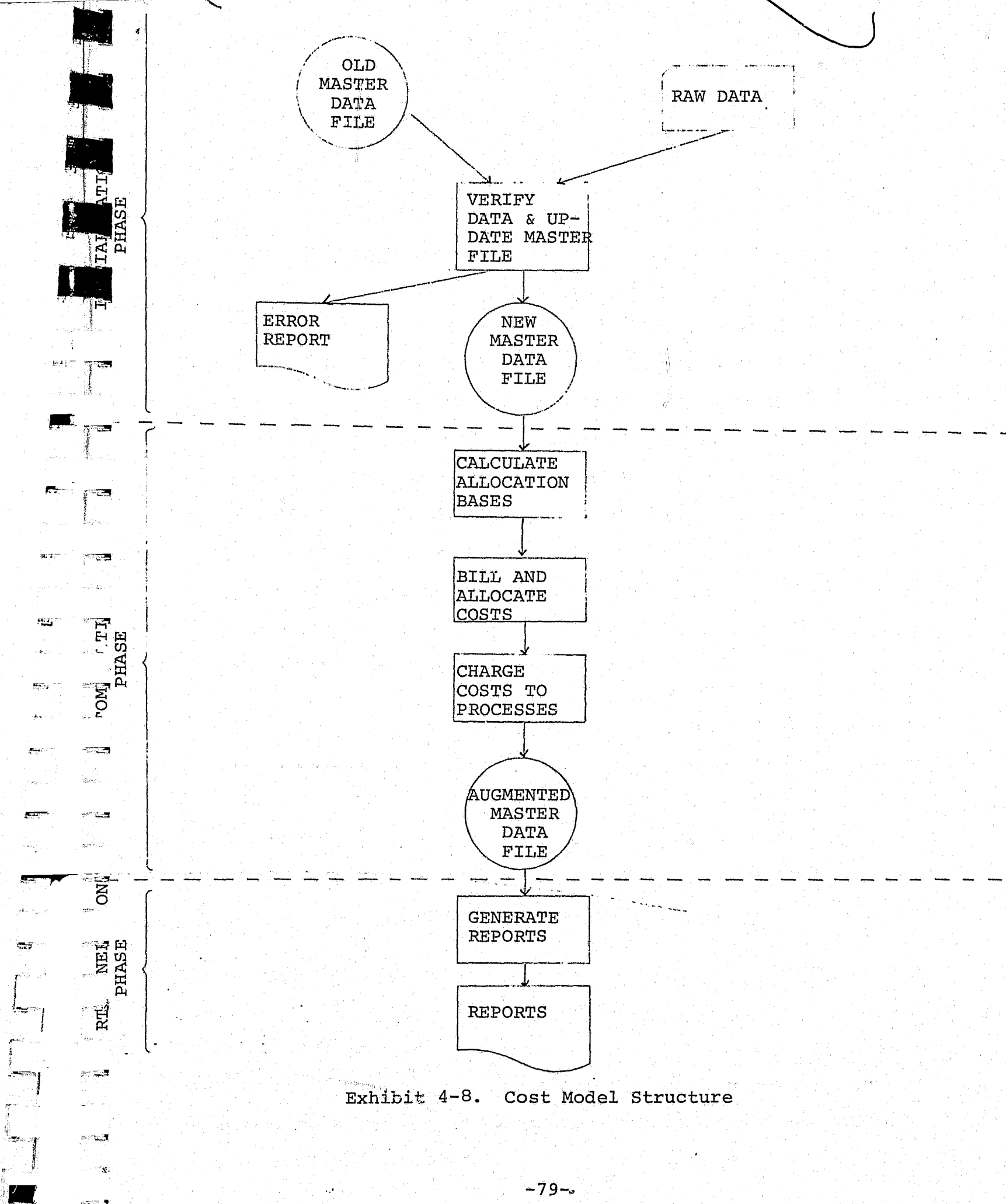


Exhibit 4-8. Cost Model Structure

the data into the reporting forms. The following paragraphs give additional details on the internal operations performed in each of the three phases of the cost reporting system.

#### Initialization phase

As mentioned above, the initialization phase is responsible for the maintenance of the master file. This phase is composed of two programs. The first is an editing program which is responsible for checking the raw data from the cards and converting this data into a format for the computation phase. The editing program checks the raw data and verifies that only valid codes are used in each data field. Erroneous data is rejected and an indication of the errors detected is printed on an error report. The erroneous data cards are corrected and then resubmitted. The edit program generates an update file which contains the correctly formatted data sorted in the proper order.

The second program in the initialization phase is responsible for updating the master file. This program uses the update file to add, change, or delete records from the old master file. Any errors detected at this phase of the operation are printed on an error report. The new master data file magnetic tape is used as the input to the computation phase.

#### Computation phase

The computation phase is responsible for reading the master data file and performing the computations for the cost analysis. This phase is composed of nine programs, each performing certain computations and creating information for subsequent programs.

The data contained on the master file contains the same basic information that was collected from the governmental units. To facilitate data collection and to require the minimum amount of training on behalf of the recording clerks, this information contains only the first level cost refinement; that is, administrative costs are charged to the organizational level at which they appear, support costs are charged to the organization they support, and only direct costs are charged to the criminal justice processes. The nine computer programs construct the logic chains connecting all of the costs to the criminal justice processes. This is accomplished by working down the organizational structure, cascading the billing from one level to the next, to the lowest operating level from which the charges are assessed to the criminal justice processes. A list of the nine programs is given in Exhibit 4-9.

Report generation phase

Any number of types of reports can be generated as required from the augmented master data file or any file previously generated. Presently, three types of report generation programs have been developed. For specific application the files have been formatted to facilitate the extraction of other information for particular reports of special use. For this project, three specific output programs were written and run. The first of these generated the cascaded total dollar cost of each "hundred level" (i.e., activity category) criminal justice process. The second generated cascaded costs associated with processes for direct, overhead, G&A, support, non-labor, total and overhead



rate. The third generated these same dollar costs by department level code. These output reports are described in some detail in Volume II of this report.

1. Non-Labor Support Billing
2. Support Allocation Bases
3. Non-Labor Support Allocation
4. Overhead (Specific Administration)  
Allocation Base
5. Overhead Assessment
6. G & A (General and Administrative) Base
7. G & A Assessment
8. Labor Support Assessment
9. Criminal Justice Processes

Exhibit 4-9. Computer Programs

Appendix A

CRIMINAL JUSTICE PROCESSES

This appendix provides a list of the processes which have been developed for use with the cost reporting system. This list is the result of extensive research and discussion with the personnel of various operating criminal justice system agencies.

The most directly resolved organization problem is the basic functional breakdown. Traditional usage has divided the criminal justice system into three functional components: law enforcement, the courts, and corrections. While providing a useful starting point, this tripartite breakdown does not go far enough; separable functions are clearly evident in these categories and thus additional refinements have to be made.

First, it is necessary to recognize the large scope of law enforcement activities outside the spectrum of work connected with specific crimes. One logical breakdown of the law enforcement component is into the crime prevention/suppression function and the investigation/apprehension function. The former includes those activities which directly tend to prevent or suppress acts which are both injurious to the public safety and legally prohibited and which provide a service to the public. The latter refers to those processes of inquiring into the particulars of an alleged or actual criminal incident. Second, in dealing with the court system, the law currently separates adjudication of juveniles from adjudication of adults. Hence, the court function must be broken down into judicial process which involves the adjudication of adult criminality and the juvenile judicial process which involves the adjudication of juvenile delinquency and dependency.

Third, a similar distinction is recognized in both the law and practice of corrections. Thus, the correctional function is divided into both adult corrections and juvenile corrections. But, there is an additional correctional distinction which must also be made. The custodial and rehabilitative processes supporting the correctional function are usually applied to adjudicated adults and juveniles. To provide clarification, pre-adjudication custody or rehabilitative activities should be separated into their own separate categories. And two additional functions, unsentenced custody/correctional processes for both adults and juveniles, have been developed as part of the organizational format.

This leads to an eight-part functional breakdown of the criminal justice system and these have been arranged organizationally in a way which is partly based on sequence and partly based on client group. Thus, the first two parts are the law enforcement functions of crime prevention/suppression and investigation/apprehension. The next three parts all pertain to subsequent processes involved with adults: judicial process, adult corrections, and unsentenced custody/correctional processes for adults. While this latter category sequentially belongs prior to the judicial process, its present place in the organizational framework represents both its smaller relative size and its close material compatibility with the correctional function. The final three categories are the juvenile judicial process, juvenile corrections, and unadjudicated custody/correctional processes for juveniles.

Since the basic breakdown of the criminal justice system into eight parts is based upon function, it is important to point out that several agencies may be involved in each category. Thus, sheriffs and police departments, and the California Highway Patrol, are involved in the two law enforcement functions; and the functions of corrections and unadjudicated custody/correctional processes are performed not only by probation,

parole, and prison agencies but also by police and sheriff departments. And the two parts related to the judicial function encompass many agencies in addition to the courts, such as public defenders, district attorneys, probation departments, law enforcement officers, bail projects, court staffs, and county clerks. For the most part, however, those agencies participating in criminal justice functions are limited in this format to public agencies.

CRIMINAL JUSTICE PROCESSES

<u>Code</u>	<u>Process</u>
1000	<u>CRIME PREVENTION/SUPPRESSION</u>
1100	COMMUNITY AND PERSONAL CONTACT
1110	<u>Personal Contact/Public Relations</u>
1120	<u>Personal Contact/Field Interviews</u>
1130	<u>Community Relations</u>
1140	<u>Personal Assistance</u>
1180	<u>Record Inquiry</u>
1190	<u>Report Preparation</u>
1200	PREVENTIVE PATROL
1210	<u>Motorized Patrol</u>
1220	<u>Foot Patrol</u>
1230	<u>Other Vehicular Patrol</u>
1240	<u>Security Escorts</u>
1260	<u>Security Inspections</u>
1280	<u>Record Inquiry</u>
1290	<u>Report Preparation</u>
1300	MAINTENANCE OF PUBLIC ORDER
1310	<u>Special Events</u>
1330	<u>Civil Disturbances</u>
1340	<u>Minor Peace Disturbance</u>
1350	<u>Assistance to Allied Agency</u>
1390	<u>Report Preparation</u>
1400	MOVEMENT/CONTROL OF TRAFFIC
1410	<u>Traffic Patrol/Direction</u>
1420	<u>Accident Investigation</u>
1430	<u>Traffic Contact (Warning)</u>
1440	<u>Citation</u>
1480	<u>Records Inquiry</u>
1490	<u>Report Preparation</u>

**CONTINUED**

**2 OF 5**

<u>Code</u>	<u>Process</u>
2000	<u>INVESTIGATION/APPREHENSION</u>
2100	GENERAL PROGRAMS
2110	<u>Crimes against Persons</u>
2120	<u>Crimes against Property</u>
2130	<u>Vice/Organized Crime</u>
2140	<u>Alarm Responses</u>
2170	<u>Miscellaneous Offenses against the Public and Peace and Order</u>
2190	<u>Report Preparation</u>
2300	SPECIAL PROGRAMS
2310	<u>Warrant and/or Supoena</u>
2320	<u>Booking</u>
2330	<u>Arrests</u>
2340	<u>Undercover Activity</u>
3000	<u>ADULT JUDICIAL</u>
3100	INITIATION OF PROSECUTION
3110	<u>Charging</u>
3111	Charging of Misdemeanors
3112	Charging of Felonies
3120	<u>Indicting</u>
3130	<u>Releasing from Custody</u>
3131	Bail in Municipal Court
3132	Own Recognizance in Municipal Court
3133	Bail in Justice Court
3134	Own Recognizance in Justice Court
3135	Bail in Superior Court
3136	Own Recognizance in Superior Court
3200	PROCEEDINGS PRIOR TO TRIAL
3210	<u>Misdemeanor Arraignment</u>
3211	Arraignment in Municipal Court



<u>Code</u>	<u>Process</u>
3212	Arraignment in Justice Court
3213	Guilty Plea Prior to Trial in Municipal Court
3214	Guilty Plea Prior to Trial in Justice Court
3215	Dismissal Prior to Trial in Municipal Court
3216	Dismissal Prior to Trial in Justice Court
3220	<u>Misdemeanor Pre-Trial Activities</u>
3221	Pre-Trial Activities in Municipal Court
3222	Pre-Trial Activities in Justice Court
3230	<u>Felony Arraignment in Lower Courts</u>
3231	Arraignment in Municipal Court
3232	Arraignment in Justice Court
3233	Guilty Plea Prior to Preliminary Hearing in Municipal
3234	Guilty Plea Prior to Preliminary Hearing in Justice Court
3235	Dismissal Prior to Preliminary Hearing in Municipal Court
3236	Dismissal Prior to Preliminary Hearing in Justice Court
3240	<u>Felony Preliminary Hearing</u>
3241	Preliminary Hearing in Municipal Court
3242	Preliminary Hearing in Justice Court
3250	<u>Other Felony Preliminary Activities</u>
3251	Pre-Trial Hearing on Motion for Return of Property or Suppression of Evidence (PC 1538.5) in Municipal Court
3252	Pre-Trial Hearing on Motion for Return of Property or Suppression of Evidence (PC 1538.5) in Justice Court
3253	17b Sentencing in Municipal Court
3254	17b Sentencing in Justice Court

Code

Process

3255	17b Probation Hearing in Municipal Court
3256	17b Probation Hearing in Justice Court
3257	Other Preliminary Activities in Municipal Court
3258	Other Preliminary Activities in Justice Court
3260	<u>Felony Arraignment in Superior Court</u>
3261	Felony Arraignment in Superior Court
3262	Guilty Plea Prior to Trial
3263	Dismissal Prior to Trial
3270	<u>Felony Pre-Trial Activities in Superior Court</u>
3271	Pre-Trial Hearing on Motion to Set Aside the Information or Indictment (PC 995)
3272	Pre-Trial Hearing on Motion for Return of Property or Suppression of Evidence (PC 1538.5)
3273	Other Pre-Trial Activities
3274	Petition for Writ of Prohibition Appealing Decision on Motion Made under Section 995 (PC 999a)
3275	Petition for Writ of Mandate or Prohibition Appealing Decision Made on Motion Under Section 1538.5 (PC 1538.5i,j)
3300	TRIAL PROCEEDINGS
3310	<u>Misdemeanor Trial Confirmation Proceedings</u>
3311	Calendar Hearing in Municipal Court
3312	Calendar Hearing in Justice Court
3313	Pre-Trial Conference in Municipal Court
3314	Pre-Trial Conference in Justice Court

<u>Code</u>	<u>Process</u>
3320	<u>Misdemeanor Trial</u>
3321	Uncontested Court Trial in Municipal Court
3322	Uncontested Court Trial in Justice Court
3323	Contested Court Trial in Municipal Court
3324	Contested Court Trial in Justice Court
3325	Jury Trial in Municipal Court
3326	Jury Trial in Justice Court
3330	<u>Felony Trial Confirmation Proceedings</u>
3331	Calendar Hearing
3332	Pre-Trial Conference
3340	<u>Felony Trial</u>
3341	Trial on Transcript Only
3342	Trial on Transcript Plus Testimony
3343	Court Trial
3344	Jury Trial
3400	POST-TRIAL PROCEEDINGS
3410	<u>Insanity and Involuntary Commitment Proceedings</u>
3411	Proceeding to Determine Whether Defendant is Addicted or in Danger of Becoming Addicted to Narcotics or Dangerous Drugs (W&I 3051)
3412	Proceeding to Determine Whether Defendant is Probably a Mentally Disordered Sex Offender (W&I 6300)
3413	Proceeding to Determine Whether Defendant is Presently Sane (PC 1368)
3414	Proceeding to Determine Whether Defendant was Insane at Time of the Offense (PC 1026)
3415	Other Proceedings

<u>Code</u>	<u>Process</u>
3420	<u>Misdemeanor Probation/Probation Revocation Hearings</u>
3421	Misdemeanor Probation/Probation Revocation Hearings in Municipal Court
3422	Misdemeanor Probation/Probation Revocation Hearing in Justice Court
3430	<u>Other Misdemeanor Post-Trial Activities</u>
3431	Post-Trial Activities in Municipal Court
3432	Post-Trial Activities in Justice Court
3440	<u>Felony Sentencing/Probation Revocation Hearings</u>
3450	<u>Other Felony Post-Trial Activities</u>
3460	<u>Misdemeanor Appeals to Higher Courts</u>
3461	Appeals in the Superior Court
3470	<u>Felony Appeals to Higher Courts</u>
3471	Appeals in the California Court of Appeals
3472	Appeals in the California Supreme Court
3500	HABEAS CORPUS
3510	<u>Hearing after Return of a Writ of Habeas Corpus (PC 1508)</u>
3511	Hearing in Superior Court
3512	Hearing in Court of Appeals
3513	Hearing in Supreme Court
3520	<u>Appeal or Subsequent Hearing after Final Order of a Judge in Hearing after Return of a Writ of Habeas Corpus (PC 1506)</u>
3521	Appeal or Hearing in Court of Appeals
3522	Appeal or Hearing in Supreme Court

<u>Code</u>	<u>Process</u>
4000	<u>ADULT CORRECTIONS</u>
4100	STATE INSTITUTIONAL COMMITMENT
4110	<u>Intake Diagnosis and Classification</u>
4120	<u>Institutionalization</u>
4130	<u>Work Furlough</u>
4140	<u>Special Programs</u>
4150	<u>Parole Hearing</u>
4160	<u>Release</u>
4170	<u>STRU</u>
4200	STATE PAROLE
4210	<u>No Supervision</u>
4220	<u>Supervision Regular Caseload</u>
4230	<u>Supervision Special Caseload</u>
4240	<u>Special Community Programs</u>
4250	<u>Parole Revocation Hearing</u>
4300	SENTENCED LOCAL INCARCERATION
4310	<u>County Jail</u>
4320	<u>Jail Farm, Camp, or Workhouse</u>
4330	<u>Work Furlough</u>
4340	<u>Special Programs</u>
4350	<u>County Parole Hearing</u>
4400	COUNTY PAROLE
4500	PROBATION
4510	<u>Summary Probation</u>
4520	<u>Regular Supervision</u>
4530	<u>Special Supervision</u>
4540	<u>Community Treatment Program</u>
5000	<u>CUSTODY/CORRECTIONAL PRIOR TO FINAL DISPOSITION (ADULT)</u>
5100	INCARCERATION
5110	<u>Lockup (Pre-Preliminary Hearing)</u>
5120	<u>Custody</u>

<u>Code</u>	<u>Process</u>
5200	DIAGNOSTIC EVALUATION
5210	<u>Performed by Department of Corrections</u>
5220	<u>Performed by Department of Mental Hygiene</u>
5230	<u>Performed by Local Public Agency</u>
5240	<u>Performed by Private Individual or Agency</u>
5300	CORRECTIONS
5310	<u>Employment Program with Proceedings Suspended</u>
5320	<u>Other</u>
6000	<u>JUVENILE JUDICIAL PROCESS</u>
6100	INITIATION OF JUVENILE PROCEEDINGS
6110	<u>Probation Intake</u>
6200	DETAINING JUVENILES
6210	<u>Uncontested Detention Hearing (W&amp;I 632)</u>
6220	<u>Contested Detention Hearing (W&amp;I 632)</u>
6230	<u>Rehearing (W&amp;I 637)</u>
6300	PROCEEDINGS TO DECLARE THE MINOR A WARD OF THE COURT
6310	<u>Uncontested Jurisdictional Hearing (W&amp;I 701)</u>
6320	<u>Contested Jurisdictional Hearing (W&amp;I 701)</u>
6330	<u>Uncontested Dispositional Hearing (W&amp;I 702)</u>
6340	<u>Contested Dispositional Hearing (W&amp;I 702)</u>
6350	<u>Rehearing of Findings and Orders Made by a Referee (W&amp;I 558;559)</u>
6360	<u>Appeals (W&amp;I 800)</u>
6400	OTHER HEARINGS RELATED TO JUVENILES
6410	<u>New Hearing (W&amp;I 778)</u>
6420	<u>Nearing on a Supplemental Petition (W&amp;I 777)</u>
6430	<u>Other Hearings on Modification of Orders (W&amp;I 775)</u>

<u>Code</u>	<u>Process</u>
6440	<u>Subsequent Review where Minor Has Been Declared a Dependent Child of the Court (W&amp;I 729)</u>
6450	<u>Review of Probation Officer's Decision not to File a Petition (W&amp;I 655)</u>
6460	<u>Hearing on Petition for Sealing of Records (W&amp;I 781)</u>
6470	<u>Traffic Hearing (W&amp;I 563)</u>
6480	<u>Rehearing or Modification of Orders Made by a Traffic Hearing Officer (W&amp;I 567)</u>
6490	<u>Other Hearings</u>
7000	<u>JUVENILE CORRECTIONS</u>
7100	<u>STATE INSTITUTIONAL COMMITMENT</u>
7110	<u>Intake Diagnosis and Classification</u>
7120	<u>Institutionalization</u>
7140	<u>Special Programs</u>
7150	<u>Parole Hearing</u>
7160	<u>Release</u>
7200	<u>STATE PAROLE</u>
7210	<u>Information Supervision</u>
7220	<u>Regular Caseload</u>
7230	<u>Special Caseload</u>
7240	<u>Special Treatment</u>
7250	<u>Foster Home</u>
7260	<u>Parole Revocation Hearing</u>
7300	<u>COUNTY CORRECTIONAL INSTITUTIONAL PLACEMENT</u>
7310	<u>Juvenile Hall</u>
7320	<u>County Camp, Ranch, or School</u>
7340	<u>Daycare Center: Special Programs</u>
7360	<u>Homes: Foster, Group, or Halfway</u>
7500	<u>COUNTY PROBATION</u>
7510	<u>Information Supervision</u>
7520	<u>Regular Supervision</u>

<u>Code</u>	<u>Process</u>
7530	<u>Special Supervision</u>
7540	<u>Community Treatment</u>
8000	<u>UNADJUDICATED CUSTODY/CORRECTIONAL (JUVENILE)</u>
8100	TEMPORARY CUSTODY AND DETENTION
8200	DIAGNOSTIC EVALUATION
8210	<u>Performed by the Youth Authority</u>
8220	<u>Performed by the Department of Mental Hygiene</u>
8230	<u>Performed by a Local Public Agency</u>
8240	<u>Performed by a Private Individual or Agency</u>
8300	CORRECTIONS
8310	<u>Supervised by a Youth Services Bureau</u>
8320	<u>Other</u>



### Definitions

Some of the terms used in the list of processes are susceptible to variations in interpretation. To standardize terms in data collection, and as aid to analysis of the output of the system, many of the terms were defined in more detail. The following definitions were used as guidelines in data collection. Although some terms are not further defined, it was the consensus of the project team that the meaning of these terms was self-evident.

CRIMINAL JUSTICE PROCESSES

Code

Process

1000

CRIME PREVENTION/SUPPRESSION PROCESSES

Those law enforcement processes which are primarily intended to prevent or suppress acts which are legally prohibited or which may be injurious to public safety.

1100

Community and Personal Contact

The processes which involve actual face-to-face contacts (which are not related to known specific crime) between a law enforcement officer and the public.

1110

Personal Contact/Public Relations.

The process in which an officer inspects the condition of a public place regarding persons present and the general activity occurring. This would include checking bars, teen centers, etc. The underlying purpose of this contact is crime prevention.

1120

Personal Contact/Field Interview.

The process of questioning a person who arouses suspicion. This would involve the field interrogation of a person not related to a specific criminal act. (These are part of the crime investigation/apprehension process.)

1130

Community Relations/Formal. The process in which an officer provides specific crime prevention (or related) information and techniques to community groups or individuals. Typically this activity will have been scheduled (formally) prior to the contact.

Community Relations/Informal.  
Informal activities on the part of an officer which tend to promote community relations. This would include such items as partaking in lunch or coffee in a public place to further the citizen/police relationship.

1140 Personal Assistance. The processes in which the officer assists individuals by providing general public service. This would include assisting stranded motorists, providing directions, etc.

1180 Record Inquiry. The process of communicating with a criminal justice information record system related to community or personal contacts of a crime prevention/field interrogation nature.

1190 Report Preparation. The preparation of a report which is related to community or personal contacts of a crime prevention nature.

1200 Preventive Patrol  
The process involving one or more police officers of patrolling a district or beat in which the primary purpose of observing the public and being on view for its deterrent effect on criminal activity.

1210 Motorized Patrol. Preventive patrol performed with the aid of automotive vehicles.

1220 Foot Patrol. Preventive patrol performed on foot.

1230 Other Patrol. Preventive patrol performed with the aid of other vehicular equipment, such as bicycles, helicopters, or boats.

1240 Security Escorts. That process of providing an escort for security purposes to such persons as businessmen, political figures, funeral processions, persons removing belongings from homes, etc.

1260 Security Inspections. The examination of structures for the purpose of assuring that it has not been the scene of a criminal or delinquent act, such as vacation house and commercial building inspections during the nighttime.

1280 Record Inquiry. The process of communicating with a criminal justice information system related to preventive patrol.

1290 Report Preparation. The preparation of a report related to preventive patrol.

1300 Maintenance of Public Order

Those law enforcement processes which are designed to preserve public peace and compliance with the law. The primary emphasis on these processes is maintenance and preservation as compared with prevention or apprehension.

1310 Special Events. Those processes involving regulation of an orderly and planned public activity such as a parade, sporting event, motorcade, or convention.

1330 Civil Disturbances. Those processes involving control of a portion of the population which engaged in planned or spontaneous acts designed to interfere with, interrupt, or hinder the prevailing social order.

1340 Minor Peace Disturbances. Activities related to incidents such as family quarrels, barking dogs, noisy parties, neighbor disagreements, juvenile behavior, unwanted guests, and other related civil/domestic events not specifically mentioned elsewhere.

1350 Assistance to Allied Agency. Includes activities which are primarily of the nature of assistance to another agency (e.g., aiding fire department, highway patrol).

1390 Report Preparation. The preparation of a report which is related to the maintenance of public order.

1400 Movement/Control of Traffic  
The processes of regulating the movement of vehicles, ships, and persons.

1410 Traffic Patrol/Direction. That patrol process involving the surveillance of the flow of traffic for insuring compliance with traffic laws and regulations. The emphasis under this code is directed at the enforcement of traffic laws rather than criminal incidents, such as auto theft, drunk driving, or transporting contraband, etc.

1420 Accident Investigation. That process involving an examination of the circumstances surrounding the collision of any type of vehicle.

1430 Traffic Contact (Warning). Processes in which direct contact is made with individual drivers where no accident is involved nor any citation written (e.g., warnings).

1440 Citation. The processes involved in actually stopping the aberrant motorist and the issuing of a citation.

1480 Records Inquiry. The process of communicating with an information system regarding registration or driving record.

1490 Report Preparation. The preparation of a report related to traffic.

2000 CRIME INVESTIGATION/APPREHENSION PROCESSES  
The law enforcement activities which are directed toward solving (clearing) specific criminal incidents. This includes the process of investigation into particulars of a criminal incident in order to ascertain the pertinent facts and the processes which jointly are intended to lead to the apprehension and arrest of one or more persons considered to be responsible for the criminal activity.

2100

General Programs.

These investigation/apprehension processes are normally the result of a reported or known criminal incident. However, similar process activities based on information (or intelligence analysis) only should be included if they are directed as specific expected incidents for the purpose of apprehending the suspects during the commission of the (expected) criminal incident.

2110

Crimes of Personal Violence. Those investigative/apprehensive processes which are devoted to crimes which are inherently against a person. These include criminal homicide, forcible rape, robbery, and aggravated assault.

2120

Crimes Against Property. Those processes which are related to burglary, grant theft, and auto theft.

2130

Vice/Organized Crime (including drug laws). Investigative/apprehensive processes directed against individuals or organizations involved in narcotics, marijuana, dangerous drugs, other drug offenses, gambling, liquor law violations, prostitution, pornography, bookmaking, abortion, soliciting lewd acts, etc.

2140

Alarm Response. Processes related to the response to a location where an electronic or mechanical signaling device has been activate.

2170

Miscellaneous Offenses Against the Public and Peace and Order. Activity related to criminal offenses not previously identified. Disturbing the peace where the disturbance is of a criminal nature (fighting, refusal to pay fare, auto disturbances in violation of vehicle code, etc.) is also included in this category, while non-criminal peace disturbances are classified as maintenance of public order (e.g., civil, domestic problems).

2190

Report Writing. The preparation of a report which is related to any of the crime investigation/apprehension processes.

2300

Special Programs

Those investigation/apprehension processes which are normally carried out by peace officers, but which are not specifically identified by type of offense (i.e., crimes against property, etc.)

2310

Warrant/Subpoena. That process involved in the service of warrants and/or subpoenas.

2320

Booking. The process which includes all activities performed in booking a suspect. It includes fingerprinting, personal property inventory, etc.

2330

Arrest. The process which involves the actual physical arrest and transportation for booking of a suspect.

2340

Undercover Activity. Those investigative/apprehension activities which involve stakeout/surveillance and/or intelligence (information) gathering activities.

3000

JUDICIAL PROCESS (ADULT)

The term judicial process refers to those processes which initiate and carryout the adjudication of crime or delinquency.

3100

Initiation of Prosecution

Those judicial processes subsequent to law enforcement investigation/apprehension (code 2000) but prior to any appearance in court by a criminal defendant.

3110

Charging. A complaint is filed in a Municipal or Justice Court alleging commission of a misdemeanor or felony; an information is filed in Superior Court alleging commission of a felony.

3120 Indicting. An indictment returned by a grand jury is filed in a Superior Court alleging commission of a felony.

3130 Releasing from Custody. A criminal defendant is released from custody pending further adjudication either on an undertaking of bail or an agreement to appear at all times and places ordered by the court (own recognizance release).

3200 Proceedings Prior to Trial. Those judicial processes which occur before trial, either necessarily or at the defendant's option.

3210 Misdemeanor Arraignments. The defendant is informed of the accusation and advised of his rights. Defendant may request appointment of counsel.

3220 Misdemeanor Pre-Trial Proceedings. Certain motions may be raised and decided at proceedings scheduled prior to trial. A motion pursuant to Penal Code 1538.5 relates to whether property or evidence obtained by search or seizure should be returned or suppressed on the ground that the search or seizure was unreasonable. Both the people and the defendant may appeal the lower court's decision on this motion by filing a petition for writ of mandate or prohibition in a higher court.

Other motions which may be heard prior to trial include motions for demurrer (Penal Code 1004) or change of venue (Penal Code 1431).

3230 Felony Arraignments. The defendant is informed of the accusation and advised of his rights. Defendant may request appointment of counsel.

3240 Felony Preliminary Hearing. The court determines whether a public offense has probably been committed and whether the defendant probably committed it.



3250

Felony Pre-Trial Proceedings.

Certain motions may be raised and decided at proceedings scheduled prior to trial. A motion pursuant to Penal Code 1538.5 relates to whether property or evidence obtained by search or seizure should be returned or suppressed on the ground that the search or seizure was unreasonable. Both the people and the defendant may appeal the court's decision on this motion by filing a petition for writ of mandate or prohibition in a higher court.

A motion pursuant to Penal Code 995 relates to setting aside the information or indictment because of certain defects established by this code section. The defendant may appeal the court's denial of this motion by filing a petition for writ of prohibition in a higher court.

Other motions which may be heard prior to trial include motions for demurrer (Penal Code 1004) or change of venue (Penal Code 1033).

3300

Trial Proceedings

Those judicial processes leading to a determination of whether defendant is guilty of the offense charged.

3310

Misdemeanor Trial Confirmation Proceedings. The calendar hearing and pre-trial conference (trial confirmation conference) determine the readiness of a case for trial.

3320

Misdemeanor Trial. A court trial is a trial where questions of fact are determined by the judge; a jury trial is a trial where questions of fact are determined by a jury.

3330

Felony Trial Confirmation Proceedings. The calendar hearing and pre-trial conference (trial confirmation conference) determine the readiness of a case for trial.

3340

Felony Trial. A trial on transcript is a court trial disposed of on the record of the preliminary hearing (although other evidence may also be introduced by either party). A court trial is a trial where questions of fact are determined by the judge; a jury trial is a trial where questions of fact are determined by a jury.

3400

Post-Trial Proceedings

Those judicial processes which by definition must occur subsequent to conviction or which under the law may occur at any stage in adjudication prior to sentencing.

3410

Insanity and Civil Commitment Hearings.

When one is convicted of certain criminal offenses, the sentencing judge may suspend the sentence and request commencement of proceedings in Superior Court to determine whether the defendant's behavior comes within the statutory definition for addiction or mentally disordered sex offender civil commitment.

When one is found guilty of any criminal offense after pleading, inter alia, not guilty because of insanity at the time of offense, a subsequent trial on the issue of insanity is held. If insanity is the only plea, a trial on this issue alone is held.

When a defendant's present insanity is in question, a court may order a separate trial on this issue at any time prior to sentencing.

3420

Post-Trial Hearings on Other Motions.

Other motions which may be heard subsequent to trial include the motion for a new trial (Penal Code 1182) or for arrest of judgment (Penal Code 1185). Additionally, a hearing on a written motion to withdraw a plea of guilty may be held at any time prior to sentencing (Penal Code 1018).

3430 Misdemeanor Sentencing/Probation Revocation Hearings. The court sentences a convicted defendant or determines whether to revoke the probation of a defendant already sentenced.

3440 Misdemeanor Appeals to Higher Courts. The authority for appeal in misdemeanor cases is Penal Code 1466; misdemeanor appeals are to the Superior Court.

3450 Felony Sentencing/Probation Revocation Hearings. The court sentences a convicted defendant or determines whether to revoke the probation of a defendant already sentenced.

3460 Felony Appeals to Higher Courts. The authority for appeal in felony cases is Penal Code 1235; felony appeals are to the Court of Appeals or the Supreme Court.

3500 Habeas Corpus  
A process for obtaining judicial determination of the legality of an individual's confinement.

3510 Hearing After Return of a Writ of Habeas Corpus. This hearing is to determine the legality of confinement and may be heard by the Superior Court, Court of Appeals, or Supreme Court. Judicial activities in issuing the writ are not covered by this code.

3520 Appeal from Final Order of a Judge in Hearing After Return of a Writ of Habeas Corpus. An appeal may be made to the next highest state court.

4000 ADULT CORRECTIONS  
The processes subsequent to court disposition or sentence.

4100 State Correctional Institutions  
Processes involving care, custody, and supervision of persons committed to the custody of the Director of Corrections.

- 4110 Intake diagnosis and classification -  
at RGC.
- 4120 Institutionalization
- 4130 Work Furlough. The release of a jail  
or prison inmate from confinement for  
the purpose of employment, training,  
or education in a nearby community  
each day and return to confinement at  
night.
- 4140 Special Programs
- 4150 Parole Hearing. Consideration by  
appropriate releasing authorities or  
boards, of whether or not an inmate  
should be released from confinement.
- 4160 Release Processing
- 4170 STRU/NTRU
- 4200 State Parole.  
The conditional release of an offender  
from a penal or correctional institution  
after he has served a portion of his  
sentence under the continued supervision  
(or custody) of the state and under con-  
ditions that permit his reincarceration  
in the event of misbehavior.
- 4210 No Supervision
- 4220 Supervision: Regular Caseload
- 4230 Supervision: Special Caseload
- 4240 Special Community Programs
- 4250 Parole Revocation Hearing. A review  
by the sentencing or releasing  
authority regarding possible reincar-  
ceration as a result of alleged  
violation of conditions of parole.
- 4300 Sentenced Local Incarceration Process  
Processes involving care, custody, and  
supervision of persons officially  
sentenced to local jails.

4310	<u>County Jail.</u> The confinement of inmates for care, custody, control, and treatment who are sentenced by the court for a period not exceeding one year.
4320	<u>Jail Farm, Camp, or Workhouse.</u> The confinement of inmates needing minimum care, custody, control, and treatment who are serving short sentences.
4330	<u>Work Furlough</u>
4340	<u>Special Programs</u>
4350	<u>County Parole Hearing</u>
4400	<u>County Parole</u>
4500	<u>Probation</u> The process of supervision of court imposed condition permitting a convicted person on probation to remain in the community.
4510	<u>Summary Probation.</u> The condition of probation with no court imposed supervision.
4520	<u>Regular Supervision.</u> The condition of probation with typical supervision standards.
4530	<u>Special Supervision.</u> The condition of probation with specialized case-load and/or programs.
4540	<u>Community Treatment Program.</u> The condition of probation with centralized special treatment programs. May involve placement in special living arrangement.
5000	<u>UN-SENTENCED CUSTODY/CORRECTIONAL PROCESSES (ADULT)</u> Processes involving custody or supervision of persons without an officially adjudicated sentence.
5100	<u>Un-Sentenced Incarceration</u>

5110 Lockup (Pre-Preliminary Hearing).  
Temporary holding of persons usually  
by local police departments in a  
secure facility awaiting preliminary  
hearing.

5120 Custody (Pre-Sentenced). Holding of  
persons in a secure facility follow-  
ing arraignment prior to adjudication.

5200 Diagnostic  
The court ordered processes of medical/  
psychiatric/psychological evaluation of  
an individual.  
California Department of Corrections  
California Department of Mental Hygiene  
Local agency  
Private

6000 JUVENILE JUDICIAL PROCESSES  
The term judicial process refers to those  
processes which initiate and carryout the  
adjudication of crime or delinquency.

6200 Initiation of Juvenile Proceedings  
Probation intake refers to that process  
of screening and referral subsequent to  
law enforcement investigation/apprehen-  
sion (code 2000) undertaken to determine  
what further action should be taken under  
the juvenile law. Time spent by proba-  
tion personnel in preparing investiga-  
tion reports for the court is excluded  
from this code.

6300 Detaining Juveniles  
The judicial process regulating the  
pre-hearing confinement of each minor  
who is the subject of a petition to  
declare him a ward or dependent child of  
the court.

6310 Detention Hearing. If a petition is  
filed on a minor and he is not  
released from custody, a hearing is  
held before the juvenile court to  
determine whether the minor should  
be further detained.

6320 Rehearing. Under certain conditions, the parent or guardian of a minor may request rehearing on the issue of continued detention.

6400 Proceedings to Declare the Minor a Ward or Dependent Child of the Court  
Those judicial processes leading to a determination of whether a minor is declared a ward or dependent child of the court and, if so, what disposition is ordered.

6410 Jurisdictional Hearing. The juvenile court determines whether the minor meets the statutory definitions set down in Welfare and Institutions Code 600, 601, and 602 for being a ward or dependent child of the court.

6420 Dispositional Hearing. If a minor is declared a ward or dependent child of the court, the court holds a second hearing to determine proper disposition of the case.

6430 Rehearing of Findings and Orders Made By a Referee. Where the jurisdictional and dispositional hearing was conducted by a referee, the minor or his parent or guardian may apply for rehearing before a juvenile court judge.

6440 Appeals. Once a judgment or decree by juvenile court judge or order by a referee has become final, and the minor has been declared a ward or dependent child of the court, the case may be appealed just as any other case.

6500 Other Hearings Related to Juveniles  
Those judicial processes pertaining to subsequent disposition of each minor who is a ward or dependent child of the court, the disposition of minors charged with offenses which receive special treatment in the Welfare and Institutions Code, and miscellaneous proceedings.

- 6510 New Hearing. Once a minor has been declared a ward or dependent child of the juvenile court, it is possible to obtain a new hearing on the matter if there has been a change of circumstances or discovery of new evidence.
- 6520 Hearing on a Supplemental Petition. Once a minor is placed as ward or dependent child of the court, in the home of a guardian, relative, or friend, the transfer of the minor to an institution or foster home requires that notice be given of hearing on a supplemental petition.
- 6530 Other Hearings on Modification of Orders. Any order made by the juvenile court regarding any person subject to the court's jurisdiction may be changed, modified, or set aside.
- 6540 Subsequent Review of 600 Cases. As long as a minor is a dependent child of the court, an annual review hearing must be held.
- 6550 Review of Probation Officer's Decision Not to File a Petition. The juvenile court may review the probation officer's decision not to file a case referred to him pursuant to Section 653 of the Welfare and Institutions Code.
- 6560 Hearing on Petition for Sealing of Records. Under certain conditions, a minor may petition the court to have his police probation and court records sealed.
- 6570 Traffic Hearing. Traffic and certain other offenses committed by minors under 18 which may not result in petitions to declare the minor a ward of the court are tried before a juvenile court judge, referee, or traffic hearing officer.



6580

Rehearing or Modification of Orders  
Made by a Traffic Hearing Officer.  
The minor or his parent or guardian  
may petition the juvenile court  
judge for rehearing or modification  
of a traffic hearing officer's  
orders.

7000

JUVENILE CORRECTIONS

Processes involving care, custody, and  
supervision of minors subsequent to adju-  
dication of a petition.

7100

State Institutional Commitment

7110

Intake Diagnosis and Classification

7120

Institutionalization

7140

Special Programs

7150

Parole Hearing

7160

Release Processing

7200

State Parole

7210

Informal Supervision

7220

Regular Caseload

7230

Special Caseload

7240

Special Treatment

7250

Foster Homes/Grown Homes

7260

Parole Revocation Hearing

7300

County Correctional Institutional  
Placement

Processes involving the care, custody,  
and supervision of juveniles committed  
to the probation department for out of  
home placement.

7310

Juvenile Hall

7320

County Camp, Ranch, or School

7340

Day Care Center: Special Programs

7360	Homes: Foster, Group, or Halfway
7500	<u>County Probation</u>
7510	Informal Supervision
7520	Regular Supervision
7530	Special Supervision
7540	Community Treatment
7550	Probation Revocation Hearing
8000	<u>UN-ADJUDICATED CUSTODY/CORRECTIONAL PROCESSES</u> <u>(JUVENILE)</u>
	Processes involving custody or supervision of persons prior to adjudication.
8100	<u>Temporary Custody and Detention</u>
8200	<u>Diagnostic Evaluation</u>
	Court ordered processes of medical/psychiatric social/psychological observation and evaluation of an individual prior to adjudication.
	California Youth Authority
	California Department of Mental Hygiene
	Local agency
	Private

WORKLOAD DISTRIBUTIONS FOR JUDICIAL AGENCIES

ALTERNATIVE METHODS

To apply the cost model to determine expenditures of judicial agencies on adjudication processes, one must first perform some kind of work distribution analysis for direct and support personnel. The cost study staff tested several methods of work analysis; each has its own range of applicability.

The most obvious type of work allocation applies to an individual whose work is all assignable to one process. Most personnel, however, divide their work between two or more processes. This appendix describes three methods, tested during this project, whereby administrators could determine work distribution for these personnel. Each in its application may utilize elements of the other.

Direct Workload Study

A direct study of workload focuses on computing the average time spent on each process by each person in the agency. This approach requires people to fill out time cards on a number of days when their work is sampled. The advantage of this approach is clearly in the depth of the information which can be gathered. It includes every process to which time is given and the distribution of this time in court and out of court. In addition, the parts of each person's day that must be allocated to overhead--administration, miscellaneous and personal activities--are clearly delineated.

The disadvantages of such direct studies are familiar. Each individual must complete a certain number of time cards; form development itself is fairly complex; and staff is needed to tabulate the results. Nevertheless, the cost study staff

got excellent cooperation from the two agencies where it implemented direct workload studies. The results indicate that this form of research is indeed a viable possibility.

How much sampling is needed for reliable results? There is no universal formula; and the answer depends on the size of the unit under study and the variation in the work which it conducts. A recent study by the Administrative Office of the Courts on how judges spend their time involved daily data collection for six weeks in the sample courts. In the tests conducted for the cost study, three samples were collected from each individual. Nevertheless, it appears that even with limited sampling, the direct study of workload can yield highly satisfactory results for the purposes of cost analysis.

#### Indirect Workload Study (Estimation)

Where direct workload study is not feasible or desired, an indirect analysis based on informed estimation may be possible. This technique relies upon the expertise of experienced administrators who apply their own knowledge or the observations of their staff. This method is most practicable for employees whose time is spent on only two processes, or if more processes are involved, where the work performed is fairly regular. However, where an allocation cannot be made, the only recourse in an indirect study of workload is to allocate the personnel involved to overhead.

These limitations tend to disqualify judges, district attorneys, and public defenders from using the indirect approach to determine work distribution. Employees in these agencies generally spread their work over too many processes. Nevertheless, the tests conducted by cost study staff indicate the method to be useful for analysing the operations of clerks of courts; and, of course, it can be applied to parts of other agencies.

Generally, the method is applied in three ways. First, one can make a judgment for each individual. For example, it is estimated that a back office clerk in an arraignment department spends 40% of her time on arraignment and 60% on sentencing. Often the nature of the work performed provides the basis for a rule of thumb.

Thus, for the clerk who handles arraignment filings and sentencing papers, the work could be allocated according to the proportion of filings and sentencings (assuming each consumes about the same amount of time).

Second, it may in some cases be appropriate to develop an estimate of this type for a section or division as a whole. Thus, if a section is assigned to both civil and criminal work and only one or two criminal processes are involved, the section administrator may be able to estimate total manpower allocated to the criminal processes.

Third, where several processes are performed but the work is regular, the administrator may use the kind of data collection form developed for a direct workload study to estimate work allocations. The administrator's analysis would be based on the concept of a "typical" day and the estimates would have to cover as many different work days as there are variations in individual schedules. This method proved particularly useful in the case of courtroom clerks assigned exclusively to arraignment, pre-trial, and sentencing calendars. It might also be applied, for example, to a supervising attorney in a district attorney's or public defender's office who works only a few calendars and devotes the remaining time to supervision.

The major advantage of using estimates of this type for work analysis is the administrative convenience; one major disadvantage is that it is not applicable to all types of personnel; another is the fact that results do not show the various forms of miscellaneous and personal time which should be allocated to overhead. Estimates are made on the assumption that all time is spent directly on the process themselves.

Using "Weighted Caseload" Measures of Workload

In California, the Judicial Council has developed a weighted caseload system for estimating the need for judicial manpower. It is built around a system of weights for court proceedings which takes into consideration the time a proceeding consumes and the frequency of its occurrence. It covers both felony and misdemeanor proceedings.

Although this system was not developed to provide work distribution analysis, it can still be used for this purpose. Whereas a direct study of workload analyses work allocations on a daily basis, to apply the weighted caseloads, one reconstructs the allocations on the basis of average proceeding lengths and frequency of occurrence.

In all cases, it is closer to calculate local weights by using frequency of occurrence rates applicable to the local agency in question. Where this data is not available, statewide weights may be applied to courts, clerks, and district attorney offices (but not public defenders).

The clear advantage of relying on the weighted caseload system analysis is that it provides administrators, researchers, and policy makers with a regularly updated source of time information and a system statewide in scope. The chief disadvantage lies in the fact that the system was developed to serve a different purpose; hence, its application to the cost model requires a number of limiting assumptions.

One limitation applicable to all agencies is the possibility of divergence between the statewide average time for judicial activities and the average local time. This same problem applies in assuming that statewide rates of occurrence apply locally. (Neither is a problem for Los Angeles County which is dealt with separately in the system.)

In applying the system to the work of courtroom clerks, an additional problem is the fact that clerical time is not coterminous with judicial bench time and the weighted caseload system average times reflect both bench and non-bench time anyway.

For district attorneys and public defenders, the inclusion of non-bench time for each proceeding also distorts the usefulness of the data for measuring their own court time. Furthermore, the system provides no basis for determining out-of-court time by these agencies and it must be assumed that such time is roughly proportional to time spent in court. This assumption is not entirely accurate.

A final problem, applicable to all agencies is that use of the weighted caseload analysis, like the indirect workload analysis, understates overhead since miscellaneous and personal time is not recorded.

DIRECT WORKLOAD DISTRIBUTION ANALYSIS IN A METROPOLITAN  
DISTRICT ATTORNEY'S OFFICE

The most thorough way to determine workload distribution for direct labor personnel is individual study of how they spend their time. To test this method, the cost study staff completed a work distribution study for all attorneys and investigators in a metropolitan district attorney office.

Organizational Analysis

The first step in this study was analysis of the agency's organization to eliminate individuals whose work could be assigned entirely to one account without work sampling. A few administrators were entirely supervisory (overhead). One investigator section dealt only with felonies and another was charged to overhead because it provided general support. All remaining individuals, however, divided their time between various criminal processes, civil proceedings, and, for some, administration; for these, a full workload distribution analysis would be required.

Analysing organizational patterns also provided the basis for development of data collection forms. The cost study staff identified the processes performed by each division; and the courts in which they worked.

Form Development--From the Informant's Point of View

The second step in direct workload analysis was form development. It was determined to sample attorneys and investigators on a daily basis. The end result would indicate total time spent on different processes, but not how long the processes themselves took. That is, on the day he is sampled,



an attorney may spend three hours working on jury trials, but this information does not tell one how long jury trials take. The same trial may go on for several days or time may be devoted to multiple trials on the same day.

It should also be clear that this methodology does not form the basis for an efficiency study. The approach makes an explicit assumption that the work required is time consuming and that all required time is utilized. The results of the sampling completed more than bore this out as there were several reports submitted with considerable hours expended over the regular work day.

In designing the forms, the staff attempted to avoid too much detail or complexity. Because many informants might, during an average day, devote time to any one of twenty to thirty activities in three different courts, to design an easily read and completed data collection form was quite a challenge. It turned out that three different types of forms were required.

First, for attorneys in divisions with few activities, the forms simply listed all activities and left a few spaces for unpredictable miscellaneous items. Lines for insertion of time elements were provided for all listed activities. This type of form also served the needs of investigative sections (see Exhibits B-1 to B-7).

The second type of form applied to attorneys assigned to only one court. Even in this case, they might complete work on any one of several processes; to list all processes with a separate line for each data entry would have been cumbersome. But to list only major activities (with several optional blanks) created a danger of significant variation in reporting. The

Exhibit B-1

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES OF THE CHIEF OF THE SUPERIOR COURT DIVISION

Time Related to:	In Court Hrs:Min	Out-of-Court Hrs:Min
Arraignment	_____:	_____:
Other Pre-Trial Activities	_____:	_____:
Other Proceedings:		
_____	_____:	_____:
_____	_____:	_____:
Administration/Miscellaneous/ Personal Activities	_____:	_____:

Was this day, for any reason, extremely untypical? \_\_\_\_\_

Why? \_\_\_\_\_

Note: This form to be used with Direction Sheet 3.

Exhibit B-2

DIRECTION SHEET 1

The attached form is designed to permit an accurate presentation of the time allocated to each of your activities on the days when you are sampled. It lists most, if not all, of the actions in which you may engage.

When completing the form, enter the hours/minutes spent both in court and out-of-court. In court refers to time when the court is in session. Out-of-court generally refers to what might be called preparation time; include waiting time before a proceeding begins as part of this category.

You should account for all your time during the work day including overtime hours. For activities not listed, write the name in; if additional lines are needed, just draw them in. Lunch and coffee breaks, etc. should be reported as part of miscellaneous/personal activities. It is not necessary to keep track of how many times an activity may occur; the form requires only the daily totals for each activity.

At the end of each day, tear off the name sheet and leave both name sheet and work distribution form in the designated place.

THANK YOU.

Exhibit B-3

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR RESEARCH AND TRAINING DIVISION

Time Related to:	In Court Hrs:Min	Out-of-Court Hrs:Min
995 Motions	_____	_____
1538.5 Motions	_____	_____
Other Pre-Trial Motions	_____	_____
Writs Arising From Pre-Trial Motions	_____	_____
Collateral Attacks	_____	_____
Habeas Corpus	_____	_____
Search Warrants	_____	_____
Training	_____	_____
Other Major Activities:		
_____	_____	_____
_____	_____	_____
Administration/Miscellaneous/ Personal Activities	_____	_____

Was this day, for any reason, extremely untypical? \_\_\_\_\_

Why? \_\_\_\_\_

Note: This form to be used with Direction Sheet 1.

B-10

Exhibit B-4

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR THE COMPLAINTS DIVISION

	TIME IN COURT Hrs:Min	TIME OUT-OF-COURT Hrs:Min
Misdemeanor Complaints	_____	_____
Felony Complaints	_____	_____
Other Major Activities	_____	_____
_____	_____	_____
_____	_____	_____
Miscellaneous/Personal Activities	_____	_____

Was this day, for any reason, extremely untypical? \_\_\_\_\_

Why? \_\_\_\_\_

Note: This form to be used with Direction Sheet 1.

B-11

Exhibit B-5

DIRECTION SHEET 2

The attached form is designed to permit an accurate presentation of the time allocated to each of your activities on the days when you are sampled. It lists most, if not all, of the actions in which you may engage.

When completing the form, enter the hours/minutes spent on each activity.

You should account for all your time during the work day including overtime hours. For activities not listed, write the name in; if additional lines are needed, just draw them in. Lunch and coffee breaks, etc. should be reported as part of miscellaneous/personal activities. It is not necessary to keep track of how many times an activity may occur; the form requires only the daily totals for each activity.

At the end of each day, tear off the name sheet and leave both name sheet and work distribution form in the designated place.

THANK YOU.

Exhibit B-6

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR GENERAL SECTION INVESTIGATORS

	TIME SPENT Hrs:Min
Misdemeanor Investigations	_____
Felony Investigations	_____
Other Criminal Matters:	_____
_____	_____
_____	_____
Miscellaneous/Personal Activities	_____

Was this day, for any reason, extremely untypical? \_\_\_\_\_

Why? \_\_\_\_\_

Note: This form to be used with Direction Sheet 2.

B-13

Exhibit B-7

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR FRAUD SECTION INVESTIGATORS

	TIME SPENT Hrs:Min
Misdemeanor Investigations	_____:
Felony Investigations	_____:
Other Criminal Matters:	_____:
_____	_____:
_____	_____:
Civil Matters	_____:
Miscellaneous/Personal Activities	_____:

Was this day, for any reason, extremely untypical? \_\_\_\_\_

Why? \_\_\_\_\_

Note: This form to be used with Direction Sheet 2.

B-14



alternative adopted was to list all possible entries, together with abbreviations and to group them according to the sequence of adjudication. The forms provided lines in each group of activities for entering both abbreviations and time allotments; but did not provide a space for every possible entry (see Exhibits B-8 to B-12). The decision to list all possible entries, as a guide to informants, was subsequently justified to the extent that almost all possible entries were used during the course of the study.

The third type of form was similar to the second but more extensive. It served those divisions working in more than one court and in some cases, in both the inferior and superior courts. The forms provided for five activity groupings and encircling a letter to separate municipal from justice courts (see Exhibits B-8 and B-13). Even this long form did not require more than one legal size page.

Finally, in the case of activities existing in that county but not reflected (or given a different name) in the process list, the forms used the local name. This facilitated informant recognition of all activities.

#### Form Development--Requirements Imposed By The Cost Model

Form development was also influenced by the basic concepts of the cost model.

First, since the cost system is capable of reporting time both in and out of court, this distinction was shown on the forms.

Second, since administrative, miscellaneous, or personal activities are all dealt with identically in the cost model, no attempt was made to separate out these various overhead

The attached form is designed to permit an accurate presentation of the time allocated to each of your activities on the days when you are sampled. It lists most, if not all, of the actions in which you may engage.

