



**FIRST YEAR
EVALUATION OF
THE SAN JOSE
PATROL EMPHASIS PROGRAM**

45231

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FEB 22 1978

ACQUISITION

FIRST YEAR EVALUATION
OF THE
SAN JOSE PATROL EMPHASIS PROGRAM

LEAA GRANT NUMBER

76 DF-09-0032

By:

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November, 1977

A Report To The:

City of San Jose, California

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FOREWORD

The evaluators express appreciation to the many personnel in the San Jose Police Department who took the time from their busy schedules to candidly answer the many questions we raised regarding the Patrol Emphasis Program (PEP). We particularly thank Sergeant Tom Johnson, PEP Assistant Program Manager for his patience in discussing the history of PEP and the many factors occurring during this first year affecting the direction of the three-year planned program as it becomes the Integrated Criminal Apprehension Program (ICAP) for the second year.

Our general assessment of the grant is that it has provided the SJPD with highly useful products and services and that the quality of such PEP outputs has contributed to the strengthening of SJPD management decision making, particularly in the Bureau of Field Operations. In general, the project has done an excellent job in integrating itself into the Department and has laid a solid foundation for second and third year progress. At this point in the life of the grant, we believe that is just about where it should be in terms of capability development.

Rarely in our experience have we found an analytic-based grant integrate its program so smoothly in an operational environment as in this Department. Much credit is due to the sworn and civilian personnel whose dedication to detailed tasks and operations will assure the achievement of PEP/ICAP objectives.

EXECUTIVE SUMMARY

This is an Executive Summary of a detailed first year evaluation of the \$326,000 San Jose Police Department's Patrol Emphasis Program (PEP). This project was funded by a Discretionary Grant from the U.S. Law Enforcement Assistance Administration. The PEP grant officially started on October 12, 1976 and - due to a 90 day extension - concluded its initial period of operation on November 30, 1977.

GOALS AND OBJECTIVES

San Jose's grant application to LEAA for the PEP grant proposed a three-year effort that had the following goal:

Improve the productivity of police manpower and strengthen management and supervisory decision-making processes that allocate such manpower in to effectively and directly affect the potential victim, offender, and opportunity for crime.

The grant application also sets forth objectives and sub-objectives in three discrete, but closely related, program areas: 1) Patrol Methodology and Rationale; 2) Apprehension Techniques and Effectiveness; and 3) Supervision and Management of Resources. Table 1 lists the objectives for each program area.

It is important for the reader to understand that these objectives were designed to be achieved over a three-year period and that efforts directed at their accomplishment were to be initiated during the first project year. However, shortly after receiving this grant, the SJPDP was notified by LEAA that the PEP Grant Category was being eliminated and that the second and third years of the project would be considered for funding under a new grant category known as the Integrated Criminal Apprehension Program (ICAP). We will discuss the implications of this change later in this summary.

PROJECT GOAL:

To increase the productivity of police manpower and strengthen management and supervision's decision-making processes that allocate such manpower in order to effectively and directly affect the potential victim, offender and opportunity for crime.

PROGRAM AREA I:

Patrol Methodology and Rationale

Goal:

To improve the capability of patrol forces to impact the occurrences of crime and meet the demands for other police services.

OBJ. A - To improve Field Deployment and Strategies and Tactics.

OBJ. B - To increase the amount of P.O. effectiveness in Patrol Operations.

OBJ. C - To minimize response time.

PROGRAM AREA II:

Apprehension Techniques and Effectiveness

Goal:

To improve the capacity and effectiveness of patrol and investigative resources for apprehension of offenders.

OBJ. A - To increase level and quality of investigative resources available for apprehension activities.

OBJ. B - To improve the procedures for preliminary investigation and case assignment.

OBJ. C - To improve tactical deployment of special units assigned to Apprehension Operations.

PROGRAM AREA III:

Supervision and Management of Resources

Goal:

To strengthen management and supervision's capability in improving and maintaining a high level of police officer productivity.

OBJ. A. - To create a functional unity among Information Analysis, Crime Prevention, and Apprehension Operations.

OBJ. B - To systematically provide the information and training needed by management to make decisions in allocating personnel and deployment manpower.

OBJ. C - To improve the relationships with external agencies that affect police productivity.

TABLE 1

- Project Rationale

Faced with increasing demands for police service in an era of tightened budgets, the SJPD decided to undertake the PEP grant to devise means of increasing police productivity and effectiveness. The SJPD proposed to do this by creating an operations analysis unit that would: 1) integrate the various computerized and manual data systems available to the Department into what they termed a Working Information System (W.I.S.); 2) use the data available from such systems to conduct strategic and tactical analyses of police operations; and, 3) assist SJPD management in using the results of such analytical efforts in making decisions related to the improved delivery of police services to the community. The central theme of the project was to assure that all information collected on SJPD operations was used to the maximum extent possible to enhance and support management decision processes.

PEP GOALS INFLUCENCED BY ICAP

- PEP/ICAP - Similarities and Differences

While the PEP and ICAP grant categories are similar, in that both stress the upgrading of police patrol allocation and operations, ICAP is a more narrowly defined category that requires strong emphasis on the apprehension of recidivist or "career" criminals. The specific grant being evaluated here is the San Jose Patrol Emphasis Program. Nevertheless, the evaluation also recognizes that the PEP grant is moving toward ICAP status and that project staff were planning for this transition throughout the latter half of the project's first year.

Federal guidelines for PEP grants indicate that such grants must be directed toward increasing police agency capability to place patrol manpower in a more effective position to prevent criminal attack and/or affect apprehension of the criminal. The grant category stresses the need to blend crime analysis and crime prevention activities with patrol operations.

ICAP extends this concept, but also expects the grantee agency to focus efforts on:

- Upgrading patrol preliminary investigation capabilities,
- Initiation of case management and screening process,
- Development and/or enhancement of the crime analysis function,
- Development of a means to identify recidivist offenders,
- Development of a structured decision-making process for delivery of police services,
- Enhanced allocation and deployment decisions based on analysis of crime and service data,
- Tactical responses designed and integrated across unit lines to maximize effectiveness.

In brief, San Jose recognized the subtle differences between PEP and ICAP and anticipated the shift to the ICAP effort midway in the first year grant. This presents an evaluation problem because of the differences in emphasis of the two programs. It also presented operational difficulties due to the ambiguity of guidance provided by LEAA to grantees. We contacted over 10 other ICAP grantees and found a great diversity among the approaches they were taking to this grant program. However, the two central elements present in all programs were crime analysis and concentration on career criminals.

ORGANIZATION AND STAFFING

The Project Manager of the San Jose PEP, as described in the grant application, is a Police Captain assigned to the Patrol Division in the Bureau of Field Operations. The intent was to place project coordination in the line division that was of primary concern to the PEP. In practical terms, the vast majority of decisions relating to the project are made by the Assistant Project Manager - a police sergeant - who is assigned full-time to the grant.

The PEP grant is physically located in the Research and Development Division due to its proximity to SJPD data systems. The R & D Division provides considerable administrative support and guidance to the project.

The PEP grant is staffed as follows:

- One Consultant Psychologist (1,200 hours per year under a personal services contract).
- One Statistical Analyst
- One Staff Analyst
- One Principal Clerk
- One Stenographer/Clerk II
- One Clerk II
- Part-time Staff Aides (3,200 hours per year).

The PEP budget provided for one Programming Analyst III position and an additional Clerk II. Neither position was filled due to a management decision which will be discussed later.

The full report discusses the qualifications of project staff in some detail. We will simply note here that the quality of San Jose's PEP staff is exceptional. The project staff possesses outstanding educational and project-related qualifications. Project Management has done a first-rate job in staff selection and development. Specifically, the Assistant Project Manager devoted a significant amount of effort to developing the staff into a "team". This effort has paid off and the PEP staff has a true sense of "mission". The key members of the PEP staff were on-board and operational by February 1977.

PROJECT ASSIGNMENTS

- Chronology of First Year PEP Activities

Table II lists key project activities undertaken by PEP staff during the first year of the grant. The outcome and utility of these activities will be discussed later in this summary. The first quarter of the grant is not listed on this chart because this was a "limbo" period while awaiting City Council approval of the grant. Not listed on this chart are the numerous administrative activities conducted that were necessary to set up the project (e.g. secure space, purchase equipment, establish job specifications, recruit, hire and train staff, hosting ICAP visitors, preparation of quarterly reports, budget reports, grant modifications, etc.). These activities consumed a significant portion of staff time. In addition, while the chart indicates that PEP provided support to R & D in systems development, it should be noted that this support consumed a significant block of PEP staff time.



2nd Quarter October - December 1976	3rd Quarter January - March 1977	4th Quarter April - June 1977	5th Quarter July - September 1977	6th Quarter October - November 1977
<ul style="list-style-type: none"> • Developing trends in Patrol Deployment and response data • Detective Allocation Plan • Liaison with all SJPD Bureaus to explain PEP • Planning for Crime Analysis by collection of data and visits to other agencies with known crime analysis capabilities • Interviews relating to WIS development • Provision of support to CAPSS and RIS II systems to assist in system development 	<ul style="list-style-type: none"> • Initial production of Beat Information Profiles (BIPS) • Design, Administration and Analysis of Shift Preference Survey • Analysis of Deployment patterns to isolate time lags and initial development of re-deployment plan • Initiation of 4th Watch Experimental Program • Analysis of Traffic Accident Data for Selective Enforcement Deployment • Midnight Watch Off-time Study • Development of Evaluation RFP • Seminar for Patrol Sergeants • Continued System Development Support 	<ul style="list-style-type: none"> • Selection of Evaluation Contractor • Completed Evaluation of 4th Watch Experiment • Development of Alternative Proportional Manning Plan • Completion of BFO Training Evaluation • Initiation of Management Analysis of Juvenile Division • Completion and Submission of 2nd Year ICAP Grant Application • Second Phase Production and Evaluation of BIPS/DIPS • Provision of Support to Reorganization Task Force • Development of Schedule for Fall Watch • Continued System Development Support 	<ul style="list-style-type: none"> • Completion of Juvenile Division Evaluation • Completion of Analysis of Night General Detail • