Region 6 - LEAA
Dept. of Justice

JUL 16 1976

U. S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

H-1 Report
OMB NO. 43-R0532
Expires: 6/30/76

FINANCIAL STATUS REPORT

1. Federal Agency and Organizational Element: U. S. Department of Justice, LEAA Dallas Regional Office
2. Federal Grant No. or Other Identifying No.: 75-DF-06-0008
3. Name and Address of Grantee Organization: Oklahoma Commission on Criminal and Traffic Law Enforcement, Box 11415, Oklahoma City, Oklahoma 73111
4. Grantee Identification No.:
5. Grantee Account No. or Identifying No.: N/A
6. Final Report: [X] Yes [ ] No
7. Basis of Report: [X] Cash [ ] Accrued Expenditures
8. Project Period (Month, Day, Year): FROM 01 | 01 | 74 TO 12 | 31 | 75
9. Report Period (Month, Day, Year): FROM 09 | 01 | 75 TO 12 | 31 | 75

10. STATUS OF FUNDS — PROGRAMS — FUNCTIONS — ACTIVITIES

	(1)	(2)	(3)	(4)	(5)	(6)	TOTAL
a. Total outlays previously reported (Line 10e from previous report)							93,979.17
b. Total program outlays this period							31,052.83
c. Less: Program income credits							-0-
d. Net program outlays this period (Line b minus Line c)							31,052.83
e. Total program outlays to date (Sum of Lines a and d)							125,032.00
f. Less: Non-Federal share of program outlays							15,600.00
g. Total Federal share of program outlays (Line e minus Line f)							109,432.00
h. Total unpaid obligations							-0-
i. Less: Non-Federal share of unpaid obligations							-0-
j. Federal share of unpaid obligations (Line h minus Line i)							-0-
k. Total Federal share of outlays and unpaid obligations (Line g plus Line j)							109,432.00
l. Total Federal funds authorized							109,432.00
m. Unobligated balance of Federal funds (Line l minus Line k)							-0-

NCJRS
OCT 19 1976
ACQUISITIONS

11. Indirect Expense: a. Type of rate (Mark box)
[ ] Provisional [ ] Final
[ ] Predetermined [ ] Fixed
b. Rate: c. Base: d. Total amount: e. Federal share:

12. REMARKS (Attach additional sheets if necessary)

13. CERTIFICATION — I certify that to the best of my knowledge and belief this report is correct and complete and that all outlays and unpaid obligations are for the purposes set forth in the grant award documents.

Name and Title: W. J. Carter, Finance Director
TELEPHONE: Area Code 405, Number 424-4011, Ext.
Signature of Authorized Official: W. J. Carter
Date Report Is Submitted: July 14, 1976

LEAA FORM 7160/1 (8-73) REPLACES LEAA OLEP - 153 AND LEAA OLEP 155 WHICH ARE OBSOLETE.

690LE

INSTRUCTIONS FOR PREPARING THE FINANCIAL STATUS REPORT

Item 1 – Enter the name of the cognizant LEAA Regional or Central Office.

Item 2 – Enter the Federal grant number.

Item 3 – Enter the name and complete mailing address including the ZIP code for the SPA or other grantee organization.

Item 4 – Enter the employer identification number assigned by the U. S. Internal Revenue Service.

Item 5 – Enter "NA" for not applicable.

Items 6 and 7 – Mark the appropriate block.

Item 8 – Enter the month, day, and year of the beginning and ending period of the grant. The ending period should reflect any approved extension date.

Item 9 – Enter the month, day, and year of the beginning and ending dates of the quarter for which this report is prepared.

Item 10 –

Line a. Enter the total outlays reported on Line 10e of the previous report. Show zero, if this is the initial report for the grant.

Line b. Enter the total gross program outlays for this report period, including disbursements of cash realized as program income. For reports which are prepared on a cash basis, outlays are the sum of the subgrantees actual cash disbursements for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors. For reports prepared on an accrued expenditure basis, outlays are the sum of the subgrantees actual cash disbursements, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the subgrantee for goods and other property received and for services performed by employees, contractors, and other payees. Outlays for Planning Grants include both the outlays made by the SPA for its own operation and outlays reported by the subgrantees.

Line c. The report prepared on a cash basis, enter the amount of cash income received during the quarter which is to be used in the project or program in accordance with the terms of the grant. For reports prepared on an accrual basis, enter the amount of the net increase (or decrease) in the amount of accrued income since the beginning of the report period.

Line d. This amount should be the difference between amounts shown on Lines b and c.

Line e. Enter the sum of amounts shown on Lines a and d above. This amount represents the cumulative outlays to date of both Federal and non-Federal funds.

Line f. Enter the cumulative non-Federal share ("Match") of the program outlays included in the amount of Line e.

Line g. Enter the cumulative Federal share of program outlays. The amount should be the difference between Lines e and f.

Line h. For reports prepared on a cash basis, enter the total amount of unpaid obligations for this grant. Unpaid obligations for Planning Grants consist of unpaid obligations of the SPA for its own operation plus unpaid obligations reported by the subgrantees. For reports prepared on an accrued expenditure basis, enter the amount of undelivered orders and other outstanding obligations. Do not include any amounts that have been included on Lines a through g. On the final report, Line h should have a zero balance.

Line i. Enter the non-Federal share of unpaid obligations included on Line h. On the final report, Line i should have a zero balance.

Line j. Enter the Federal share of unpaid obligations included on Line h. The amount shown on this line should be the difference between the amounts on Lines h and i. On the final report, Line j should have a zero balance.

Line k. Enter the sum of the amounts shown on Lines g and j. If the report is final, the report should not contain any unpaid obligations.

Line l. Enter the total amount of the federal grant.

Line m. Enter the unobligated balance of Federal funds. This amount should be the difference between Lines l and k.

Item 11 – INDIRECT EXPENSE

- **a. Type of rate** – Mark appropriate block.
- **b. Rate** – Enter the rate in effect during the quarter.
- **c. Base** – Enter the amount of the base to which the rate was applied.
- **d. Total Amount** – Enter the total amount of the Federal share charged during the quarter.
- **e. Federal Share** – Enter the amount of the Federal share charged during the report period.

(When reporting on Planning or Block Action Grants, complete only items d and e. Enter "N/A" for items a through c.)

If more than one rate was applied during the project period, include a separate schedule which shows the basis against which the indirect cost rates were applied, the respective indirect rates, the month, day, and year the indirect rates were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date. (See Office of Management and Budget Circular No. A-87 which contains principles for determining allowable costs of grants and contracts with State and local governments.)

Item 12 – Provide the following information, if applicable:

- **a. Planning Grants**
  - (1) Consultant services – the amount included in Line k for consultant services.
  - (2) Pass-through – the cumulative amount of awards to subgrantees.
- **b. Block Action Grants – Part C**
  - (1) Pass-through – the cumulative amount of Federal funds subgranted to local units of government. This amount should include subgrants to units of state government for the benefit of local units of government when such a waiver has been granted.
  - (2) Buy-in – the cumulative amount of State funds provided to local units of government to be used as part of the grantee contribution.
  - (3) One-third Personnel Limitation – the cumulative amount of Federal funds outlayed for compensation of police and other regular law enforcement personnel. This is only required to be shown on the final H-1 report.
- **c. Categorical Grants - Part C**
  One-third Personnel Limitation – the cumulative amount of Federal funds outlayed for compensation of policy and other regular law enforcement personnel.

Item 13 – The contents of this item are self-explanatory

ADDITIONAL INFORMATION

A. All credit figures will be shown in parenthesis ( ).

B. Due Date: Quarterly, within 30 days after end of quarter. Final reports are due 90 days after end of grant period or after completion.

C. Distribution: Original and one copy to–
U. S. Department of Justice, LEAA
Budget and Finance Division
Washington, D. C. 20530

One copy to cognizant LEAA Regional or Central Office.
One copy to be retained by SPA or other grantee.

U. S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

DISCRETIONARY GRANT
PROGRESS REPORT

GRANTEE	LEAA GRANT NO.	DATE OF REPORT	REPORT NO.
OKLAHOMA CRIME COMMISSION	74-DF-06-0008 74-ED-06-0002	7-16-76	8

IMPLEMENTING SUBGRANTEE
Oklahoma State Bureau of Investigation
P. O. Box 11497, Cimarron Station
Oklahoma City, Oklahoma 73111

TYPE OF REPORT
☐ REGULAR QUARTERLY ☐ SPECIAL REQUEST
☒ FINAL REPORT

REPORT TITLE OF PROJECT
OBTS/CCH

GRANT AMOUNT
$164,150.00

REPORT IS SUBMITTED FOR THE PERIOD 1-1-74 THROUGH 12-31-75

SIGNATURE OF PROJECT DIRECTOR
By: David K. Murdock

TYPED NAME & TITLE OF PROJECT DIRECTOR
JOHN ROBERTSON, DATA PROCESSING MANAGER

COMMENCE REPORT HERE (*Add continuation pages as required.*)

Goals and objectives of the project were met in accordance with project narrative.

Refer to enclosed material.

The OBTS/CCH Program is currently nonoperational because of insufficient operating funds.

RECEIVED
JUL 22 1976
Oklahoma Crime Commission

37069

Received
Region 6 - LEAA
Dept. of Justice
JUL 26 1976
AM
7,8,9,10,11,12,1,2,3,4,5,6

A

RECEIVED BY GRANTEE STATE PLANNING AGENCY (*Official*)

DATE
7-22-76

LEAA FORM 4587/1 (REV. 1-73) REPLACES LEAA-OLEP-134, WHICH IS OBSOLETE. DOJ—1973—05

INTRODUCTION

This document is the result of the contract between DataPhase, Inc. and the State of Oklahoma for the purpose of designing a computerized criminal history and offender based transaction statistics system. Funds for this project were provided by the State of Oklahoma and the Law Enforcement Assistance Administration in Washington, D. C.

The primary goal of the project was to provide a system design which would (1) satisfy the need for immediate access to criminal history records which are current and complete, (2) satisfy the need for management planning and research data, (3) interface with a national computerized criminal history system.

In order to accomplish the stated goal several objectives were accomplished as a function of this project and are listed below:

- -Obtain an understanding of existing criminal justice systems and procedures in Oklahoma and produce documentation for further analysis and study.
- -Interview potential users, including state, local and federal agencies and document their information requirements
- -Develop a conceptual system design
- -Define computer hardware requirements
- -Develop and document the detailed systems design
- -Prepare computer program specifications
- -Field test the court disposition reporting system

With the assistance of John Robertson, the project director, other members of the Oklahoma State Bureau of Investigation, as well as other state and local criminal justice agencies, DataPhase was able to obtain the goal through meeting each of the objectives previously listed. This document provides the State of Oklahoma with the design for Computerized Criminal History and an interface with transaction statistics information and will set the stage for full implementation of the future stages of criminal justice systems.

Region 6 - LEAA
Dept. of Justice
6 1976

U. S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

H-1 Report
OMB NO. 43-R0532
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FINANCIAL STATUS REPORT

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3. Name and Address of Grantee Organization: Oklahoma Commission on Criminal and Traffic Law Enforcement, Box 11415, Oklahoma City, Oklahoma 73111
4. Employer Identification No.:
5. Grantee Account No. or Identifying No.: N/A
6. Final Report: [X] Yes [ ] No
7. Basis of Report: [X] Cash [ ] Accrued Expenditures
8. Project Period (Month, Day, Year): FROM 01 | 01 | 74 TO 12 | 31 | 75
9. Report Period (Month, Day, Year): FROM 09 | 01 | 75 TO 12 | 31 | 75

10. STATUS OF FUNDS

	PROGRAMS — FUNCTIONS — ACTIVITIES (1)	(2)	(3)	(4)	(5)	(6)	TOTAL
a. Total outlays previously reported (Line 10e from previous report)							62,433.51
b. Total program outlays this period							84.49
c. Less: Program income credits							-0-
d. Net program outlays this period (Line b minus Line c)							84.49
e. Total program outlays to date (Sum of Lines a and d)							62,518.00
f. Less: Non-Federal share of program outlays							7,800.00
g. Total Federal share of program outlays (Line e minus Line f)							54,718.00
h. Total unpaid obligations							-0-
i. Less: Non-Federal share of unpaid obligations							-0-
j. Federal share of unpaid obligations (Line h minus Line i)							-0-
k. Total Federal share of outlays and unpaid obligations (Line g plus Line j)							54,718.00
l. Total Federal funds authorized							54,718.00
m. Unobligated balance of Federal funds (Line l minus Line k)							-0-

11. Indirect Expense: a. Type of rate (Mark box)
[ ] Provisional [ ] Final
[ ] Predetermined [ ] Fixed
b. Rate
c. Base
d. Total amount
e. Federal share

12. REMARKS (Attach additional sheets if necessary)

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Name: W. J. Carter
Title: Finance Director
TELEPHONE: Area Code 405 | Number 424-4011 | Ext.
Signature of Authorized Official: W. J. Carter
Date Report Is Submitted: July 14, 1976

LEAA FORM 7160/1 (8-73)

REPLACES LEAA OLEP – 153 AND LEAA OLEP 155 WHICH ARE OBSOLETE.

690LE

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If more than one rate was applied during the project period, include a separate schedule which shows the basis against which the indirect cost rates were applied, the respective indirect rates, the month, day, and year the indirect rates were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date. (See Office of Management and Budget Circular No. A-87 which contains principles for determining allowable costs of grants and contracts with State and local governments.)

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   (3) One-third Personnel Limitation – the cumulative amount of Federal funds outlayed for compensation of police and other regular law enforcement personnel. This is only required to be shown on the final H-1 report.

c. **Categorical Grants - Part C**
   One-third Personnel Limitation – the cumulative amount of Federal funds outlayed for compensation of policy and other regular law enforcement personnel.

Item 13 – The contents of this item are self-explanatory

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   U. S. Department of Justice, LEAA
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   Washington, D. C. 20530

One copy to cognizant LEAA Regional or Central Office.
One copy to be retained by SPA or other grantee.

REQUIREMENTS

The determination of systems requirements for the Oklahoma OBTS CCH system was accomplished using four basic techniques. These techniques involve the documentation and analysis of existing systems, surveys, field interviews with participants in the system and field testing of prototype designs. All four techniques were used independently to assist in determining requirements for the various segments of the criminal justice system. Additionally, each of the techniques were analyzed relative to each other to assist in determining the interrelationships of problems detected.

Existing systems of a stratified sample of criminal justice agencies throughout the state was documented thoroughly and analyzed relative to determining current state of the art as well as detecting existing problems relative to the generation, maintenance and dissemination of criminal history record information. Documentation was expressed in terms of flow charts and verbal documentation in order to document to the detail level existing records procedures in the agencies examined. This detailed documentation was used in determining the requirements for the new computerized criminal history OBTS design which is set forth in this report.

To assist in determining user requirements, volumes of inquiries, criminal history updates and historical records for surveys were conducted. One survey dealt with analyzing volume and characteristics of inquiries to various criminal history files. A survey to analyze inquiries was designed to determine what data was known at the time of inquiry as well as which information was desired in the event that a hit was made. This survey assisted in determining data elements most significant to the identification process for the new design. Additionally, valuable information was obtained relative to the use of criminal history information.

A second survey dealt with examining the volumes and characteristics of updated information being received by the Oklahoma State Bureau of Investigation from local agencies. The survey was designed to provide information on the types of offenses as well as the geographical location of agencies submitting information. Information assisted in determining update volumes and future loads on the system.

A third survey was conducted to analyze the volume and nature of criminal history jacket file information. This sur-

vey disclosed that 184,700 jackets currently are on file along with 580,000 new index cards of which 286,000 have been converted to the computerized name index. Both the manual and automatic files in combination provide cross indexing to the criminal history jacket files as well as fingerprint card information. Data from this survey was used to determine the probable characteristics of fully computerized criminal histories relative to the number of multiple offenses on any given record. Additionally, information was provided which describes the types of volume of various offenses in the multiple offender files.

The final survey was conducted to analyze the volumes and characteristics of the fingerprint card file. This provided valuable information relative to the dealing with the identification function as well as in providing a state-wide fingerprint file system that would surpass the volume capabilities of any local file.

An additional technique which was utilized in the determination of requirements was the interview of individuals within all agencies where existing systems documentation was obtained. Additionally, interviews were conducted with various agencies not directly connected with the processing of offenders. An example of this type of agency would be the state planning agency. Interviews were conducted either during or after the existing systems documentation at which time procedures documented were discussed with various agency personnel.

The final technique utilized in the determination of system requirements was field testing of the disposition reporting system portion of the design. This technique allowed the review of design procedures in an operational environment and provided invaluable information relative to the refinement of the disposition reporting concept. One of the most obvious requirements of the system designed which resulted from the test was the need for simplicity in the design of the disposition reporting forms. The participation of the agencies and the field test assisted the project team greatly in refining the disposition reporting system design. Further comments on this subject are included in the case disposition reporting test section of this report.

Oklahoma requirements for Computerized Criminal History information were partially dictated by the precedent established on the national level by the National Crime Information Center computerized criminal history file. This file has been

created for the use of the states as well as federal agencies and provides a central national data bank for the purpose of assisting in the interchange of criminal history information between states. Since the participation in the national CCH file is most desirable, the data requirements for that system were established in the beginning of the Oklahoma design. The requirements for interface between the Oklahoma system and the national data bank in Washington, D. C. are very specific relative to the correct hookup of telecommunications ability via land lines. These requirements have been taken into account and are reflected in this report. Requirements for criminal history information from law enforcement agencies are centered around the need for complete and timely criminal history information. Additionally, it was determined that an expanded level of criminal history information would be more helpful specifically in the area of investigation. The separate tracking of charges within a specific arrest was identified as a major requirement in the data expansion category. Additionally, expanded information relative to prosecutorial action, in court action, down to the charge level within a specific arrest or cycle was determined to be far more desirable than the current one entry disposition contained on the traditional rap sheet.

In examining the timeliness requirements of law enforcement agencies it was determined that only specific data on an expanded criminal history record is time critical or needed immediately after the request for the information has been placed. This information dealt with the identification of an individual via physical descriptors and specific identification numbers as well as a brief summary of criminal activity. A specific requirement in this category was the determination of the potential danger of an individual based on past criminal history record information. This requirement which centered around officer safety was the most time critical in this particular area.

It was determined that certain information such as details of prosecutorial action, court action and corrections action could be delayed for at least a 24 hour period before the inquiry was received by the requesting agency. This information traditionally has been used for investigative purposes when it has been available.

Another major requirement which was determined was the need for maintaining local arresting agency identifiers and master file numbers relative to a specific criminal history

This requirement centered around the need to provide a pointer system to more detailed information such as arrest details, investigative details related to a specific arrest event. This requirement existed throughout some other segments of the criminal justice system but not for the purpose of investigation.

OBTS requirements in the law enforcement area cover the five basic areas of case flow analysis, disposition feedback, planning, simulation and research. Even though simulation modeling supports the planning process as does case flow analysis each is sufficiently important in its own respect to be set apart in this discussion.

Requirements for case flow analysis as related to the law enforcement process is the need to examine the performance of a specific jurisdiction as measured by prosecutorial and court action. This requirement exists in support of law enforcement administrators' need to view to the overall requirements of their department. A similar requirement exists for obtaining disposition feedback relative to specific cases in the prosecutorial and court process. This need exists relative to providing the law enforcement administrator with tools necessary to identify the effectiveness of case preparation and investigation as measured by success in court.

In order to support the planning process specifically in the larger law enforcement agencies the need to examine impact of various proposed programs exists. The most efficient way to accomplish this requirement is through the use of a simulation model which would accept historical data relative to the processing of an offender through the criminal justice system and use that data as a function of the model to project new volumes.

An additional requirement in order to support the planning process is a capability for research. This is recognized as the need to establish special studies which may be of a one time nature based upon the Offender Base Transaction Statistics data base in order to resolve unanswered questions relative to the law enforcement process. It is recognized that the research capability will provide certain OBTS statistical information until such time that the OBTS data base has been in effect long enough to provide appropriate historical information.

Computerized Criminal History requirements for prosecution key on completeness in the need for expansion of existing criminal history record. Prosecution use of the criminal history

information is primarily for case preparation, specifically in pretrial diversion programs. In cases where criminal history record information is currently incomplete the prosecutor must search court records for additional police record information to complete the need for information. The development of a complete criminal history record would greatly enhance the time in which record information could be obtained. Additionally, the requirement in prosecution was identified for unlined listings of agencies who have had formal contact with the individual and each agency's master file number.

OBTS requirements for prosecutors keyed on case flow analysis with planning and research requirements as primary considerations. Case flow analysis emerged as a major requirement in the area of prosecution because of its utility as a tool for summarizing criminal cases handled as well as providing feedback from the court system as to how a specific case was handled.

The primary computerized criminal history requirement for courts was the need for a complete and expanded criminal history record to assist judges in making sentence determinations. Court access to the records is also determined not to be time critical because normally the judge knows in advance a specific individual is going to be heard and can make arrangements to have copies of the complete criminal history record.

Court requirements for OBTS information primarily deal with capability for case flow analysis, planning, simulation and the support of the annual State of Oklahoma court statistical report. The use of simulation modeling in the court area exists as a major requirement because of the various programs being introduced by funding sources such as the Law Enforcement Assistance Administration. The function of the simulation model relative to the court process would be to provide for accurate projections regarding the impact of a proposed program which might originate in any one of the other segments of the criminal justice system. The use of case flow analysis in the court system is primarily in support of the annual court statistical report. Even though the case flow analysis does not contain all the data required relative to the criminal segments of the annual statistical report generated by the courts, the OBTS data base does contain the primary information required relative to the criminal process.

Requirements for criminal history records in corrections cover four major areas of usage: complete records for pre-sentence investigations, complete records for inmate classifica-

tion, the need to show the status of the offender relative to the corrections process and the need for sharing agency level identifiers and master file numbers to assist in pre-sentence investigations. Serious problems currently exist in the area of providing adequate information for the pre-sentence investigator. Commonly, the investigator is required to go to the book of records of multiple criminal justice agencies to obtain sufficient information to complete the pre-sentence report. The need for not only complete but expanded criminal history information would greatly enhance the data gathering capabilities of the pre-sentence investigator. Additionlaly, they need to provide cross-index information as a function of the criminal history record is a requirement to further assist the pre-sentence investigator in completing the required data gathering. The requirement to show the status of the offender relative to the corrections process as related to inmate accounting and currently no computerized system exists that performs this function within the department of corrections. OBTS applications for the department of corrections are very extensive and involve planning, use of the simulation model, recidivism analysis, population projection, case load analysis as well as the capability for research. The primary requirement of corrections at this point in time is recidivism analysis which will assist in identifying effective programs within the department of corrections. Additionally, the need to utilize the simulation model is key in the department of corrections due to the impact created by programs generated by police, prosecution or courts that ultimately affect corrections. The simulation model additionally is used in assisting in the projection of population within the state institutional structure.

Requirements of criminal justice agencies that are non-operational in nature are fairly involved and relative to the use of the OBTS system. These agencies include the state planning agency, regional planning agencies as well as the Statistical Analysis Center. The planning agencies have primary interest in the simulation model to assist in determining impact of specific projected programs that relate to offenders as well as case load analysis. The primary requirement for case load analysis is based on the need for general monitoring of offender flow through the system.

The Statistical Analysis Center has requirements for utilizing case load analysis, the simulation model, but primarily the major emphasis is in research in the capability to conduct the same. Since the Statistical Analysis Center deals primarily with one time research projects the capability has been generated in this design to support that requirement. Primarily the data

base knows as OBTS will exist with special programs to provide for the extraction of that information on a highly specialized basis. This capability will be provided to all agencies involved in the process of research.

OKLAHOMA CCH/OBTS SYSTEM REQUIREMENTS

INPUT

INPUT PROCESSING SYSTEM

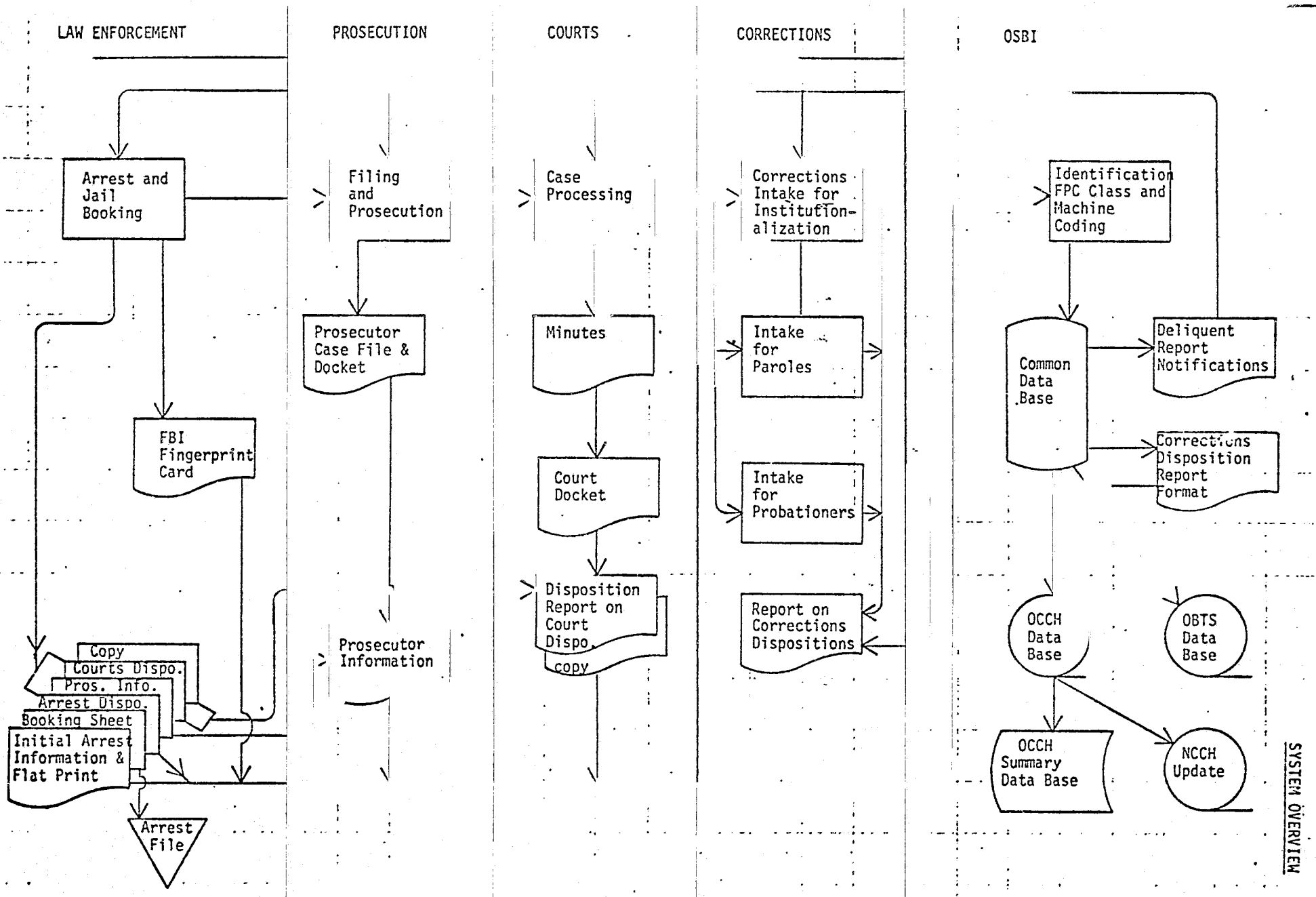
The task of accurately gathering and transporting the offender base transaction statistics and computerized criminal history information to the central input processing center at the Oklahoma State Bureau of Investigation is a very formidable task. This task is further complicated by the number and diversity of criminal justice agencies within the State of Oklahoma. The success of the CCH/OBTS system is greatly dependent upon the cooperation and coordination of all operational agencies within the criminal justice system. As the offender is processed through the system beginning with the arrest and jail booking, each operational jurisdiction including law enforcement, prosecution, courts and corrections, must participate in the tracking process of the offender to provide complete record information. If one single jurisdiction fails to submit the necessary data elements, the record resulting on the state level will be incomplete and will not provide the most accurate account of an offender's involvement in a specific event.

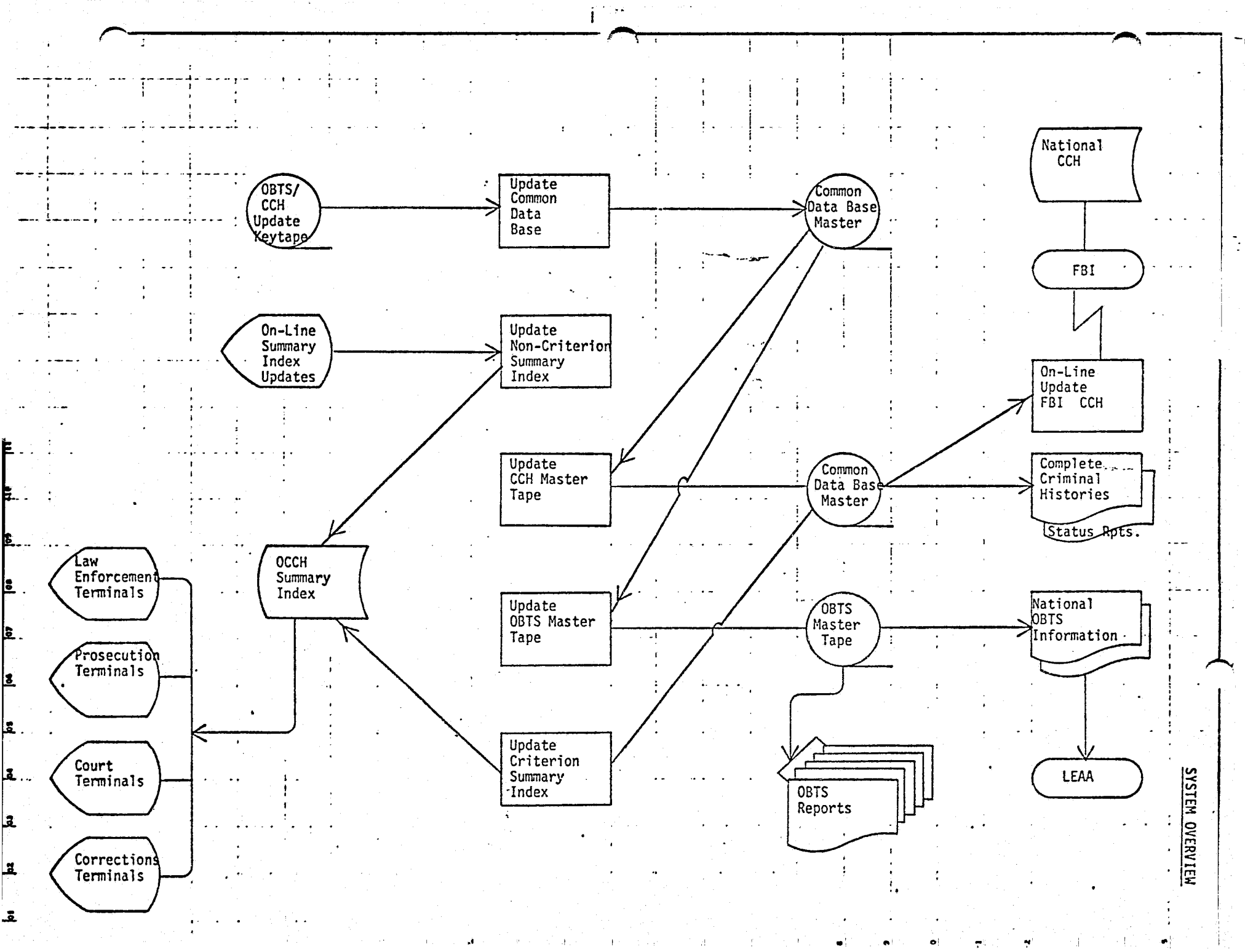
The data flow in the input processing system begins at the point of jail booking and is keyed upon the obtaining of fingerprints of each individual offender. The fingerprint process initiates a case disposition reporting number which is unique to the individual and the event. The CDR number is preprinted on a case disposition reporting multiple copy form which is distributed to prosecution and courts. The Oklahoma State Bureau of Investigation receives initial arrest information when the individual is booked in and arrest disposition information after the individual exits from jail.

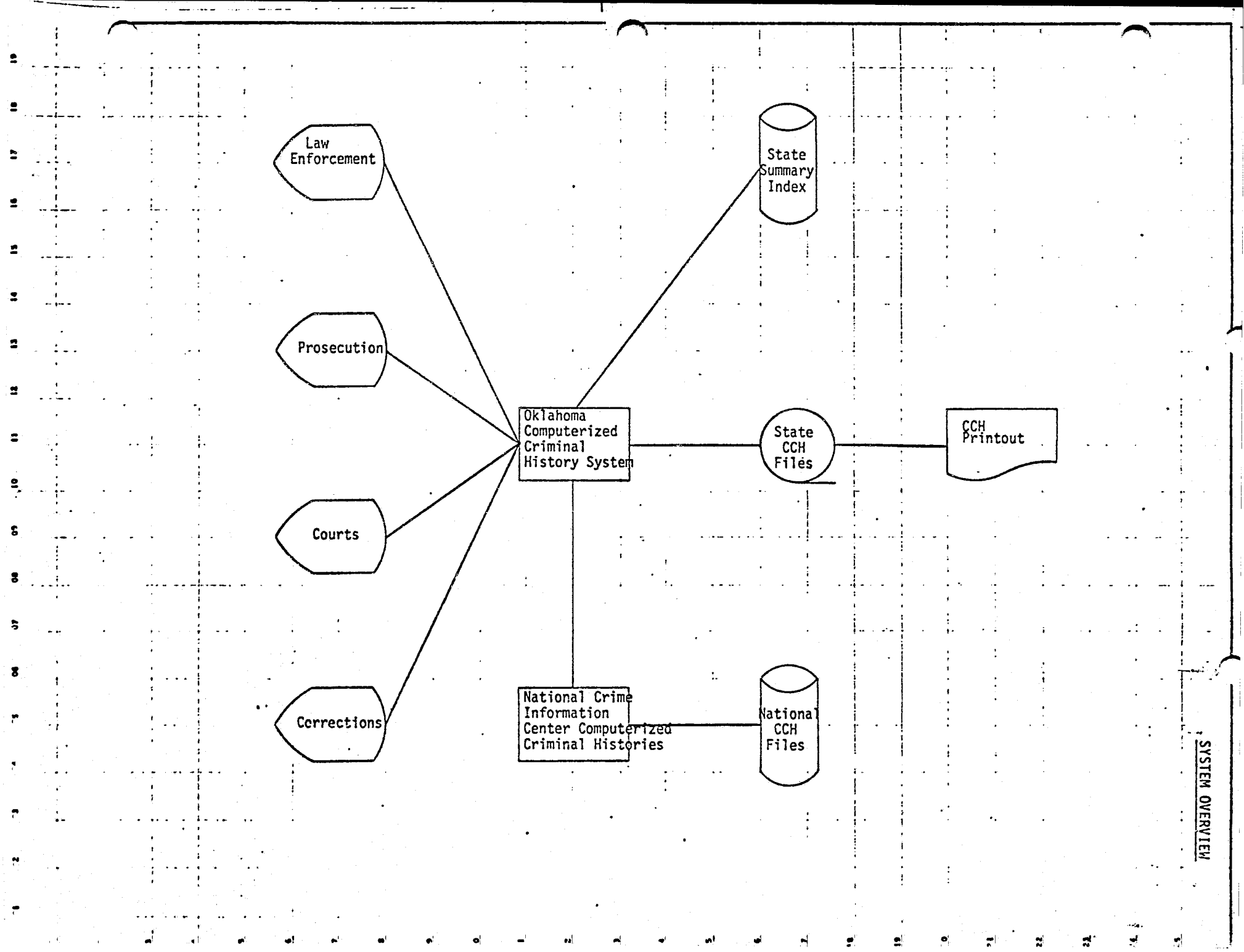
Prosecutor disposition reporting information primarily is comprised of case identifiers which will be added to the computerized criminal history file on the state level. Primary disposition information is generated by the court clerk based on information extracted from minutes of the court and the court docket. After court processing has been totally completed, including sentencing, the disposition report is forwarded to the Oklahoma State Bureau of Investigation for input into the centralized criminal history file.

When disposition reporting is required on corrections, both state and local, a corrections disposition report form is generated by the computer at the state level and sent to the appropriate agency.

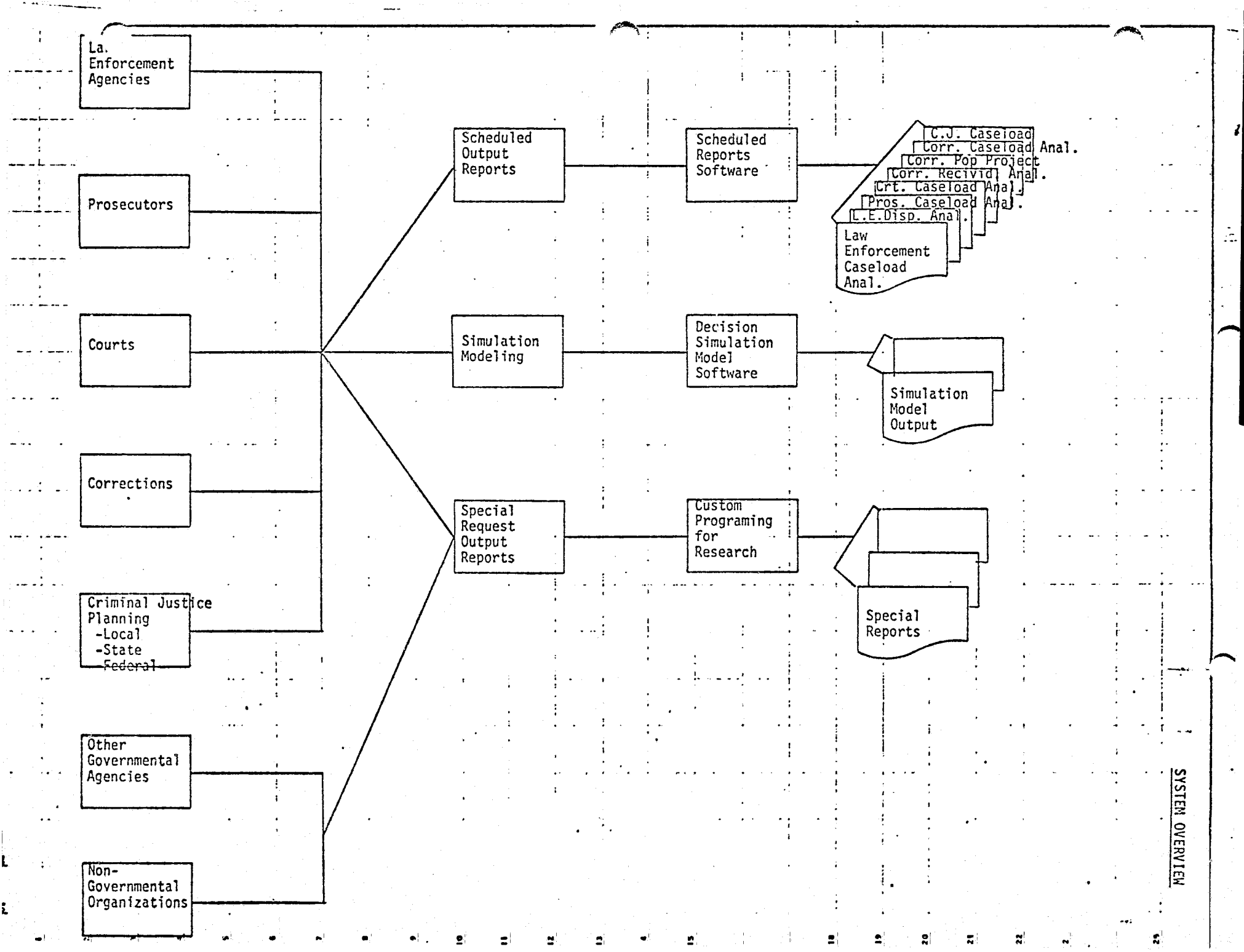
The corrections disposition reporting form is triggered by disposition from the courts involving sentencing. Corrections reporting requirements involve the submission of the disposition reporting form after the sentence has been totally completed in addition to status change reports which would identify the movement of the offender between programs or institutions in the Department of Corrections. The central processing in the Oklahoma State Bureau of Investigation involves identifying individuals via fingerprint classification as well as the machine coding of all offender related data as it flows in from operational agencies. All data received from the input processing system serves both the OBTS and CCH systems and is initially corrected into a common data base. After the data is initially entered into the system, a deliquent report monotoring system is established to assist field staff personnel in solving problem areas in the field. Deliquent report notifications are automatically generated by the computer and mailed to the appropriate agency to bring the possibility of a missing report to their attention. This procedure will hpoefully result in the highest possible level of data input participation.


LAW ENFORCEMENT
PROSECUTION
COURTS
CORRECTIONS
OSBI
Arrest and Jail Booking
FBI Fingerprint Card
Copy
Courts Dispo.
Pros. Info.
Arrest Dispo.
Booking Sheet
Initial Arrest Information & Flat Print
Arrest File
Filing and Prosecution
Prosecutor Case File & Docket
Prosecutor Information
Case Processing
Minutes
Court Docket
Disposition Report on Court Dispo.
copy
Corrections Intake for Institutionalization
Intake for Paroles
Intake for Probationers
Report on Corrections Dispositions
Identification FPC Class and Machine Coding
Common Data Base
Deliquent Report Notifications
Corrections Disposition Report Format
OCCH Data Base
OBTS Data Base
OCCH Summary Data Base
NCCH Update
SYSTEM OVERVIEW


OBTS/
CCH
Update
Keytape
Update
Common
Data
Base
Common
Data Base
Master
National
CCH
FBI
On-Line
Summary
Index
Updates
Update
Non-Criterion
Summary
Index
On-Line
Update
FBI CCH
Update
CCH Master
Tape
Common
Data Base
Master
Complete
Criminal
Histories
Status Rpts.
Law
Enforcement
Terminals
OCCH
Summary
Index
Prosecution
Terminals
Update
OBTS Master
Tape
OBTS
Master
Tape
National
OBTS
Information
Court
Terminals
Update
Criterion
Summary
Index
OBTS
Reports
LEAA
Corrections
Terminals
SYSTEM OVERVIEW



SYSTEM OVERVIEW


La. Enforcement Agencies
Prosecutors
Courts
Corrections
Criminal Justice Planning
-Local
-State
-Federal
Other Governmental Agencies
Non-Governmental Organizations
Scheduled Output Reports
Simulation Modeling
Special Request Output Reports
Scheduled Reports Software
Decision Simulation Model Software
Custom Programing for Research
C.J. Caseload Anal.
Corr. Caseload Anal.
Corr. Pop Project
Corr. Recivid Anal.
Crt. Caseload Anal.
Pros. Caseload Anal.
L.E.Disp. Anal.
Law Enforcement Caseload Anal.
Simulation Model Output
Special Reports
SYSTEM OVERVIEW

LAW ENFORCEMENT INPUT PROCESSING PROCEDURES

Since all input processing for the offender based transaction statistics and computerized criminal history systems began at the jail booking level, it is imperative that this documentation flow to the central system very expeditiously. In order to insure the rapid flow of input data, it is recommended that the documentation be forwarded to OSBI on the same day that it is generated by the local agency.

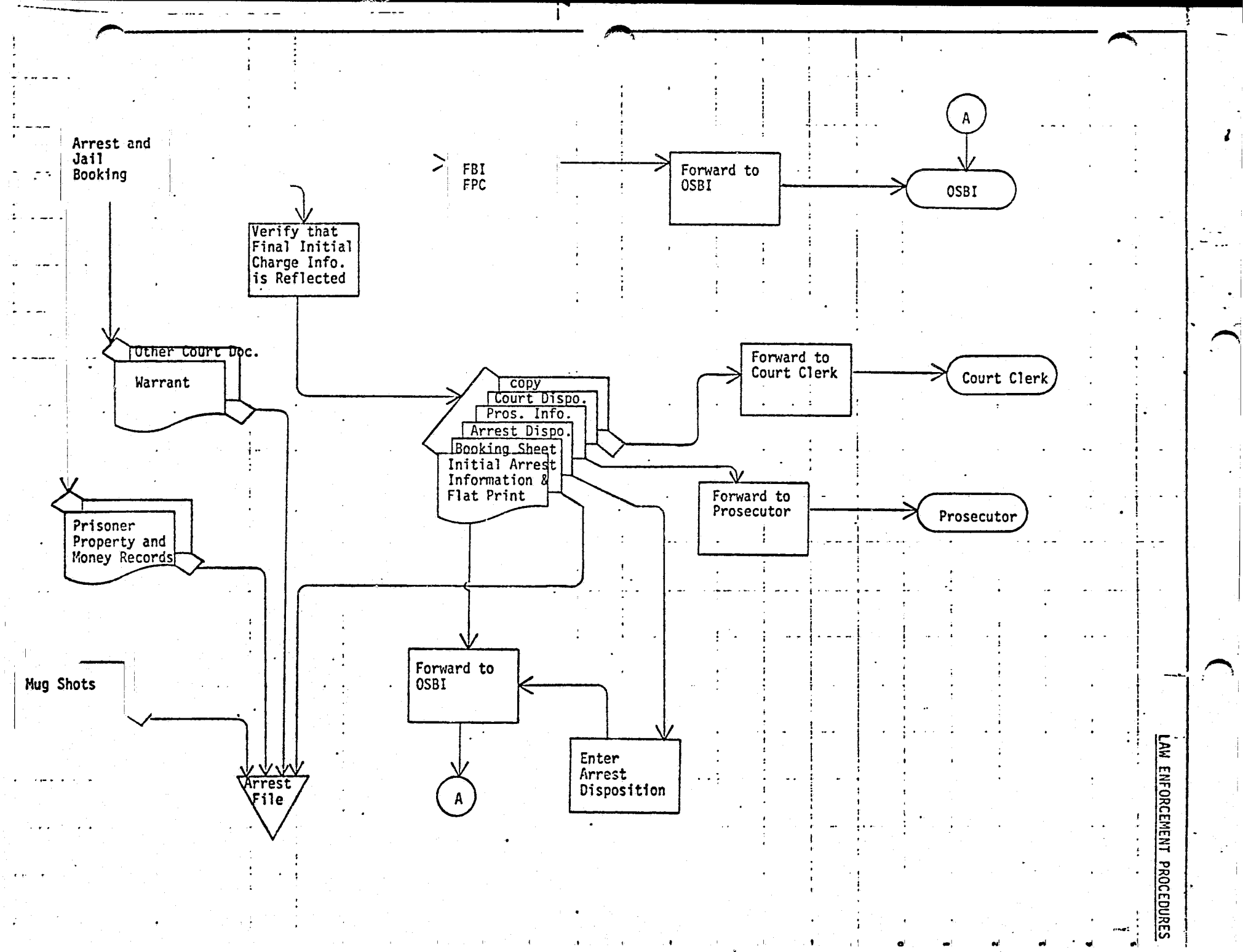
Input processing flow to the State CCH/OBTS system from the law enforcement level is achieved by a case disposition reporting system comprised of the FBI fingerprint card and a packet of forms comprised of an initial arrest information sheet to include a flat print, booking sheet, an arrest disposition sheet, prosecution information sheet, and two court disposition sheets.

The disposition reporting form will be pre-numbered with a disposition reporting number which will provide a unique tracking capability by individual by case. This number will provide the capability to track offenders as they pass through the criminal justice process on a positive identification basis. Case disposition reporting number blocks will be issued to all law enforcement agencies that maintain jail facilities.

Law enforcement agencies are primarily concerned with three copies of the disposition reporting form and the FBI fingerprint card. The initial arrest information including the flat print is forwarded to OSBI the same day that the prisoner is booked along with the FBI fingerprint card. These two documents are used by OSBI to generate the initial entry on to the CCH/OBTS data base. The jail booking sheet and the arrest disposition sheet are both retained in the jail booking file while the individual is incarcerated. After final arrest disposition occurs, the arrest disposition form is completed and forwarded to OSBI for update to the CCH/OBTS data base.

The booking sheet is provided as a part of the disposition reporting form for the convenience of law enforcement agencies who choose to use it. The booking sheet will eliminate redundancy required by filling out a separate booking sheet. Since the booking sheet does not contain space for specific arrest details, it is recommended that this information either be submitted as a separate report to be contained in the jail booking file or be maintained as a part of the offense investigative file. The jail booking sheet copy of the disposition reporting form is intended for use by the law enforcement agency maintaining the jail and is available to become a part of that agency's arrest file.

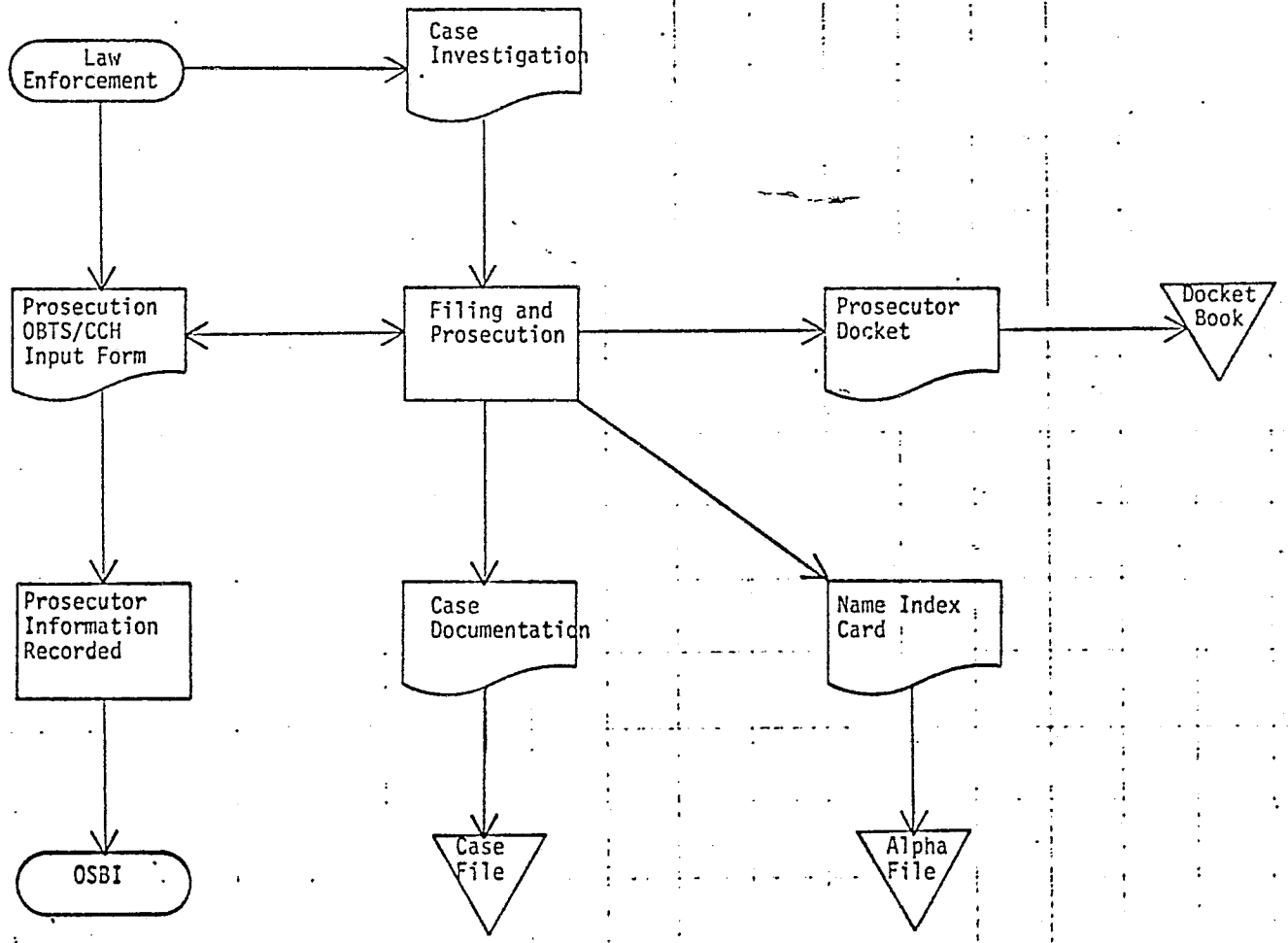
The disposition reporting system has been designed to offer maximum flexibility to participating agencies in the design of their individual systems. Each agency is given the option of determining the most effective way to provide for the implementation of the disposition reporting system. The major requirement of the system is that all data be filled out accurately and completely and that all information is submitted to the Oklahoma State Bureau of Investigation upon receipt.


Arrest and Jail Booking
FBI FPC
Forward to OSBI
A
OSBI
Verify that Final Initial Charge Info. is Reflected
Other Court Doc.
Warrant
copy
Court Dispo.
Pros. Info.
Arrest Dispo.
Booking Sheet
Initial Arrest Information & Flat Print
Forward to Court Clerk
Court Clerk
Forward to Prosecutor
Prosecutor
Prisoner Property and Money Records
Mug Shots
Forward to OSBI
A
Enter Arrest Disposition
Arrest File
LAW ENFORCEMENT PROCEDURES

PROSECUTION INPUT PROCEDURES

The prosecutorial agencies will receive their copy of the disposition reporting form from the law enforcement agency initiating booking of the offender. All the initial charge information will be completed as well as identification information.

Since all formal case action will be recorded from the docket by the court clerk on to the court disposition reporting sheet, the prosecution sheet will be used to provide indexing information for those agencies choosing to participate in the state-wide agency file indexing process. All prosecutor related information should be forwarded to OSBI as soon as it can be obtained and transferred to the prosecutor disposition reporting sheet.


Law Enforcement
Case Investigation
Prosecution OBTS/CCH Input Form
Filing and Prosecution
Prosecutor Docket
Docket Book
Prosecutor Information Recorded
Case Documentation
Name Index Card
OSBI
Case File
Alpha File

scheduled for the formal arraignment will be sent on to trial unless a plea of guilty is entered, After a guilty plea, sentencing is prescribed and final entries are made on the disposition reporting form.

Relevant information to the processing of the individual through the various stages in the judicial process are recorded on the disposition recording sheet. Only after final disposition has been entered can the information be forwarded to the Oklahoma State Bureau of Investigation. Dispositions on cases scheduled for trial are obtained after the individual has been found innocent or sentenced by the court. Sentenced individuals will be tracked by the Department of Corrections using a computer generated disposition reporting form which is triggered by the final disposition report submitted by courts.

Misdemeanor processing is similar to felony except that the initial hearing and preliminary trials are dispensed with. If a guilty plea is entered at the point of arraignment in misdemeanor cases, the sentence is prescribed and the final disposition is recorded on the disposition recording sheet and submitted to OSBI. If a trial will be held, the case is scheduled at the next misdemeanor trial sessions. Disposition reporting in misdemeanor cases occurs after a verdict of guilty and sentencing or a verdict of innocent. Disposition information should be forwarded immediately after the final disposition has been established.

COURT INPUT PROCEDURES

The majority of data supporting the disposition reporting system is submitted by the court clerk. All information submitted by the clerk is related to the formal court process involving individual cases. Since the unit of count for the CCH/OBTS system is the offender and the court clerk records are maintained on the basis of cases, the disposition reporting sheet supplied to the court clerk will greatly simplify offender disposition reporting.

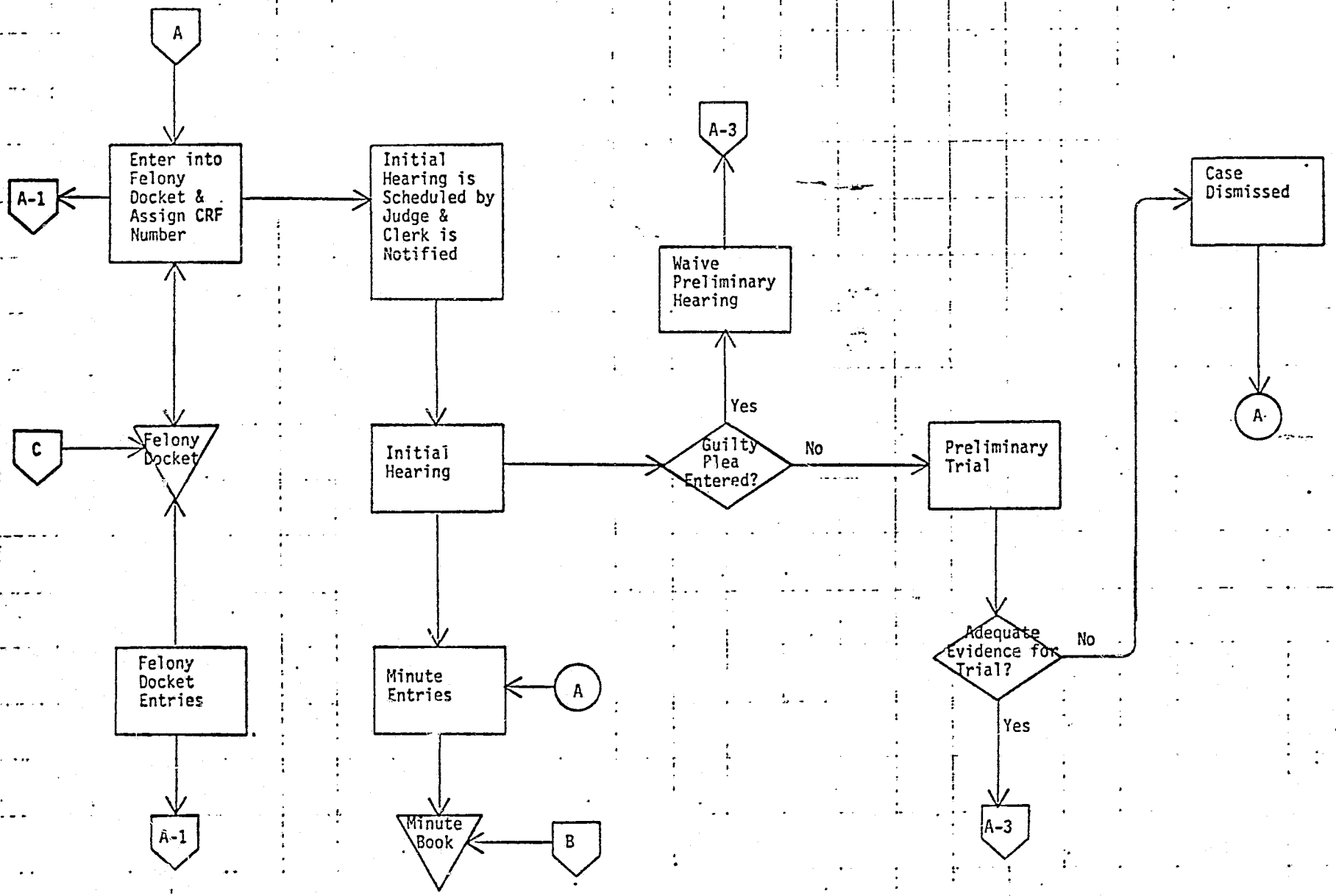
The court clerk receives two copies of the court disposition reporting sheet. One copy will receive all disposition related information and be forwarded to Oklahoma State Bureau of Investigation after the final disposition has been established and the other copy will be placed in the case file folder. The case file folder copy will be used in the event that an appeal change is the final disposition. The fact that a case is under appeal should not be reported unless the appeal results in a disposition modification.

In the event of a disposition change resulting from an appeal, the final copy of the disposition reporting sheet will be utilized by the clerk to identify the appropriate case disposition reporting number and charge number affected by the disposition change. The court clerk will submit the disposition modification to the Oklahoma State Bureau of Investigation for update to the central system.

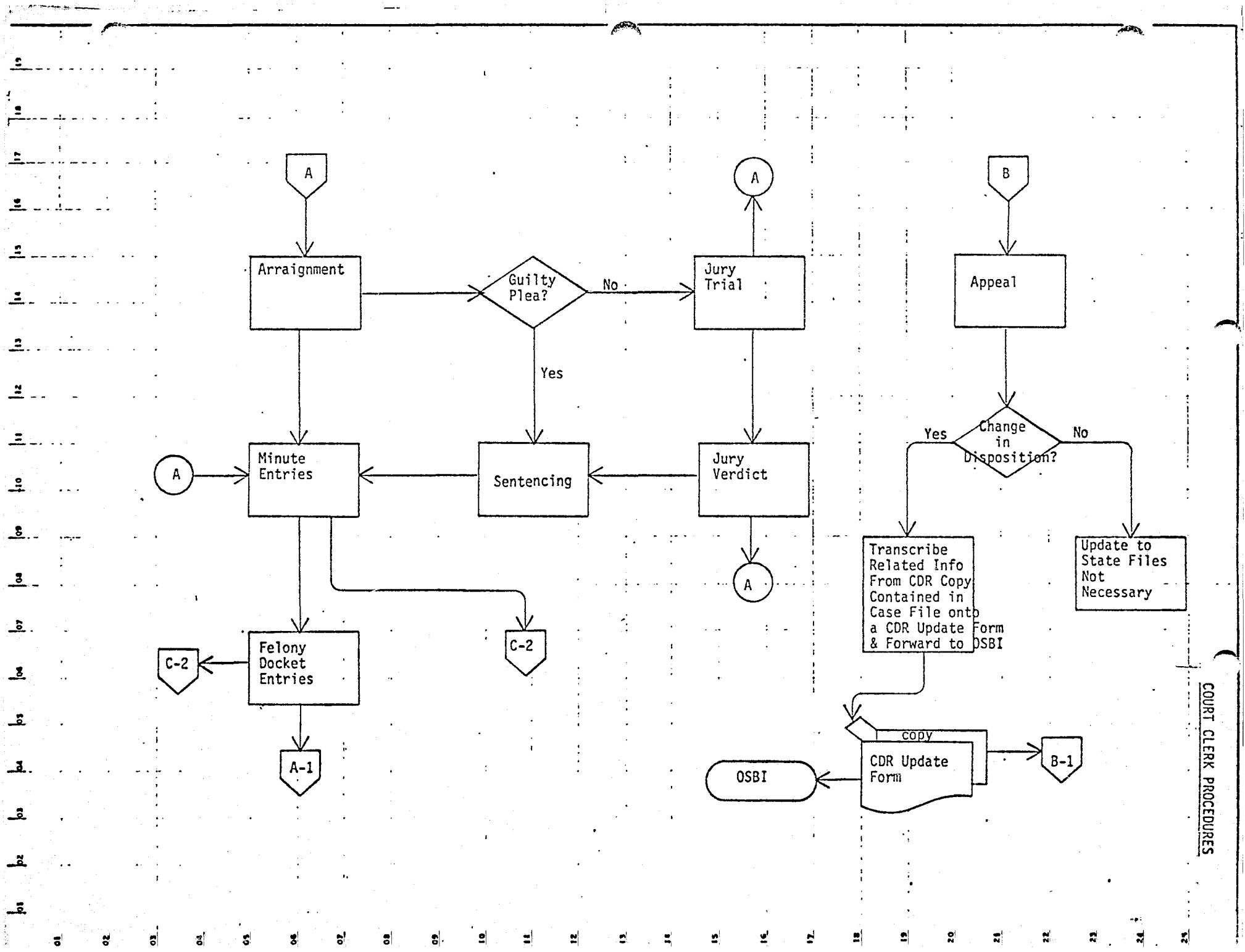
After the court disposition reporting sheet has been received from a law enforcement agency, the CDR number should be entered into the misdemeanor or felony dockets. The physical location of the disposition reporting sheet while the case is in process should be determined by the court clerk in order to insure that implementation impact is minimized.

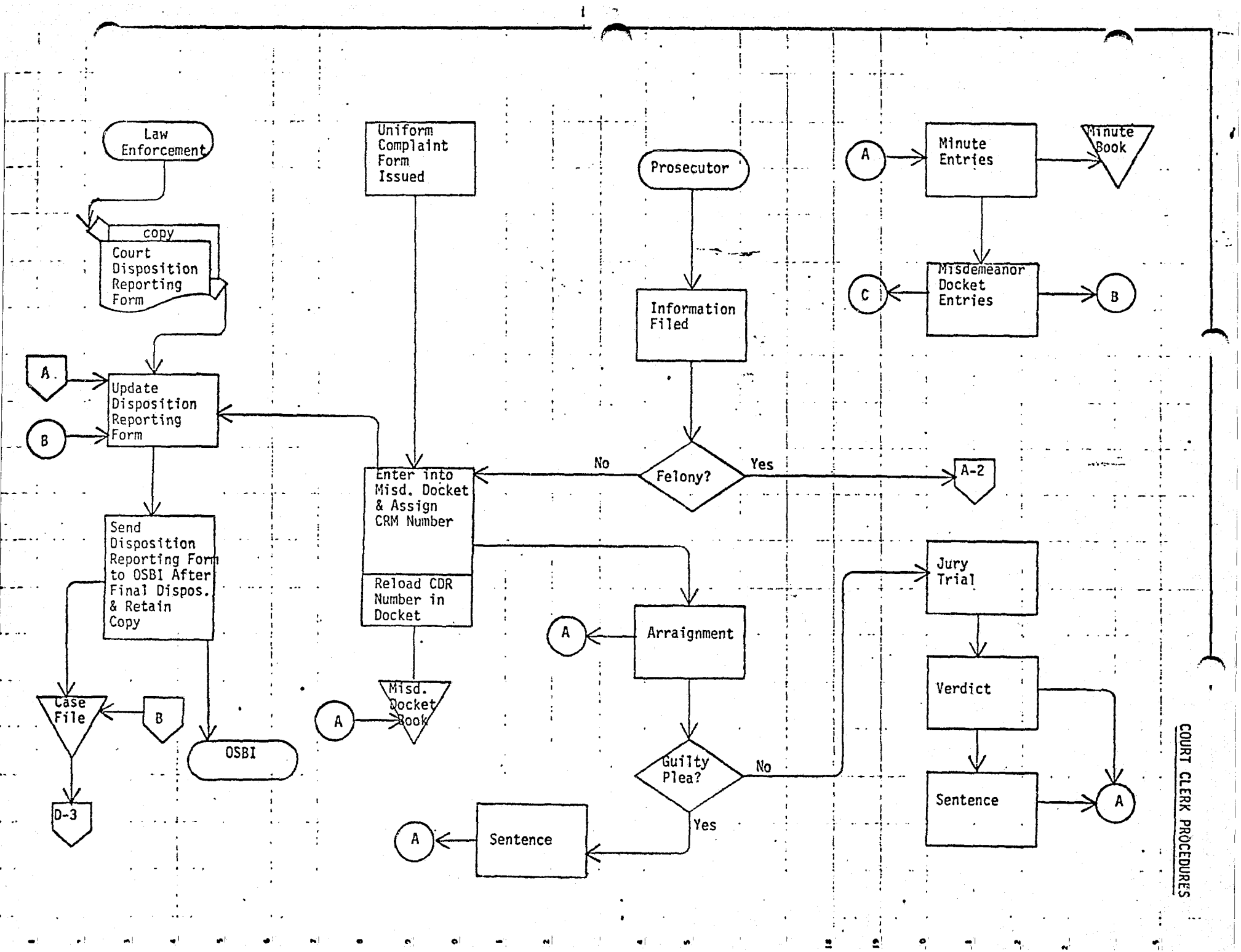
Felony case processing involves the scheduling of the initial hearing by the judge. During the initial hearing, minute entries are taken by the clerk which are later transformed into felony docket entries. If a guilty plea is entered at the initial hearing, the preliminary hearing is waived and formal arraignment is conducted. Information for the court dispositon reporting sheet can be recorded during the hearing at the point minute entries are made or after the hearing at the point in time when the felony docket entries are made.

If a guilty plea is not entered, preliminary trial is scheduled and conducted. If adequate evidence is available, formal arraignment is held. If, as the result of insufficient evidence, the case is dismissed at the preliminary hearing level, the formal disposition is entered on the disposition reporting sheet and forwarded to OSBI. Cases that are



COURT CLERK PROCEDURES


A
Arraignment
Guilty Plea?
No
Yes
A
Jury Trial
B
Appeal
A
Minute Entries
Sentencing
Jury Verdict
Yes
Change in Disposition?
No
Transcribe Related Info From CDR Copy Contained in Case File onto a CDR Update Form & Forward to OSBI
Update to State Files Not Necessary
C-2
Felony Docket Entries
C-2
A
A-1
copy
CDR Update Form
B-1
OSBI
COURT CLERK PROCEDURES


Law Enforcement
copy
Court Disposition Reporting Form
Uniform Complaint Form Issued
Prosecutor
Minute Entries
Minute Book
A
Misdemeanor Docket Entries
C
B
Information Filed
A
B
Update Disposition Reporting Form
Enter into Misd. Docket & Assign CRM Number
Reload CDR Number in Docket
No
Felony?
Yes
A-2
Send Disposition Reporting Form to OSBI After Final Dispos. & Retain Copy
Case File
B
D-3
OSBI
A
Misd. Docket Book
A
Arraignment
Guilty Plea?
No
Yes
A
Sentence
Jury Trial
Verdict
Sentence
A
COURT CLERK PROCEDURES

PRESS HARD - YOU ARE MAKING FIVE COPIES

CASE DISPOSITION REPORT (TEST)

STATE OF OKLAHOMA

ARRESTING AGENCY _____

DATE OF ARREST (MO-DY-YR) _____

NAME (LAST, FIRST, MIDDLE)				ADDRESS (STREET, CITY, STATE)		
SEX	RACE	HGT	WGT	DATE OF BIRTH	SOC. SECURITY NO.	SCARS, MARKS, TATTOOS, AND AMPUTATIONS
ARRESTING AGCY FILE NO.		OSBI USE ONLY		OSBI No.		FBI No.

ENTER ONLY ONE CHARGE PER LINE BELOW. USE ANOTHER FORM IF THERE ARE MORE THAN FOUR CHARGES.

CHARGE NO.	STATUTE CITATION	MISD. FEL.	LEAVE BLANK	CHARGE DESCRIPTION	DATE OF OFFENSE	WARR NUMB
1						
2						
3						
4						

COURT _____

COUNTY _____

JUDICIAL DISPOSITIONS

1. INITIAL HEARING (FELONY ONLY)

CHG NO.	HEARING DATE MO-DAY-YR	CASE NO. (CRF NUMBER)	DISPOSITION (CHECK ONE FOR EACH CHARGE)	
			PRELIMINARY HEARING SCHEDULED	PRELIMINARY HEARING WAIVED
1			☐	☐
2			☐	☐
3			☐	☐
4			☐	☐

2. PRELIMINARY HEARING (FELONY ONLY)

CHG NO.	DATE OF PRELIMINARY HEARING MO-DAY-YR	TYPE COUNSEL (CHECK ONE FOR EACH CHARGE)				PRELIMINARY HEARING RESULTS (CHECK ONE FOR EACH CHARGE)			
		PRIVATE	COURT APPOINTED	PUBLIC DEFENDER	SELF	HELD	HELD - REDUCED TO MISDEMEANOR	DISMISSED	OTHER (EXPLAIN)
1		☐	☐	☐	☐	☐	☐	☐	
2		☐	☐	☐	☐	☐	☐	☐	
3		☐	☐	☐	☐	☐	☐	☐	
4		☐	☐	☐	☐	☐	☐	☐	

3. ARRAIGNMENT (FELONY AND MISDEMEANOR)

CHG NO.	ARRAIGNMENT DATE MO-DAY-YR	CASE NO. (CRF OR CRM No.)	PLEA (CHECK ONE FOR EACH CHARGE)		
			GUILTY	NOT GUILTY	NOLO CONTEND
1			☐	☐	☐
2			☐	☐	☐
3			☐	☐	☐
4			☐	☐	☐

CLERK'S COPY

4. TRIAL

CHG NO	DATE TRIAL BEGINS (MO - DAY - YR)	TYPE FILING (CHECK ONE BOX PER CHG)		REVISED PLEA TO		TYPE COUNSEL (CHECK ONE BOX PER A, E)				TYPE TRIAL (BOX ONE BOX PER CHG)	
		INFORMATION	GRAND JURY INDICTMENT	GUILTY	NOT GUILTY	PRIVATE	COURT APPOINTED	PUBLIC DEFENDER	SELF	JURY	NON-JURY
1		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
2		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
3		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
4		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

5. VERDICT (DISPOSITION)

CHG NO.	VERDICT DATE (MO - DAY - YR)	DISPOSITION (CHECK ONE BOX FOR EACH CHARGE)								
		ACQUITTED	ACQUITTED-INSANITY	ACQUITTED-INCOMPETENCE	DISMISSED	DISMISSED-INSANITY	DISMISSED-INCOMPETENCE	CONVICTED	MISTRIAL	OTHER
1		☐	☐	☐	☐	☐	☐	☐	☐	☐
2		☐	☐	☐	☐	☐	☐	☐	☐	☐
3		☐	☐	☐	☐	☐	☐	☐	☐	☐
4		☐	☐	☐	☐	☐	☐	☐	☐	☐

APPEALED ☐

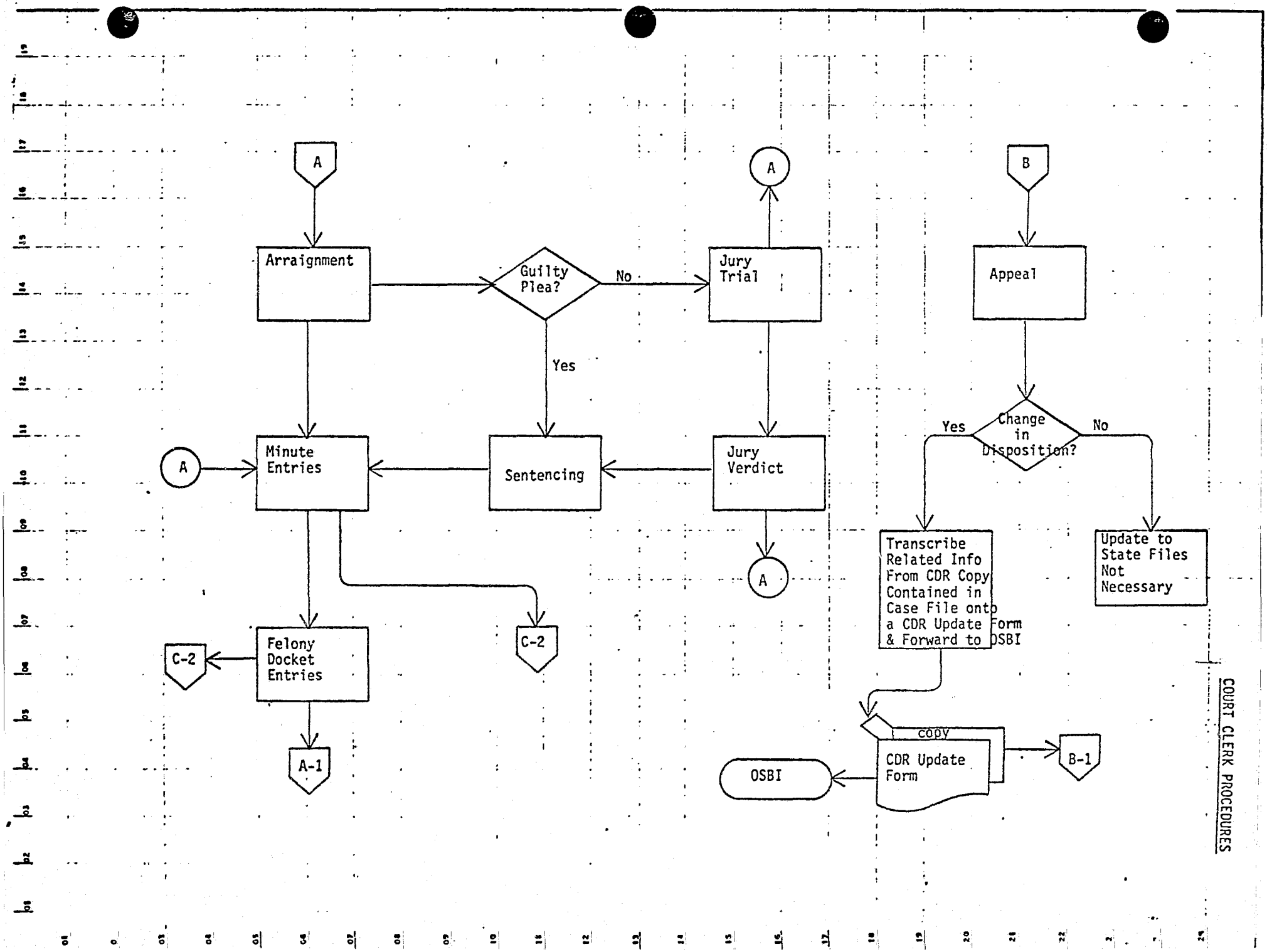
6. CHANGES IN CHARGES

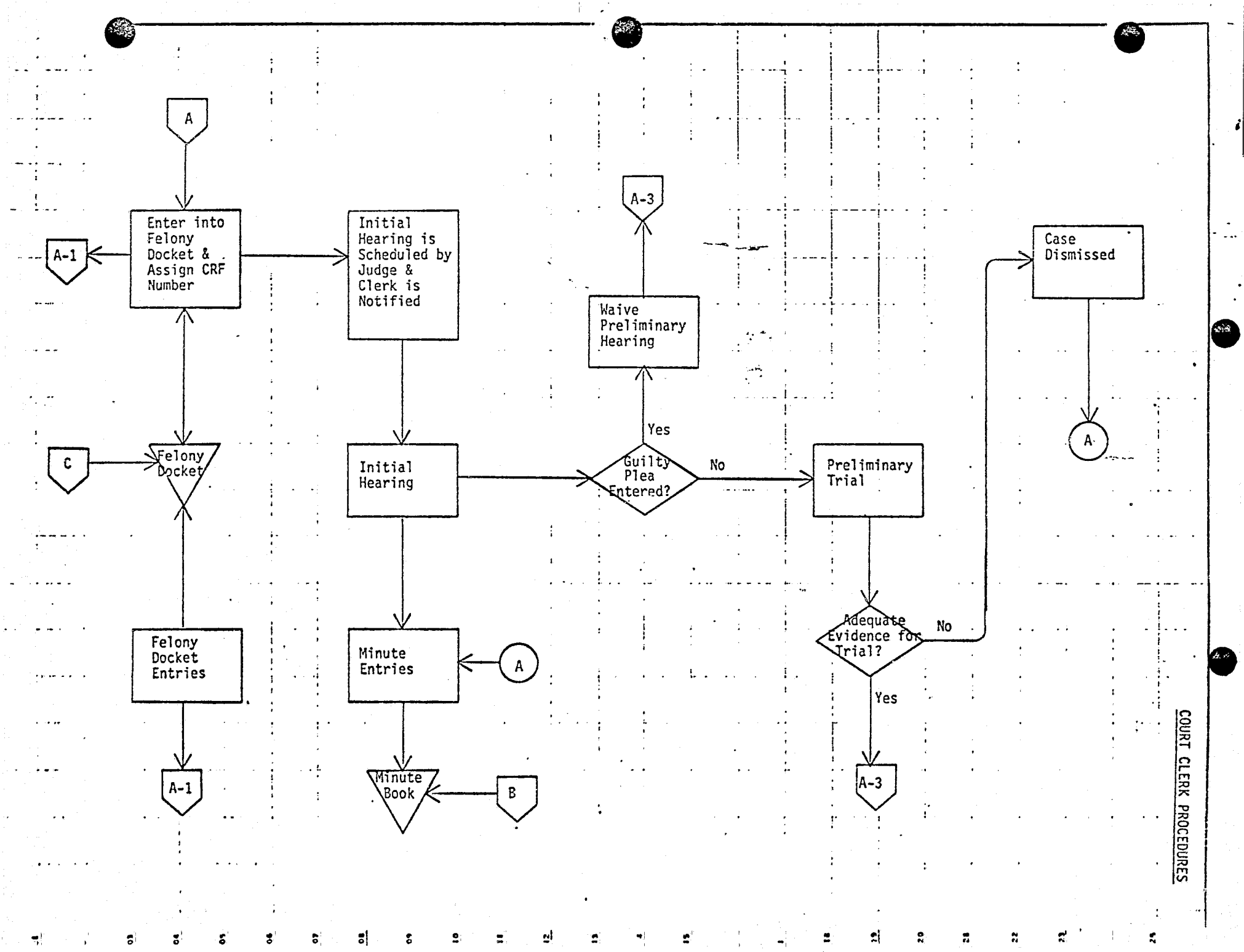
HG NO.	STATUTE CITATION	FELONY/ MISD.	LEAVE BLANK	CHARGE DESCRIPTION	REDUCED CHARGE?
1					
2					
3					
4					

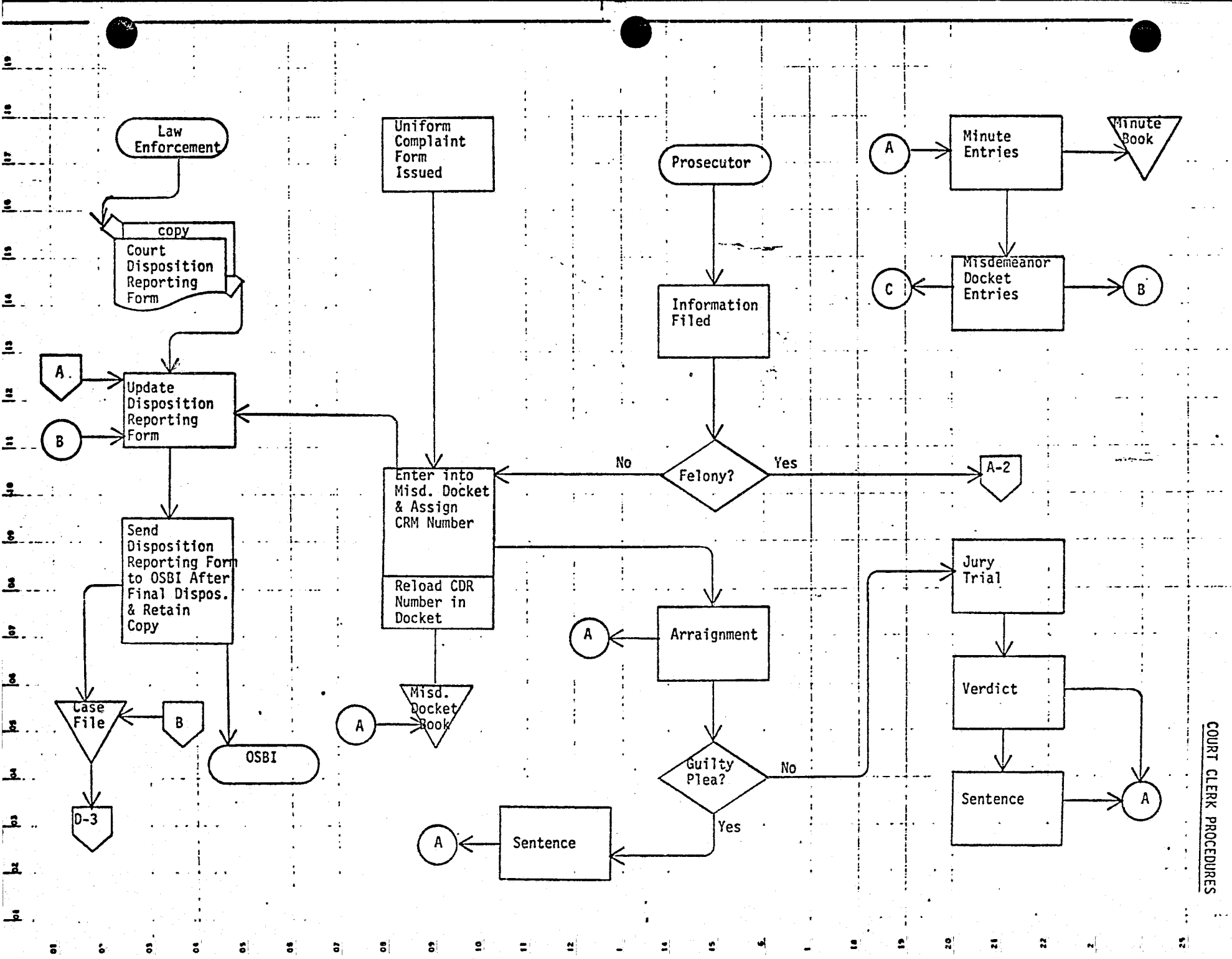
7. SENTENCING

HG NO.	SENTENCE DATE (MO - DAY - YR)	CONCURRENT OR CONSECUTIVE SENTENCES?	SENTENCE PROVISIONS (ENTER TERM AND FINE AMOUNTS UNDER APPROPRIATE COLUMN(S))							
			JAIL (YRS MOS)	STATE INSTITUTION (YRS MOS)	FINE	PROBATION (YRS MOS)	UNSUPERVISED PROBATION (YRS MOS)	SUSPENDED SENTENCE (YRS MOS)	SENTENCED TO TIME SERVED & REL.	OTHER (DESCRIBE BELOW)
1			MIN / MAX	MIN / MAX	$				☐	☐
2			MIN / MAX	MIN / MAX	$				☐	☐
3			MIN / MAX	MIN / MAX	$				☐	☐
4			MIN / MAX	MIN / MAX	$				☐	☐

OTHER SENTENCE PROVISIONS _____


A
Arraignment
Guilty Plea?
No
Yes
Jury Trial
A
B
Appeal
Change in Disposition?
Yes
No
A
Minute Entries
Sentencing
Jury Verdict
A
Transcribe Related Info From CDR Copy Contained in Case File onto a CDR Update Form & Forward to OSBI
Update to State Files Not Necessary
C-2
Felony Docket Entries
C-2
A
copy
CDR Update Form
OSBI
B-1
A-1
COURT CLERK PROCEDURES


A
Enter into Felony Docket & Assign CRF Number
A-1
Initial Hearing is Scheduled by Judge & Clerk is Notified
A-3
Waive Preliminary Hearing
Case Dismissed
A
C
Felony Docket
Initial Hearing
Guilty Plea Entered?
Yes
No
Preliminary Trial
Adequate Evidence for Trial?
No
Yes
Felony Docket Entries
Minute Entries
A
A-1
Minute Book
B
A-3
COURT CLERK PROCEDURES


Law Enforcement
copy
Court Disposition Reporting Form
A
B
Update Disposition Reporting Form
Send Disposition Reporting Form to OSBI After Final Dispos. & Retain Copy
Case File
B
D-3
OSBI
Uniform Complaint Form Issued
Enter into Misd. Docket & Assign CRM Number
Reload CDR Number in Docket
A
Misd. Docket Book
Prosecutor
Information Filed
Felony?
No
Yes
A-2
A
Arraignment
Guilty Plea?
No
Yes
A
Sentence
A
Minute Entries
Minute Book
C
Misdemeanor Docket Entries
B
Jury Trial
Verdict
Sentence
A
COURT CLERK PROCEDURES

PRESS HARD - YOU ARE M··'G FIVE COPIES

D N. 6

CASE DISPOSITION REPORT (TEST)

STATE OF OKLAHOMA

ARRESTING AGENCY

DATE OF ARREST (MO-DY-YR)

NAME (LAST, FIRST, MIDDLE)				ADDRESS (STREET, CITY, STATE)		
SEX	RACE	HGT	WGT	DATE OF BIRTH	SOC. SECURITY NO.	SCARS, MARKS, TATTOOS, AND AMPUTATIONS
ARRESTING AGCY FILE NO.				OSBI USE ONLY	OSBI No.	FBI No.

ENTER ONLY ONE CHARGE PER LINE BELOW. USE ANOTHER FORM IF THERE ARE MORE THAN FOUR CHARGES.

CHARGE NO.	STATUTE CITATION	MISD. FEL.	LEAVE BLANK	CHARGE DESCRIPTION	DATE OF OFFENSE	WARRA NUMBE
1						
2						
3						
4						

FINGERPRINT CLASSIFICATION (OSBI USE ONLY)

LEFT FOUR FINGERS TAKEN TOGETHER	L. THUMB	R. THUMB	RIGHT FOUR FINGERS TAKEN TOGE

OKLAHOMA CCH/OBTS

INPUT DATA MODIFICATION FORM

IDENTIFICATION

OSBI No. _____
CDR No. _____
Modifying Agency ID _____
Modifying Agency File No. _____

NAME (Last, First, Middle)	DOB

REASON FOR MODIFICATION _____

MODIFICATION DETAILS

CHARGE	FIELD TO BE MODIFIED	DATA ORIGINALLY APPEARING IN FIELD	DATA MODIFICATION
1			
2			
3			
4			

SPECIAL INSTRUCTIONS

Official Ordering Modificatio

OKLAHOMA CCH/OBTS SYSTEM REQUIREMENTS

OUTPUT

OUTPUT PROCESSING SYSTEM

This section outlines two major areas of output which were created from the OBTS data base. These areas are the OBTS Simulation Model and the OBTS Scheduled Output Reports.

The major function of OBTS information is to assist criminal justice system administrators in the process of planning, research and general administration decision making. The two methods of utilizing OBTS information, as outlined above, were designed to meet these requirements for criminal justice agencies in the State of Oklahoma. It should be noted that the reports and applications outlined in this report are intended to be used on a special request basis by criminal justice agencies throughout the system. Specifically, scheduled OBTS output reports should be generated only upon special request by individual agencies or planning jurisdictions. Use of the system is to be encouraged. However, because of the general nature of OBTS information, it would be very easy to continue sending scheduled reports to a jurisdiction that has made use of the original requested data and had no use for the continued generation of information. It is recommended that jurisdictions requesting scheduled OBTS output reports specify the number of periods for which the wish to receive the information. It is additionally recommended that agencies receiving information be reviewed periodically to insure that the data are being used.

SIMULATION MODEL

The OBTS simulation model allows administrators and planners to estimate potential impact of various programs on the criminal justice system by comparing the existing systems flow rates with those which would be created from the new program. For example, if the desire were to estimate potential legislative impact of a legislature which increased the dollar value distinguishing misdemeanor and felony theft, the expected impact upon the court structure as well as a correctional system could be determined.

In this example, if we desired to determine the impact on the State's institutional population, it would be necessary to first establish how individuals arrested for theft are currently porcessed through the system (control group). Selecting from the OBTS actuarial file all individuals arrested for theft over the past three years would produce an actual offender flow diagram similar to the one outlined in Figure 2. As indicated in the figure, only 5.7% of persons arrested for felony theft are currently committed to the State's prison system.

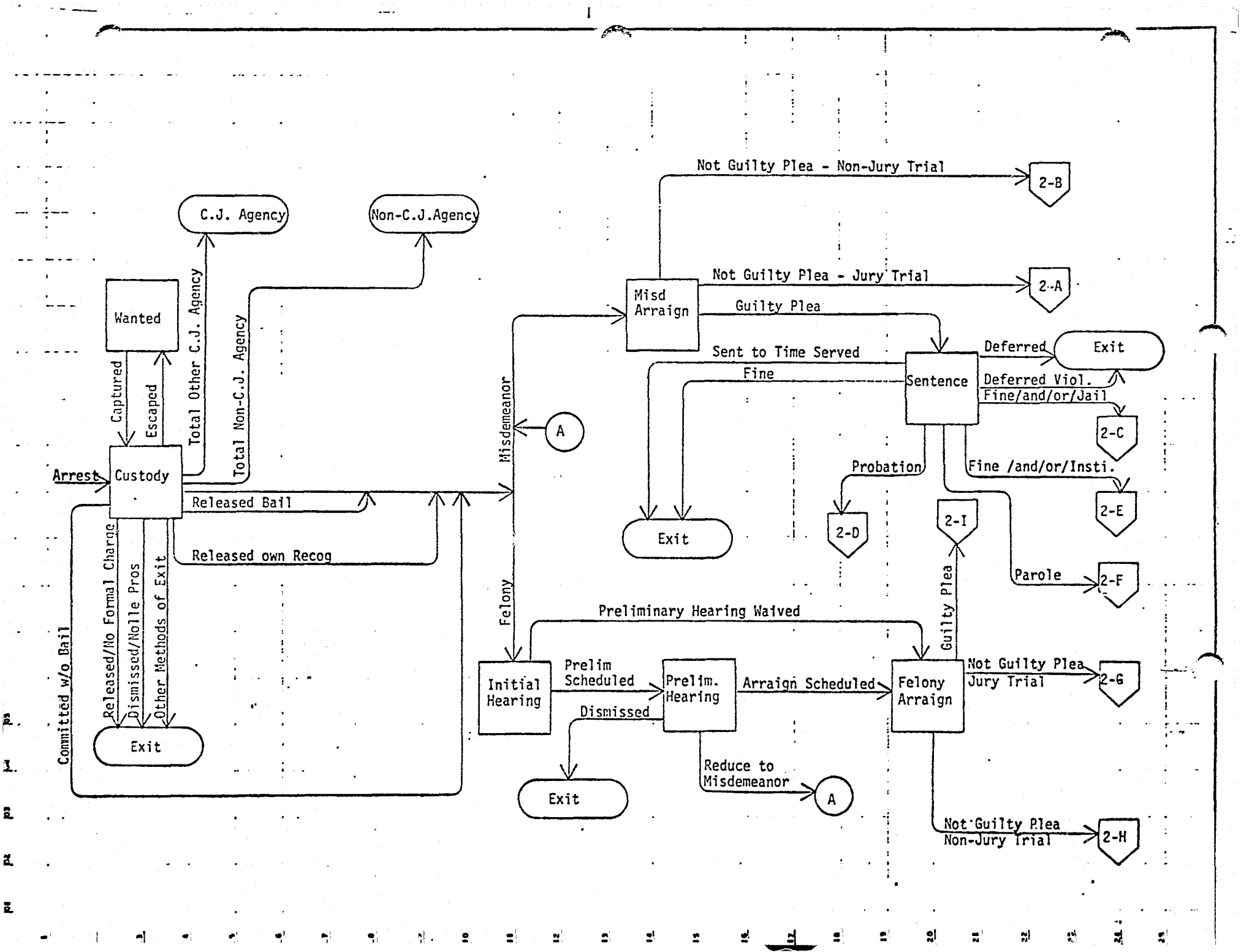
Next, one would identify those criteria (data elements) in the OBTS data base which would be affected by the proposed change and, using these criteria as legislatively modified, select an experimental group of offenders. This experimental group can be input data into the simulation model which would calculate assistance flow rate for each decision point in the system. As indicated in Figure 3, changes in the definition of felony theft would increase felony theft admissions to the State prison by 3%. During the average time served among persons convicted of theft and the average cost of incarceration, one could quickly determine the cost impact of the proposed legislation.

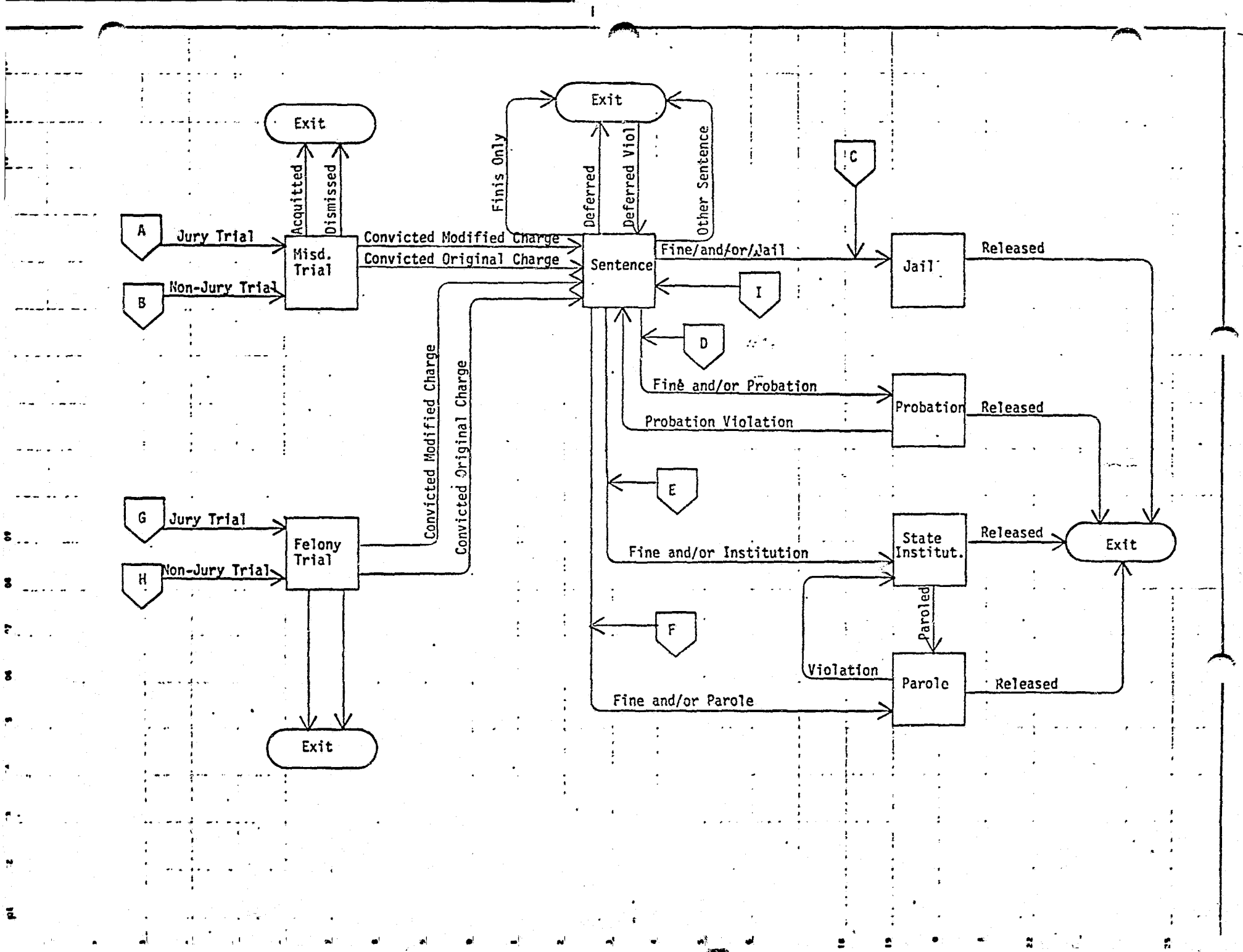
The system could also calculate the table of residuals based upon differences between the system's flow characteristics of the experimental and control groups (refer to Table 1).

The processing logic of the simulation model is centered around analyzing the activity of specific stages in the criminal justice system relative to volume and time. The stages used in the Oklahoma model are custody, initial hearing, preliminary hearing, felony arraignment, misdemeanor arraignment, felony trial, misdemeanor trial, sentence, jail, probation, state institutionalization, and parole. The model examines each stage relative to the methods in which that stage can be entered and the methods in which exit can occur. The model allows for probabilities to be assigned to each entry point and each exit point of a stage based on historical data. This is what is referred to as the control group.

Since there is a time relationship between each of the stages as well as a factor of time involved in passing through a specific stage, the model accepts time curves as input data which may be applied to simulation problems related to time analysis. Time as used in this model will be expressed in terms of average elapsed time.

The use of the simulation model requires first that control data be established and secondly that experimental data be provided. Control data may be derived from the OBTS data base if all elements desired are available or from using statistical sampling techniques. It is recognized that the OBTS data base, even after it has been in operation for a number of years, may not provide all the necessary data elements to form a specific type of simulation. In this event,


C.J. Agency
Non-C.J.Agency
Wanted
Captured
Escaped
Total Other C.J. Agency
Total Non-C.J. Agency
Arrest
Custody
Released Bail
Released own Recog
Released/No Formal Charge
Dismissed/Nolle Pros
Other Methods of Exit
Committed w/o Bail
Exit
Misdemeanor
A
Felony
Not Guilty Plea - Non-Jury Trial
2-B
Not Guilty Plea - Jury Trial
2-A
Misd Arraign
Guilty Plea
Sent to Time Served
Fine
Exit
Sentence
Deferred
Exit
Deferred Viol.
Fine/and/or/Jail
2-C
Probation
2-D
Fine /and/or/Insti.
2-E
2-I
Parole
2-F
Guilty Plea
Preliminary Hearing Waived
Initial Hearing
Prelim Scheduled
Prelim. Hearing
Arraign Scheduled
Felony Arraign
Not Guilty Plea
Jury Trial
2-G
Dismissed
Exit
Reduce to Misdemeanor
A
Not Guilty Plea
Non-Jury Trial
2-H


Exit
Acquitted
Dismissed
A
Jury Trial
B
Non-Jury Trial
Misd. Trial
Convicted Modified Charge
Convicted Original Charge
Exit
Finis Only
Deferred
Deferred Viol
Other Sentence
Sentence
C
Fine/and/or/Jail
Jail
Released
I
D
Fine and/or Probation
Probation
Released
Probation Violation
E
G
Jury Trial
H
Non-Jury Trial
Felony Trial
Convicted Modified Charge
Convicted Original Charge
Fine and/or Institution
State Institut.
Released
Exit
Paroled
F
Violation
Parole
Released
Fine and/or Parole
Exit

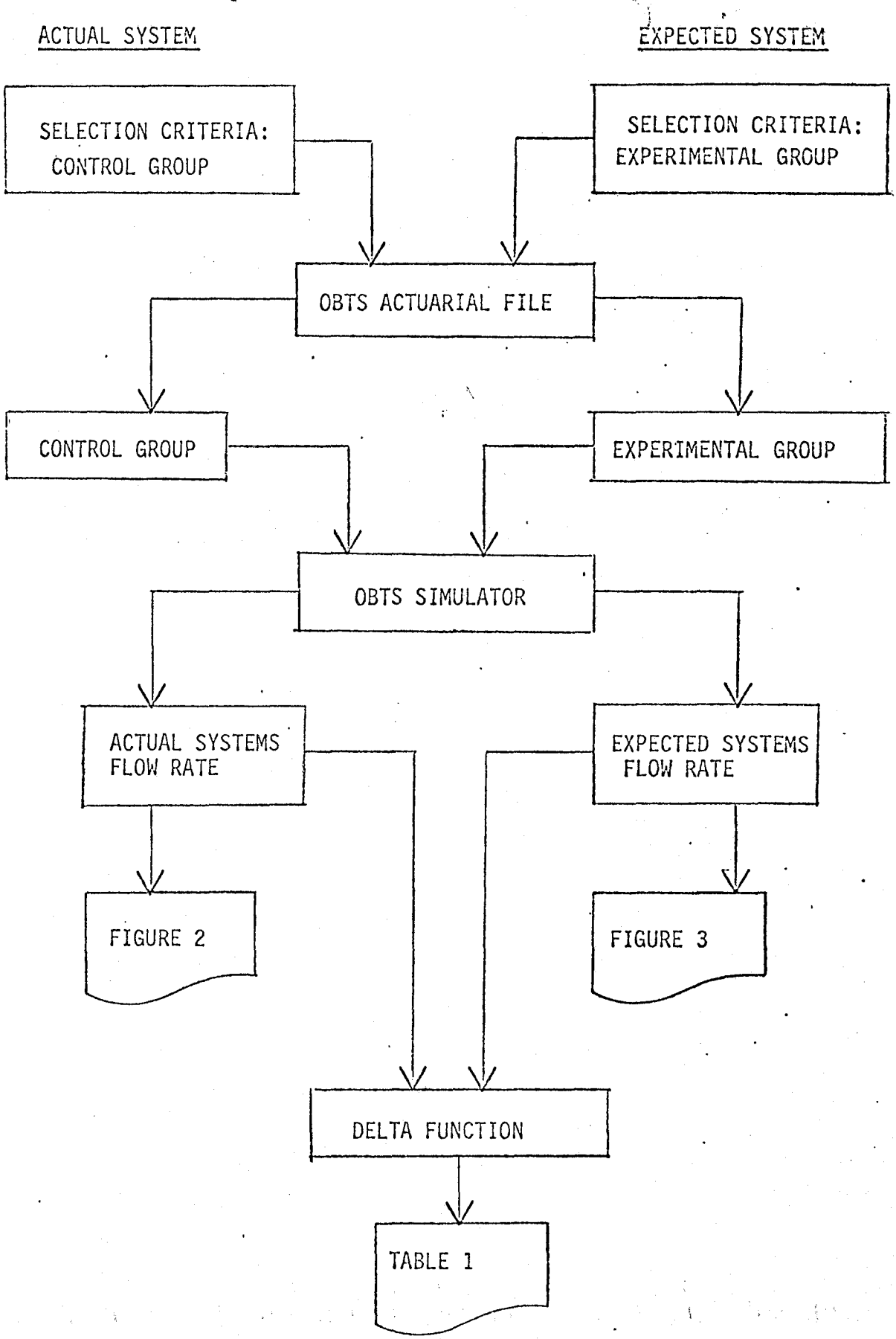
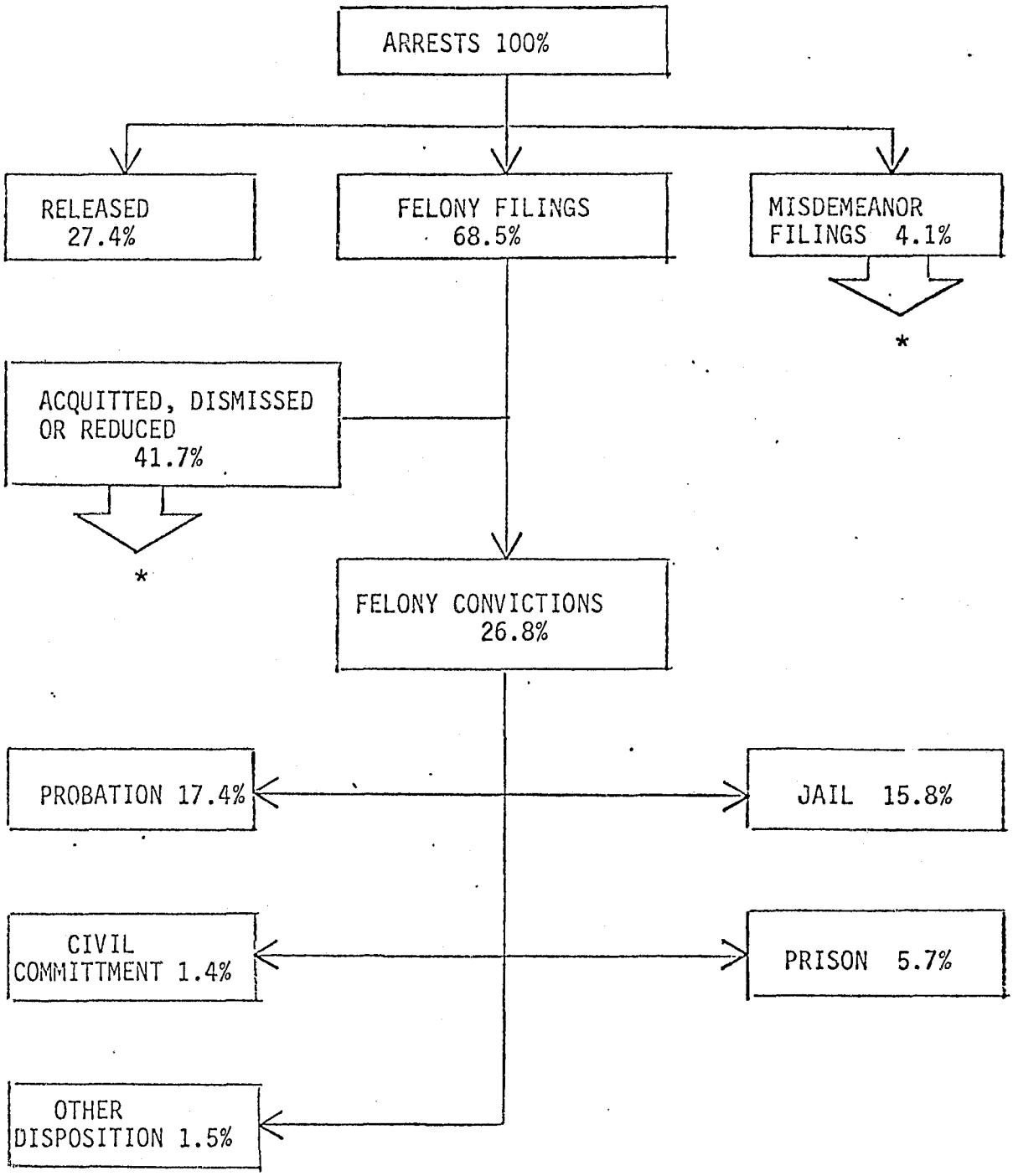


Figure 1: SIMULATION MODEL LOGIC

Table 1

CURRENT, EXPECTED AND RESIDUAL OBTS SYSTEMS FLOW RATES

DECISION POINT	CURRENT RATE		EXPECTED RATE		RESIDUAL ( )	
	No.	Time $\bar{X}$ σ	No.	Time $\bar{X}$ σ	No.	Time $\bar{X}$ σ
ARREST						
RELEASE						
TRANSFER						
MISDEMEANOR FILING						
FELONY FILING						
✓						
✓						
✓						
DISCHARGE						



* Continuing flow not shown

Figure 2

FLOW OF OFFENDERS ARRESTED FOR THEFT

statistical sampling should be relied upon to provide the necessary control data. The model is designed to be flexible in order to meet all the different requirements for simulation that may arise. This is accomplished primarily through developing a "hollow model" concept whereby the area to be simulated must be fully defined by the system user. It is anticipated that the simulation model will provide planners with accurate projections relative to the impact of various planned programs on the criminal justice system.

SCHEDULED OBTS REPORTS

Scheduled OBTS reports have been included as part of this system to support administrators and planners in monitoring the overall activity of the criminal justice system. A major need exists for examining the flow of offenders through various parts of the criminal justice system and as a result reports have been designed to not only provide for the examination of offender flow through the overall criminal justice process but to examine specific subparts as well. For example, the workload analysis report designed for use in examining law enforcement related offender flow may be used on an agency level, a regional level, or a statewide level. Additionally, the report may be used to express the offender flow through any combination of law enforcement jurisdictions. The jurisdiction which will be examined by each of the caseload analysis reports relating to law enforcement, prosecution, courts and corrections are to be defined by the user of the report.

It is intended that the scheduled OBTS reports be utilized on a special request basis. Requests should be submitted by planning organization as well as individual agencies and groups of agencies. Discretion should be used in determining whether requests for the same type of report over multiple periods is beneficial to the receiving agency. Discretion in this area is encouraged to prevent the papering of criminal justice agencies with OBTS reports. Agencies should be advised that the information is there for their use but that they should constantly monitor the data and utilization.

Output reports in this section have been specified for the criminal justice functions of law enforcement, prosecution, courts, corrections and criminal justice. The following is a discussion of how the scheduled output reports apply to each of the major criminal justice functions.

LAW ENFORCEMENT

A caseload analysis report and a disposition analysis report have been created to support law enforcement agencies throughout the

state. Both reports provide for a definition of the jurisdiction in which the offender tracking relates as well as the period relative to the report and the offense category applicable. Offense category for use in this context may be any offense or combination of offenses as determined by the user of the system. It is intended that the offense category be determined by the user so that the output report will more effectively meet the intended use.

It is anticipated that the law enforcement caseload analysis be used by regional and state planning agencies to determine the general flow of offenders to the system for the purpose of assisting in the planning process. The report could be used to monitor the overall impact on the law enforcement process of a new program that has been implemented within a specific area. The report additionally can be used as a comparison between different parts of the state to identify potential offender flow problem areas.

The disposition analysis report was designed for use by specific law enforcement agencies in determining the effectiveness of case preparation in investigation. It is anticipated that this report will provide law enforcement administrators with feedback information necessary to reflect the success of case processing in the courts as reflected by convictions. This report is designed for the benefit of individual agency administrators and should only be generated upon request of the agency that the data concerns.

PROSECUTION

The prosecution caseload analysis was designed to provide planners and district attorney administrators with general offender flow information. Even though information on the court disposition of cases processed by specific district attorney's offices is maintained at the district attorney's office level, summary data on multiple jurisdictions does not exist. Additionally, some district attorney's offices cannot maintain statistical information summarizing court disposition data which would provide an index to the effectiveness of case preparation within that agency. This report will provide that general summary capability and will be made available to specific prosecutorial offices upon request of each office.

COURTS

The courts caseload analysis report was designed to assist the court administrator and court planners in analyzing and monitoring

offender flow through the court process. This report will be helpful in monitoring the impact of special programs within the court process such as pretrial diversion. Information from this report also can be used to assist the court administrator in preparing annual State of Oklahoma court statistical reports. Additional information to support this annual report is contained within the OBTS data base and may be extracted by special programing for this purpose.

CORRECTIONS

Corrections scheduled output involves one output report, namely the corrections caseload analysis, and four additional applications involving the cimulation model, special OBTS programing and the computerized criminal history files both from the state and national level. These five applications have been isolated since they address immediate problems in correctional administration and can serve as building blocks for subsequent applications. The five application areas are discussed as follows:

- Corrections case load analysis
- Legislative impact analysis
- Recividism analysis
- Intake profile
- Population projection

Corrections Caseload Analysis

The corrections caseload analysis report is designed to aid criminal justice planners and corrections personnel in the analysis and monitoring of offenders through the corrections system. This report has been designed for use on the local corrections level as well as State corrections. Specific jurisdictions may request specific data to be analyzed relative to their jurisdiction. Utility exists for regional planning and State planning agencies to examine various types of offenders on the multi-agency as well as state-wide level. The report has been designed to allow corrections analysts to analyze the sources from which offenders are placed into the correctional system.

Legislative Impact Analysis

One of the most useful applications of the Oklahoma OBTS is the determination of the potential impact of changes in the penal code or code of criminal procedure on correctional administration. For example, if the legislature were to change the statutory provisions governing probation eligibility, it would significantly impact both the size and

composition of the state's correctional population. Without a simulation model of the state's criminal justice system, estimating the impact of such statutory changes is guesswork, at best.

The Oklahoma OBTS system will provide a criminal justice simulation model which can serve as a tool in estimating legislative impact. With the implementation of OBTS, the state will gather and retain actuarial information on offenders processed through the criminal justice system, including data on the number of offenders processed and the elapsed time between the decision points. Statistical accumulation of this information on cohorts of offenders will provide information on actual systems flow rates for various segments of the system.

Processing Logic: The OBTS legislative impact application is derived by using OBTS as a simulation model for the criminal justice system. This application requires eight processing steps:

1) Selection Criteria for Control Groups: The application requires that one be able to select offenders from the OBTS actuarial file on any one or combination of OBTS data elements. The selection logic should allow both conjuctive and disjunctive combinations of data elements to be used.

2) Selection from OBTS Actuarial File: The system must be capable of searching the OBTS actuarial files with respect to the selection criteria and output on experimental and control group files contained in the individual OBTS records.

3) Control Group File: This file contains the OBTS record of each offender who fits the selection criteria with the file format designed to meet the input requirements of the OBTS simulation model.

4) Simulation Model: The simulator is a model for the criminal justice process which can calculate systems flow distributions for each decision point identified in the OBTS data base (c.f., Figure 2). It can output information either on flow of offenders or average elapsed time between decision points. As input, it requires complete individual OBTS records.

5) Selection Criteria for Experimental Group: This step involves identification of the OBTS criteria (data elements) affected by the proposed legislation to be used as strata in the selection of the experimental sample from the OBTS actuarial file.

6) Experimental Group: The experimental group is composed of the OBTS records of all individuals who fit the selection criteria and represent those offenders who will be affected by or fit the characteristics affected by the proposed legislation. The records would be formatted to fit the input requirements of the simulation model.

7) Expected Flow Rate of System: This output from the OBTS simulator represents the systems flow that would result from the proposed legislation either in terms of offenders or average elapsed time.

8) Delta Function: This process simply compares the systems flow derived from the control and experimental groups and calculates the disparity () for each decision point. These residuals are the estimates of legislative impact.

Application Characteristics: The following considerations characterize the legislative impact application:

- It is a planning application with little, if any, operational utility.
- It is dependent upon the OBTS actuarial data base and would not draw upon CCH.
- Reports generated by this application are not time critical and would be generated only on an as-needed basis.
- The output from this application is systems flow information either in terms of number of offenders or elapsed time between decision points.

Recidivism Analysis

One of the most commonly used criteria to determine correctional effectiveness is recidivism. While most professionals endorse the need for recidivism statistics, few agree as to how recidivism should be defined. Frequently, correctional administrators define recidivism as the percentage of offenders in the correctional population who have been in that population on a previous occasion.

This definition is obviously inadequate since it does not consider offenders once in a state's population who have been committed to correctional programs in other states. Yet, without an efficient means of securing accurate criminal histories, it is impossible to calculate more sensitive recidivism statistics.

The development of the Oklahoma CCH will allow correctional administrators to determine recidivism based upon arrests and associated dispositions regardless of the jurisdiction or agency involved (i.e., local, state, or federal).

An Example: In order to calculate recidivism, the correctional researcher would first identify the sample of offenders whose recidivism characteristics are to be monitored. This should be done by isolating a cohort of offenders whose only common characteristic is that they all exited the correctional process during the same time frame.

This cohort would then be monitored over a multi-year period examining the incidents of arrests and dispositions at one-year intervals. In an on-going application, new cohorts would be selected each year so that various recidivism estimates could be generated reflecting differences in the correctional population over time.

Initiation of the recidivism analysis would require the correctional researcher to input the Oklahoma State Identification Number to the state's CCH system. This would initiate a search for the associated criminal histories of the cohort and also trigger inquiry of the national NCIC/CCH system.

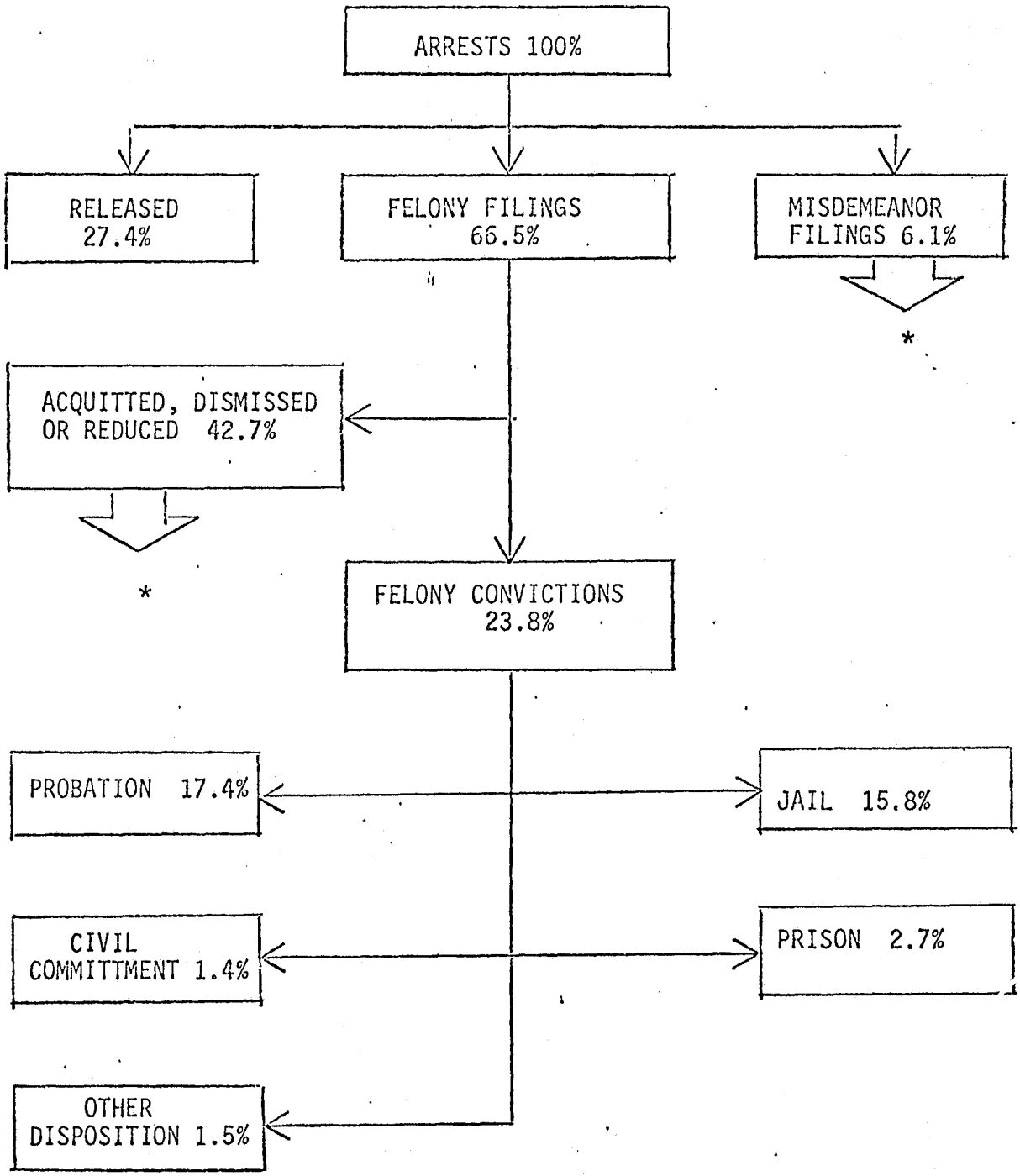
Once the cohort's criminal histories have been assembled, the system would edit them to identify post-incarceration arrests and dispositions. This information would then be input into a statistical routine which would generate the desired recidivism statistics.

The report generated by the statistical routine would indicate the percentage of cohort who were rearrested and the distribution of arrests as a function of post-release elapsed time. In addition, the report would indicate the distribution of dispositions associated with the arrests by type of offense, age and race.

The generation of these recidivism reports over time for the same cohort coupled with data on new cohorts will provide a detailed recidivism dictionary indicating both the incidents of recidivism as well as an index of changes in recidivism patterns over time.

Processing Logic: The recidivism application involves five processing steps as outlined in Figure 4.

1) Cohort Identification: This step involves the identification of the Oklahoma State Identification Number of a cohort of offenders who will exit the correctional process during the same time frame.



* Continuing flow not indicated

Figure 3

PROJECTED FLOW OF OFFENDERS ARRESTED FOR THEFT AS A RESULT OF STATUTORY CHANGE

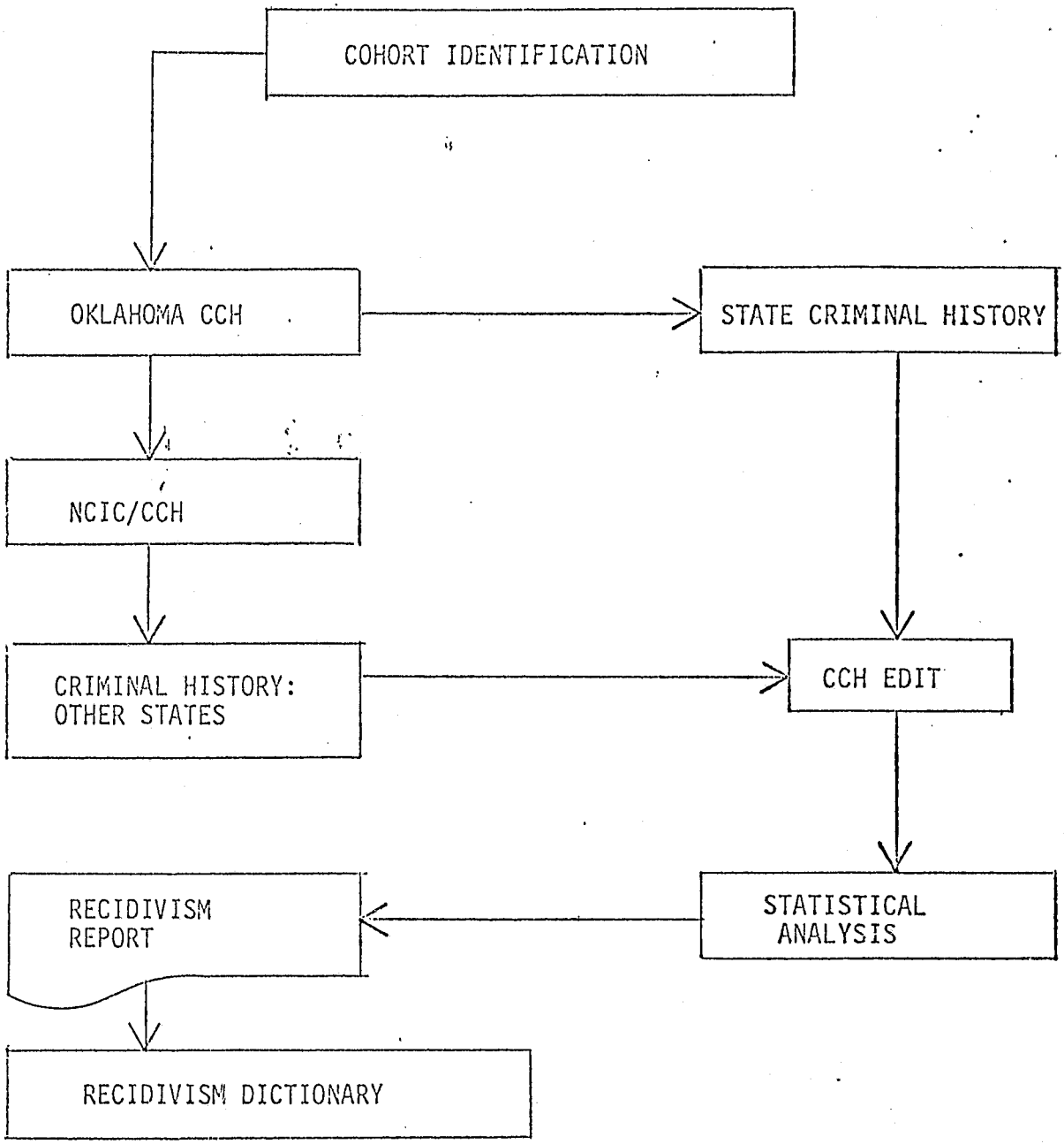


Figure 4

RECIDIVISM ANALYSIS APPLICATION

2) Searching the State's CCH Files: This process involves the input of State Identification Numbers to the Oklahoma CCH file to identify if members of the cohort have been involved in subsequent arrests and dispositions at the state level.

3) NCIC/CCH Inquiry: The system would automatically inquire of the national files to determine subsequent arrests and dispositions of cohort members in other states.

4) CCH Recidivism Edit: This process involves screening the criminal histories of all cohort members to identify post-release arrests and dispositions and calculation of the elapsed time from release to rearrest. This information is then assembled for statistical analysis.

5) Statistical Analysis: Listed below are the kinds of recidivism statistics that could be calculated from the cohort's criminal histories:

- Percentage of total cohort rearrested
- Percentage of total cohort rearrested and convicted
- The calculation of the above two items for variations in committing offense, age, race and sex
- Among persons rearrested, the distribution of elapsed time between release and rearrest
- The calculation of the above item for variations in committing offense, age, race and sex

Application Characteristics: The following consideration characterize the recidivism analysis application:

- It is principally a program evaluation application with little operational utility.
- The application employs the Oklahoma CCH and national NCIC/CCH files.
- It is a routine application performed quarterly or at least yearly. Access to the CCH data base is not time critical.

Intake Profile

Most correctional information systems are initiated by gathering criminal and social background information on the offender. In the absence of a centralized file of such information, each correctional agency usually gathers the same information on each offender resulting in significant redundacy of effort. In addition, most of this information must be obtained directly from the offender and later verified via written correspondence. This situation necessitates a high volume of information of questionable reliability with significant file up-dating within a short period of time.

An Example: With the implementation of the Oklahoma CCH system, all correctional agencies will be able to assemble complete criminal histories on each new admission at the time the offender is received. Presently, when an offender is received by the Department of Corrections, the only information available is the judgement and sentencing information submitted by the committing court. Most other information assembled about the offender must be obtained directly from the offender and subsequently verified.

CCH will provide intake officers with complete criminal histories prior to beginning the initial interview. Having this information in hand should increase the reliability of subsequent information since the offender is made to realize that the interviewing officer already has extensive criminal history information on file.

Another correctional application of CCH would be the initiation of the pre-sentence investigation. Regardless of differences in format, all pre-sentence investigations contain a resume of the offender's criminal record. Presently, probation officers must use the RAP sheet for criminal history information. Under the CCH program, they will not only have arrest data with dispositions, something not provided by the RAP sheet, but can also have immediate access to such information.

Processing Logic: Procedures for acquiring the criminal history to support institutional intake or pre-sentence are outlined in Figure 5.

1) Inquiry: The intake profile application is initiated by inquiring of the Oklahoma CCH file using the offender's State Identification Number. In the case of both institutional intake and pre-sentence investigation application, this identification number will be received from the court since it will be the common identifier used throughout the system.

2) Oklahoma CCH File: The initial inquiry will search the state file and assemble that portion of the criminal history existing at the state level.

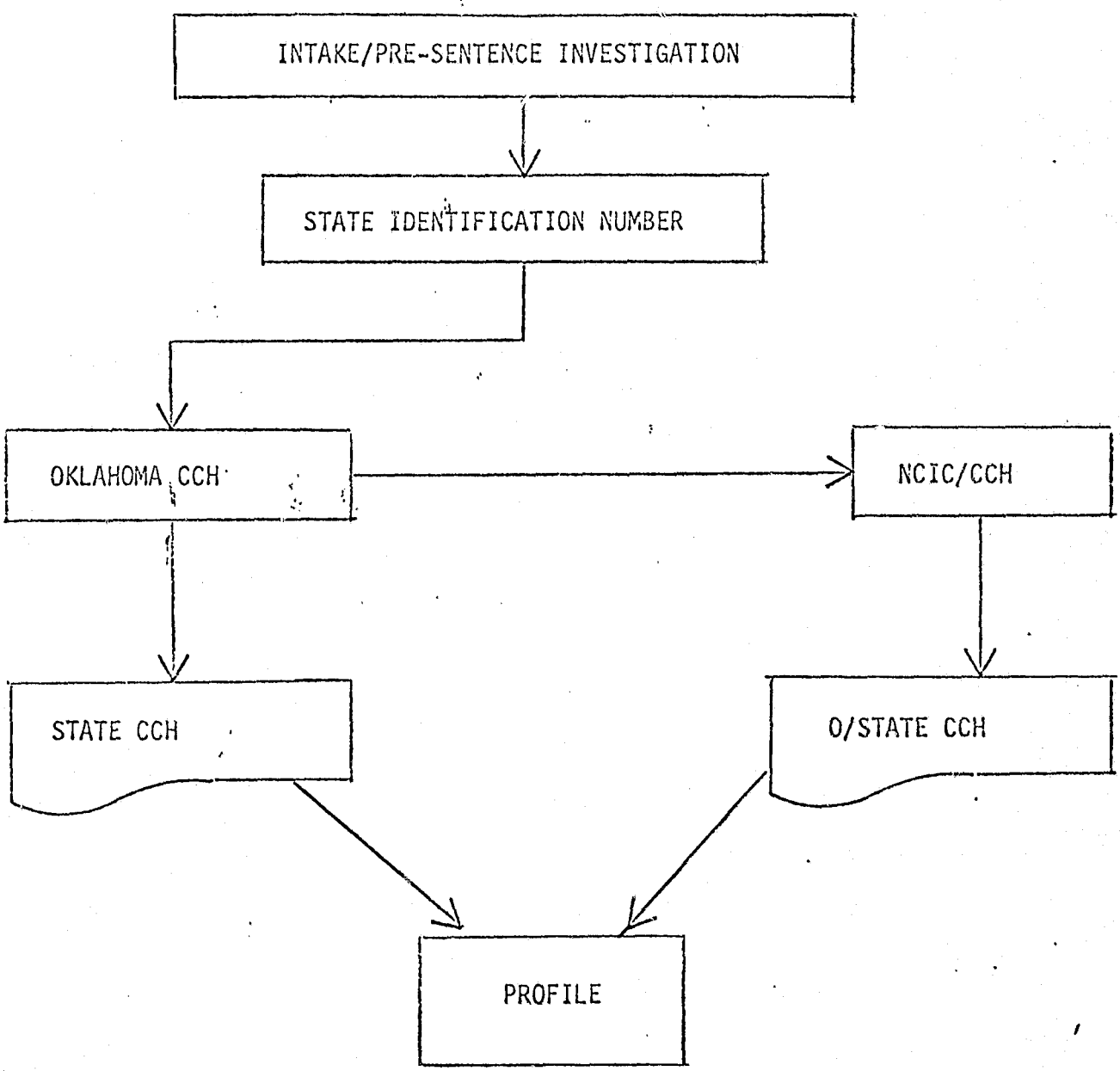


Figure 5

INTAKE PROFILE APPLICATION

3) NCIC/CCH File: After querying the state file, the search would automatically inquire of the NCIC/CCH national file.

(An alternative to this procedure is to have the criminal history, already assembled by the arresting agency, forwarded to the associated correctional agency as the offender is processed. While this procedure would reduce the number of systems inquiries, it would also necessitate additional paper flow. Of the two alternatives, direct CCH inquiry by correctional agencies would be desirable.)

Profile: The output of this application is a criminal history profile containing arrest and disposition data.

Application Characteristics: The following considerations characterize the intake profile application:

- This application is totally dependent upon the CCH data base and does not draw upon OBTS data.
- This application is relatively time critical and would be optimized by an on-line inquiry capability to the CCH file.

Population Projection

One of the most critical responsibilities of a correctional administrator involves accurately forecasting changes in the correctional population. Obviously, this must include an ability to estimate increases or decreases in the absolute number of offenders. A more subtle problem involves estimating shifts or changes in the type of offender when the size of the correctional population remains constant.

An Example: Proper budgeting, personnel development, and programing require advance knowledge of the number and type of offenders constituting future correctional populations. This is a basic requirement for effective probation and parole administration as well as institutional management.

The Oklahoma OBTS can be utilized to assist in such forecasting. Once implemented, OBTS will allow the development of actuarial information about the number and kind of offenders processed through the criminal justice system. Use of this information will allow administrators to:

- Estimate increases or decreases in the future correctional population.

- Determine increases or decreases in certain types of offenders which have special impact on programing and budgeting, i.e., women, first offenders v. recidivists, etc.

- Estimate increases or decreases in absolute size of future population as a function of changes in sentencing patterns.

- Estimate required adjustments in programing as a function of changes in inmate characteristics, i.e., education, IQ, vocational skills, etc.

Processing Logic: The logic used to project correctional populations is similar to the logic involved in determining legislative impact. Both use the OBTS actuarial file as a simulator for the criminal justice process. The population projection application involves the examination of OBTS flow data for various part time frames in order to project a future.

The projection application involves several steps as outlined in Figure 6.

1) Selection Routine: Population projection requires that one be able to select from the OBTS actuarial file data reflecting the flow of offenders for the various time intervals. For example, one could extract from the OBTS actuarial files the systems flow rate for all offenders handled in each year from 1965 to 1975.

2) Forecasting Model: The population projection forecasting model calculates the number of offenders processed through each decision point in the OBTS model for any unit of time selected by the researcher. Thus, one could present the mortality rate of the system for each year over a ten-year period.

3) Projection Estimates: The output of the population projection application would be a series of projection estimates based upon the mortality of the system for various time units. Table 2 is an example of the type of output that could be obtained from this application. The output indicates the number of individuals processed at each decision point in the OBTS model for various time units. Projection curves can be derived from this data and used to forecast changes in both the absolute number and characteristics of future correctional populations.

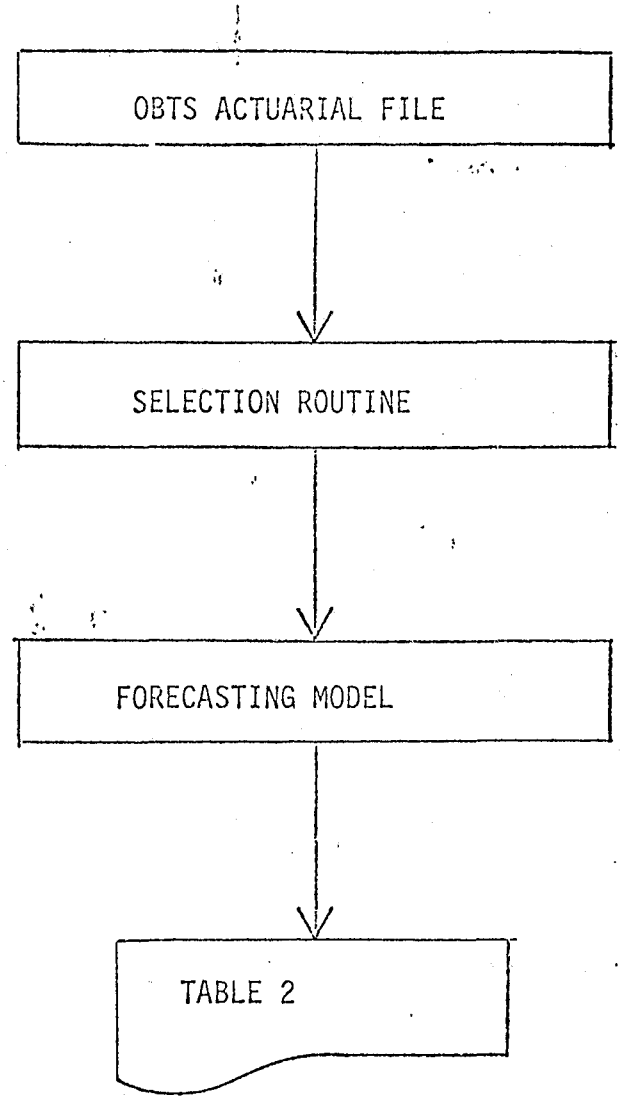


Figure 6

POPULATION PROJECTION ROUTINE

Application Characteristics: The following considerations characterize the population projection application:

- This is a planning application which has little operational utility.
- This application is dependent upon the OBTS actuarial files and would not utilize CCH information.
- Since the select routine allows the researcher to use all or part of the OBTS actuarial file, one can make projections concerning the entire correctional population or any subset of that population.

CRIMINAL JUSTICE

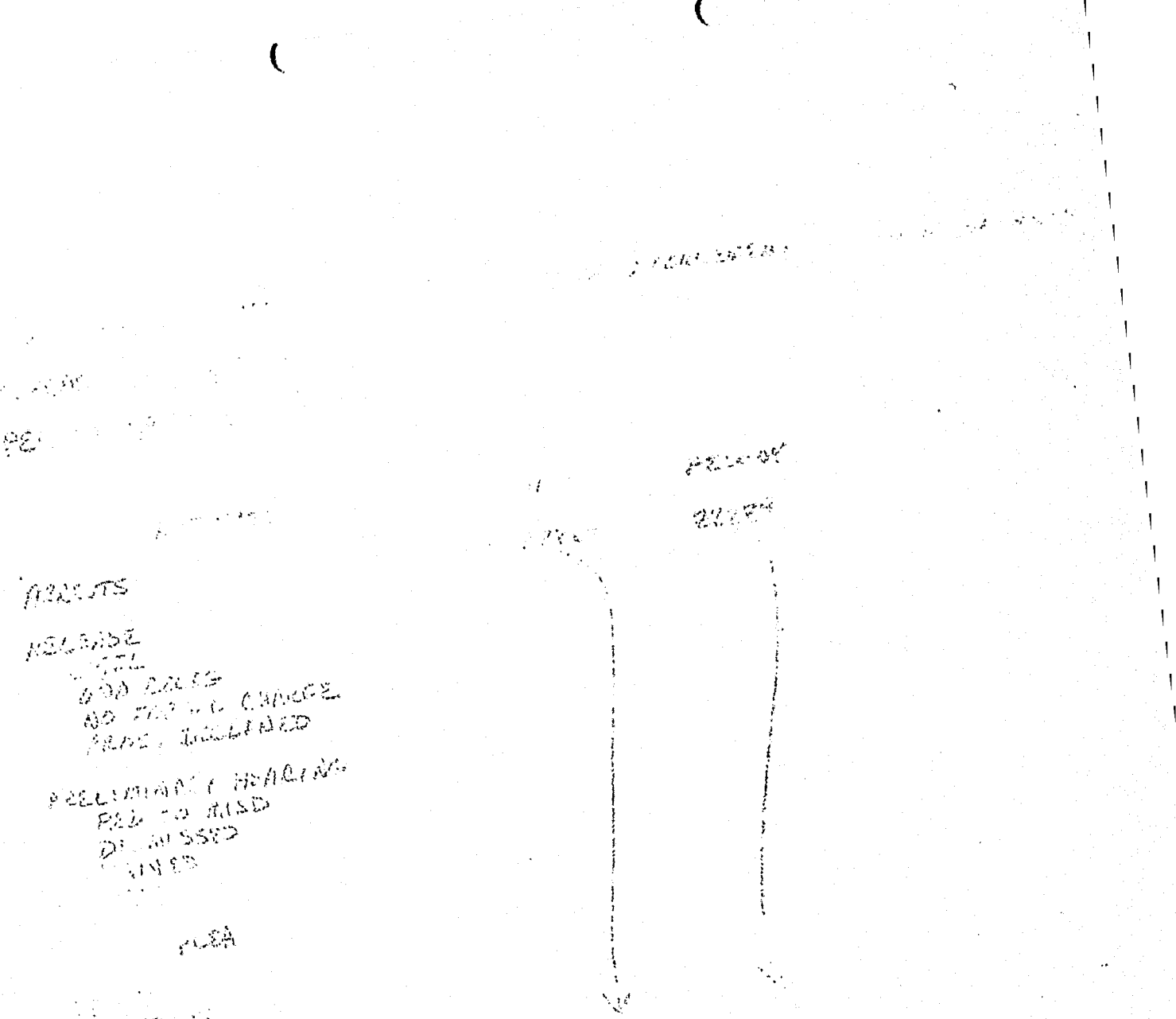
The criminal justice caseload analysis report was designed for use by state level organizations including planning, law enforcement, courts, prosecution and corrections. This report is intended to provide a state-wide overview of the flow of criminal offenders from the point of arrest through involvement in the correction's process. Eventhough the model has been designed for use on a state-wide basis be redefining the jurisdiction, it might also be effectively used on the regional or county level. Additionally, the offense category referred to allows the user of the report to specify the offense or group of offenses included in the report. Additionally, multiple reports may be generated if a desire exists to compare the process flow of two different types of offenses. The criminal justice caseload analysis report will be generated only upon request of specific users as is the case with the other scheduled OBTS output reports.

[illegible]

OFFICE [illegible]

PERIOD [illegible]

ACTION	[illegible]	FELON[illegible]
CASES	22229	[illegible]
FILED	22229	22229
PLDS DEC [illegible]		
REDUCED TO MISD		
[illegible] AT PRELIM.		
[illegible]		
ACQUITTED		
CONVICTED		

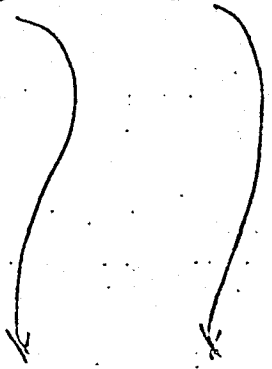


JURISDICTION XXXXXXXXXXXXXX PROSECUTION CASELOAD ANALYSIS

OFFENSE XXXXXXXXXXXXXXXXX

PERIOD 99 99 99 - 99 99 99

ACTIVITY	MISD.	FELONY
CASES	22229	22229
FILED	22229	22229
PROS DECLINED		
REDUCED TO MISD		
DISM. AT PRELIM.		
GUILTY PLEA		
TRIAL		
ACQUITTED		
CONVICTED		

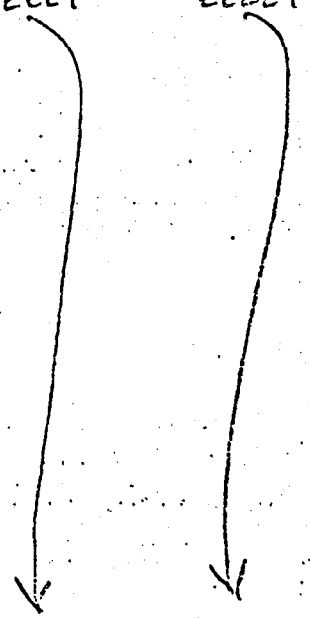


JURISDICTION XXXXXXXXXXXXXX LAW ENFORCEMENT CASELOAD ANALYSIS

OFFENSE XXXXXXXXXXXXXXXX

PERIOD 99 99 99 - 99 99 99

ACTIVITY	MISD.	FELONY
ARRESTS	ZZZZ9	ZZZZ9
RELEASE		
BAIL		
OWN RECOG		
NO FORMAL CHARGE		
PROS. DECLINED		
PRELIMINARY HEARING		
RED TO MISD		
DISMISSED		
BAINED		
HELD		
GUILTY PLEA		
TRIAL		
GUILTY		
NOT GUILTY		



JURISD.CTION XXXXXXXXXXXXXX LAW ENFORCEMENT DISPOSITION ANALYSIS

PERIOD 99 99 99 - 99 99 99

OFFENSE	ARRESTS	RELEASED NO CHG	PROS. DECL	CHGS DISM.	GLTY PLEA	TRIA GLTY
XXXXXXXXXXXXXXXXXXXXXXXXX	2229	2229	2229	2229	2229	2229

JURISDICTION XXXXXXXXXXXXXXX

OFFENSE XXXXXXXXXXXXXXXXXX

PERIOD 99 99 99 - 99 99 99

CORRECTIONS CASELOAD AI

ACTIVITY	MISD.	FELONY
CASES	ZZZZ9	ZZZZ9
LOCAL CORRECTIONS	ZZZZ9	ZZZZ9
JAIL SENTENCE	ZZZZ9	ZZZZ9
OTHER	ZZZZ9	ZZZZ9
STATE CORRECTIONS		
UNSUP PROBATION	ZZZZ9	ZZZZ9
SUP PROBATION		
PAROLE		
INSTITUTIONS		
OTHER		

CRIMINAL JUSTICE SYSTEM CASELOAD A

JURISDICTION XXXXXXXXXXXXXXX

OFFENSE XXXXXXXXXXXXXXXXXX

PERIOD 99 99 99 - 99 99 99

ACTIVITY

ARRESTS

RELEASED - NO FORMAL CHARGE

CASES FILED

PROSECUTION DECLINED

PRELIMINARY HEARING
- WAIVED
- RED. TO MISD.
- DISMISSED
- HELD

GUILTY PLEA

TRIAL
- JURY
- NON-JURY
- ACQUITTED/DISMISSED
- CONVICTED

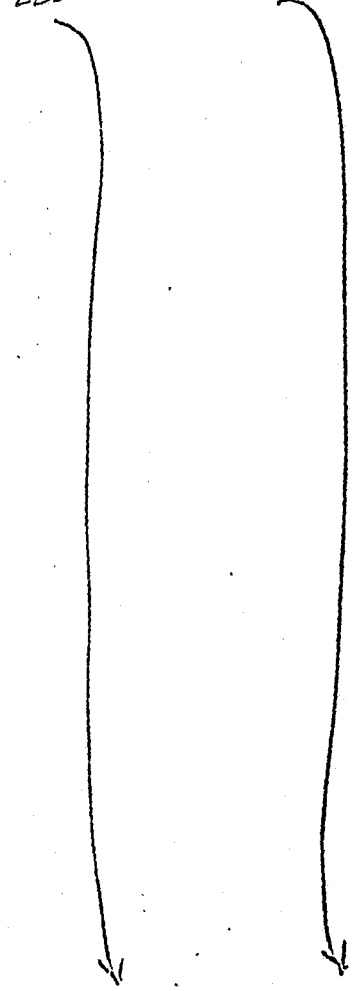
SENTENCE
- FINE
- JAIL
- PAROLE
- STATE TAST IT
- SUP PROB
- UNSUP PROBAT
- DEFERRED
- OTHER

MISD.

22229

FELONY

22229



JURISDICTION XXXXXXXXXXXXXX

COURT CASELOAD ANALYSIS

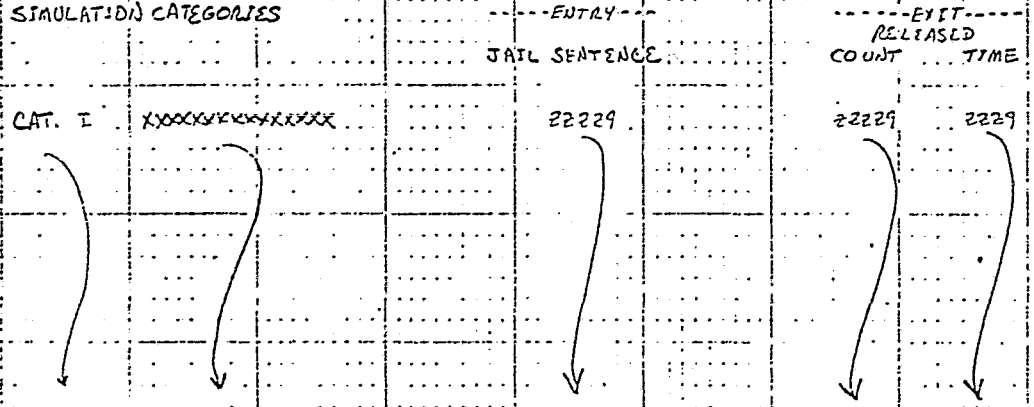
OFFENSE XXXXXXXXXXXXXXXXXX

PERIOD 99 99 99 - 99 99 99

ACTIVITY	MISD.	FELONY
PRELIMINARY HEARING WAIVED		22229
PRELIM HEARING RESULTS:		
REDUCED TO MISD		22229
DISMISSED		22229
HELD		22229
GUILTY PLEA	22229	22229
TRIAL		
JURY	22229	22229
NON-JURY	22229	22229
TRIAL DISPOSITION		
ACQUITTED/DISMISSED	22229	22229
CONVICTED	22229	22229
SENTENCE		
FINE	22229	22229
JAIL	22229	22229
STATE INSTITUTION	22229	22229
PROBATION	22229	22229
DEFERRED	22229	22229
OTHER	22229	22229
TOTAL CASES FILED	22229	22229

ORTS SIMULATION MODEL

JAIL STAGE ANALYSIS



PROGRAM TITLE
PROGRAMMER OR DOC. ANALIST.
CHART TITLE
DATE

OBTS SIMULATION MODEL DATE 99 99 99 PAGE ZZ9

CUSTODY STAGE ANALYSIS

SIMULATION CATEGORIES	ENTRY						EXIT					
							BAIL RELEASE		OR RELEASE		COMMIT NO BAIL	
	ARREST	NO CHG	DISMIS	OTHER	ESCAPED	OTH CJ	COUNT	TIME	COUNT	TIME	COUNT	TIME
CAT. I XXXXXXXXXXXXXX	ZZZZZ9	ZZZZZ9	ZZZZZ9	ZZZZ9	ZZZZZZ9	ZZZZZ9	ZZZZ9	ZZZZ9	ZZZZ9	ZZZZ9	ZZZZ9	ZZZZ9
CAT. II XXXXXXXXXXXXXX												
CATEGORY TOTALS												

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OBTS SIMULATION MODEL DATE 99 99 99 PAGE 229

PRELIMINARY HEARING STAGE ANALYSIS.

SIMULATION CATEGORIES		ENTRY	EXIT				
		PH SCHED.	DISMISSED	FEL ARRAIGN COUNT	FEL ARRAIGN SCHEDULED TIME	MISD ARRAIGN COUNT	MISD ARRAIGN SCHEDULED TIME
CAT. I -	XXXXXXXXXXXXXX	22229.	22229	22229	2229	22229	2229
CAT. II -	XXXXXXXXXXXXXX						
CAT. TOTALS							

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PROGRAM TITLE

PROGRAMMER

STATLIST

CHART TITLE

OBTS SIMULATION MODEL

PROBATION STAGE ANALYSIS

DATE 99 99 99

SIMULATION CATEGORIES

ENTRY

PROBATION SENTENCE

EXIT

PROBATION VIOLATION COUNT TIME

RELEASED COUNT TIME

CAT. I

XYYYYYYYYYYYYY

ZZZZ9

ZZZZ9

ZZZZ9

ZZZZ9

ZZZZ9

CAT. TOTALS

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DATE ________

PROGRAM TITLE ________

PROGRAMMER OR DOCUMENTALIST ________

CHART TITLE ________

OBTS SIMULATION MODEL   DATE 99 99 99   PAGE ZZ9

PAROLE STAGE ANALYSIS

SIMULATION CATEGORIES		ENTRY		EXIT			
				PAROLE VIOLATION		RELEASED ON PAROLE	
		PAROLE SENT.	PAROLED FROM INSTIT	COUNT	TIME	COUNT	TIME
CAT. I	XXXXXXXXXXXXXX	ZZZZ9	ZZZZ9	ZZZZ9	ZZZ9	ZZZZ9	ZZZ9
CAT. TOTALS							

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OBTS SIMULATION MODEL DATE 99 99 99 PAGE 229

SENTENCE STAGE ANALYSIS

SIMULATION CATEGORIES		ENTRY							EXIT											
		GLTY PLEA	DEF VIOL	PROB VIOL	CONV FEL	CONV MISD	MOD FEL	MOD MISD	FINE ONLY	DEF	OTH SENT	JAIL CNT.	JAIL TIME	INSTIT. CNT.	INSTIT. TIME	PROBATION CNT.	PROBATION TIME	PAROLE CNT.	PAROLE TIME	
CAT. I	XXXXXXXXXXXXXX	ZZZ9	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229	Z229
CAT. TOTALS																				

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OBTS SIMULATION MODEL — DATE 99 99 99 — PAGE 229

FELONY TRIAL STAGE ANALYSIS

SIMULATION CATEGORIES		ENTRY		EXIT					
		JURY TRIAL	NON-JURY TRIAL	ACQUITTED	DISMISSED	CONV. ORIG CHG COUNT	CONV. ORIG CHG TIME	CONV. MOD. CHG COUNT	CONV. MOD. CHG TIME
CAT. I	XXXXXXXXXXXXXX	22229	22229	22229	22229	22229	2229	22229	2229
CAT. TOTALS									

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DATE ____

TITLE ____

TITLE ____

OBTS SIMULATION MODEL DATE 99 99 99 PAGE 229

INITIAL HEARING STAGE ANALYSIS

SIMULATION CATEGORIES		ENTRY			EXIT			
		COMM. W/O BAIL	RELEASED ON BAIL	RELEASED OR	PRELIM COUNT	SCHEDULED TIME	FELONY ARR. COUNT	SCH TIME
CAT. I	XXXXXXXXXXXXXX	ZZZZ9	ZZZZ9	ZZZZ9	ZZZZ9	ZZZ9	ZZZZ9	ZZZ9
CAT TOTALS								

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OGTS SIMULATION MODEL DATE 99 99 99 PAGE 229

MISDEMEANOR TRIAL STAGE ANALYSIS

SIMULATION CATEGORIES		ENTRY		EXIT					
		JURY TRIAL	NON-JURY TRIAL	ACQUITTED	DISMISSED	CONVICT ORIG CHG COUNT	CONVICT ORIG CHG TIME	CONVICT MOD. CHG COUNT	CONVICT MOD. CHG TIME
CAT. I	XXXXXXXXXXXXXX	22229	22229	22229	22229	22229	2229	22229	2229
CAT. TOTALS									

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…PRINT POSITION SPACING AT 10 CHARACTERS PER INCH, 6 LINES PER VERTICAL INCH) DATE

…AM TITLE

…MMER OR DO… LIST

TITLE

OBTS SIMULATION MODEL DATE 99 99 99 PAGE ZZ9

MISDEMEANOR ARRAIGNMENT STAGE ANALYSIS

SIMULATION CATEGORIES	ENTRY: COMMTD NO BAIL	ENTRY: RELEASED BAIL	ENTRY: RELEASED OR	ENTRY: REDUCE TO MISD	EXIT: GUILTY PLEA COUNT	EXIT: GUILTY PLEA TIME	EXIT: NON-JURY TRIAL COUNT	EXIT: NON-JURY TRIAL TIME	EXIT: JURY TRIAL COUNT	EXIT: JURY TRIAL TIME
CAT. I - XXXXXXXXXXXXXXX	ZZZZ9	ZZZZ9	ZZZZ9	ZZZZ9	ZZZZ9	ZZZ9	ZZZZ9	ZZZ9	ZZZZ9	ZZZ9
CAT. TOTALS	↓	↓	↓	↓	↓	↓	↓	↓	↓	↓

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FELONY ARRAIGNMENT STAGE ANALYSIS

SIMULATION CATEGORIES		ENTRY		EXIT					
		PRELIM HEAR WAIVED	ARRAIGN SCH AT PH	GUILTY PLEA COUNT	GUILTY PLEA TIME	NON-JURY TRIAL COUNT	NON-JURY TRIAL TIME	JURY TRIAL COUNT	JURY TRIAL TIME
CAT. I	XXXXXXXXXXXXX	22229	22229	22229	2229	22229	2229	22229	2229
CAT. TOTALS									

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PROGRAM TITLE

PROGRAMMER OR CONSULTANT

ART TITLE

BRIDGE CONTROL TAPE (MAG.)

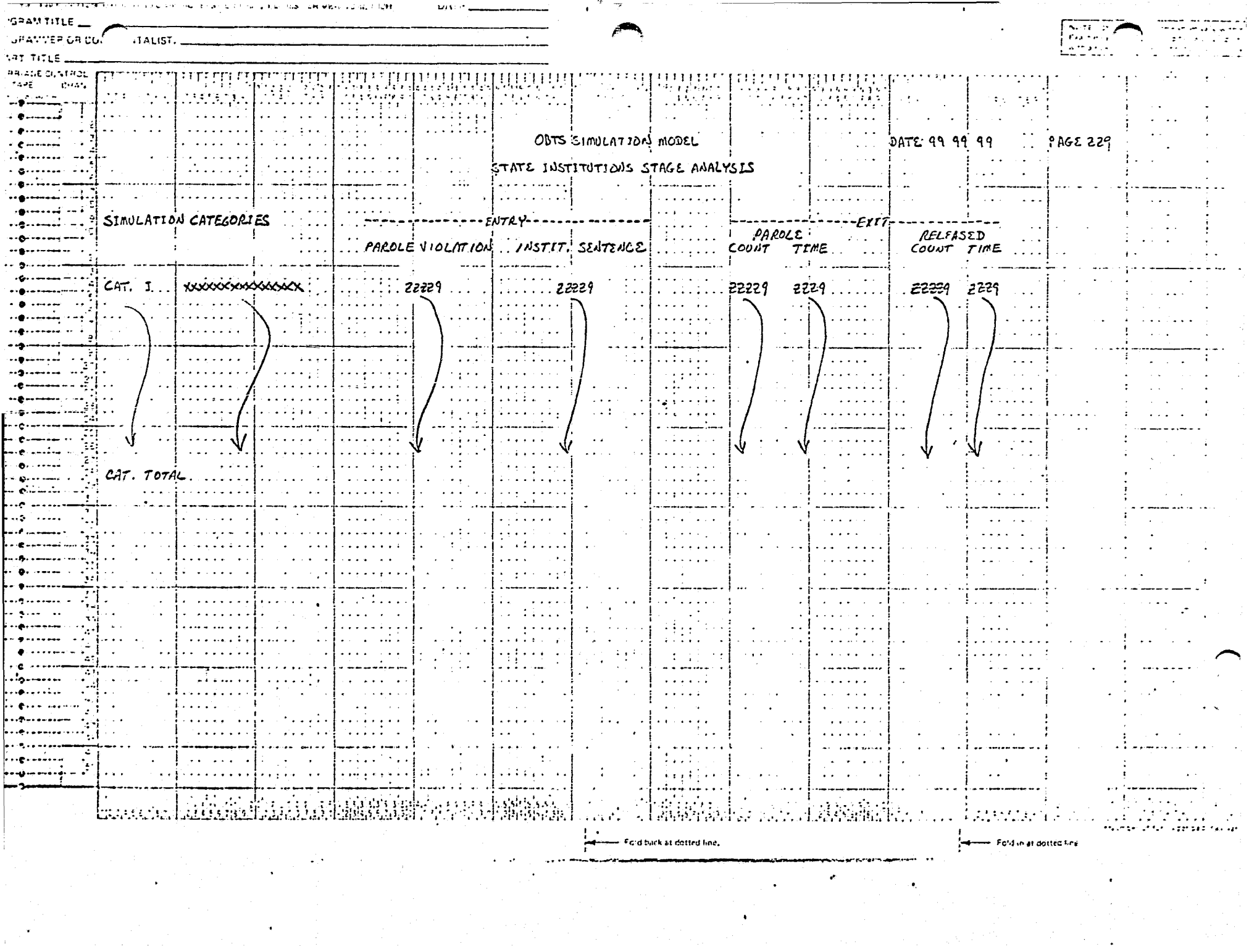
OBTS SIMULATION MODEL

STATE INSTITUTIONS STAGE ANALYSIS

DATE 99 99 99

PAGE 229

SIMULATION CATEGORIES		ENTRY		EXIT			
		PAROLE VIOLATION	INSTIT. SENTENCE	PAROLE COUNT	PAROLE TIME	RELEASED COUNT	RELEASED TIME
CAT. I.	XXXXXXXXXXXXXX	22229	22229	22229	2229	22229	2229
CAT. TOTAL.							



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OKLAHOMA CCH/OBTS SYSTEM

COMPUTER HARDWARE REQUIREMENTS

INTRODUCTION

This report is based on the premise that the Oklahoma CCH/OBTS System will be run on the existing IBM 360/40 Computer located at the Department of Public Safety. However, we are also providing background data on volumes and frequencies so that the detailed information will be available for planning for future hardware acquisition.

DATA ENTRY HARDWARE

All data entry for CCH/OBTS will be via keytape machines. OSBI will, however, have the option of on-line conversion followed by batch update (i.e., data are entered on an on-line log file which is processed daily).

The expected daily volume is 300 transactions which average 200 characters each, for a total (including verification) of 120,000 keystrokes per day. Assuming 4,000 keystrokes per hour per operator or verifier, 30 manhours per day will be required. On a one shift per day basis, 5 keytape machine will be required. The keytape machines must be able to handle record lengths of 200 characters. Future growth in daily transactions can be handled by providing additional keytape machines.

PROCESSING HARDWARE (COMPUTER MAINFRAME)

All programs are expected to require less than 52,000 bytes for compiling or object code. The foreground partition for application programs should be at least 8K and preferably 16K. This is in addition to the core requirements for FASTER, CICS or other telecommunications software.

PERIPHERAL HARDWARE

1. Tape Drives. CCH/OBTS will require 5 tape drives, preferably 1600 BPI. Alternatively, removeable disk packs could be used.

2. Disk Storage (On-Line). The requirements for on-line disk storage will increase over a period of time as historical data are converted. It is expected that, for the first two years, 100

offenders per day will be added to the Common Data Base, requiring approximately 300 on-line bytes per offender. Thus, the on-line storage requirement will grow at the rate of 30,000 bytes per day, resulting in a requirement for 11,000,000 bytes at the end of the first year and 22,000,000 bytes at the end of the second year. Assuming an eventual offender base of 200,000, the ultimate on-line file size should not exceed 60,000,000 bytes.

3. Terminals. It is recommended that terminals be made available to all sheriff's offices, major police departments, all state correctional insitiutions, and OSBI. While the present teletype system will support CCH, CRT terminals are highly recommended.

SOFTWARE

Operating System	- OS
Telecommunications	- FASTER or CICS (Cics Preferred)
Compilers	- COBOL, Assembler, RPG
Other	- General Purpose System Simulator (GPSS)

THE OKLAHOMA CCH/OBTS SYSTEM

SYSTEM DESIGN AND SPECIFICATIONS

GENERAL CONCEPTS

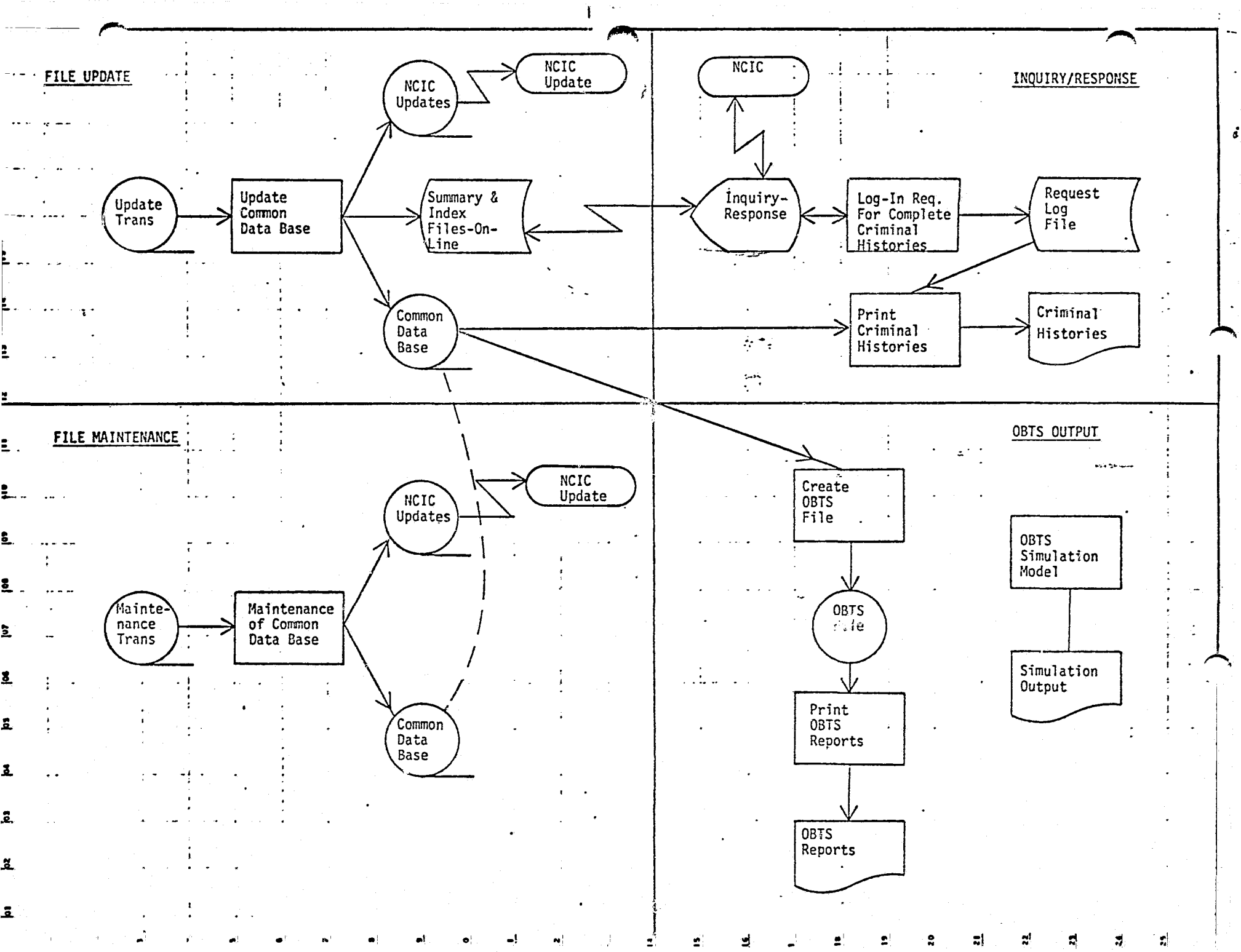
The Oklahoma CCH/OBTS System has been designed to meet two primary needs of criminal justice agencies. The CCH (Computerized Criminal Histories) part provides for the maintenance of computerized data on arrests, convictions and incarcerations and for rapid access to this information. CCH is an updated way of maintaining and providing so-called "rap sheets." OBTS (Offender-Based Transaction Statistics), on the other hand, is the statistical part of the system. Using the same data base, reports are produced for planning and research purposes. A simulation model is also an integral part of OBTS.

CCH and OBTS were consolidated into one system because they required the same data. By maintaining a common data base, common update programs and manual procedures could be used, thus eliminating costly duplication of effort.

Although CCH and OBTS is a consolidated system so far as the data base and manual porcedures are concerned, it has been divided functionally into four subsystems (See Systems Overview Chart): the File Update Subsystem, the File Maintenance Subsystem, the Inquiry/ Response Subsystem, and the OBTS Output Subsystem. There are three major advantages to this modular approach. First, future changes (e.g., new security and privacy requirements) will be easier to implement. Second, relatively infrequent processing (such as the File Maintenance Subsystem) will be separated from more frequent processing. Third, the modular approach simplifies programing and systems test, requires less core for compiling and running programs, and allow system's implementation to occur in segments.

The common data base will be updated from fingerprint cards and disposition report forms generated by the field. The data contained on this file include offender identification, arrest data, pre-trial dispositions, judicial dispositions and correctional dispositions. The common data base is made available to all four subsystems. However, certain restrictions based on security and privacy requirements limit access to the data.

The CCH System is designed to interface fully with the FBI's National Computerized Criminal History System (NCCH). Therefore, it is


FILE UPDATE
NCIC Updates
NCIC Update
Update Trans
Update Common Data Base
Summary & Index Files-On-Line
Common Data Base
NCIC
INQUIRY/RESPONSE
Inquiry-Response
Log-In Req. For Complete Criminal Histories
Request Log File
Print Criminal Histories
Criminal Histories
FILE MAINTENANCE
NCIC Updates
NCIC Update
Maintenance Trans
Maintenance of Common Data Base
Common Data Base
OBTS OUTPUT
Create OBTS File
OBTS File
Print OBTS Reports
OBTS Reports
OBTS Simulation Model
Simulation Output

important that all updates to the Oklahoma CCH/OBTS Common Data Base also update NCCH. This is provided for by first updating the Common Data Base and then transmitting the updates to NCCH. The transmission to NCIC is essentially in a batch-on-line mode, but the NCIC requirement for direct on-line data entry requires that the transmission program emulate direct on-line entry.

FILE UPDATE SUBSYSTEM

The File Update Subsystem (see systems flowchart) provides for the update and addition of records to the Common Data Base, the creation of the on-line files (Summary, Alpha Index and Fingerprint Index), and the emulated on-line update of NCCH files. The only input to the system consists of the following transactions:

- Identification
- Identification Add-On
- FBI Number Entry
- Arrest
- Arrest Disposition
- Pre-Trial
- Judicial
- Supplemental
- Custody-Supervision

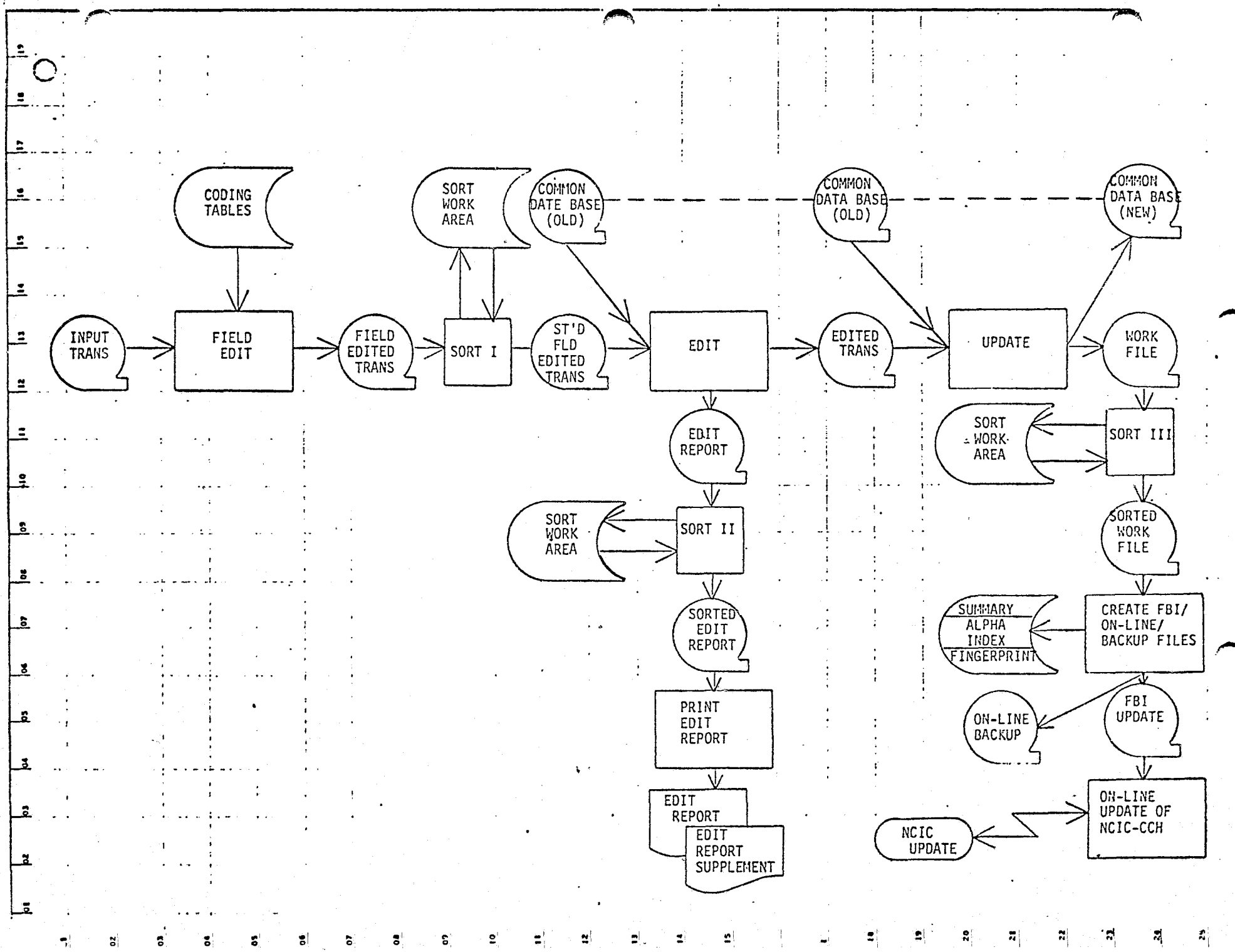
The Field Edit Program edits the individual data fields of the above input records. When a field is in error, a reject record is written to the output file. If an input record passes all the edit tests, it is written to the output file.

Sort I sorts the output from the Field Edit Program into the same sequence as the Common Data Base.

The Edit Program passes the Sorted Field Edited records against the Common Data Base to detect update and inter-record type errors. Error records are written to the Edit Report File as are error records from the Field Edit Program which are "passed through." Records passing the Edit Program criteria are written to the Edited Trans. File.

The Update Program updates the Common Data Base and writes two types of records to the Work File. The first type of record is that which updates the on-line files in a later program. The second type updates the NCCH files in a later program.

Sort III sorts the Work File for use in the next program.


CODING TABLES
SORT WORK AREA
COMMON DATE BASE (OLD)
COMMON DATA BASE (OLD)
COMMON DATA BASE (NEW)
INPUT TRANS
FIELD EDIT
FIELD EDITED TRANS
SORT I
ST'D FLD EDITED TRANS
EDIT
EDITED TRANS
UPDATE
WORK FILE
EDIT REPORT
SORT WORK AREA
SORT II
SORT WORK AREA
SORT III
SORTED WORK FILE
SORTED EDIT REPORT
SUMMARY
ALPHA INDEX
FINGERPRINT
CREATE FBI/ ON-LINE/ BACKUP FILES
PRINT EDIT REPORT
ON-LINE BACKUP
FBI UPDATE
EDIT REPORT
EDIT REPORT SUPPLEMENT
ON-LINE UPDATE OF NCIC-CCH
NCIC UPDATE

The Create FBI/On-Line/Backup Files Program loads the three on-line files (Summary, Alpha Index and Fingerprint Index) onto disk, creates the on-line Backup Files, and writes the FBI Update records to the FBI Update File (formatted for on-line transmission).

The On-Line Update of NCIC-CCH Program emulates direct on-line update of NCCH files.

FILE MAINTENANCE SUBSYSTEM

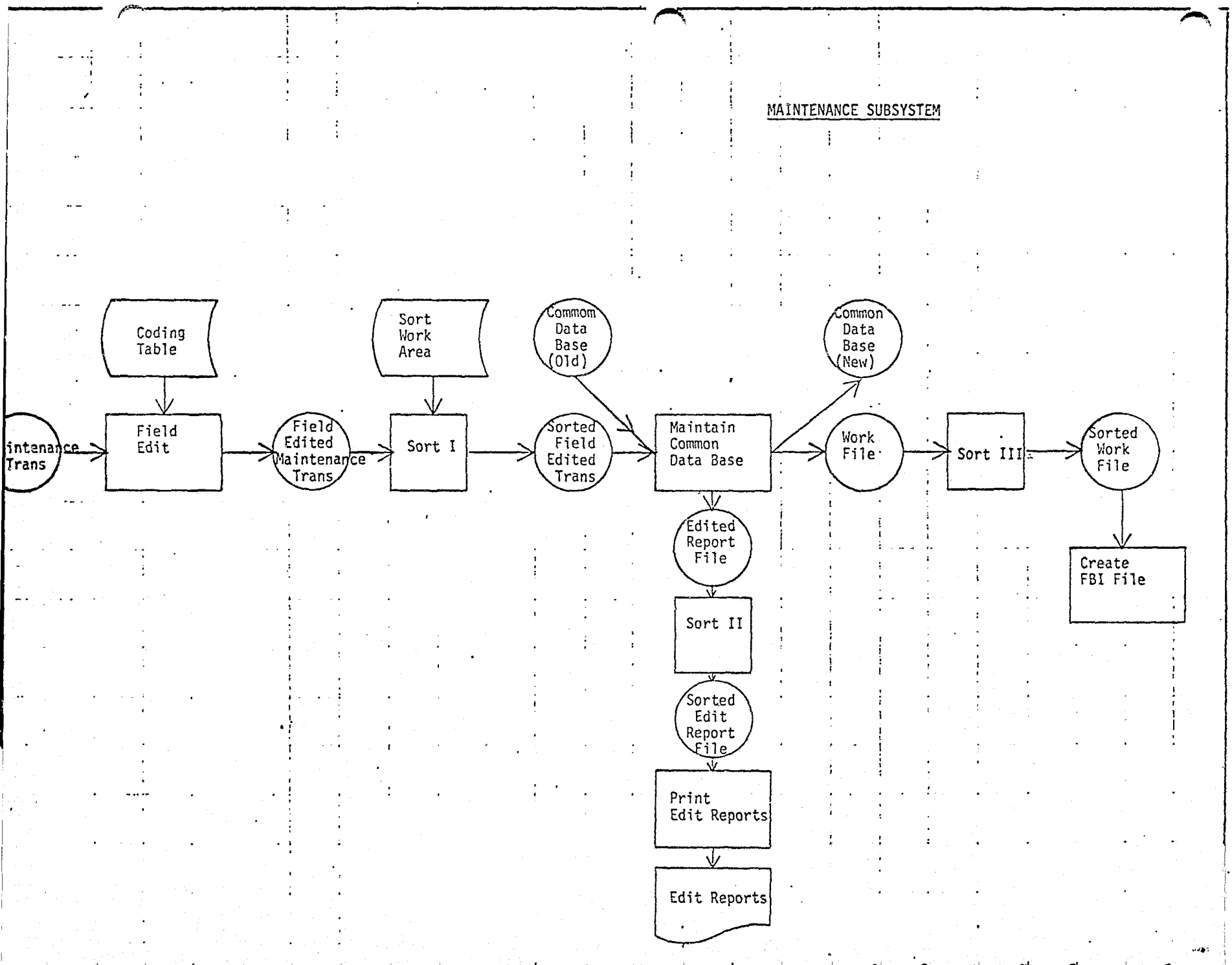
The File Maintenance Subsystem (see systems flowchart) provides for the modification, deletion (cancellation) and purging of Common Data Base records as well as the emulated on-line update of NCCH files. The input consists of the following transactions:

- Modify I.D. Segment
- Modify Arrest Segment
- Modify Pre-Trial Segment
- Modify Judicial Segment
- Modify Supplemental Segment
- Modify Custody Segment
- Cancel I.D. Add-On Segment
- Cancel Arrest Segment
- Cancel Pre-Trial Segment
- Cancel Judicial Segment
- Cancel Supplemental Segment
- Cancel Custody Segment
- Purge Cycle
- Purge Arrest Segment
- Purge Pre-Trial Segment
- Purge Judicial Segment
- Purge Supplemental Segment

The Field Edit Program edits the data in the above transactions. When a field is in error, a reject record is written to the output file. If an input record passes all the edit tests, it is written to the output file.

Sort I sorts the output from the Field Edit Program into the same sequence as the Common Data Base.

The Maintain Common Data Base Program has two primary functions: update type edits and Common Data Base maintenance. In addition, it creates and "passes through" edit rejects to the Edit Report File and creates and writes FBI update records to the Work File.


MAINTENANCE SUBSYSTEM
Coding Table
Sort Work Area
Common Data Base (Old)
Common Data Base (New)
intenance Trans
Field Edit
Field Edited Maintenance Trans
Sort I
Sorted Field Edited Trans
Maintain Common Data Base
Work File
Sort III
Sorted Work File
Edited Report File
Create FBI File
Sort II
Sorted Edit Report File
Print Edit Reports
Edit Reports

The Sort II, Print Edit Reports, Sort III and Create FBI File programs are identical to those of the File Update Subsystem.

INQUIRY/RESPONSE SUBSYSTEM

The Inquiry/Response Subsystem (see systems flowchart) allows for direct access to summary criminal history data and the printing of complete criminal histories. On-line (direct) access is to the indexed-sequential Summary, Alpha Index and Fingerprint Index files. Complete criminal histories, i.e., "rap sheets," are printed from the Common Data Base.

The Inquiry/Response Program provides for on-line access to the Oklahoma Summary, Alpha Index and Fingerprint files and the NCIC CCH files. The user can also request a cimplete criminal history (rap sheet) through this program. All requests are logged and the Security Alert Notifications warn of possible misuse of the system or unauthorized use.

Sort Request Log sorts the logged requests for rap sheets into OSBI Number and Requesting Agency (ORI) sequence.

Print Rap Sheets prints rap sheets from the Common Data Base in response to requests logged by the Inquiry/Response Program.

OBTS OUTPUT SUBSYSTEM

The OBTS Output Subsystem (see flowchart) provides statistical data for planning and research. In addition to standard reports, this subsystem also includes a simulation model and the capability to custom program special reports.

Create OBTS File is a program which generates the OBTS Master from the Common Data Base. The OBTS Master is identical to the Common Data Base except for the deletion of any data which might identify a criminal offender. Because offenders are not identified, the OBTS Master may be processed in unsecure data processing environments.

The Report Record Explosion Program generates records to print reports specified by parameter cards.

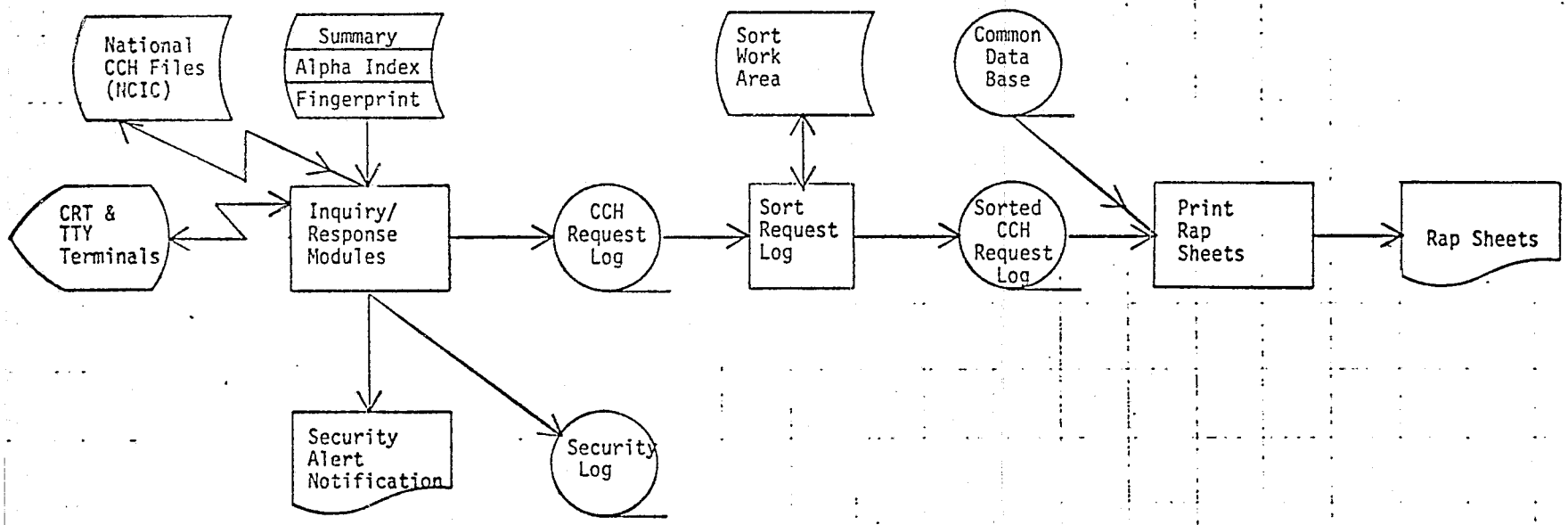
Sort Records sorts the Report File for printing.

Print Reports prints all reports specified by the parameter cards.

The Simulation Model is any standard model, such as GPSS (General Purpose System Simulator), which can handle multiple stations, queues, time frequency distributions and discriminate among exit points

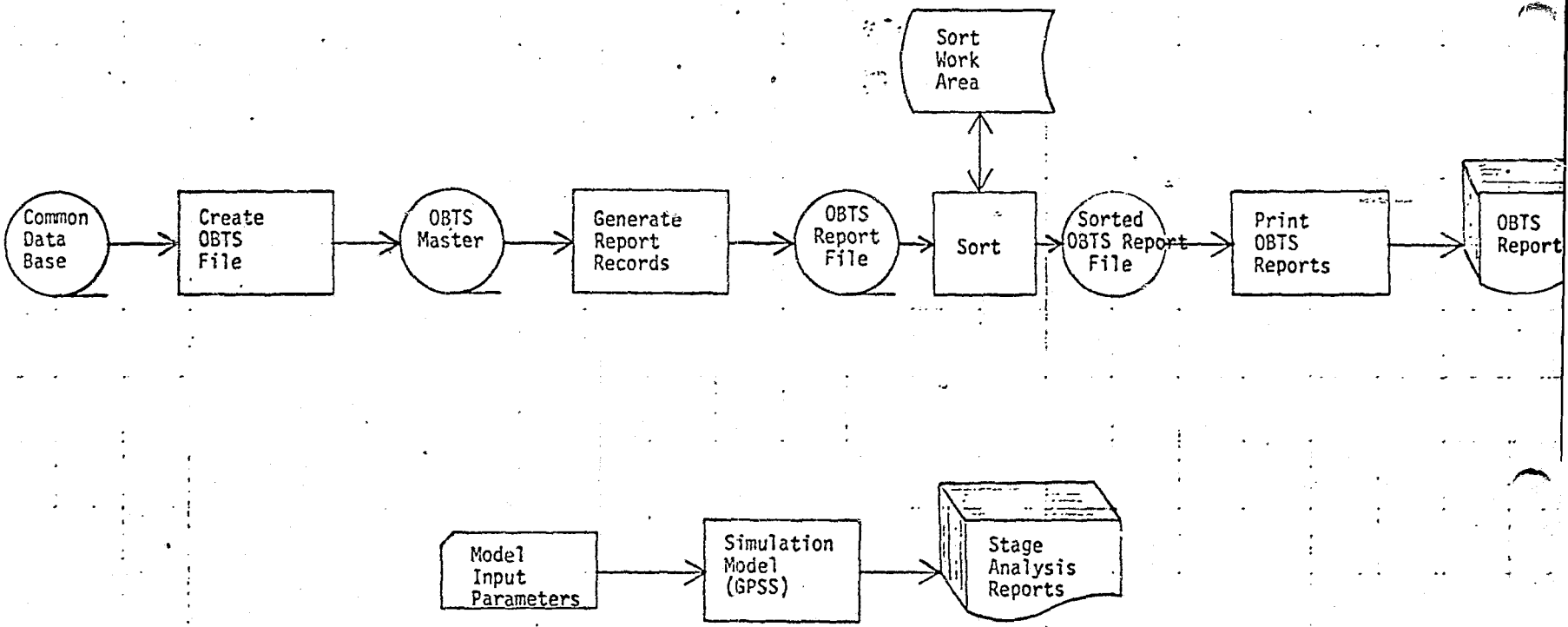
based on exit probabilities. It is used for planning and measures the impact of alternative courses of action on the criminal justice system as a whole, thus reducing the possibility of suboptimal solutions.

INQUIRY/RESPONSE SUBSYSTEM



Application _____ Date _____ Page _____ of _____

Procedure _____ Drawn By _____



COURT DISPOSITION REPORTING SYSTEMS TEST AND EVALUATION

INTRODUCTION

BACKGROUND

The Criminal Justice System is composed of a number of interrelated yet independent agencies, whose formal mission is to control crime. In attempting to accomplish this mission, the system strives to identify, accuse, try, convict, punish and/or rehabilitate offenders for violating the norms of society as expressed in the law. If the offender is followed from suspicion of having committed an offense to ultimate release, the segments through which he moves involve investigation and arrest, initial hearing, preliminary hearing, arraignment, trial, probation or incarceration, parole or mandatory release.

The various segments in Oklahoma's Criminal Justice System, whether it be law enforcement, prosecution/defense, courts, corrections or parole/probation require complete and timely operational information concerning the offender and what happens as he or she is processed through the system. This will be satisfied through the Computerized Criminal History System (CCH) which provides data on an offender's criminal record and his current status in the system.

Further, agencies have management responsibilities for planning and implementing realistic policies and/or procedures to ensure effective and efficient operations. To properly administer criminal justice, the various agencies involved need statistical information concerning offenders processed.

To satisfy these needs and requirements, the State of Oklahoma contracted with DataPHASE, Inc., to design and develop a CCH/OBTS Information System. The Case Disposition Reporting System (CDRS) component of the Oklahoma CCH/OBTS System is being developed to be the collection vehicle through which complete and timely criminal history information will be gathered and made available to all criminal justice agencies by the State.

The Oklahoma CDRS is also being designed to attain the highest degree of flexibility by encompassing four dimensions----EVENT, OFFENDER, AGENCY and PROCESS. With these dimensions, statistical applications can be generated to satisfy certain management information needs of the Criminal Justice System as well as the production of Offender-Based

Transaction Statistics (OBTS) in the following four generic areas:

- mortality information - or the number of individuals who exit the Criminal Justice System at various points compared to the total number being processed;

- information concerning the amount of time it takes to process an offender from one point in the system to another;

- information concerning the status of all offenders in the Criminal Justice System at any given point in time, and

- information concerning the impact of decisions or policies made at one level of the system on the activities associated with subsequent levels of the system.

GOALS AND OBJECTIVES

The goals of an undertaking define a desired end result. Objectives may be classified as sub-goals and define major events that must occur for the goal to be realized. In the case of the Oklahoma CCH/OBTS System, the goal is to implement a system which will:

- satisfy the need for immediate access to criminal records which are current and complete;

- satisfy the need for management, planning, and research data, and

- interface with the national CCH System.

In pursuit of this goal, several objectives must be achieved, one of which is "The design, development, operational test, and implementation of a reporting system capable of collecting and reporting information concerning criminal justice transactions on offenders arrested and fingerprinted in Oklahoma."

CASE DISPOSITION REPORTING SYSTEM (CDRS)

In order to meet the objective cited above, several major tasks were performed during late 1974 and the first three quarters of 1975. They were

- a definition of the existing Criminal Justice System in

Oklahoma including agencies, procedures, document flow, volumes of work, and file lay-outs;

- a requirements analysis, defining information requirements of criminal justice agencies in Oklahoma in order to tailor the reporting system to meet these specific needs;

- design and development of a form capable of collecting the information required, and

- development of procedures to insure that the form would be completed and routed to the proper place at the proper time.

Having accomplished the above, two tasks remained:

- operational test of the reporting system (forms and procedures), and

- statewide implementation of the system.

The last task, statewide implementation, was beyond the scope of the first phase of this project. An operational test of the reporting system was conducted in Lawton, Oklahoma, between July 21 and August 28, 1975. The purpose of the test was to:

- determine the utility of the CDR form in terms of how easy or difficult it was to complete, if it collected the information required, and what changes could be made in the form to make it easier to understand, easier to complete, and more useful;

- determine the workload impact of completing the CDR form in terms of tasks it could eliminate, tasks it would consolidate, with an overall increase or decrease in workload;

- determine if the forms were routed to proper agencies at the proper time, and if not, why and what could be done to overcome these problems.

For purposes of the test, all persons arrested and fingerprinted during the test period were included. Additionally, all defendents in process at the District Court level of the system (except for traffic offenses and other misdemeanor citations) were included, if their cases were acted on during the test period.

Corrections agencies were not included within the scope of this test. Local jails were included only to the extent that they were a

detaining facility for defendants awaiting trial. As a facility which houses inmates sentenced to serve a period of incarceration, they were not included within the scope of the test.

Both Corrections agencies and local jails will be included in the on-going system. In the on-going system, the receipt of a court disposition form at OSBI indicating an offender being sentenced to some form of correctional control will trigger the generation of an automated corrections tracking form which will be sent to the receiving Correctional agency for appropriate action.

The CDR operational test used one basic form containing five parts. Those five parts were as follows:

Part 1 - included identification and arrest information, and was completed at booking. Information contained on the top half of this part was carboned through on the other four parts of the form.

Part 2 - was a booking report designed to take the place of booking reports currently in use. This form was for the convenience and internal use of the arresting agencies.

Part 3 - was an arrest disposition form. Frequently an arrest disposition is unknown at time of booking. This part was to be held by the agency detaining the arrestee until such time as an arrest disposition was effected. At that time, the form was to be completed.

Part 4 - included information concerning actions taken by the City Prosecutor or District Attorney. When final prosecutive disposition was made for all charges listed, the form was to be completed.

Part 5 - included information concerning judicial action from the initial hearing through trial and sentencing. At the time of sentencing or at such time as the judicial action caused the defendant to exit from the system, this form was to be complete.

Agencies participating in the study included the Police Department, Sheriff's Office, Municipal Court, City Prosecutor, District Attorney, District Court, and the Oklahoma State Bureau of Investigation. Each agency was provided an appropriate number of forms and copies of a procedures manual developed for the test. Personnel in each agency were briefed on the reporting system, the purpose of the test, and their role in it. Additionally, members of the project team aided

CONTINUED

1 OF 2

agencies in establishing internal procedures for intra and inter-agency routing of the forms. After the initial briefing and establishment of routing procedures, the members of the project team visited participating agencies weekly to answer questions and resolve problems encountered with the completion and/or routing of the CDR form.

CDR TEST EVALUATION

Evaluation attempts to measure the extent to which a goal, objective, or task has been achieved and why an effort succeeded or failed. As such, evaluation was considered an intregal part of the operational test. In order to assess the results of the test, three criteria were established:

- Participator Understanding and Acceptance - if the test was to be successful, the forms and procedures had to be easy to understand and use. Also, participating agency personnel have to accept the system as being needed and worthwhile, and would have to perceive the forms and procedures to be a logical way of collecting the information required.

- Workload Impact - if the on-going system was to be practical and feasible, the overall workload increase would have to be minimal.

- Forms Design and Flow - if the test were successful, forms would have to flow in such a manner that they would be at the proper place at the porper time and would capture the information required.

Two procedures were employed to assess test experience against the four criteria outlined above: interviews with participating agency personnel, and analysis of the information collected during the test. The following section describes the results of the test evaluation. It is followed by a third section which recaps the recommendations for change in the sytem prior to full scale implementation.

EVALUATION RESULTS

CDR FORM PART 1 - IDENTIFICATION AND ARREST[1]

Participator Understanding and Acceptance

Project team members interviewed law enforcement personnel participating in the test and asked if they felt CDR Part 1 was easy or difficult to complete and what changes could be made that would facilitate its completion.

All personnel interviewed indicated that CDR Part 1 was easy to understand and complete with one exception; the statute citation data field. One agency decided not to take the time that would be necessary to look-up the statute citation for each charge, the other attempted to record this item and did so for 61.6% of the total charges they logged. Personnel suggested that an alphabetical list of charges with accompanying statute numbers would facilitate completion of this information in a minimal amount of time.

There were no recommendations made concerning design or content changes to Part 1. Personnel seemed pleased with its current structure.

In addition to interview results, an analysis of the test forms for each data item on Part 1 was performed. The results of this analysis are summarized on the following page in Table 1.

The purpose of this analysis was to determine the degree to which agency personnel's perceptions of Part 1's simplicity was supported by the actual test data. As can be seen from Table 1, the majority of problems centered around data omissions, the most significant of which was the Statute Citation Field, followed by Scars, Marks, etc., Arresting Agency File Number, Social Security Number and Arresting Agency I. D., in that order. Those fields where data was recorded inadequately were less of a problem with the major difficulties centering around these items: Address Quality of the flat print, and use of non-standard abbreviations in the charge description field.

Training, an alphabetical list of charges accompanied by their statute citations, and internal quality control checks could resolve both problem areas.

---

[1]See Appendix A for a copy of CDR Part 1

Sample Size: 260 Forms
360 Charges

DATA FIELD	DATA OMISSIONS		DATA RECORDED INADEQUATELY		IN ERROR	
	#	% of total	#	% of total	#	% of total
1. Arresting Agency *	9	3.5%	-*	----	1	.3%
2. Date of Arrest	6	2.3	-	----	-	----
3. Name	-	----	-	----	-	----
4. Address	4	1.5	41	15.8	-	----
5. Sex	-	----	-	----	-	----
6. Race	-	----	-	----	2	.8
7. Height	2	.8	-	----	-	----
8. Weight	2	.8	-	----	-	----
9. Date of Birth	2	.8	-	----	-	----
10. Social Security Number	14	5.4	-	----	-	----
11. Scars, Marks, etc.	44	16.9	3	1.2	1	.3
12. Arresting Agency File No.	25	9.6	-	----	-	----
13. Statute Citation	243	67.5	-	----	-	----
14. Misdemeanor/Felony	10	2.8	-	----	-	----
15. Charge Description	1	.3	14	3.9	-	----
16. Date of Offense	1	.3	-	----	-	----
17. Warrant Number	N/A		N/A		N/A	
18. Flat Print	7	2.7	19	7.3	-	----

Table 1

* Procedures Manual indicated agencies should record in this Field their NCIC 9-digit identifier. One did; the other recorded its name. However, for this analysis, the agency's name was considered adequate.

Workload Impact

Interviews with participating agency personnel indicated that if in the on-going system, submission of CDR Part 1 to OSBI could substitute for the standard fingerprint card they currently submit, they would realize a net savings of time. Thus, the workload impact on participating law enforcement agencies would be favorable.

Forms Design and Flow

As previously stated under Participator Understanding and Acceptance, agency personnel seemed pleased with current structure and content of CDR Part 1. Additionally, no problems were experienced with the routing of this form during the test and no problems are expected in the on-going system.

CDR FORM PART 2 - BOOKING REPORT[2]

This part of the CDR form is not truly a part of the reporting system. It was included as part of the form for test purposes as a result of these factors:

1) A recognition that such a form could result in the elimination of 2 or more forms in many law enforcement agencies;

2) The potential that such a form had to save personnel time in law enforcement agencies, and

3) One of the CDR test agency's heads desired to test a form of this nature.

The results of the test indicated that this form was, in fact, easy to understand and use and that the workload impact might well be advantageous to an agency implementing the form. Several design suggestions were made concerning format and content of the form that included the following:

1) Squeeze the second and third blocks of information up towards the top half of the form and ink out the open space for details of the arrest, thus making the form a combined booking and arrest form;

2) Provide space for the arresting officer's signature and badge number;

3) Provide space for the arrestee's signature that all property taken from him is listed on the form;

---

[2]See Appendix B for a copy of CDR Part 2

4) Space for an agency jail number in addition to the arresting agency file number;

5) Additional copies of the form are needed (Chief and Detective copies, for example);

6) Additional copies of the property portion of the form are needed (to staple to the property bag for example), and

7) Additional room is needed to record a description of the property being held.

Persons interviewed stated that with the above modifications, the booking form could be readily used within their agencies.

With respect to the design changes suggested, it is felt that persons interviewed attempted to ascertain how the booking form could fit into their existing way of "doing business" with no change or minimal change. It is evident from analyzing the test agencies as well as other agencies in Oklahoma that everyone "conducts business" a little differently. Some changes can be made to improve the form without changing the overall concept. However, in order to keep the concept of making the booking report part of the CDR form, existing agency procedures will have to change. With this in mind, the following recommendations are made:

1) Incorporate suggestions 1-4 above into the final form,

2) For agencies requiring additional copies, they should Xerox same, and

3) For agencies requiring additional copies of the property portion of the form, alternative methods should be devised to eliminate this need. For example, recording a property number and the arrestee's name on the property bag and recording the property number on the booking form would be one alternative way of resolving the need for an additional copy of the property portion of the booking report.

CDR PART 3 - ARREST DISPOSITION[3]

Participator Understanding and Acceptance

Interviews with agency personnel participating in the test indicated that CDR Part 3 was easy to understand and complete with three exceptions:

1) The lack of specificity in the Arrest Dispositions provided on the form,

2) That a date is requested in the charge column but this does not "leap out" at the individual completing the form, and

3) There should be space provided to record the amount of the bond.

Personnel interviewed felt the need for an arrest disposition form was justified but felt it could be improved in the areas mentioned above.

An analysis of CDR Part 3 forms was completed during the tests to support a contention of those interviewed. The analysis, summarized below in Table 2, indicates that over 1/3 of the forms had no date recorded or a check in lieu of the date.

PROBLEMS	NUMBER	% OF TOTAL FORMS
1) Date left blank or ✓ in lieu of date	99	38.1%
2) * Disposition information in wrong field	12	4.6%
3) Inadequate explanation of "other"	2	.8%

Table 2

Since the arrest dispositions provided on the form parallel those of the National CCH System, it is felt that they should not be modified

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[3] See Appendix C for a copy of CDR Part 3

*Example: "Posted Bond" recorded in "Other" category
"Posted $100 in Bond" recorded in "Released-Own Recog".
Disposition listed at bottom of page in free text

to any great extent. The problem could be resolved by providing agencies with a glossary of terms which specifies in detail the release actions and disposition appropriate for each arrest disposition listed on the form plus the following changes:

1) Reverse the order of "Released-Bail Bond" and "ReleasedpOwn Recog;"

2) Change "Held Without Bail" to "Committed Without Bail;"

3) Eliminate "Bail Forfeited," "Held in Default of Bail," and "Other" as arrest dispositions, and

4) Add a separate block at the bottom of CDR Part 3 for "Transferred for County Jail" and the date of such action.

The date problem could be resolved by placing a "M__, D__, Y__" on each line of each column. Space could also be provided for recording the bondsman, amount of bond, and any other pertinent information surrounding the arrest disposition with only minor modification to the current structure of the form.

The other problems surfaced in the analysis of completed forms (date in the wrong field and inadequate explanation for "other") could be resolved by an internal quality control check prior to submitting the form to OSBI.

Workload Impact

Based on interviews with personnel participating in the test, the small amount of extra time required to complete CDR Part 3 makes the workload impact of this form minimal.

Forms Design and Flow

Personnel interviewed made no comments relative to the structure and content of CDR Part 3 other than those made under the section Participator Understanding and Acceptance.

With regard to the routing of this form from one agency to another, personnel indicated that the form did not always stay with the arrested person. As a result, two situations occurred which created problems with the successful completion of CDR Part 3's:

1) Forms which should have stayed at the City Jail were sent to the Municipal Court, and

2) Forms which should have been routed to the County Jail remained at the City Jail or were sent to the County several hours to days after the prisoner was transferred.

In analyzing the completed forms, it was found that the majority of CDR Part 3's which were part of City arrests had never been separated from CDR Parts 4 and 5, the Prosecutor and Court forms.

In order to resolve these routing problems in the on-going system, CDR Part 3 should "travel" with the arrested person as indicated in the CDR Procedures Manual.

CDR FORM PART 4 - PROSECUTION DATA[4]

The staff member in the District Attorney's Office who participated in the test indicated that CDR Part 4 was easy to understand and use and presented no appreciable workload impact on that office. Municipal Court Clerk personnel completed Part 4 for the City Prosecutor. Personnel in that office reflected basically the same thoughts as those of the District Attorney's Office with regard to CDR Part 4.

One minor suggestion made by the D. A.'s office was to add some other prosecutive disposition to the form--"Declined to File."

With regard to routing of CDR Part 4, the District Attorney's office was to receive this Part and Part 5 from the County Jail. In felony cases effected by the Lawton P.D. and in some cases made by the Sheriff's office, Parts 4 and 5 were not received by the D.A.'s office until some time after the case had been filed with the District Court Clerk. This created additional processing steps in both the D.A. and Clerk's office. In addition, the staff person in the D.A.'s office did not understand until well into the test that CDR Part 5 should be given to the Court Clerk at the time a case was filed in order to minimize processing time in that office. These events caused the flow of the CDR form to be out of synchronization with other paperwork relative to a case which, in turn, placed an extra workload burden on each of the two offices that was unnecessary.

CDR FORM PART 5 - JUDICIAL DISPOSITIONS[5]

Participator Understanding and Acceptance

Participating Municipal and District Court personnel interviewed advised that CDR Part 5 was easy to understand. It was also judged easy to use when:

1) It came to them detached from the other parts of the form;

2) When information on the top half of the form (carboned through from CDR Part 1) was legible, and

---

[4]See Appendix D for a copy of CDR Part 4
[5]See Appendix E for a copy of CDR Part 5

3) When it arrived at the proper time (see preceding paragraph).

Workload Impact

District Court Clerk personnel indicated that they felt the workload impact of CDR's on their operation would not be substantial and could be absorbed into their day to day operations without much trouble. They further advised that if the CDR System could generate the Criminal portion of the Criminal Report they now provide to the State Court Administrator, it might result in a net savings of time over the course of the year. Additionally, they stated that regardless of the net workload impact, if CDR could generate the Criminal portion of the Annual Report, ir would be a major advantage in "selling" the system to the District Court Clerks in Oklahoma.

With regard to workload impact on Municipal Court Clerks, personnel interviewed agreed that in low volume courts, it would be minimal and in high volume courts, it could be significant. Considering an overall processing time of one form every two minutes in high volume courts, a court with a daily calendar of 240 cases could justify one additional person full time.

Forms Design and Flow

With regard to forms design, court personnel had several specific suggestions for improvement including:

1) Do not use carbon interleaf forms because image quality on the fifth copy is poor and carbon smudging is a problem;

2) Either improve the quality (sharpness) of the carbonless image on the fifth copy or reduce the number of copies per form;

3) If carbonless (NCR) forms are used, only the top portion of the first four parts should be sensitized. Otherwise, information meant for Parts 2 and 3 (booking report and arrest disposition) appear on Parts 4 and 5 (Prosecution Data and Judicial Dispositions) also;

4) Allow more space to record dates and case numbers;

5) Add "Misdemeanor and Felony" opposite block titles (4) Trial, (5) Verdict (Disposition), (6) Changes in Charges, and (7) Sentencing, and

6) In the sentencing block, record jail time in months and days, not year and months, add a "Sentence Deferred" column, and a "Court Costs" column.

With regard to routing of CDR Part 5, both Court Clerks advised that often times the forms would arrive late creating additional processing steps for them. Therefore, careful attention should be given during implementation to the development of procedures to insure that this form arrives at the proper place at the proper time.

Another routing problem identified by the Municipal Court Clerk was how to handle a form which contained a city misdemeanor charge and a felony charge. This truly presents a problem in having CDR Part 5 arrive at the proper place at the proper time. One solution to the problem would be to have a separate CDR form completed at booking for the misdemeanor charge and record the same CDR number on that separate form.

Court Clerks also asked how changes in sentences would be handled by the CDR System. They were advised that in the on-going system, there would need to be an Add/Modify/Delete form to accommodate such changes.

Court Clerks also asked what should be done with CDR Part 5 in the event a defendant failed to appear for trial. This could be handled as follows:

- The Clerk could fill out a separate form notifying OSBI of the failure to appear and hold CDR Part 5 in their case file until the defendant is apprehended and further action on the case occurs.

IMPLEMENTATION CONSIDERATIONS

There are several approaches that could be taken in implementing the CDR System statewide. Based on the test experience and other states' experience, it is recommended that the following suggestions become part of the State's implementation strategy:

1) Implement the system in one judicial district at a time rather than attempting to bring the system up statewide all at once;

2) A design team should be established that will go to each agency prior to implementation and

   a) Discuss the system with the agency head and other personnel,

   b) Define each agency's existing system of processing paperwork, and

   c) Design and recommend procedures for smooth integration of the CDR form flow into each agency's system which also insures that the various parts of the CDR form are routed to the proper place at the proper time,

3) Agency personnel should be provided initial training (4-8 hours) in completing and processing the CDR form and a Procedures Manual to keep;

4) Following initial training, the system should be implemented;

5) Follow-up visits should then be made to hit on "de-bugging" procedures and handling misinterpretations on the proper completion and routing of the form, and

6) After initial follow-up and de-bugging problems can be resolved as they are identified either by phone, computer terminal, or personal visit by a CDR Field Representative.

CONCLUSION

Overall, the CDR Pilot Test was successful. Participating agency personnel, for the most part, had no problems understanding the system. Most of them felt it to be a highly worthwhile effort which they hoped would be implemented statewide. Several suggestions were made to improve the CDR form and routing problems (both intra and inter-agency) were identified and methods devised to resolve them. Additionally, workload impact was felt to be minimal by most agencies. Based on test results, it is felt that the prototype system can be modified to incorporate appropriate suggestions and implemented statewide without severe problems.

CASE DISPOSITION REPORT (TEST)

STATE OF OKLAHOMA

ARRESTING AGENCY _____

DATE OF ARREST (MO-DY-YR) _____

NAME (LAST, FIRST, MIDDLE)				ADDRESS (STREET, CITY, STATE)		
SEX	RACE	HGT	WGT	DATE OF BIRTH	SOC. SECURITY NO.	SCARS, MARKS, TATTOOS, AND AMPUTATIONS
ARRESTING AGCY FILE NO.		OSBI USE ONLY		OSBI No.		FBI No.

ENTER ONLY ONE CHARGE PER LINE BELOW. USE ANOTHER FORM IF THERE ARE MORE THAN FOUR CHARGES.

CHARGE NO.	STATUTE CITATION	MISD. FEL.	LEAVE BLANK	CHARGE DESCRIPTION	DATE OF OFFENSE	WARR NUMB
1						
2						
3						
4						

FINGERPRINT CLASSIFICATION (OSBI USE ONLY)

LEFT FOUR FINGERS TAKEN TOGETHER	L. THUMB	R. THUMB	RIGHT FOUR FINGERS TAKEN TOG

APPENDIX A

CASE DISPOSITION REPORT (TEST)

STATE OF OKLAHOMA

ARRESTING AGENCY _____

DATE OF ARREST (MO-DY-YR) _____

NAME (LAST, FIRST, MIDDLE)				ADDRESS (STREET, CITY, STATE)		
SEX	RACE	HGT	WGT	DATE OF BIRTH	SOC. SECURITY NO.	SCARS, MARKS, TATTOOS, AND AMPUTATIONS
ARRESTING AGCY FILE NO.				OSBI USE ONLY OSBI No.		FBI No.

ENTER ONLY ONE CHARGE PER LINE BELOW. USE ANOTHER FORM IF THERE ARE MORE THAN FOUR CHARGES.

CHARGE NO.	STATUTE CITATION	MISD. FEL.	LEAVE BLANK	CHARGE DESCRIPTION	DATE OF OFFENSE	WAR NUM
1						
2						
3						
4						

OFFENSE REPORT NO.	TIME OF ARREST	ARRESTING OFFICER	PLACE OF ARREST
DRIVER LIC. NO.	ARMED SERVICES BRANCH AND I.D. NO.		OTHER IDENTIFYING NUMBERS
OCCUPATION	EMPLOYED BY (NAME, ADDRESS, PHONE)		

ARRESTEE'S CONDITION

NORMAL ☐ INTOXICATED ☐ ILL ☐ INJURED ☐ OTHER _____

IN CASE OF EMERGENCY NOTIFY: (NAME, ADDRESS, PHONE, RELATIONSHIP)

PROPERTY INFORMATION

PROPERTY FILE NO.	CASH $
WALLET ☐ PURSE ☐ WATCH ☐ RING ☐	
OTHER (ITEMIZE)	

I HEREBY CERTIFY THAT I HAVE RECEIVED ALL PROPERTY HELD

_____

INMATE'S SIGNATURE

HOLDS				
BOOKED BY	REASON FOR RELEASE			JUDGE
SEARCHED BY	RELEASED BY	DATE RELEASED	TIME RELEASED	RELEASED TO

ARRESTING AGENCY COPY

APPENDIX

D N

CASE DISPOSITION REPORT (TEST)

STATE OF OKLAHOMA

ARRESTING AGENCY

DATE OF ARREST (MO - DY - YR)

NAME (LAST, FIRST, MIDDLE) ADDRESS (STREET, CITY, STATE)

SEX RACE HGT WGT DATE OF BIRTH SOC. SECURITY NO. SCARS, MARKS, TATTOOS, AND AMPUTATIONS

ARRESTING AGCY FILE NO.	OSBI USE ONLY OSBI No.	FBI No.

ENTER ONLY ONE CHARGE PER LINE BELOW. USE ANOTHER FORM IF THERE ARE MORE THAN FOUR CHARGES.

CHARGE NO.	STATUTE CITATION	MISD. FEL.	LEAVE BLANK	CHARGE DESCRIPTION	DATE OF OFFENSE	WARR NUMB
1						
2						
3						
4						

ARREST DISPOSITION

DISPOSITION	CHARGE 1 MO - DAY - YR	CHARGE 2 MO - DAY - YR	CHARGE 3 MO - DAY - YR	CHA MO -
RELEASED - BAIL BOND				
RELEASED - OWN RECOG				
RELEASED - CASH BAIL				
RELEASED - NO FORMAL CHARGE				
RELEASED - OTHER (SPECIFY)				
HELD WITHOUT BAIL				
REFERRED TO JUVENILE COURT				
TURNED OVER TO ANOTHER AGENCY				
TURNED OVER TO A NON-LAW ENFORCEMENT AGENCY				
BAIL FORFEITED				
HELD IN DEFAULT OF BAIL				
DECEASED				
NO BILL RETURNED FROM GRAND JURY				
DISMISSED WITHOUT TRIAL/NOLLE PROS				
ESCAPED (WANTED)				
OTHER				

AGENCY OF CUSTOD

APPENDIX

CR. NO.

CASE DISPOSITION REPORT (TEST)

STATE OF OKLAHOMA

ARRESTING AGENCY _____

DATE OF ARREST (MO-DY-YR) _____

NAME (LAST, FIRST, MIDDLE)				ADDRESS (STREET, CITY, STATE)		
SEX	RACE	HGT	WGT	DATE OF BIRTH	SOC. SECURITY NO.	SCARS, MARKS, TATTOOS, AND AMPUTATIONS
ARRESTING AGCY FILE NO.				OSBI USE ONLY	OSBI No.	FBI No.

ENTER ONLY ONE CHARGE PER LINE BELOW. USE ANOTHER FORM IF THERE ARE MORE THAN FOUR CHARGES.

CHARGE NO.	STATUTE CITATION	MISD. FEL.	LEAVE BLANK	CHARGE DESCRIPTION	DATE OF OFFENSE	WARR NUMB
1						
2						
3						
4						

COURT _____

COUNTY _____

JUDICIAL DISPOSITIONS

1. INITIAL HEARING (FELONY ONLY)

CHG NO.	HEARING DATE MO-DAY-YR	CASE NO. (CRF NUMBER)	DISPOSITION (CHECK ONE FOR EACH CHARGE) PRELIMINARY HEARING SCHEDULED	PRELIMINARY HEARING WAIVED
1			☐	☐
2			☐	☐
3			☐	☐
4			☐	☐

2. PRELIMINARY HEARING (FELONY ONLY)

CHG NO.	DATE OF PRELIMINARY HEARING MO-DAY-YR	TYPE COUNSEL (CHECK ONE FOR EACH CHARGE) PRIVATE	COURT APPOINTED	PUBLIC DEFENDER	SELF	PRELIMINARY HEARING RESULTS (CHECK ONE FOR EACH CHARGE) HELD	HELD-RED TO MISDEMEANOR	DISMISSED	OTHER (EXPLAIN)
1		☐	☐	☐	☐	☐	☐	☐	
2		☐	☐	☐	☐	☐	☐	☐	
3		☐	☐	☐	☐	☐	☐	☐	
		☐	☐	☐	☐	☐	☐	☐	

3. ARRAIGNMENT (FELONY AND MISDEMEANOR)

CHG NO.	ARRAIGNMENT DATE MO-DAY-YR	CASE NO. (CRF OR CRM No.)	PLEA (CHECK ONE FOR EACH CHARGE) GUILTY	NOT GUILTY	NOLO CONTEND
1			☐	☐	☐
2			☐	☐	☐
3			☐	☐	☐
4			☐	☐	☐

COURT CLERK'S COPY

4. TRIAL

CHG NO	DATE TRIAL BEGINS Mo - DAY - Y.	TYPE FILING (CHECK ONE BOX PER CHG) INFORMATION	GRAND JURY INDICTMENT	REVISED PLEA GUILTY	NOT GUILTY	TYPE COUNSEL (CHECK ONE BOX PER CHARGE) PRIVATE	COURT APPOINTED	PUBLIC DEFENDER	SELF	TYPE TRIAL (CHECK ONE BOX PER CHG.) JURY	NON-JURY
1		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
2		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
3		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
4		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

5. VERDICT (DISPOSITION)

HG NO.	VERDICT DATE Mo - DAY - Y.	DISPOSITION (CHECK ONE BOX FOR EACH CHARGE) ACQUITTED	ACQUITTED-INSANITY	ACQUITTED-INCOMPETENCE	DISMISSED	DISMISSED-INSANITY	DISMISSED-COMPETENCE	CONVICTED	MISTRIAL	OTHER
1		☐	☐	☐	☐	☐	☐	☐	☐	☐
2		☐	☐	☐	☐	☐	☐	☐	☐	☐
3		☐	☐	☐	☐	☐	☐	☐	☐	☐
4		☐	☐	☐	☐	☐	☐	☐	☐	☐

APPEALED ☐

6. CHANGES IN CHARGES

IG NO.	STATUTE CITATION	FELONY/ MISD.	LEAVE BLANK	CHARGE DESCRIPTION	REDUCED CHARGE?
2					
3					
4					

7. SENTENCING

G	SENTENCE DATE Mo - DAY - YR.	CONCURRENT OR CONSECUTIVE SENTENCES?	JAIL YRS MOS	STATE INSTITUTION YES MO	FINE	PROBATION YRS MOS	UNSUPERVISED PROBATION YRS MOS	SUSPENDED SENTENCE YRS MOS	SENTENCED TO TIME SERVED & REL.	OTHER (DESCRIBE BELOW)
			MIN	MIN	$				☐	☐
			MAX	MAX						
			MIN	MIN	$				☐	☐
			MAX	MAX						
			MIN	MIN	$				☐	☐
			MAX	MAX						
			MIN	MIN	$				☐	☐
			MAX	MAX						

HER SENTENCE PROVISIONS _____

APPENDIX

CASE DISPOSITION REPORT (TEST)

STATE OF OKLAHOMA

ARRESTING AGENCY _____

DATE OF ARREST (MO-DY-YR) _____

NAME (LAST, FIRST, MIDDLE)				ADDRESS (STREET, CITY, STATE)		
SEX	RACE	HGT	WGT	DATE OF BIRTH	SOC. SECURITY NO.	SCARS, MARKS, TATTOOS, AND AMPUTATIONS
ARRESTING AGCY FILE NO.				OSBI USE ONLY	OSBI No.	FBI No.

ENTER ONLY ONE CHARGE PER LINE BELOW. USE ANOTHER FORM IF THERE ARE MORE THAN FOUR CHARGES.

CHARGE NO.	STATUTE CITATION	MISD. FEL.	LEAVE BLANK	CHARGE DESCRIPTION	DATE OF OFFENSE	WAR NUM
1						
2						
3						
4						

PROSECUTION DATA

PROSECUTOR'S OFFICE IDENTIFIER _____

CHARGE NO.	PROSECUTOR'S CASE NO.	CHARGE MODIFICATIONS	DISPOSITION AND DATE		
			TRIED MO-DAY-YR	NOLLE PROS MO-DAY-YR	DISM., MO-DAY-YR MO
1					
2					
3					
4					

PROSECUTOR'S CO

IMPLEMENTATION PLAN

The implementation of the additional phases of this project are outlined in this section and involve two major components. One component deals with the programing, testing and implementation of systems software and the other component deals with the implementation state-wide of the case disposition reporting system.

The implementation of the two components may be accomplished concurrently or separately provided that the case disposition reporting system is done prior to the CCH OBTS output development. The case disposition reporting system must be developed in advance or concurrently with the software implementation because the computerized system is solely dependent upon the case disposition reporting system for input.

The case disposition reporting system, however, has been designed so that it will function totally on a manual basis at the OSBI level until such time as the computerized system becomes operational. It is strongly recommended that the implementation of the disposition reporting system begin immediately because of the time required to achieve full implementation. The implementation plan calls for the installation of disposition reporting systems in all criminal justice agencies throughout the state over a period of two years.

The implementation plan calls for implementation of half of the state's counties during the first year and the second half of the counties during the second year of implementation. In order to achieve continuity and provide maximum benefit of fully disposition supported criminal history records it is recommended that the State Bureau of Investigation file and maintain inbound disposition information on a manual basis immediately from the time the first agency in the state becomes operational with the disposition reporting system.

To equip the Oklahoma State Bureau of Investigation with the procedures and training to cope with the case disposition reporting system as well as the new automated system, the implementation plan sets forth an approach which will provide that support. It is imperative that the OSBI procedures development and training occur prior to the implementation of either the computerized system or the case disposition reporting system. The implementation plan allows for OSBI to develop procedures for the two systems separately if necessary.

The CCH/OBTS software development system consists of four subsystems which are file updates, file maintenance, inquiry and OBTS. It is projected that the total software development will take 14 months elapsed time with the file update and file maintenance subsystems being developed first during the first 7 months. The inquiry subsystem will be started the end of the seventh month and the OBTS software development will begin at the end of the ninth month.

PHASE
CASE DISPOSITION REPORTING SYSTEM
IMPLEMENTATION

ACTIVITY	1	2	3	4	5	6	7	8	9	10	11	12		
PREPARE FORMS														
DOCUMENT EXISTING SYSTEMS OF PARTICIPATORS														
MODIFY LOCAL SYSTEM TO RECEIVE CDR SYSTEM														
TRAIN USERS														
PHASE I IMPLEMENTATION														
MONITOR PHASE I IMPLEMENTATION														
EVALUATE PHASE I IMPLEMENTATION														
TRAIN FIELD STAFF														

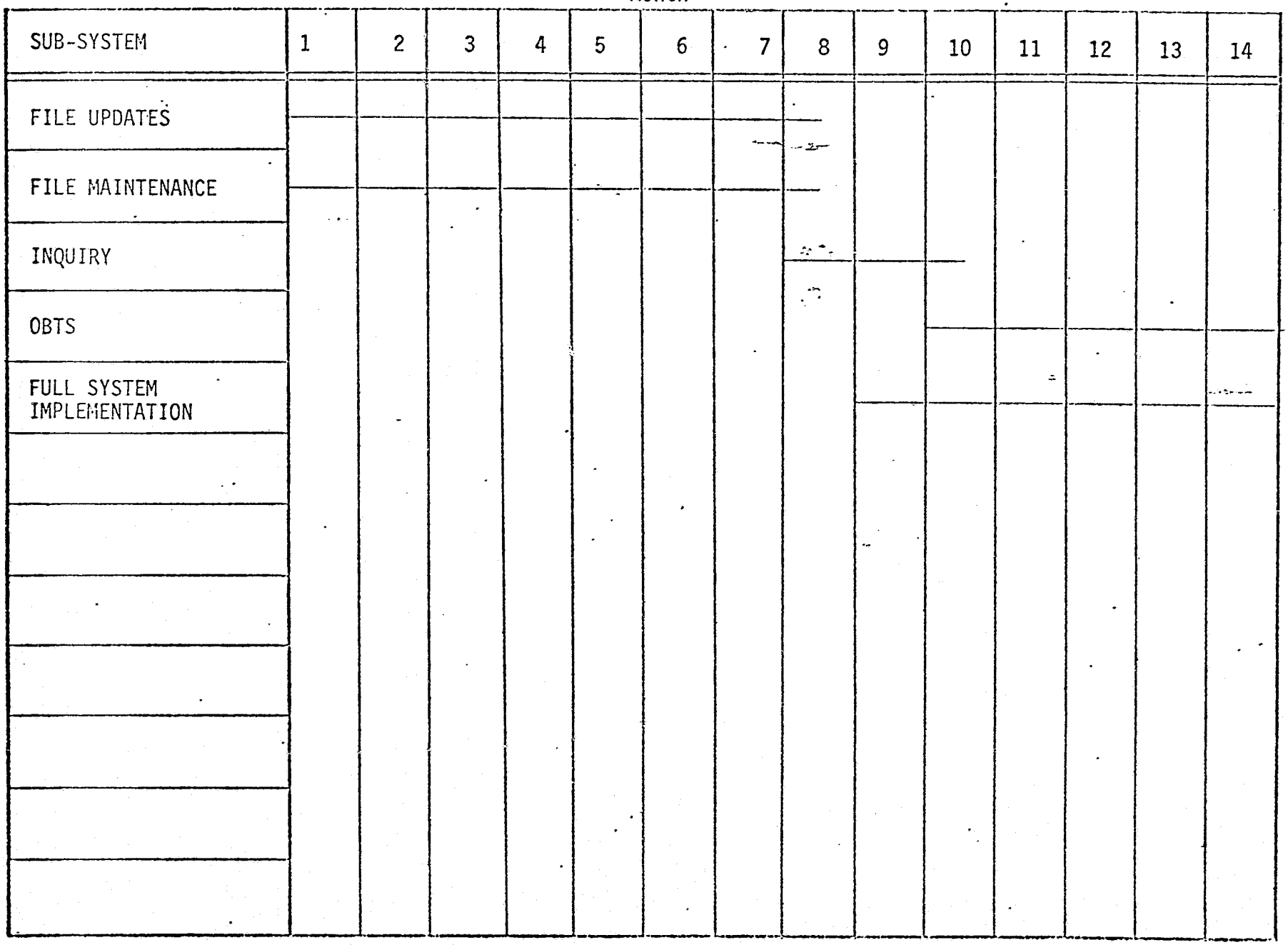
SUB-SYSTEM	PROGRAM OR ACTIVITY	MAN-DAYS
CDR PHASE I	Prepare Forms	10
	Document Existing System	175
	Modify System to Accept CDR	80
	Train Users	40
	Phase I Implementation	220
	Train Field Staff	10
	Monitor Phase I	80
	Evaluate Phase I	50
	TOTAL	665

PHASE II
CASE DISPOSITION REPORTING SYSTEM
IMPLEMENTATION

ACTIVITY	1	2	3	4	5	6	7	8	9	10	11	12		
DOCUMENT EXISTING SYSTEMS OF PARTICIPANTS														
MODIFY LOCAL SYSTEM TO RECEIVE CDR SYSTEM														
TRAIN USERS														
PHASE II IMPLEMENTATION														
MONITOR PHASE II IMPLEMENTATION														
EVALUATE PHASE II IMPLEMENTATION														

SUB-SYSTEM	PROGRAM OR ACTIVITY	MAN-DAYS
CDR PHASE II	Document Existing Systems	175
	Modify Local Systems	80
	Train Users	40
	Phase II Implementation	220
	Monitor Phase II Implementation	80
	Evaluate Phase II	50
	TOTAL	642

CCH/OBTS SOFTWARE DEVELOPMENT



Estimates - Programing, Program Tests, and Systems Test

SUB-SYSTEM	PROGRAM OR ACTIVITY	MAN-DAYS
FILE UPDATES	Field Edit	20
	SORT I	1
	Edit	40
	SORT II	1
	Print Edit Report	20
	Update	40
	SORT III	1
	Create FBI/On-Line Files	30
	NCIC File Update	40
	Test Date Generator	20
	Systems Test	70
	TOTAL	283

SUB-SYSTEM	PROGRAM OR ACTIVITY	MAN-DAYS
FILE MAINTENANCE	Field Edit	15
	SORT I	1
	Edit & Maintenance	75
	SORT II	1
	Print Edit Reports	10
	SORT III	1
	Create FBI File	15
	Test Date Generator	20
	Systems Test	50
	TOTAL	188

SUB-SYSTEM	PROGRAM OR ACTIVITY	MAN-DAYS
INQUIRY	On-Line Inquiry	40
	Print CCH's	30
	Print Sec. Alert Notices	20
	Systems Test	50
	TOTAL	140

SUB-SYSTEM	PROGRAM OR ACTIVITY	MAN-DAYS
OBTS	Create OBTS File	30
	SORT	2
	Report Generator	40
	"Hollow Model"	30
	Systems Test	30
	TOTAL	132

(1) Total effort for programing, program testing and system's testing = 743 Man-Days

(2) Staffing required:

Programer/Analyst (1)	245 Man-Days
Programers (2)	498 Man-Days

IMPLEMENT CCH/OBTS
SYSTEM PROCEDURES AT OSBI

ACTIVITY	1	2	3	4	5	6	7							
DEVELOP MANUAL PROCEDURES TO PROCESS CDR INFORMATION														
TRAIN USERS														
IMPLEMENT CDR PROCEDURES														
DEVELOP PROCEDURES TO SUPPORT AUTOMATED SYSTEM														
TRAIN USERS														
IMPLEMENT PROCEDURES TO SUPPORT AUTOMATED SYSTEM														

SUB-SYSTEM	PROGRAM OR ACTIVITY	MAN-DAYS
IMPLEMENT CCH/OBTS PROCEDURES AT OSBI	Develop CDR Procedures	40
	Train Users	10
	Implement CDR Procedures	30
	Develop Auto. Procedures	35
	Train Users	10
	Implement Auto. Procedures	30
	TOTAL	155

U. S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

DISCRETIONARY GRANT
PROGRESS REPORT

GRANTEE	LEAA GRANT NO.	DATE OF REPORT	REPORT NO.
Louisiana Commission on Law Enforcement and Administration of Criminal Justice	74-SS-06-0002	Jan. 1, 1976	7

IMPLEMENTING SUBGRANTEE
Louisiana Department of Justice
1885 Wooddale Blvd.
Baton Rouge, Louisiana 70806

TYPE OF REPORT
☐ REGULAR QUARTERLY ☐ SPECIAL REQUEST
☒ FINAL REPORT

SHORT TITLE OF PROJECT
Technical Assistance Capability

GRANT AMOUNT
$88,330.00

REPORT IS SUBMITTED FOR THE PERIOD July 1, 1974 THROUGH December 31, 1975

SIGNATURE OF PROJECT DIRECTOR

TYPED NAME & TITLE OF PROJECT DIRECTOR
Warren O. Birkett, Jr., LCJIS Dire

COMMENCE REPORT HERE (*Add continuation pages as required.*)

WILLIAM J. GUSTE, JR.
ATTORNEY GENERAL

Received
Region 6 - LEAA
Dept. of Justice
JAN 2 6 1976
AM 7,8,9,10,11,12,1,2,3,4,5,6 PM

RECEIVED
JAN 16 1976
LA. COMM. ON LAW ENFORCEMENT & ADM. OF CRIM. JUSTICE

(SEE ATTACHED REPORT)

RECEIVED
GRANT ADMINISTRATION
JAN 16 1976

RECEIVED BY GRANTEE STATE PLANNING AGENCY (*Official*) DATE

PROGRESS RTS--INSTRUCTIONS FOR LEAA DISCRETIONARY GR 3

Grantees are required to submit Quarterly Progress Reports on project activities and accomplishments. No fixed requirements as to length or detail have been established, although some general guidelines appear below. It is expected that reports will include data appropriate to the stage of project development and in sufficient detail to provide a clear idea and summary of work and accomplishments to date. The following should be observed in preparation and submission of progress reports.

a. Reporting Party. The party responsible for preparing the report will be the agency, whether grantee or subgrantee, actually implementing the project. Thus, where a State Planning Agency is the grantee but has subgranted funds to a particular unit or agency to carry on the project, the report should be prepared by the subgrantee.

b. Due Date. Reports are submitted by the subgrantee to its State Planning Agency on a quarterly basis (i.e., as of June 30, September 30, December 31, and March 31) and are due at the cognizant Regional Office on the 30th day following the close of the quarter (unless specified otherwise by LEAA). The first report will be due after the close of the first full quarter following approval of the grant (i.e., for a grant approval on May 1 the first report will be due for the quarter ending September 30. It will cover the five month period May through September). The award recipient's final progress report will be due 90 days following the close of the project or any extension thereof.

c. Form and Execution. Three (3) copies of each report should be submitted. However, five (5) copies must be submitted for all final reports. (If the grantee wishes to submit the same report to several agencies it may utilize LEAA Form 4587/1 (1-73) as a face sheet completing all items and attach the report to it.) If continuation pages are needed, plain bond paper is to be used. It should be noted that the report is to be signed by the person designated as project director on the grant application or any duly designated successor and reviewed by the cognizant State Planning Agency.

d. Content. Reporting should be non-cumulative and describe only activities and accomplishments occurring during the reporting period. These activities and accomplishments should be described with specific attention to project phases or stages completed (e.g., initial planning stage, completion of preliminary survey effort, purchase of required equipment, staging of pilot training program, etc.). Reports should be concrete and specific concerning accomplishments (e.g., number of people trained, volume of correctional services provided, extent of equipment usage, etc.). Special emphasis should be placed on comparison of actual accomplishments to goals established for the report period. If established goals were not met, reasons for slippage must be given. Special reports, evaluation studies, publications or articles issued during the period should be attached, and major administrative or design developments should be covered (e.g., changes in personnel, changes in project design, improvements or new methods introduced). Budget changes should be touched upon. Problem areas and critical observations should be mentioned and frankly discussed, as well as project successes.

e. Dissemination. All three (3) copies of regular quarterly progress reports and all five (5) copies of final reports should be submitted to the subgrantee's State Planning Agency. After review the State Planning Agency will forward two (2) copies of the quarterly report and four (4) copies of the final report to the cognizant LEAA Regional Office. The Regional Office will route the reports to all interested LEAA units. Copies should also be provided to other agencies cooperating in or providing services to the project.

f. Special Requirements. Special reporting requirements or instructions may be prescribed for discretionary projects in certain program or experimental areas to better assess impact and comparative effectiveness of the overall discretionar program. These will be communicated to affected grantees by LEAA.

A O LOUISIANA
DEPARTMENT OF JUSTICE

LOUISIANA CRIMINAL JUSTICE
INFORMATION SYSTEM

WILLIAM J. GUSTE, JR.
ATTORNEY GENERAL

1885 Wooddale Blvd. Room 502 Baton Rouge, Louisiana 70806 504-38

FINAL PROGRESS REPORT

LOUISIANA STATISTICAL ANALYSIS CENTER

JULY 1974 - DECEMBER 1975

FUNDED UNDER GRANT NO. 74-SS-06-0002

APPROVED

WARREN O. BIRKETT, JR.
DIRECTOR, LCJIS

SECTION I
PROGRESS TO DATE

Listed chronologically is the progress flow of the grant application for the State Technical Assistance Capability.

1974

August - LCJIS Security and Privacy Regulations mailed to all Louisiana Criminal Justice Agencies; T.A. has maintained these regulations and assisted agencies in their implementation.

September - A paper was presented at the IBM Data Security Forum in Denver, Colorado, titled, "Implementation of a Unique Teleprocessing Security System".

December - Two consultant agreements were drafted by the staff and approved. The consultants began working on designing questionnaires for the Louisiana Commission on Law Enforcement.

Other - The Technical Assistance section was instrumental in providing contracts, evaluation, and design services to the Department of Corrections, Department of Highways, the Louisiana Commission on Law Enforcement, the Baton Rouge Police Department, the 19th Judicial Court, and the District Attorney's Offices in the 15th and 16th Judicial Districts. Areas in which assistance was rendered are security and privacy, computerized and video display terminal systems, management and statistical reports drafting consultant contracts, grant applications, and evaluation of proposed and existing systems of programs.

1975

January - Approval received to extend the Technical Assistance Grant from March 1, 1975 through June 1, 1975.

January - Began a project to automate the tabulation of the Management and Administrative Statistics questionnaires for the Louisiana Commission on Law Enforcement. This is a major technical assistance effort.

February - A series of seminars were prepared and presented to a wide range of state agencies the statistical package

SAS (Statistical Analysis System). The package is now being used by the Louisiana Commission on Law Enforcement and the Louisiana Department of Corrections.

March - The project to install the Grant Management Information System (GMIS) for the Louisiana Commission on Law Enforcement LCLE was initiated. A member of the Technical Assistance staff attended an installation seminar in Washington, D. C. along with a representative from LCLE.

April - MIS (GMIS) software was installed and test runs were executed using data provided by Washington. The software works as it does in Washington.

April - Keypunching was arranged for MIS (GMIS) conversion data with Louisiana State University, for the Louisiana Commission on Law Enforcement. LSU has extra keypunching available during the summer term.

May - The Attorney General's "Annual Report on Crime" was published this month. The entire LCJIS staff including Technical Assistance contributed to this effort.

May - A program was initiated to develop a model manual police records and reporting system for small to medium size police departments.

May - The 1974 Louisiana District Attorneys Disposition Reporting (DADR) System was analyzed to produce a crime flow chart for total index crimes from arrest to final disposition.

May - The automated tabulation and analysis of the Management and Administrative Statistics questionnaires was completed for the Louisiana Commission on Law Enforcement (LCLE).

May - Crime analyses were provided to LCLE for inclusion in their 1976 Law Enforcement Comprehensive Plan.

June - A program to train LCLE regional personnel in the statistical uses of crime data is being developed.

June - A statistical package that will run on the UNIVAC 1110 and meet our user requirements is being procured by Technical Assistance.

June - The Technical Assistance Grant extension to September 1, 1975 was approved.

July - MIS (GMIS) was run with SPA data. The Louisiana Commission on Law Enforcement LCLE has begun their conversion/file building cycle. The various MIS transactions are checked by the program for keypunch or coding errors and the errors are flagged for correction. The erroneous transactions are recoded, rekeypunched, rechecked for errors, and finally placed on a valid transactions file.

July - The Statistical Package for Social Sciences (SPSS) was the unanimous choice of the LCJIS staff and our user agencies as the most suitable statistical package that will run on a Univac 1110.

July - The New Orleans' Clerk of Criminal Court has requested technical assistance in setting up a microfilm based records keeping system.

August - A meeting was held in New Orleans with the Clerk of Criminal Court's office to define their requirements. We were able to fulfill these requirements with the direct assistance of Mr. Bob Logan of the Texas SPA to the Clerk's office.

August - Operation of the MIS (GMIS) system was reviewed with the MIS field representative from Washington, D.C. No problems were found with the software operation.

August - LCJIS has been given the responsibility of preparing Louisiana's Privacy and Security Plan for LEAA. Technical Assistance is coordinating the efforts of the various agencies and contractor involved.

September - MIS (GMIS) computer operations continue satisfactorily. Keypunching services have become a problem for the SPA conversion effort.

September - A contractor (Public Systems, Inc.) was selected by the Privacy and Security Standing Committee to assist Louisiana in developing its P/S plan.

October - The New Orleans Criminal Clerk of Court's office has received the detailed bid specifications from the Texas Criminal Juvenile Division for the microfilm system that LCJIS arranged. This project is complete, though the SAC expects another technical assistance request when this project enters the operational phase.

October - LCJIS continues to apply new updates to the Grant Management Information System (GMIS) software for LCLE

and provided new data runs as requested.

October - Regarding the Statistical Package for the Social Sciences (SPSS), the new statistical package for the Louisiana Criminal Justice Community at LCIC has been ordered. The contractor has received our purchase order, LCIC is expecting the software, and LCJIS will cooridnate the installation.

October - Technical Assistance to the Louisiana Department of Corrections has begun to determine ways and means of obtaining recidivism data for 1975 from CAJUN.

October 14, 1975 - Three members of the SAC plus B. Jacobs of the LCJIS Systems Division met with the Louisiana Privacy and Security Committee and representatives from Public Services Incorporated (PSI) to initiate work on the first draft of Louisiana's Privacy and Security Plan. This draft is expected to be completed by November 10, and reviewed by the above committee on November 14, 1975.

October 14, 1975 - The Louisiana SPA's District Program Directors were briefed by the SAC on the new LEAA Privacy and Security Regulations, including their role in the certification process. The SAC has decided to have these Directors conduct certification of local Criminal Justice agencies in their respective districts.

November 14-15, 1975 - The SAC participated in a workshop of the LCJIS Privacy and Security Sub-Committee and PSI to develop the final draft of the Louisiana Privacy and Security Plan. The document was distributed to all members of the Privacy and Security Committee. Final committee approval is expected December 9, 1975 with formal submission to LEAA in Mid-January or early February 1976.

December 9, 1975 - The SAC attended a meeting of the LCJIS Privacy and Security Plan was reviewed for acceptance. With some minor modifications, the plans was accepted. The SAC later met with LCLE and their Program Directors to discuss their specific duties in the certification of local criminal justice agencies in their respective districts.

December - Reviewed SPSS (Statistical Package for the Social Sciences). The package has been loaded by LCJIS Systems staff. Program testing for technical assistance applications has begun by the SAC.

December - Assisted the Systems staff on a method of producing SID number frequency counts for FINDEX. Presently using SAS package.

December - Continued working with Louisiana Department of Corrections personnel on obtaining the LEAA required recidivism data from CAJUN.

SECTION II
ACTIVITIES AND ACCOMPLISHMENTS

This section presents an overview of the Technical Assistance activities performed during the final quarter of the grant period.

Statistical Package for the Univac 1110

The Statistical Package for the Social Sciences (SPSS) was ordered in October 1975 and received in December, 1975. The software was received by the Louisiana Crime Information Center at the same time. LCJIS Systems personnel then loaded the package onto the Univac 1110 at the Louisiana Crime Information Center. The SAC took action to become familiar with SPSS and develop test programs for use in checking out the package on the Univac 1110.

Grants Management Information System (GMIS)

This quarter saw the SAC continuing to apply new updates to the GMIS software for LCLE. In addition, the SAC provided LCLE with new data runs on a request basis. The problem experienced by LCLE in regard to keypunching has been solved. Keypunching services are now provided by the Louisiana Information Processing Authority.

Department of Corrections Recidivism Project

J. Hood of the SAC assisted the Louisiana Department of Correction in retrieving recidivism statistics out of their automated information system known as CAJUN. These statistics were required by the Department of Corrections to fulfill requirements levied by LEAA guidelines.

Privacy and Security (Reference Section I)

This quarter saw the SAC heavily involved with its role in the development and implementation of a privacy and security plan for the State of Louisiana. The SAC was levied with the task of fulfilling LCJIS's responsibilities in regards to the above plan. Close coordination with LCLE soon proved to be an essential element of SAC activities in this area. October saw the SAC begin its work with representatives of Public Services Incorporated (PSI) to help write the first draft of the plan. The goal was to have a final draft for review by the P&S Committee in November, 1975. October also saw the SAC indoctrinating the SPA's District Program Directors on the new LEAA Privacy and Security Regulations. The Directors were also introduced to their role in the certification process. It was the intent of the SAC to have the Directors certify all appropriate local criminal justice agencies within their respective jurisdictions. The SAC would furnish all certification instructions and background

material to enable the Directors to complete certification. The SAC was to certify certain agencies itself, including the Central State Reporitory (the Louisiana State Police), the Louisiana Supreme Court, and LCJIS itself. Additional meetings were held in October between the SAC, the LCJIS Privacy and Security Committee and the Capital District Law Enforcement Advisory Council to answer questions about the proposed plan.

In November, the final draft of the plan was completed and distributed to the LCJIS Privacy and Security Committee review. The SAC also finished preparing the necessary certification procedures and background information package for use by the SPA District Program Directors.

December started with the review and approval (with minor modifications) of the plan by the LCJIS Privacy and Security Committee. The plan was then distributed to members of the LCJIS Policy Board for review and approval in Mid-January or early February,1976. Certification began in December with both the Program Directors and the SAC involved. This process must be completed by the time the formal plan signed by the Governor of Louisiana's forwarded to LEAA. Finally, December was the month in which three law clerks were hired on a part-time basis to engage in legal research necessary to provide certain required documentation for submission with the plan.

SECTION III
PROBLEM AREAS AND CRITICAL OBSERVATIONS

A loss of manpower during the quarter has placed severe limitations on the capability to provide technical assistance at a desirable level. However, this limitation is presently temporary in nature and should be rectified in the near future.

SECTION IV
PROJECT SUCCESS

(Refer to Section II)