When completing the form, enter the activity abbreviation and the hours/minutes spent both in court and out-of-court. (In some cases, no abbreviation is required.) In court refers to time when the court is in session. Out-of-court generally refers to what might be called preparation time; include waiting time before a proceeding begins as part of this category. Where "J" or "M" is listed, circle the correct letter to indicate Justice Court or Municipal Court.

You should account for all your time during the work day including overtime hours. For activities not listed, write the name in; if additional lines are needed, just draw them in. Lunch and coffee breaks, etc. should be reported as part of miscellaneous/personal activities. It is not necessary to keep track of how many times an activity may occur; the form requires only the daily totals for each activity.

At the end of each day, tear off the name sheet and leave both name sheet and work distribution form in the designated place.

#### DEFINITIONS

The listed work activity categories are generally self-explanatory. The following guidelines are provided to assist you in some of the more vague areas.

Exhibit B-8

1. Arraignment includes those activities which may occur while a defendant is arraigned on the charge. Examples are entry of plea, dismissal, continuance, bench warrant, off calendar, OR, and bail reduction.
2. There are several activities which may prevent a proceeding from taking place. Guilty pleas and dismissals which avoid proceedings should be allocated to the guilty plea or dismissal categories. Continuances, non-appearances (bench warrant), transfers, and off-calendar may be allocated to the categories of other pre-trial, preliminary activities, or other post-trial as appropriate. Note, however, that guilty pleas or dismissals which occur while a proceeding is in progress should be reported as part of the proceeding.
3. Generally, at multi-case calendars, everything which occurs can be allocated to the calendar proceeding itself (i.e., arraignment; readiness). Some actions, however, which are unrelated to the proceeding such as continuances or bench warrants should be reported according to the procedure outlined in rule #2 above.
4. As much as possible, try to distinguish between out-of-court trial preparation time and plea bargaining time. The former should be allocated to the appropriate trial proceeding; the latter can be reported under guilty plea or dismissal.
5. The category of Sentencing/Revocation hearings for misdemeanors is used only where there is an underlying probation report. Otherwise, include sentencing or revocation as part of the arraignment, guilty plea, or trial after which it occurs.

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR ATTORNEYS IN A MUNICIPAL COURT

		ABBREV (box at left)	TIME IN COURT Hrs:Min	TIME OUT-OF-COURT Hrs:Min
M I S D E M E A N O R S	Misdemeanor Arraignment and Pre-Trial Activities			
	COM Preparing Complaints	_____	: _____	: _____
	MA Arraignment	_____	: _____	: _____
	BR Bail Review	_____	: _____	: _____
	SC Setting/Readiness Calendar	_____	: _____	: _____
	MC Master Calendar	_____	: _____	: _____
	GP Guilty Plea (Post-Arraignment)	_____	: _____	: _____
	D Dismissal (Post-Arraignment)	_____	: _____	: _____
	PRE Other Pre-Trial	_____	: _____	: _____
			_____	: _____
	Misdemeanor Trial and Post- Trial/Conviction Activities			
	UCT Uncontested Court Trial	_____	: _____	: _____
	CCT Contested Court Trial	_____	: _____	: _____
	JT Jury Trial	_____	: _____	: _____
	S Sentencing/Revocation	_____	: _____	: _____
	APP Appeals in Superior Court	_____	: _____	: _____
	POS Other Post-Trial/Conviction	_____	: _____	: _____
F E L O N I E S	Felony Arraignment and Preliminary Activities			
	COM Preparing Complaints	_____	: _____	: _____
	FA Arraignment	_____	: _____	: _____
	153 1538.5 Motions	_____	: _____	: _____
	GP Guilty Plea (Post-Arraignment)	_____	: _____	: _____
	D Dismissal (Post-Arraignment)	_____	: _____	: _____
	17b Sentencing	_____	: _____	: _____
	17S -Without Probation Report	_____	: _____	: _____
	17P -With Probation Report	_____	: _____	: _____
	PH Preliminary Hearing	_____	: _____	: _____
PRL Other Preliminary Activities	_____	: _____	: _____	
		_____	: _____	: _____
Administration/Miscellaneous/ Personal Activities			: _____	: _____

Was this day, for any reason, extremely untypical? \_\_\_\_\_

Why? \_\_\_\_\_

Note: This form to be used with Direction Sheet 3.

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR FELONY TRIAL ATTORNEYS

		ABBREV (box at left)	TIME IN COURT Hrs:Min	TIME OUT-OF-COURT Hrs:Min
<b>Pre-Trial Activities</b>				
RC	Readiness Calendar	_____	_____	_____
995	995 Motions	_____	_____	_____
153	1538.5 Motions	_____	_____	_____
GP	Guilty Plea (Post-Arrest)	_____	_____	_____
D	Dismissal (Post-Arrest)	_____	_____	_____
PRE	Other Pre-Trial	_____	_____	_____
<b>Trial and Post-Trial/Conviction</b>				
	Court Trial	_____	_____	_____
TR	-Transcript Only	_____	_____	_____
TRT	-Transcript & Testimony	_____	_____	_____
CT	-Regular	_____	_____	_____
JT	Jury Trial	_____	_____	_____
S	Sentencing/Revocation	_____	_____	_____
POS	Other Post-Trial/Conviction	_____	_____	_____
<b>Other Proceedings</b>				
HC	Habeas Corpus	_____	_____	_____
ADD	Addiction	_____	_____	_____
MDS	MDSO	_____	_____	_____
SAN	Present Sanity	_____	_____	_____
INS	Insanity/Time of Offense	_____	_____	_____
<b>Administration/Miscellaneous Personal Activities</b>			_____	_____

Was this day, for any reason, extremely untypical? \_\_\_\_\_  
Why? \_\_\_\_\_

DIRECTION SHEET 4

The attached form is designed to permit an accurate presentation of the time allocated to each of your activities on the days when you are sampled. It lists most, if not all, of the actions in which you may engage.

When completing the form, enter the activity abbreviation and the hours/minutes spent both in court and out-of-court. (In some cases, no abbreviation is required.) In court refers to time when the court is in session. Out-of-court generally refers to what might be called preparation time; include waiting time before a proceeding begins as part of this category.

You should account for all your time during the work day including overtime hours. For activities not listed, write the name in; if additional lines are needed, just draw them in. Lunch and coffee breaks, etc. should be reported as part of miscellaneous/personal activities. It is not necessary to keep track of how many times an activity may occur; the form requires only the daily totals for each activity.

At the end of each day, tear off the name sheet and leave both name sheet and work distribution form in the designated place.

THANK YOU.

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR ATTORNEYS IN JUVENILE COURT

		ABBREV (box at left)	TIME IN COURT Hrs: Min	TIME OUT-OF-COURT Hrs:Min
<b>Major Delinquency Proceedings</b>				
UDT	Detention Hearing -Uncontested	_____	____:____	____:____
CDT	-Contested	_____	____:____	____:____
UAJ	Adjudication Hearing -Uncontested	_____	____:____	____:____
CAJ	-Contested	_____	____:____	____:____
UDS	Dispositional Hearing -Uncontested	_____	____:____	____:____
CDS	-Contested	_____	____:____	____:____
<b>Other Delinquency Hearings/ Motions</b>				
637	Detention Rehearing	_____	____:____	____:____
558	Rehearing of Referee's Findings & Orders	_____	____:____	____:____
778	New Hearing	_____	____:____	____:____
777	Supplemental Petition	_____	____:____	____:____
775	Modification of Orders	_____	____:____	____:____
655	Review Decision Not To File a Petition	_____	____:____	____:____
781	Petition for Sealing Records	_____	____:____	____:____
563	Traffic Hearing	_____	____:____	____:____
567	Rehearing or Order Modification by Traffic Hearing Officer	_____	____:____	____:____
DEL	Other Delinquency Matters	_____	____:____	____:____
Dependency Matters			____:____	____:____
Administration/Miscellaneous/ Personal Activities			____:____	____:____

Was this day, for any reason, extremely untypical? \_\_\_\_\_

Why? \_\_\_\_\_

Note: This form to be used with Direction Sheet 4.

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR ATTORNEYS IN FAMILY SUPPORT DIVISION OR BRANCH OFFICES

		ABBREV (box at left)	TIME IN COURT Hrs:Min	TIME OUT-OF-COURT Hrs:Min
M I S D E M E A N O R S	Misdemeanor Pre-Trial Activities			
	ADV	Advising	: : J	: :
	INV	Investigation	: : M	: :
	COM	Preparing Complaints	: : J	: :
	MA	Arraignment	: : M	: :
	BR	Bail Review	: : J	: :
	SC	Setting/Readiness Calendar	: : M	: :
	MC	Master Calendar	: : J	: :
	GP	Guilty Plea (Post-Arraignment)	: : M	: :
	D	Dismissal (Post-Arraignment)	: : J	: :
PRE	Other Pre-Trial	: : M	: :	
Misdemeanor Trial and Post-Trial/Conviction				
DCT	Uncontested Court Trial	: : J	: :	
CCT	Contested Court Trial	: : M	: :	
JT	Jury Trial	: : J	: :	
S	Sentencing/Revocation	: : J	: :	
APP	Appeals in Superior Court	: : M	: :	
POS	Other Post-Trial/Conviction	: : J	: :	
F E L O N Y I N F E R I O R S	Felony Preliminary Activities in the Lower Courts			
	ADV	Advising	: : J	: :
	INV	Investigation	: : M	: :
	COM	Preparing Complaints	: : J	: :
	FA	Arraignment	: : M	: :
	153	1538.5 Motions	: : J	: :
	GP	Guilty Plea (Post-Arraignment)	: : M	: :
	D	Dismissal (Post-Arraignment)	: : J	: :
	17b	Sentencing	: : M	: :
	17S	-Without Probation Report	: : J	: :
	17P	-With Probation Report	: : M	: :
	PH	Preliminary Hearing	: : J	: :
	PRL	Other Preliminary Activities	: : M	: :
Felony Pre-Trial Activities in Superior Court				
FA	Arraignment	: : J	: :	
RC	Readiness Calendar	: : M	: :	
MC	Master Calendar	: : J	: :	
995	995 Motions	: : M	: :	
153	1538.5 Motions	: : J	: :	
GP	Guilty Plea (Post-Arraignment)	: : M	: :	
D	Dismissal (Post-Arraignment)	: : J	: :	
PRE	Other Pre-Trial	: : M	: :	
Felony Trial and Post-Trial/Conviction in Superior Court				
TR	Court Trial	: : J	: :	
TRT	-Transcript Only	: : M	: :	
TRT	-Transcript & Testimony	: : J	: :	
CF	-Regular	: : M	: :	
JT	Jury Trial	: : J	: :	
S	Sentencing/Revocation	: : M	: :	
POS	Other Post-Trial/Conviction	: : J	: :	
Civil Matters				
Administration/Miscellaneous/Personal Activities				

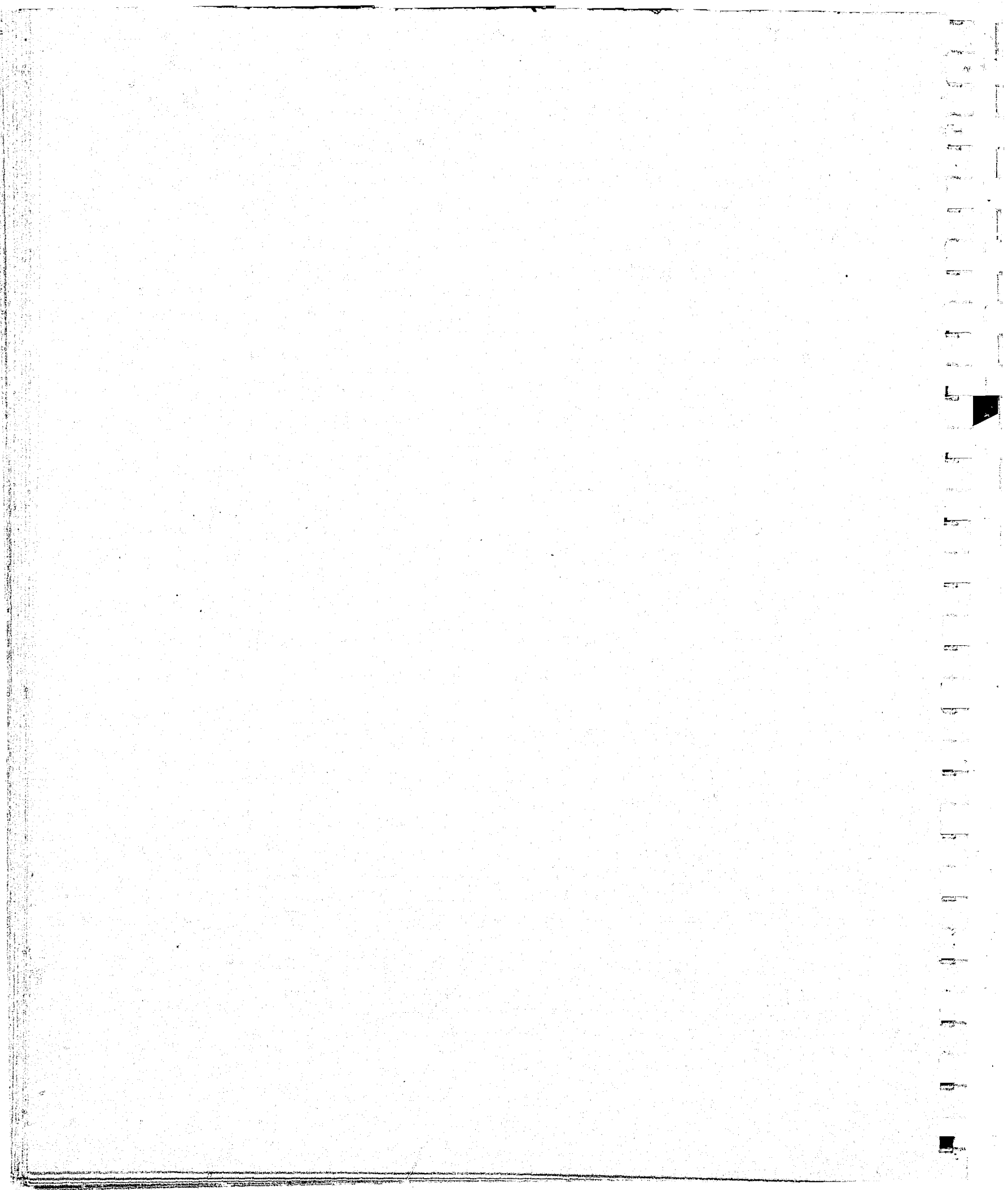
Was this day, for any reason, extremely untypical? \_\_\_\_\_

Note: This form to be used with Direction Sheet 3.

**CONTINUED**

**3 OF 5**





categories. Civil proceedings, another overhead category, were separated on the forms, however. If an administrator desires research on a particular item such as trial preparation or time spent waiting in court, it could be listed separately on the form with appropriate additions made to the cost model process list. Many administrators may wish to take this option in fact since, as expected, considerable time is spent on both the out-of-court and overhead categories.

Third, although the processes were generally familiar to the informants submitting data, ambiguities did exist; several clarifying rules had to be attached to the data collection forms.

There were two types of reasons for these rules. The first related to the processes themselves. The process list was designed to fit as closely as possible to the concepts used by the weighted caseload reporting system employed by the Judicial Council of California. This system for the most part uses proceedings as the basic statistical unit (i.e. jury trial; pre-trial motion); but in some situations, it reports dispositions (i.e., guilty plea) instead of the proceeding at which the disposition takes place. The basic unit of the cost model, however, is always a judicial proceeding since the model was developed to indicate cost consequences of time expended and for ultimate use in providing cost effectiveness measures. For example, the model contains an arraignment category and a second category for guilty pleas subsequent to arraignment. Informants had to be clear that guilty pleas during an arraignment on the charge were allocated to the former.

The second reason was a need for uniformity where differing interpretations were possible. Thus, plea-bargaining, an out-of-court activity, could be allocated to either the post-arraignment guilty plea or dismissal categories (the objectives of negotiation) or the scheduled proceedings which negotiation

precedes. The rules provided for the former allocation to distinguish plea bargaining from the preparation time which more legitimately represents the out-of-court cost of a proceeding.

The rules used in the study are included as part of the illustrative forms. In all but one situation, they were apparently adequate. The category of "other pre-trial activities" (or "other preliminary activities") which was intended to cover miscellaneous pre-trial motions, was apparently used by many attorneys to report trial preparation time which should have been charged as an out-of-court activity against the proceeding for which they were preparing.

#### Implementation

Data collection proceeded on a sample basis. The sampling procedure required that no attorney or investigator be sampled more than three times during a period of four weeks (two weeks for a small division); and the order of sampling was drawn from a random number table. It was also determined that each week day would be covered as frequently as possible and the order of days was generated from a random number table.

To help bring about informant cooperation, the cost study staff met with division heads and briefed them orally and in writing on the proposed study. The fact that this was not an efficiency study was stressed. The assistance of the administrative officer was requested and he provided excellent help throughout the course of the study. At the outset of data collection, an assistant district attorney memorialized all attorneys requesting their participation. Forms were placed in each person's box two days before the day to be sampled and staff members were told that missed days could be "made up" on the same week day the following week.

A system was also devised to maintain informant anonymity; but it was ignored by the several attorneys or investigators who left their removable name tags on the data collection forms.

The results of the study indicated that a direct workload approach can indeed be a viable method for developing cost data. Informants returned 92% of all forms; only three had to be rejected because improperly filled out. As for the adequacy of the short sampling period, one can observe that, particularly with larger divisions, a full range of possible activities occurred during the study period.

#### Support Personnel

The cost calculations analysed in the last section of this report include the salaries of support personnel. A direct workload study was not made in this area. Support activities for each unit were determined from an organizational analysis. Where work was general, the unit was charged to overhead; but most work assignments were specific enough that 18 out of 30 clerical units or their supervisors could be charged as direct support to an attorney division or investigator section.

#### Cost Calculations

The cost model makes it possible to view an agency's expenditures from several different angles. The data reported below includes only salary expenditures. Since the figures were based on sample data, they should not be taken as definitive cost statements. They do, however, suggest some of the uses to which the cost model may be put.

<u>DIRECT</u>	<u>OVERHEAD</u>	<u>G AND A</u>	<u>SUPPORT</u>
1348099	1100501		404986
	<u>NON-LABOR</u>	<u>TOTAL</u>	<u>OVH. RATE</u>
		2853579	.62
Exhibit B-14			

Exhibit B-14 breaks down total salaries into their cost categories. The amount allocated to overhead is overstated as a measure simply of the expense of administration and supervision. All civil activities as well as personal and miscellaneous time are included in this category.

One of the interesting conclusions of the study was the fairly high amounts of time legitimately spent on work in the office which cannot be directly applied to a process in the model. This included travel time by branch offices, presentations to various citizen groups, and training activities. Some of the more atypical categories were time spent at the clerk's office looking for a misplaced record and "filling out this form." That a few informants found it convenient in completing the form to place most of their time in one of the miscellaneous categories also occurred.

The format shown in Exhibit B-14 is also usable to illustrate comparisons with district attorney offices in other counties or other agencies in the same county.

The cost model in addition permits a similar kind of analysis for each division in the district attorney's office.

A division dealing with training and research and a division concentrating on municipal court operations are provided as examples.

Exhibit B-15		
<u>DESCRIPTION</u>	<u>TRAINING AND RESEARCH</u>	<u>MUNICIPAL COURT</u>
Basis	98976	196944
Rate	1.0	1.0
Burdened Labor	98976	196944
Unburdened Labor	98976	196944
Non-labor Support	0	0
Percentage Direct	.59	.74
Percentage Support	0	.00
Local Overhead Allocation Base	58396	147708
Local G and A Allocation Base	108351	220656
Labor Base	98976	196944
Direct Labor Base	58396	147708
Local Overhead Labor	0	0
Local Overhead Non-labor	0	0
Local G and A	0	0
Overhead Assessment-Labor	49955	72948
Overhead Assessment-Non-labor	0	0
G and A Assessment	0	0
G and A Factor	.00	.00
Overhead Factor	.86	.49
Support Labor	0	0
Support Assessment-Labor	12824	11423
Support Assessment-Non-labor	0	0
Number of Allocations	8	13

Exhibit B-16

	\$	%
Initiation of Prosecution	1,173,029	41
Proceedings Prior to Trial	944,948	33
Trial Proceedings	525,405	19
Post-trial Proceedings	114,801	4
Habeas Corpus	14,377	.06
Juvenile Detention Hearings	5,590	.02
Proceedings to Declare Minor a Ward or Dependent Child of the Court	55,898	2
Other Juvenile Hearings	2,795	.02

Exhibit B-16 indicates total salary expenditure according to process. The three largest cost categories were initiation of prosecution, proceedings prior to trial, and trial proceedings. They represented 41%, 33%, and 19% of all salaries paid respectively.

Exhibit B-17

<u>Initiation of Prosecution</u>	\$	%
Charging of Misdemeanors	345,692	29
Charging of Felonies	797,409	68
Indicting	29,928	3
	<u>1,173,029</u>	

Exhibit B-17 reflects the breakdown of expenditures allocated to initiation of prosecution. This figure is a large one because the costs of all investigatorial work prior to filing were included in this process account and the district attorney has both a large staff of investigators as well as smaller groups of attorneys who in part provide investigation for complex areas of law.

Exhibit B-18 shows the breakdown of costs in the pre-trial category.

Exhibit B-18

Proceedings Prior to Trial	\$	%
<b>Inferior Courts - Misdemeanors</b>		
General	27,779	3
Arraignment	51,213	5
Guilty Plea (Post Arraignment)	31,799	3
Pre-trial Activities	92,224*	10
<b>Inferior Court - Felonies</b>		
Arraignment	31,317	3
Guilty Plea (Post-Arraignment)	34,582	4
Preliminary Hearings	83,760	9
Sentencing (P.C. 176)	3,094	.3
Other Preliminary Activities	150,913*	15.5
<b>Superior Court - Felonies</b>		
Arraignment	15,292	2
Guilty Plea (Post Arraignment)	27,577	3
Dismissal (Post Arraignment)	1,713	.2
995-1538.5 Motions	97,105	10
Writ of Prohibition (995)	34,936	4
Other Pre-trial Activities	261,644*	28

\*May be inflated by inclusion of trial or preliminary hearing preparation time.



Exhibit B-19

Trial Proceedings

Misdemeanor	\$	%
Trial Confirmation	47,211	9
Uncontested Court Trial	2,075	.3
Contested Court Trial	39,884	8
Jury Trial	90,828	17
<u>Felony</u>		
Trial Confirmation	50,530	10
Trial on Transcript	0	
Court Trial	57,666	11
Jury Trial	237,211	44.7

	<u>In Court</u>	<u>Out-of-Court</u>	<u>Total</u>
Misdemeanor Court Trial	\$35,093	\$4,791	\$39,884
Misdemeanor Jury Trial	\$49,465	\$41,363	\$90,828
Felony Court Trial	\$19,222	\$38,444	\$57,666
Felony Jury Trial	\$84,576	\$152,635	\$237,211

Exhibit B-19 represents the breakdown of trial expenditures. Note that for felony proceedings, out-of-court costs are approximately double the expenditure allocated to trials. This suggests that programs to speed up trials would not have significant cost consequences for district attorneys. Misdemeanor trials, however, followed a different pattern.

APPLYING INDIRECT WORKLOAD ANALYSIS TO A MUNICIPAL COURT OPERATION

In some situations, administrators may not chose to implement the individual workload studies required for a direct analysis of work. The cost study staff tested an indirect analytical approach to determine in what situations one could reasonably determine work allocation without them. The methodology tested in a metropolitan municipal court was a joint effort between cost study staff and two extremely cooperative, highly experienced division chiefs. At all points, these administrators passed judgment on whether the analyses developed seemed to fairly represent actual work.

Organizational Analysis

The first step was familiarization with the work of each division and section in the agency. This office had four divisions:

- Accounting Division--process money; account for bail
- Records Division--case files, statistics, and data processing
- Criminal-Traffic Division--responsible for court processing of all criminal cases; included courtroom clerks and back office sections
- Calendar Division--calendar cases; administer the jury system

The first two divisions are devoted entirely to criminal proceedings. Some of the departments in criminal-traffic had civil duties; and trial courts, with criminal and civil proceedings, were analyzed as part of this division. The calendar division dealt with both civil and criminal juries.

A clerk of court and assistant clerk of court, of course, headed the division. The estimates made, allocating these persons' times between civil and criminal, did not take into account other members of their immediate staff.

#### Personnel Assigned To Only One Process

The second step in analysis was determining which personnel devoted their entire workload to only one process. A substantial proportion of the staff, 40 out of 159 personnel, were sufficiently singular in their assignments to be placed in this category. This analysis required both familiarity with the nature of the work and some ability to interpret the content of the processes themselves.

Allocation of the several clerks assigned to various aspects of the bail system, for example, could be completed by reviewing the organizational chart. There was a bail bond clerk, a bail setting clerk, a section assigned to correspondence (which almost always related to traffic or parking bail), a parking records section, and a clerk involved primarily with bail refunds. All of these personnel were charged to the processes of bail in municipal court.

Other cases necessitated consultation with the administrators. Thus, two back office clerks performed several different tasks which upon inquiry all turned out to be related to arraignment. Similarly, the work of an arraignment department cashier was charged to sentencing because most of the funds handled related to fines.

Some situations called for creative interpretation. There was a CII clerk who submitted case dispositions to the Bureau of Criminal Identification and Investigation. Because the work involved dispositions, sentencing seemed the logical process to be charged.

#### Personnel Allocated to Overhead

The next step called for determination of overhead allocations. All individuals who were primarily supervisory were charged to the overhead of their own sections.

In addition, another group of staff members performed work which was either quite general (like standby) or varied. Their work distribution could not be estimated; and without a direct workload study, they could not be charged to specific processes. Under the theory of the cost model, these persons should be allocated to the overhead category. Some examples included back-up personnel, interpreters, certain cashiers and bookkeepers, those in charge of record filing, and the Judicial Council statistics clerk. The total allocated to overhead, as either supervisory or not allocatable, represented 33% of the total employees.

There was also a group of calendar clerks assigned to the pre-trial departments which might have been allocated to overhead under this approach. Nevertheless, it seemed more reasonable to treat them as support personnel to the judicial departments which they served.

#### Personnel With Work Limited To Two Processes

Many persons in the agency spent their time on only two processes. In some cases, the administrators could easily estimate the appropriate work allocation; often work was equally divided.

In other situations, the nature of the work itself provided a basis for allocation. For example, a cashier's section received 85% of its revenues from bail and 15% from fines. Their time was allocated in these same proportions respectively to bail and sentencing. Similarly, since the work of the data control and keypunch sections related solely to cases filed and their dispositions, the allocation was equally between charging and sentencing.

### Courtroom Clerks

The methods of allocating time between processes described thus far do not apply to the courtroom clerks whose work covers several processes. One indirect method of making this allocation is the weighted caseload approach using judges' work distribution as a standard. The problem is that clerical time is not always congruous with bench time because clerks may be working on one kind of form or finishing a task while the judge does something else or waits for the next case. In the court studied, this was particularly true in the various arraignment and motion departments where two or three clerks might rotate the work; thus, one clerk could leave the courtroom, after completion of a calendar, to finish all paperwork generated, while the other clerk was present for the next calendar being conducted.

The method adopted to determine a reasonable allocation of work for arraignment and motion department clerks borrowed somewhat from the direct workload study approach. The cost study staff constructed work reporting forms for each judicial department, making sure that each week day having a distinct calendar pattern was covered. Most of the departments followed the same set of calendars each day and thus needed only one reporting form. Instead of conducting work sampling, however, the agency administrators determined daily work breakdowns for "typical days" in each of these departments. They based their findings on both their own experience and consultation with the courtroom clerks. The results were tabulated as if actual time samples had been drawn. Because of calendar control procedures and the nature of the work being conducted, the work completed was relatively regular in occurrence. Thus, this approach is a viable method of computing work distribution. Examples of the forms used are given in Exhibit B-20.

On the other hand, courtroom clerks in trial departments present a different situation. The work they conduct is

WORK ACTIVITIES FOR COURTROOM CLERKS

A. Work Activities on a Typical Day in Presiding Department

16 hours

In Court  
hrs:min

Out-of-Court  
hrs:min

Time Related To:

Small Claims

\_\_\_\_\_

\_\_\_\_\_

Master Calendar

Civil Cases

\_\_\_\_\_

\_\_\_\_\_

Guilty Pleas (post-arraignment)

\_\_\_\_\_

\_\_\_\_\_

Dismissal (post-arraignment)

\_\_\_\_\_

\_\_\_\_\_

Other criminal activities--  
assigning cases

\_\_\_\_\_

\_\_\_\_\_

Sentencing/Revocation

\_\_\_\_\_

\_\_\_\_\_

Other Post-Conviction (Probation  
papers)

\_\_\_\_\_

\_\_\_\_\_

Miscellaneous

\_\_\_\_\_

\_\_\_\_\_

Complete for 1 Clerk and 1 Assistant

B. Work Activities on a Typical Day in Traffic Arraignment Court

16 hours

In Court  
hrs:min

Out-of-Court  
hrs:min

Time Related To:

Traffic Arraignments  
(incl. guilty pleas/dismissals)

\_\_\_\_\_

\_\_\_\_\_

Other Pre-arraignment

\_\_\_\_\_

\_\_\_\_\_

Sentencing/Revocation

\_\_\_\_\_

\_\_\_\_\_

Other Post-Conviction

\_\_\_\_\_

\_\_\_\_\_

Miscellaneous

\_\_\_\_\_

\_\_\_\_\_

Complete for 1 Clerk and 1 Assistant

irregular and this kind of estimation is not feasible. Without a direct workload study, the only method for analyzing their work is use of weighted caseloads.

Some Cost Characteristics

The information collected about municipal court clerical personnel makes it possible to describe some of the characteristics of salary expenditures. One should note that non-salary costs are not included in this analysis.

One product of the cost model is a listing of expenditures according to process. Exhibit B-21 presents this result.

Exhibit B-21		
	\$	%
Initiation of Prosecution	523,850	37
Proceedings Prior to Trial	297,588	21
Trial Proceedings	251,328	19
Post-Trial Proceedings	319,426	23

As one can see, there is a fairly even distribution of costs among the four major process categories.

Exhibit B-22 indicates the five major cost categories. Taken together, they represent 81% of the total personnel expenditure.

Exhibit B-22		
	\$	% of All Expenditures
Initiation of Prosecution		
Charging of Misdemeanors	168,788	12
Bail	340,939	24
Proceedings Prior to Trial		
Misdemeanor Arraignment	180,732	13
Trial Proceedings		
Jury Trial	143,665	10
Post-Trial Proceedings		
Misdemeanor Probation/ Probation Revocation Hearing	301,091	22

Comments On Work Distribution Analysis For Superior Court Clerks

The cost study staff also examined use of the indirect workload study method applied to Superior Court clerks not assigned to courtrooms. Excellent consultation for this examination was provided by an experienced Superior Court administrator.

Analysis was first made of the agency organization for identifying those divisions working in the criminal justice field. Unlike the Municipal Court operation, all divisions identified worked on both civil and criminal proceedings. For this reason, the staff's consultant followed a somewhat different method of estimation. Instead of examining each individual's work and trying to analyze all the processes to which he or she is assigned, the administrator first determined which criminal processes the division as a whole performed. Then, in consultation with each division chief, estimates were made on the total man-years consumed by the processes. In many divisions, there was only one kind of activity involved and often the proper allocation was to the overhead category. For example, man-years expended by the business office for accepting and processing criminal filings was one-third of a Clerk I, and one-half of one junior clerk's time was devoted by the record division for filing criminal case records.

A more difficult problem was the fact that the time of each division administrator had to be allocated between civil and criminal proceedings. One proposed rule of thumb would use the same percentage that manpower charged to criminal processes represents in each division. Finally, there was one



division identified which in the opinion of the administrator could not be analysed without a direct workload study.

For the courtroom clerks, a direct study of workload was actually implemented (see Exhibits B-23 and B-24). It covered the clerks in the department of the presiding judge for criminal proceedings and in the five trial departments processing the bulk of all criminal cases. The methodology employed was substantially the same as reported in the section on direct workload analysis for a district attorney's office. And the results seem to justify the extra effort required. As Exhibits B-25 and B-26 indicate, one can obtain more detail than is possible under either the indirect method based on estimation or application of weighted caseload statistics. In particular, the data reveals a breakdown of in-court/out-of-court activities, and the time that must be spent on administration, miscellaneous, and personal pursuits.

#### Juvenile Court

The approach of the cost study staff in analysing the work of Juvenile Court clerks paralleled that applied in the Superior Court.

The indirect method of work analysis furnished information on three sections of non-courtroom clerks. The work of these sections primarily involved calendar maintenance, notices, and orders. Estimation provided the basis for determining the extent of work in delinquency proceedings as opposed to administration or dependency cases.

Thus, in one section, the supervisor's administrative time was estimated at 60%; and the work time for this supervisor and remaining staff was 90% on delinquency. In another section, the estimates were 90% administration and 70% of the remainder on delinquency.

## DIRECTION SHEET 5

The attached form is designed to permit an accurate presentation of the time allocated to each of your activities on the days when you are sampled. It lists most, if not all, of the actions in which you may engage.

When completing the form, enter the hours/minutes spent both in court and out-of-court. In court refers to time when the court is in session. Out-of-court generally refers to what might be called preparation time; include waiting time before a proceeding begins as part of this category.

You should account for all your time during the work day including overtime hours. For activities not listed, write the name in; if additional lines are needed, just draw them in. Lunch and coffee breaks, etc. should be reported as part of miscellaneous/personal activities. It is not necessary to keep track of how many times an activity may occur; the form requires only the daily totals for each activity.

At the end of each day, tear off the name sheet and leave both name sheet and work distribution form in the designated place.

DEFINITIONS

The listed work activity categories are generally self-explanatory. The following guidelines are provided to assist you in some of the more vague areas.

1. Arraignment includes those activities which may occur while a defendant is arraigned on the charge. Examples are entry of plea, dismissal, continuance, bench warrant, off calendar, OR, and bail reduction.
2. There are several activities which may prevent a proceeding from taking place. Guilty pleas and dismissals which avoid proceedings should be allocated to the guilty plea or dismissal categories. Continuances, non-appearances (bench warrant), transfers, and off-calendar may be allocated to the categories of other pre-trial, preliminary activities, or other post-trial as appropriate. Note, however that guilty pleas or dismissals which occur while a proceeding is in progress should be reported as part of the proceeding.
3. Generally, at multi-case calendars, everything which occurs can be allocated to the calendar proceeding itself (i.e., arraignment; readiness). Some actions, however, which are unrelated to the proceeding such as continuances or bench warrants should be reported according to the procedure outlined in rule #2 above.
4. As much as possible, try to distinguish between out-of-court trial preparation time and plea bargaining time. The former should be allocated to the appropriate trial proceeding; the latter can be reported under guilty plea or dismissal.
5. The category of Sentencing/Revocation hearings for misdemeanors is used only where there is an underlying probation report. Otherwise, include sentencing or revocation as part of the arraignment, guilty plea, or trial after which it occurs.

Remember that the purpose of this data collection is not to study individuals but to develop a statewide criminal justice cost analysis system. Please be as accurate as possible.

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR COURTROOM CLERKS-- SUPERIOR COURT

		ABBREV (box at left)	TIME IN COURT Hrs:Min	TIME OUT-OF-COURT Hrs:Min
<b>Pre-Trial Activities</b>			:	:
FA	Arraignment		:	:
BR	Bail Review		:	:
RC	Readiness Calendar		:	:
MC	Master Calendar		:	:
995	995 Motions		:	:
153	1538.5 Motions		:	:
GP	Guilty Plea (Post-Arraignment)		:	:
D	Dismissal (Post-Arraignment)		:	:
PRE	Other Pre-Trial		:	:
<b>Trial and Post-Trial/Conviction</b>			:	:
	Court Trial		:	:
TR	-Transcript Only		:	:
TRT	-Transcript & Testimony		:	:
CT	-Regular		:	:
JT	Jury Trial		:	:
S	Sentencing/Revocation		:	:
POS	Other Post-Trial/Conviction		:	:
<b>Other Proceedings</b>			:	:
HC	Habeas Corpus		:	:
ADD	Addiction		:	:
MDS	MDSO		:	:
SAN	Present Sanity		:	:
INS	Insanity/Time of Offense		:	:
CON	Appointing Conservators		:	:
OTH	Other		:	:
<b>Administration/Miscellaneous/ Personal Activities</b>			:	:

Was this day, for any reason, extremely untypical? \_\_\_\_\_

Why? \_\_\_\_\_

Note: This form to be used with Direction Sheet 5.

Exhibit B-25. Work Distribution for Clerks  
of the Presiding Judge

	In-Court %	Out-of-Court %
<u>PRE-TRIAL ACTIVITIES</u>		
Felony Arraignment	07	07
Guilty Plea (Post-Arraignment)	03	03
995 Motions	02	--
1538.5 Motions	01	01
Calendar Hearing	01	06
Other	01	
<u>TRIAL AND POST-TRIAL/CONVICTION</u>		
Sentencing	04	04
Other	--	02
<u>HABEAS CORPUS</u>		
	01	02
<u>ADMINISTRATION, MISCELLANEOUS, PERSONAL</u>		
	--	55
<u>TOTAL</u>		
Pre-Trial Activities		<u>32</u>
Trial and Post-Trial/Conviction		10
Habeas Corpus		3
Administration, Miscellaneous, Personal		<u>55</u>
		<u>100</u>

Exhibit B-26. Work Distribution for Courtroom Clerks  
in Criminal Trial Departments

	<u>In-Court</u> %	<u>Out-of-Court</u> %
<u>PRE-TRIAL ACTIVITIES</u>		
Guilty Plea (Post-Arrest)	03	--
995-1538.5 Motions	03	02
Calendar Hearing	02	--
Other	01	01
<u>TRIAL AND POST-TRIAL/CONVICTION</u>		
Court Trial	17	07
Jury Trial	12	01
Sentencing	05	12
<u>ADMINISTRATION/MISCELLANEOUS, PERSONAL</u>		
	07	27
		%
Pre-Trial Activities		<u>12</u>
Trial and Post-Trial/Conviction		54
Administration/Miscellaneous, Personal		<u>34</u>
		<u>100</u>

Once the total work devoted to delinquency is isolated, it must be allocated between the processes of detaining juveniles (code 6200) and proceedings to declare a minor a ward of the court (code 6300). One rule of thumb for this allocation is use of the ratio of detention hearings to hearings on delinquency petitions as reported by the Judicial Council.

For courtroom clerks in the Juvenile Court, a direct study of work distribution was completed (see Exhibits B-27 and B-28). In this case also the results are more detailed than one can obtain using the weighted caseload data. Besides the breakdown of in-court/out-of-court activities and time devoted to administration, miscellaneous, and personal, there is more information on hearings other than the major delinquency proceedings (see Exhibit B-29).

DIRECTION SHEET 6

The attached form is designed to permit an accurate presentation of the time allocated to each of your activities on the days when you are sampled. It lists most, if not all, of the actions in which you may engage.

When completing the form, enter the activity abbreviation and the hours/minutes spent both in court and out-of-court. (In some cases, no abbreviation is required.) In court refers to time when the court is in session. Out-of-court generally refers to what might be called preparation time; include waiting time before a proceeding begins as part of this category.

You should account for all your time during the work day including overtime hours. For activities not listed, write the name in; if additional lines are needed, just draw them in. Lunch and coffee breaks, etc. should be reported as part of miscellaneous/personal activities. It is not necessary to keep track of how many times an activity may occur; the form requires only the daily totals for each activity.

At the end of each day, tear off the name sheet and leave both name sheet and work distribution form in the designated place.

THANK YOU.

Date \_\_\_\_\_ Day \_\_\_\_\_

WORK ACTIVITIES FOR COURTROOM CLERKS---JUVENILE COURT

	ABBREVIATION (box at left)	TIME IN COURT Hrs: Min	TIME OUT-OF-COURT Hrs: Min
<b>Major Delinquency Proceedings</b>			
	Detention Hearing	_____	_____
UDT	-Uncontested	_____	_____
CDT	-Contested	_____	_____
	Adjudication Hearing	_____	_____
UAJ	-Uncontested	_____	_____
CAJ	-Contested	_____	_____
	Dispositional Hearing	_____	_____
UDS	-Uncontested	_____	_____
CDS	-Contested	_____	_____
<b>Other Delinquency Hearings/ Motions</b>			
637	Detention Rehearing	_____	_____
558	Rehearing of Referee's Findings & Orders	_____	_____
778	New Hearing	_____	_____
777	Supplemental Petition	_____	_____
775	Modification of Orders	_____	_____
655	Review Decision Not To File a Petition	_____	_____
781	Petition for Sealing Records	_____	_____
563	Traffic Hearing	_____	_____
567	Rehearing or Order Modification by Traffic Hearing Officer	_____	_____
DEL	Other Delinquency Matters	_____	_____
	Dependency Matters	_____	_____
	Administration/Miscellaneous/ Personal Activities	_____	_____

Was this day, for any reason, extremely untypical? \_\_\_\_\_

Why? \_\_\_\_\_

Note: To be used with Direction Sheet 6.



Exhibit B-29. Work Distribution for Courtroom Clerks --  
 Juvenile Court

	<u>In-Court</u> %	<u>Out-of-Court</u> %
<u>MAJOR DELINQUENCY PROCEEDINGS</u>		
Uncontested Detention Hearing	07	05
Contested Detention Hearing	01	--
Uncontested Adjudication	11	06
Contested Adjudication	01	01
Dispositional	11	04
<u>OTHER DELINQUENCY PROCEEDINGS</u>		
Modification	01	01
Supplemental Petition	02	01
New Hearing	02	--
Sealing Records	01	--
W. & I 905	01	--
Other	02	
<u>DEPENDENCY PROCEEDINGS</u>	10	03
<u>ADMINISTRATION/MISCELLANEOUS/ PERSONAL</u>		29
<u>TOTAL</u>		
Major Delinquency Proceedings		<u>47</u>
Other Delinquency Proceedings		11
Dependency Proceedings		13
Administration/Miscellaneous/ Personal		<u>29</u>
		<u>100</u>

APPLYING A WEIGHTED CASELOAD ANALYSIS TO A DISTRICT ATTORNEY  
AND PUBLIC DEFENDER OFFICE

The weighted caseload analysis, based on information maintained by the Judicial Council is another approach for determining workload distribution. It is an applicable analytical tool when direct workload distribution studies are not feasible and the indirect method based on estimation is inapplicable. Although it can be employed by individual agency administrators, it might even be more useful for the multi-agency analysis needed by legislative decision-making. The cost study staff tested this approach in smaller district attorney and public defender offices.

Organizational Analysis

The first step is examination of work performed by the agency. This analysis makes it possible to identify, at the outset, those persons whose work is entirely administrative or concerned with only one process. These persons can be charged respectively to overhead or the process in which they work. No individuals, however, in the offices visited fell into these categories; even the district attorney himself worked on some trials and the public defender estimated his administrative time at 90%.

The other purpose of organizational analysis was to develop work configurations for all attorneys. The major work configurations are described below. They are not, however, entirely representative of the offices studied; some modifications were made for purposes of example.

#### District Attorney

- Supervising Attorney in Superior Court -- 75% administration with the remaining time spent on arraignment, sentencing on guilty pleas, trial confirmation conferences, insanity and involuntary commitment hearings, and habeas corpus.
- Trial Attorneys in Superior Court -- guilty pleas and dismissals (post-arraignment); pre-trial motions; trials; sentencing for those convicted at trial.
- Juvenile Court Attorney
- Felony Attorney in the Municipal Court -- arraignments; guilty pleas and dismissals (post arraignment); preliminary hearing; sentencing under Penal Code 17b(5).
- Misdemeanor Attorneys -- all misdemeanor proceedings in a Municipal Court.
- Municipal Court Attorneys -- All felony and misdemeanor proceedings in the Municipal Court.

#### Public Defender

- Felony Attorneys -- All felony proceedings in a Municipal Court, trial in Superior Court, and sentencing for those convicted at trial.
- Misdemeanor Attorneys -- All misdemeanor proceedings in a Municipal Court.
- Municipal Court Attorneys -- All felony and misdemeanor proceedings in a Municipal Court.
- Juvenile Court Insanity Attorney -- All juvenile court proceedings and insanity or involuntary commitment proceedings.
- Administrative Attorney -- Administrative duties with the remaining time spent on arraignment, sentencing on a guilty plea, trial confirmation conference, pre-trial motions in Superior Court as well as writs of mandate or prohibition and appeals.

One can see that the indirect method of workload analysis was employed in developing some of these configurations. Thus, for the supervising attorney in Superior Court, an estimate of

75% administration time was made. It may be possible in some cases to analyze an individual's entire workload through estimation, particularly if the duties were quite regular or highly varied activities that rarely occurred. For the most part, however, estimation is not practical and the only alternatives are direct study or application of weighted caseloads.

#### Method Of Application

The Judicial Council developed the weighted caseload analysis as a tool for estimating the need for judicial manpower. It covers several misdemeanor and felony proceedings. Each proceeding is assigned a weight, based on two elements. The first is an average judicial time (bench plus non-bench) for the proceeding in minutes, determined from a statewide sample of courts. The second is the frequency of occurrence for the activity (incidents/total filings) also computed from statistics covering the whole state. These two elements are multiplied to determine the weight. For example, an average felony jury trial consumes 1264.8 minutes and such trials occurred in 7 out of every 100 filings. The weight for jury trials, therefore, is 88.54. If a judge spent his entire time on only two proceedings, the two weights together represent the percentage distribution of judicial time.

To apply these weights to a district attorney office, one first determines the proceedings each deputy engages in and their weights. If information is available on the frequency rates applicable only to that office, a local weight can be computed using statewide average times; otherwise, the statewide weight is used. All weights are then added together and the percentage breakdown represents each individual's work distribution.

An alternative calculation uses the total minutes consumed by all occurrences of each proceeding as the basis for computing percentage breakdowns. This method is more expedient if local

frequency information is available for most proceedings. In that case, however, statewide weights must be converted to the total minutes which they represent on the basis of filings in the office under analysis. Exhibit B-40 is an example.

In public defender offices, the methodology is the same, except that statewide weights are never used. Public defenders, unlike district attorneys, do not appear in all cases; there is no basis for assuming that the frequency of occurrence for judicial proceedings would be the same for them as it is for courts and district attorneys. Thus, application of the method depends on the availability of data from the defender's own office.

#### Illustrative Calculations

The following illustrative calculations for applying weighted caseload analysis cover most of the situations when the method is used to analyze district attorney or public defender offices.

District Attorney Calculations. All statistics relative to the district attorney office sampled are maintained by the Judicial Council or the Bureau of Criminal Statistics. See Exhibit B-30; both systems are used as appropriate. Note that while the former is based on a fiscal year and the latter is calendar year, a recent recommendation to the Judicial Council suggests modification to a calendar year basis. All time data reported represent Judicial Council findings.

The municipal court statistics stated in Exhibit B-30 involve two interpretations. It was assumed that felony guilty pleas and dismissals (except dismissals without court appearance) did not occur at the initial arraignment; but that misdemeanor guilty pleas and dismissals (except dismissals without court appearance and bail forfeitures) did occur at the initial arraignment.

The data is applied to computing work distribution for five district attorney work configurations.

Exhibit B-30. Applicable Data for Related Periods

<u>COUNTY SUPERIOR COURT</u>		<u>Judicial Council</u>		<u>Bureau of Criminal Statistics</u>			
Felony Filings	912	Felony Filings	954	Court Trial			3
Habeau Corpus Hearings	60	Dismissals	141	Jury Trial			52
Insanity/Involuntary Commitment		Guilty Pleas		Sentence on			
--Contested Court Trials	3	Originating in		Guilty Plea		680	
--Contested Jury Trials	2	Superior Court	271	Sentence after			
Juvenile Filings	1834	Trial on Transcript	3	Trial			35
--Contested Adjudication	97						
<u>MUNICIPAL COURT A -- Judicial Council</u>				<u>Non-</u>	<u>Selected</u>	<u>Other</u>	<u>Intoxi-</u>
Felony Filings	1469	<u>Misdemeanors</u>		<u>Traffic</u>	<u>Traffic</u>	<u>Traffic</u>	<u>cation</u>
Less dismissals		Filings		2806	1504	30428	6743
without appearance	2	Less dismissal without					
Arraignments	1467	appearance and bail					
Dismissal		forfeitures		380	16	19062	643
(Post-Arraignment)	463	Arraignments		2426	1488	11366	6100
Guilty Plea		Uncontested Court Trial		11	1	5	2
(Post-Arraignment)	335	Contested Court Trial		119	24	338	35
Preliminary Hearing	370	Jury Trial		32	1	4	0
<u>MUNICIPAL COURT B -- Judicial Council</u>				<u>Non</u>	<u>Selected</u>	<u>Other</u>	<u>Intoxi-</u>
Felony Filings	95	<u>Misdemeanors</u>		<u>Traffic</u>	<u>Traffic</u>	<u>Traffic</u>	<u>cation</u>
Less dismissals		Filings		380	403	9587	94
without appearance	1	Less dismissal without					
Arraignment	94	appearance and bail					
Dismissals		forfeitures		110	1	7063	9
(Post-Arraignment)	34	Arraignments		270	402	2524	85
Guilty Plea		Uncontested Court Trial		2	0	0	0
(Post-Arraignment)	22	Contested Court Trial		11	0	112	2
Preliminary Hearing	35	Jury Trial		2	0	9	0

Supervising Attorney in Superior Court

<u>Felonies</u>		<u>Insanity and Involuntary Commitments</u>	2%
Arraignment	6%	<u>Habeas Corpus</u>	1%
Sentence on Guilty Plea	11%	<u>Administration</u>	75%
Pre-trial Conference	5%		
Total	22%		

(See Exhibit B-31)

In calculating this work distribution, the percentage relationship, based on available weights, for arraignment, sentence on guilty plea, insanity and involuntary commitments, and habeas corpus were first computed. The frequency rates for the latter two proceedings were based on the number of felony filings; this is tantamount to an assumption that such hearings arise out of felony filings. Then, by estimating administration and pre-trial conferences (for which a weight is not available) at 75% and 5%, respectively, the remaining 20% was divided up proportionately.

Trial Attorneys in Superior Court

<u>Felonies</u>			
Guilty Plea (Post-Arraignment)	4%	Trial on Transcript	.2%
Dismissal (Post-Arraignment)	4%	Court Trial	.9%
995 Motion	2%	Jury Trial	69.2%
1538.5 Motion	3%	Sentencing	.7%
Other Pre-Trial Motions	16%		

(See Exhibit B-32)

Juvenile Court Attorney

<u>Juvenile Delinquency Proceedings</u>	
Contested Detention Hearing	6%
Contested Wardship Adjudication	51%
Other Hearings	43%

(See Exhibit B-33)

Exhibit B-31. Supervising Attorney in Superior Court

ACTIVITY/CODE	AVERAGE MINUTES	STATEWIDE FREQUENCY	LOCAL FREQUENCY (JC)	STATEWIDE/ LOCAL WEIGHT	% OF TOTAL
1. Arraignment/3261	8.3	.74		6.18	31
2. Sentence on Guilty Plea/3460	14.8		$\frac{680}{954}$ or .71	10.5	53
3. Pretrial Conference/3332	--				
4. Insanity & Involuntary Commitment/3410	Court 169.1 Jury 744.0	$\frac{3}{912}$ or .003 $\frac{2}{912}$ or .002		2.0	10
5. Habeas Corpus/3511	17.29	$\frac{60}{912}$ or .07		1.21	6

Notes:

1. Arraignment time not available; time and frequency for non-guilty pleas taken as closest approximate.
3. No times available.
4. Times for contested court trial and jury trial applied; it is assumed that all such hearings arise out of criminal proceedings.
5. Time is low in that it includes dispositions without hearing.



Exhibit B-32. Trial Attorneys in Superior Court

ACTIVITY/CODE	AVERAGE MINUTES	STATEWIDE FREQUENCY	LOCAL FREQUENCY (BCS)	STATEWIDE/ LOCAL WEIGHT	% OF TOTAL
1. Guilty Plea/3262	12.4		$\frac{271}{954}$ or .28	3.47	4
2. Dismissal/3263	22.3		$\frac{141}{954}$ or .15	3.35	4
3. 995 Motion/3271	26.7	.08		2.07	2
4. 1538.5 Motion/3272	43.3	.06		2.40	3
5. Other Pre-Trial Motion/3273	15.9	.92		14.64	16
6. Trial on Transcript/3341	48.3		$\frac{3}{954}$ or .003	.14	0.2
7. Court Trial/3343	266.0		$\frac{3}{954}$ or .003	.80	0.9
8. Jury Trial/3344	1264.8		$\frac{52}{954}$ or .05	63.24	69.2
9. Sentencing/3460	14.8		$\frac{35}{954}$ or .04	.60	0.7

Notes:

1. Based on assumption that all guilty pleas other than certifications are subsequent to arraignment.
2. Based on assumption that all dismissals are subsequent to arraignment.
6. Time is for trial on transcript since local frequency for transcript plus testimony trial is not available.
9. Frequency is for those convicted at trial only.

Exhibit B-33. Juvenile Court Attorney

ACTIVITY/CODE	AVERAGE MINUTES	STATEWIDE FREQUENCY	LOCAL FREQUENCY (JC)	STATEWIDE/ LOCAL WEIGHT	% OF TOTAL
1. Contested Detention Hearing/6220	22.8	.03		.77	6
2. Contested Wardship/6300	130.9		$\frac{97}{1834}$ or .05	6.55	51
3. Other Hearing/6400	7.1	.78		5.60	43

Notes:

2. Average minutes combines jurisdictional and dispositional hearings.

This calculation for the juvenile court attorney (shown in Exhibit B-33) is based on the assumption that the attorney appears at all major contested hearings but at no dependency hearings. With different assumptions, there are additional local weights which could be calculated from the Judicial Council data.

Felony Attorney in Municipal Court A			
<u>Felonies</u>			
Arraignment	8%	Preliminary Hearing	61%
Guilty Plea (Post-Arraignment)	5%	17b Misdemeanor Sentence	3%
Dismissal (Post-Arraignment)	6%	17b Probation Review	6%
Preliminary Activities	11%	(See Exhibit B-34)	

Attorney for Municipal Court B			
<u>Misdemeanors</u>		<u>Felonies</u>	
Arraignment	32.8%	Arraignment	1%
Pre-Trial Motions	17%	Guilty Plea (Post-Arraignment)	.7%
Pre-Trial Conference	5%	Dismissal (Post-Arraignment)	1%
Uncontested Court Trial	.1%	Preliminary Activities	2%
Contested Court Trial	12%	Preliminary Hearing	13%
Jury Trial	14%	17b Misdemeanor Sentencing	.4%
Total	80.9%	17b Probation Review	1%
(See Exhibit B-35)		Total	19.1%

Exhibit B-34. Felony Attorney in the Municipal Court (Municipal Court A)

ACTIVITY/CODE	AVERAGE MINUTES	STATEWIDE FREQUENCY	LOCAL FREQUENCY (JC)	STATEWIDE/LOCAL WEIGHT	% OF TOTAL
1. Arraignment/3231	2.12		$\frac{1467}{1469}$ or 1.0	2.12	8
2. Guilty Plea/3233	5.88		$\frac{335}{1469}$ or .23	1.35	5
3. Dismissal/3235	5.38		$\frac{463}{1469}$ or .32	1.72	6
4. Preliminary Activities/3257	4.77	.64		3.05	11
5. Preliminary Hearing/3241	68.7		$\frac{370}{1469}$ or .25	17.18	61
6. 17b Misdemeanor Sentence/3253	8.3	.09		0.75	3
7. 17b Probation Review/3255	15.2	.15		1.82	6

Notes:

4. Includes 1538.5 motions.

Exhibit B-35. Municipal Court Attorney (Municipal Court B)

ACTIVITY/CODE	AVERAGE MINUTES	STATEWIDE FREQUENCY	LOCAL FREQUENCY (JC)	STATEWIDE/LOCAL WEIGHTS	% OF TOTAL
<u>MISDEMEANORS</u>					
1. Arraignment/3211	.66 to 5.24		.005 to .257	.543	32.8
2. Pre-trial motions/3221	1.97 to 4.81	.0009 to .07		.278	17
3. Pre-trial Conference/3313	4.6 to 17.2	.001 to .006		.079	5
4. Uncontested Court Trial/3321	9.3 to 23.4		.0002	.002	.1
5. Contested Court Trial/3323	12.5 to 58.4		.008 to .125	.191	12
6. Jury Trial/3325	142.7 to 474.8		.095 to .128	.223	14
<u>FELONIES</u>					
7. Arraignment/3231	2.12		$\frac{94}{10559}$ or .009	.017	1
8. Guilty Plea/3233	5.88		$\frac{22}{10559}$ or .002	.012	.7
9. Dismissal/3235	5.38		$\frac{34}{10559}$ or .003	.016	1
10. Preliminary Activities/3257	4.77	$\frac{61}{10559}$ or .006		.028	2
11. Preliminary Hearing/3241	68.7		$\frac{35}{10559}$ or .003	.206	13
12. 17b Misdemeanor Sentencing/3253	8.3	$\frac{9}{10559}$ or .0009		.007	.4
13. 17b Probation Review/3255	15.2	$\frac{14}{10559}$ or .001		.015	1

Notes:

- 1-6. Time and frequency represent the range for all types of misdemeanors.  
 1. The time range is for entry of a guilty plea.  
 7. The time is for entry of a not guilty plea.

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Frequency rates for the calculations in Exhibit B-35 are based on total misdemeanor and felony filings in order to permit comparability. Where statewide weights are used, the frequencies reported have been adjusted to this new data base. Finally, all misdemeanor weights represent a compilation of the four categories of misdemeanors reported by the judicial council.

The method for compiling misdemeanor weights and adjusting statewide weights is as follows:

Misdemeanor	Arrestment (a local weight)	Local Weight
Non-Traffic	Time x Frequency 5.24 x $\frac{270}{10559}$ or .03	= .157
Selected Traffic	3.10 x $\frac{402}{10559}$ or .04	= .124
Other Traffic	1.07 x $\frac{2524}{10559}$ or .24	= .257
Intoxication	0.66 x $\frac{85}{10559}$ or .008	= .005
		Total .543

Pre-Trial Motion (statewide weight)

	No. Predicted by Statewide Frequency
Non-Traffic	142
Selected Traffic	179
Other Traffic	700
Intoxication	009

Frequency With F & M Combined	x Time	Statewide Weight
$\frac{142}{10559}$ or .01	4.81	= .048
$\frac{179}{10559}$ or .02	4.45	= .089
$\frac{700}{10559}$ or .07	1.97	= .138
$\frac{9}{10559}$ or .009	3.36	= .003
		Total .278

Public Defender Calculations. The weighted caseload calculations for the public defender are based on statistics maintained by that agency. Exhibit B-36 reports the relevant information. This data is applied to computing work distribution for four public defender work configurations.

Felony Attorneys in Municipal Court A  
and Superior Court

<u>Municipal Court A Felonies</u>		<u>Superior Court</u>	
Arraignment	3%	Court Trial	6%
Guilty Plea	1%	Jury Trial	55%
Preliminary Hearing	34%	Total	61%
17b Misdemeanor Sentencing	1%		
Total	39%	(See Exhibit B-37)	

In computing frequency rates for the felony attorneys who handle felony preliminary activities in Municipal Court A and trial activities in the Superior Court, filings have been combined from both courts. Since there is no data on dismissals and other preliminary activities in Municipal Court, these are not included. Similarly, the sentencing data in Superior Court is excluded because it includes sentencing on a plea of guilty, a calendar represented by the administrative attorney. To include these elements in the total calculation, estimates must be made of the time which they consume.

Attorney in Municipal Court B

<u>Misdemeanors</u>			
Court Trial	28%	Arraignment	3%
Jury Trial	13%	Guilty Plea	.4%
Total	41%	Preliminary Hearing	55%
		17b Sentencing	.6%
(See Exhibit B-38)		Total	59%

Exhibit B-36. Statistics Maintained by Public Defender

FELONIES IN SUPERIOR COURT	INSANITY AND INVOLUNTARY COMMITMENTS IN:	
	SUPERIOR COURT	JUVENILE COURT
Arraignment	754	MDSO 20
995 Motions	62	Narcotics 45
1538.5 Motions	36	Sanity 60
Court Trial	24	Insanity 1
Jury Trial	44	126
Sentencing (GP and Trial Convictions)	579	(Total includes 1 Jury Trial and 121 Court Trials)
		Filings 556
		Contested
		Detention 28
		Uncontested
		Jurisdictional 788
		Contested
		Jurisdictional 87
		Dispositional 540

FELONIES	MUNICIPAL COURT A	MUNICIPAL COURT B
Filings/Arraignments	1083	155
Preliminary Hearings	425	80
Sentencing-PC 17b5	125	8
MISDEMEANORS		
Filings	2866	516
Court Trial-Contested	178	48
Jury Trial	48	3



Exhibit B-37. Felony Attorneys  
(Superior Court and Municipal Court A)

ACTIVITY/CODE	AVERAGE MINUTES	LOCAL FREQUENCY	LOCAL WEIGHT	% OF TOTAL
<u>MUNICIPAL COURT A</u>				
1. Arraignment/3231	2.12	$\frac{1083}{1837}$ or .59	1.25	3
2. Guilty Plea/3233	5.88	$\frac{125}{1837}$ or .07	0.41	1
3. Preliminary Hearing/3241	68.7	$\frac{425}{1837}$ or .23	15.80	34
4. 17b Sentencing/3253	8.3	$\frac{125}{1837}$ or .07	0.58	1
<u>SUPERIOR COURT</u>				
5. Court Trial/3343	266.0	$\frac{24}{1837}$ or .01	2.66	6
6. Jury Trial/3344	1264.8	$\frac{44}{1837}$ or .02	25.30	55

Notes:

1. Based on assumption that public defender enters case at or before arraignment; time employed is for not guilty plea frequency rates.
4. Includes probation review under PC 17b5 (code 3255).
5. Based on assumption of no transcript trials.

Exhibit B-38. Municipal Court Attorney (Municipal Court B)

ACTIVITY/CODE	AVERAGE MINUTES	LOCAL FREQUENCY	LOCAL WEIGHT	% OF TOTAL
1. Felony Arraignment/ 3231	2.12	$\frac{155}{671}$ or .23	.49	3
2. Felony Guilty Plea/ 3233	5.88	$\frac{8}{671}$ or .01	.06	.4
3. Preliminary Hearing/3241	68.7	$\frac{80}{671}$ or .12	8.24	55
4. 17b5 Sentencing/ 3253	8.3	$\frac{8}{671}$ or .01	.08	.6
5. Misdemeanor Court Trial/3323	58.4	$\frac{48}{671}$ or .07	4.09	28
6. Misdemeanor Jury Trial/3325	474.8	$\frac{3}{671}$ or .004	1.90	13

Notes:

1. Use time to enter not guilty plea.
4. Uses time for sentencing without a probation report.
5. Uses time for contested misdemeanor trial; this time does not differ materially from time for selected traffic offense contested trial.
6. Same note as 5.

The computations combine felony and misdemeanor filings. They also assume that felony guilty pleas are entered subsequent to the initial arraignment and that the public defender does not represent those accused of misdemeanors until after they are first arraigned. Finally, in this work distribution analysis, several activities are excluded because they are not represented in the data base. They could be included, however, through estimation.

Juvenile Court-Insanity and Involuntary Commitments Attorney		
<u>Juvenile Delinquency Proceedings</u>		<u>Insanity and</u>
Contested Detention	2%	<u>Involuntary</u>
Uncontested Jurisdictional	23%	<u>Commitments - 44%</u>
Contested Jurisdictional	17%	
Dispositional	<u>14%</u>	
Total	56%	(See Exhibit B-39)

Frequency rates for this work distribution combine the filings in all categories. The juvenile data includes 68 dependency cases which were not separated out.

Administrative Attorney Calculations. The percentage distribution among the three activities of this attorney for which weights are available is:

Felony Arraignment	65%
995 Motions	16%
1538.5 Motions	17%

If one estimates administration at 30% of the time, sentencing for guilty pleas at 10%, and appeals at 5%, the remaining activities would be distributed as follows:

Exhibit B-39. Juvenile Court-Insanity-Involuntary Commitments Attorney

ACTIVITY/CODE	AVERAGE MINUTES	LOCAL FREQUENCY	LOCAL WEIGHT	% OF TOTAL
<u>INSANITY &amp; INVOLUNTARY COMMITMENT</u>				
1. Court Trial/3410	169.1	$\frac{121}{682}$ or .18	30.44	44
2. Jury Trial/3410	744.0	$\frac{1}{682}$ or .001	.74	
<u>JUVENILE PROCEEDINGS</u>				
3. Contested Detention/6220	22.8	$\frac{28}{682}$ or .04	.91	2
4. Uncontested Jurisdictional/6310	13.9	$\frac{788}{682}$ or 1.16	16.12	23
5. Contested Jurisdictional/6320	93.9	$\frac{87}{682}$ or .13	12.21	17
6. Dispositional/6330	12.4	$\frac{540}{682}$ or .79	9.80	14

Notes:

6. Time used is for uncontested dispositional hearing.

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Felony Arraignment	36%
995 Motions	9%
1538.5 Motions	10%

Comments on Courtroom Clerks and Judicial Personnel

Where a direct study of workload is not implemented, an indirect analysis using estimation provides a method for allocating the time of courtroom clerks in pre-trial departments; their work is fairly regular. The same method could also be applied to judges in these departments.

But the work of trial judges and clerks does not conform to regular patterns and the only alternative method of workload analysis is application of the weighted caseload system. Exhibit B-40 gives an example of such an application for the municipal court clerk's office already discussed. The calculation must take into account the civil proceedings which are also before the court: in the cost model, work expended on such civil activities is allocated to overhead.

Exhibit B-40. Trial Clerks in Municipal Court

Activity Code	Average Minutes	X	Total Local Proceedings	=	Total Minutes	% of Total
1. Felony Preliminary Hearing/3241	68.7		1968		135201	20
MISDEMEANORS						
2. Uncontested Court Trial/3321	9.3 to 23.4		8 to 103		2471	01
3. Contested Court Trial/3323	12.5 to 58.4		78 to 5342		116276	17
4. Jury Trial/3325	142.7 to 474.8		15 to 232		257198	37
CIVIL						
5. Small Claims Uncontested Court Trial	4.85		3071		14894	
6. Small Claims Contested Court Trial	14.4		3515		50616	
7. Civil Uncontested Court Trial	4.7		2028		9532	
8. Civil Contested Court Trial	147.6		578		85313	
9. Civil Jury Trial	572.7		24		13745	
			Total Civil		174100	25

Notes: 2-4 represent the range for four types of misdemeanors.

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Appendix C

WORKLOAD DISTRIBUTIONS FOR LAW ENFORCEMENT AGENCIES

To determine the feasibility of various data collection techniques, law enforcement workload distribution statistics were gathered from three agencies. The San Diego Police Department and San Diego Sheriff's Office cooperated in obtaining samples of workload data by three different techniques and the City of Garden Grove provided time card information gathered routinely in its Police Department.

The two police agencies which were selected as models to be used for sample data collection were the San Diego Police Department and the San Diego County Sheriff's Department. For reasons of time and convenience in this complicated data collection effort, both agencies were selected from the same geographical area, however, each department represents unique police operations which provide variations in the test data.

With a population of nearly one million people and approximately 400 square miles of land and water space, the City of San Diego poses unique police requirements due to its downtown business district, skid row area, and its establishment as a commercial seaport and naval base. The San Diego Police Department provides the city with police services, emergency ambulance service, and traffic control. The department has 1,240 employees.

In contrast, the San Diego County Sheriff's Department has jurisdiction over approximately 4,791 square miles, covering residential, business, and rural areas. The Sheriff's staff of 761 personnel operate out of three substations throughout the county as well as the central headquarters in downtown San Diego. In addition to the normal police operations,

the Sheriff's Department is charged with maintaining the county jail, processing of all civil court proceedings, and providing bailiffs to the county courts.

Data collected at both agencies involved three areas of cost accounting:

1. Expense of direct labor personnel; includes patrol officers and field detectives.
2. Expense of overhead and general administrative operations; includes administrative and support personnel.
3. Expenses of equipment and supplies; includes office materials, operational and training equipment based on original price and fixed rate of depreciation.

#### DIRECT LABOR

The cost study model defines direct labor expense as the salaries of personnel directly involved in the application of criminal justice processes. For police agencies, these are the patrol officers, field detectives, and certain officers, such as sergeants and lieutenants. The first task involved in collecting data on direct labor was to distinguish officers as either administrators or direct labor personnel. In some cases it was necessary to allocate percentages of sergeants' and lieutenants' time to overhead as well as direct labor processes.

The method used to collect data on patrol officers activities involved observers accompanying selected officers throughout their entire shift. The observer would take note of the officers activity at ten minute intervals. Observers were assigned to patrol units at both agencies, as well as ambulance and traffic units at the Police Department. Based on previous studies of police activity, as well as the advice of patrol commanders, the selection of units to be observed represented a cross section of active and inactive beats, residential, business, and rural areas, and day and night shifts.



The statistical samplings at the two police agencies were as follows:

San Diego Police Department: Shift 1 (0700-1500) - 11 samplings  
Shift 2 (1500-2300) - 14 samplings  
Shift 3 (1900-0300) - 5 samplings  
Shift 4 (2300-0700) - 11 samplings  
Traffic Division - 8 samplings  
Total 49 samplings

Included in the sampling of patrol units on Shift 1-4 were eight ambulance units.

San Diego County Sheriff's Department:

Shift 1 (0600-1400) - 9 samplings  
Shift 2 (1400-2200) - 8 samplings  
Shift 3 (2200-0600) - 8 samplings  
Total 25 samplings

Off-duty and retired police officers were selected and trained to act as observers/data collectors. Dressed in civilian clothes and participating only as data collectors, not policemen, the observers followed the patrol officer from pre-shift briefing through the completion of his shift. At ten minute intervals, the observers would note the activity of the officer at that exact instant.

The method of taking manual observations of patrol officer's activities provided a very accurate data base, however, this same method of data collection could not be easily used with the field detectives due to the extreme variations in their activities. Therefore, the data concerning direct labor of detectives was based on oral interviews with detectives recalling the times and activities of their last complete shift. Generally,

**CONTINUED**

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the detectives had no trouble remembering the course of activities if they were questioned soon after the completion of the shift. The same data collection form and procedures were used for the detectives as were used by the observers with the patrol units.

An attempt was made to gather data on all areas of detective operations. Based on statistical sampling techniques and the advice of the detective division commanders, the sampling of detective interviews was as follows:

San Diego Police Department:

Crimes against persons division (Homicide, rape, assault, etc.)	3 interviews
Crimes against property division	5 interviews
Juvenile division	4 interviews
Narcotics division	3 interviews
Vice detail	4 interviews
Special investigators detail	2 interviews
Forgery detail	1 interview
Auto theft detail	1 interview
Licensing detail	1 interview
Pawn shop detail	<u>1</u> interview
	Total 25 interviews

San Diego County Sheriff's Department:

Homicide division	2 interviews
Juvenile division	4 interviews
General area detectives	7 interviews
Narcotics division	4 interviews
Warrants division	2 interviews
Selective enforcement detail	2 interviews
Arson/explosive detail	2 interviews
Fraud detail	1 interview
Auto theft detail	<u>1</u> interview
	Total 25 interviews

The data collected by observers in the patrol cars and through the detective interviews was tabulated and coded then run through the systems' computer programs to test the cost model. In some cases, the coding of the data required that additional processes be defined to accommodate the data. A complete list of the processes and their numbers used to code the direct labor data is given below:

- 1000 CRIME PREVENTION/SUPPRESSION
  - 1100 Community/Personal Contact
    - 1110 Personal Contact/Public Relations
    - 1120 Personal Contact/Field Interview
    - 1130 Community Relations
    - 1140 Personal Assistance
    - 1180 Record Inquiry on any of above
    - 1190 Report Writing on any of above
  - 1200 Preventive Patrol
    - 1210 Motorized Patrol
    - 1220 Foot Patrol
    - 1230 Other Vehicular Patrol
    - 1240 Security Escorts
    - 1260 Security Inspections
    - 1280 Record Inquiry on any of above
    - 1290 Report Preparation on any of above
  - 1300 Maintenance of Public Order
    - 1310 Special Events
    - 1330 Civil Disturbances
    - 1340 Minor Peace Disturbance
    - 1350 Assistance to Allied Agency
    - 1390 Report Preparation on any of above
  - 1400 Traffic Control
    - 1410 Traffic Patrol/Direction
    - 1420 Accident Investigation
    - 1430 Traffic Contact (Warning)
    - 1440 Citation
    - 1480 Records Inquiry on any of above
    - 1490 Report Preparation on any of above

- 2000 CRIME INVESTIGATION/APPREHENSION
  - 2110 Crimes Against Persons
    - 2111 Homicide
    - 2112 Rape
    - 2113 Robbery
    - 2114 Assault
  - 2120 Crimes Against Property
    - 2121 Burglary
    - 2122 Grand Theft
    - 2123 Auto Theft
  - 2130 Vice or Organized Crime
    - 2131 Narcotics
    - 2132 Liquor
    - 2133 Gambling
    - 2134 Prostitution
    - 2135 Other
  - 2140 Alarm Responses
    - 2141 Armed Robbery Alarm Response
    - 2142 Burglar Alarm Response
  - 2170 Miscellaneous Offenses
    - 2171 Minor Person Crimes  
(Simple assault, etc.)
    - 2172 Minor Property Crimes  
(Petty theft, malicious mischief, etc.)
    - 2173 Drunk, Loitering, etc.
    - 2174 Other Felonies and Misdemeanors
  - 2190 Report Writing
    - 2191 Report Writing - Crimes Against Persons
    - 2192 Report Writing - Crimes Against Property
    - 2193 Report Writing - Vice or Organized Crime
    - 2194 Report Writing - Minor Persons, Property, Other
  - 2310 Warrants
    - 2311 Criminal Warrants
    - 2312 Civil Warrants

2320 Booking  
2321 Booking - Crimes Against Persons  
2322 Booking - Crimes Against Property  
2323 Booking - Vice or Organized Crime  
2324 Booking - Minor Persons, Property, Other  
2330 Arrests  
2331 Arrest - Crimes Against Persons  
2332 Arrest - Crimes Against Property  
2333 Arrest - Vice or Organized Crime  
2334 Arrest - Minor Persons, Property, Other  
2340 Undercover Activity  
2341 Stake-out  
2342 Informer Contact  
3000 COURT PROCESSES  
5000 CUSTODY PROCESSES

OVERHEAD AND GENERAL AND ADMINISTRATIVE

The salaries of officers and civilians whose time, or partial time, is spent in administrative functions or support functions were charged to overhead costs. In cases where certain sergeants and lieutenants time was divided between administrative and direct labor functions, a percentage was charged to overhead and the remainder allocated by individual processes to total 100%.

Administrative personnel are those persons whose time, or partial time, is spent in the direct supervision of others, as well as other administrative functions, such as planning, budgeting, scheduling, etc. Support personnel are those persons whose time is spent in offering support to direct labor persons. Examples are clerical staff, maintenance staff, crime lab personnel, etc.

Since the total, or an estimated percentage, of administrators and support personnel time was directly charged to overhead,

it was not necessary to observe selected individuals and make time interval checks on their activities. Using the organization chart of the agency involved, the administrative and support personnel were identified and their salaries allocated to overhead. In the computer analysis of the coded data, administrative and support costs are "cascaded" onto direct labor processes by internally charging the overhead costs to those direct labor persons who are supervised or supported.

#### EQUIPMENT AND SUPPLIES

In the data collection and coding, the costs of equipment and supplies were charged to overhead. The method used to determine these costs involved use of the department's annual inventory list and the city's or county's standard price list for equipment and supplies. All equipment and supplies were allocated by division and their original cost was multiplied by a rate of .084 to represent depreciation based upon an eight-year declining balance with an average age of four years.

At both the Police Department and the Sheriff's Department, accurate annual inventories were available. These inventories listed the allocation of equipment and supplies by division within the department. Thus, the data collection and coding was simplified. The costs for equipment and supplies were charged to the senior administrative position in the division.

#### Coding Procedures

When the observations of patrol officers and the detective interviews had been completed, and the necessary data collected concerning administrative and support personnel and equipment and supplies, the coding of the data for computer analysis began. An example of a completed coding sheet is included as Exhibit C-1.

The important elements on the coding sheet are: the basis, which is the annual salary of the person or the dollar cost of

1 2 3 4 5 6

item	basis				address				account		allo		
	description	rate	code	C	C	I	T	code	C	T	code	I	A
C SOUTHERN SUB. STATION													
POLICE CAPT	1841500	ALL	LA00059	I	1411	2140	2320	02000	DS				MA
POLICE LT	1592900	ALL	LA00060	I	1411	2140	2320	10000	DS				MA
POLICE SGT WITH	1417300	ALL	LA00061	I	1411	2140	2320	10100	DS				MA
										P 2110			D20
										P 2120			D10
POLICE PT/ML WITH (4)	4665200	ALL	LA00062	I	1411	2140	2320	10110	DP	2113			D01
										P 2121			D01
										P 2133			D02
										P 2172			D01
										P 2142			D01
										P 2331			D01
										P 2334			D01
										P 2192			D02
										P 2194			D04
POLICE PT/ML WITH (4)	4665200	ALL	LA00062	I	1411	2140	2320	10110	DP	1121			D03
										P 1132			D07
										P 1140			D01
										P 1133			D01
										P 1181			D01
										P 1191			D01
										P 1210			D35
										P 1240			D01
										P 1340			D02



equipment or supplies, the rate, which is the multiplier of the basis; all = 100%, .084 = fourth year's depreciation, the address, which identifies the internal organization position, the account, which specifies the process or internal address to which the charge is billed, and the two final digits which indicate the percentage of charge.

The single most important aspect of the coding procedure is the significance of the internal address and account codes. Following the internal organization chart of the agency, the address codes exhibit a logical progression of numbering showing supervisors and their subordinates. The account code is blank when preceded by an "S" indicating that the charge is to the same account as the address. When the charge is allocated to a direct labor process, the account code is preceded by a "P" and the four digit process number is entered into the account code. The last two digits coded express the percentage of charge, A = 100%, 35 = 35%, etc.

Exhibits C-2 and C-3 show the coding of supplies (non-personnel expenses - NPS) and Equipment (Equipment Inventory - EI). The charges are allocated to the address of the senior administrator in the division.

#### Alternate Methods Of Data Collection For Direct Labor Accounts

A significant part of the data collection effort in the police agencies involved an attempt to gather the direct labor process charges of patrolmen by other than the observer method. It was recognized that, while being highly accurate, this method is costly and presents the requirement for additional personnel.

Therefore, using the data collected by the observers as a standard of reference, two alternative methods of data collection were tested. The first involved oral interviews with the officers after their shift was completed. The same process was

1 2 3 4 5 6

item				address			account		allo
description	basis	rate	code			code	code	code	A
			C	C	I				
NON-PERSONNEL EXPENSES - BY DIVISION									
NPS ADMIN. RCDS. COMDVS	29,631.70	ALL	5000207	I	14112100	00000000	DS		MA
NPS. JAIL DIVISION	6,620.50	ALL	500208	I	14112140	11500000	DS		MA
NPS. INVEG. DIVISION	2,500.00	ALL	500209	I	14112140	31000000	DS		MA
NPS. PTL DVN - C-N-S	29,700.00	ALL	500210	I	14112140	20000000	DS		MA
NPS. TRAFFIC DIVN	3,305.00	ALL	500211	I	14112140	32000000	DS		MA
NPS. MEDICAL SERVICE	1,380.00	ALL	500212	I	14112140	03000000	DS		MA
NPS. TRAINING & PERSONL	2,776.80	ALL	500213	F	14112140	11000000	DS		MA
NPS. AUTO MAINT	3,617.20	ALL	500214	F	14112140	11000000	DS		MA
NPS. BLDNG & GROUNDS	2,546.60	ALL	500215	F	14112100	00000000	DS		MA
NPS. CRIM LABS & PROTS	6,500.00	ALL	500216	I	14112140	31200000	DS		MA

Exhibit C-2. Non-Personnel Expense

1 2 3 4 5 6

item	description				address				account				allo
	description	basis	rate	code	code	code	code	code	code	code	code	code	
C	EQUIPMENT INVENTORY - B.V. DIVISION												
EI	ADMIN. (CHIEF STAFFS)	2818992	08401	00215	I	1411	2140	00000000	05				MA
EI	RODS DIV.	5539083	08402	00210	I	1411	2140	11202000	05				MA
EI	COMA DIV.	2346568	08403	00219	I	1411	2140	11200000	05				MA
EI	JAIL DIV.	1711979	08404	00220	I	1411	2140	11500000	05				MA
EI	IN VES. DIV.	1584672	08405	00221	I	1411	2140	03100000	05				MA
EI	CENTRAL PTL. DIV.	1604199	08406	00222	I	1411	2140	20000000	05				MA
EI	N. RTM. PTL. DIV.	1872152	08407	00223	I	1411	2140	28100000	05				MA
EI	S. TRM. PTL. DIV.	1002224	08408	00224	I	1411	2140	23200000	05				MA
EI	TRFIC. DIV.	2203600	08409	00225	I	1411	2140	32000000	05				MA
EI	MED. SERV.	629872	08410	00226	I	1411	2140	01030000	05				MA
EI	TRN. & PRSNL	2614047	08411	00227	I	1411	2140	11100000	05				MA

Exhibit C-3. Equipment Inventory

followed as was used in the detective interviews--a recalling of the shift's activities and times. Fifty interviews were conducted.

The second alternative method used for data collection involved an audio signal given over the patrol car radio at 20-minute intervals. Upon hearing the signal, the patrol officer would record his activity on a simple data collection form. This technique was demonstrated at the San Diego Police Department during a 24-hour period.

#### WORKLOAD DISTRIBUTION STATISTICS

The data which is the raw input to the cost computations also provides a breakdown of the workload characteristics for the agencies. Exhibit C-4 gives a listing of the approximate percentages of time that the patrol units for each agency spend on various processes for each shift. The columns do not necessarily total to 100 because of rounding.

Exhibit C-4. Patrol Division Workload Percentages By Shift

Number	PROCESS Description	SAN DIEGO POLICE				SAN DIEGO SHERIFF		
		Shift	Shift	Shift	Shift	Shift	Shift	Shift
		1	2	3	4	1	2	3
1110	Personal Contact/Public Relations	0	1	0	0	2	2	2
1120	Personal Contact/Field Interview	2	4	4	3	3	3	4
1130	Community Relations	6	5	3	3	11	7	10
1140	Personal Assistance	1	1	3	0	0	1	1
11XX	Other Community/Personal Contact	0	0	1	0	0	1	0
1210	Motorized Patrol	34	36	31	39	41	42	43
1260	Security Inspections	0	0	3	5	1	0	3
12XX	Other Preventive Patrol	1	1	0	0	2	0	2
1340	Minor Peace Disturbance	1	1	2	1	1	4	1
1350	Assistance To Allied Agency	2	1	0	1	3	0	1
13XX	Other Maintenance of Public Order	0	0	0	0	0	0	0
1410	Traffic Patrol/Direction	2	0	1	0	0	0	0
1420	Accident Investigation	2	1	1	1	0	0	0
1430	Traffic Contact (Warnings)	4	5	3	3	0	1	1
1440	Citation	5	2	3	4	1	1	2
14XX	Other Traffic Control	1	1	2	0	0	0	0
2110	Crimes Against Persons	2	2	1	2	0	1	0
2120	Crimes Against Property	5	3	3	2	2	5	3
2130	Vice/Organized Crime	1	0	1	0	0	0	0
2140	Alarm Responses	0	0	1	1	0	0	1
2170	Miscellaneous Offenses	5	9	8	6	9	9	5
2190	Crime Report Preparation	5	5	8	4	4	5	4
2310	Warrants	0	2	0	0	1	0	0
2320	Booking	1	0	1	1	0	0	0
2330	Arrest	1	2	3	2	0	1	1
	Miscellaneous/Administration	23	17	16	20	17	18	13

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COST CALCULATIONS

The use of the cost reporting system makes it possible to examine an agency's expenditure from several different points of view. Examples of some of the breakdowns follow. Since the figures are based on sample data, they should not be interpreted as definitive cost statements. Also, for convenience in entering this sample data, non-labor items were coded as overhead. Also, in this sample, no entries were made as G and A.

Exhibit C-5

	Police	Sheriff
Direct	3,433,472	3,070,426
Overhead	4,124,459	2,906,236
Support	1,788,164	1,148,391
Total	9,346,017	7,124,038
Overhead Rate	.79	.69

Exhibit C-5 shows total costs for the police department and sheriff's office. The direct costs are the costs incurred in the actual direct process activity. Support costs are the costs which are considered to arise from the immediate support to the direct process activity. Overhead costs are those which essentially relate to the administrative operation of the agency, not the direct criminal justice process activity. Since there is considerable room for disagreement on the allocation of some costs, care should be taken in interpreting these numbers. For example, the police figures indicate that for every \$34 spent on direct criminal justice process activity, \$18 is spent on support and \$41 on overhead.

A breakout of agency costs by gross process division is provided in Exhibit C-6. Note that both agencies spend approximately 50% more on investigation/apprehension processes than

Exhibit C-6. Process Costs

PROCESS	POLICE DEPT.			SHERIFF'S OFFICE		
	Cost	% Dept. Cost	Overhead Rate	Cost	% Dept. Cost	Overhead Rate
Prevention/Suppression	2,262,943	24	.58	1,257,239	18	.34
Investigation/Apprehension	3,356,618	36	.61	1,867,799	26	.57
Courts	53,362	1	.66	659,069	9	.34
Custody	1,992,147	21	.18	1,932,025	27	.20
Miscellaneous/Administration	1,680,947	18	--	1,407,906	20	--
Total	9,346,017	100	.79	7,124,038	100	.69

they do on prevention/suppression processes. The sheriff's office costs associated with the courts are much more significant than the police department's since the sheriff provides routine services to the courts. The custody costs associated with the jail operations are both extensive. The specific categorization of miscellaneous/administrative costs reflects a desire to maintain records of specific activities by officers which are of an overhead nature. This includes activities such as training, officer time wasted because of equipment maintenance, personal needs, etc. The effect of tabulating these overhead activities separately is to reduce the apparent overhead rates associated with the other processes, yet the overall agency calculations are correct.

Exhibit C-7 provides a more detailed breakdown of the agency costs associated with prevention and suppression activities. Both agencies spend a significant amount of money on preventive patrol processes and the police department has a large cost associated with traffic control.

Exhibit C-8 provides some detail of the costs included in investigation and apprehension activities. The police department spends significantly more money for both crimes against persons and property while the sheriff's office spends more on special programs, such as serving warrants.

A detailed listing of the costs associated with traffic control in the police department is given in Exhibit C-9. As would be expected, much of the cost is traffic patrol and direction, with the issuance of citations contributing significantly. A similar detailed breakout for the sheriff's office is given in Exhibit C-10 where the special program costs are detailed. Further subdivision of costs can be easily obtained from the computer.



Exhibit C-7. Prevention/Suppression Costs

PROCESS	POLICE DEPT.			SHERIFF'S OFFICE		
	Cost	% Dept. Cost	Overhead Rate	Cost	% Dept. Cost	Overhead Rate
1100 Community/Personal Contact	487,477	5	.49	200,944	3	1.05
1200 Preventive Patrol	809,587	9	.69	903,792	13	.25
1300 Maintenance of Public Order	86,437	1	.66	35,518	--	.41
1400 Traffic Control	879,442	9	.53	116,985	2	.26
1000 TOTAL	2,262,943	24	.58	1,257,239	18	.34

Exhibit C-8. Investigation/Apprehension Costs

PROCESS	POLICE DEPT.			SHERIFF'S OFFICE		
	Cost	% Dept. Cost	Overhead Rate	Cost	% Dept. Cost	Overhead Rate
2110 Crimes Against Persons	666,621	7	.67	174,548	2	.58
2120 Crimes Against Property	829,479	9	.70	239,959	3	.77
2130 Vice/Organized Crime	157,300	2	.50	214,599	3	.28
2140 Alarm Responses	178,457	2	.67	67,336	1	.47
2170 Miscellaneous Offenses	832,869	9	.52	401,807	6	.58
2190 Report Preparation	218,540	2	.61	41,745	1	.95
2300 Special Programs (warrants, bookings, arrests)	473,352	5	.55	727,805	10	.59
2000 TOTAL	3,356,618	36	.61	1,867,799	26	.57

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Exhibit C-9. Traffic Control Costs

San Diego Police Department

PROCESS	COST	% DEPT. COST	OVERHEAD RATE
1410 Traffic Patrol and Direction	356,221	4	.50
1420 Accident Investigation	105,238	1	.53
1430 Traffic Contact (Warning)	125,737	1	.57
1440 Citation	195,923	2	.53
1480 Record Inquiry	5,573	-	.67
1490 Report Preparation	90,750	1	.54
1400 TOTAL	879,442	9	.53

Exhibit C-10. Special Program Costs

Sheriff's Office

PROCESS		% AGENCY COST	OVERHEAD RATE
2310 Warrants	516,259	7	.66
2320 Booking	2,706	-	.82
2330 Arrest	7,253	-	.63
2340 Undercover	201,587	3	.43
2300 TOTAL	727,805	10	.59

The Garden Grove Police Department has been collecting workload statistics for several years. This is done by having each officer complete an activity report which provides, for accounting purposes, the hours worked, as well as the activities upon which the time was spent. This form is submitted bi-weekly and provides a compilation of regular hours, overtime, sick leave, vacation, holiday, etc. Each functional unit within the department is assigned an activity number. Each criminal justice process which an officer may perform is assigned a task code. The total hours, then, are entered by activity code and task code, for the two week period.

Twelve months data (1971) was obtained from the comptroller's office of the city of Garden Grove for analysis. The prime purpose was to estimate the efficacy of this data collection procedure and to determine if there were significant seasonal variations in the department activities. Unfortunately, during the year, significant changes had been made in both activity numbers and task codes. Thus, it was difficult to compare the first half of the year with the last half, and only the latter six months was subjected to analysis.

For each of the departmental task codes, a corresponding number was assigned from the process codes within the cost project and the hours for each process were accumulated for each week. No attempt was made to assess costs since that was not the intent of this portion of the project. Exhibit C-11 provides the results. It should be emphasized that the activities recorded by Garden Grove are not precisely those defined in the cost study so that some compromise was possibly effected in assigning the cost study process number. This should not be viewed as distracting from the utility of the data as it is gathered by the Garden Grove Police Department, but rather simply the fact that two different lists of activities have

been defined. The fact that data can be routinely gathered with integrity--as shown by Garden Grove--is important. The ability to utilize this type of data in the cost study makes it even more useful.

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Exhibit C-11. Percentage of Department Time Spent on Processes

1971 Week	Community/ Personal Contact	Preventive Patrol	Traffic Control	Investigation/ Apprehension	Court	Miscellaneous/ Administration
14	13	16	6	25	3	37
15	NA	NA	NA	NA	NA	NA
16	12	16	2	31	3	36
17	13	15	2	30	5	35
18	13	16	2	29	3	37
19	12	12	8	28	3	37
20	12	12	9	28	2	37
21	12	13	8	29	3	35
22	12	13	8	29	3	35
23	11	13	8	30	3	35
24	11	13	8	31	2	35
25	11	12	9	30	3	35
26	12	14	3	33	2	36
Average	12	14	6	29	3	36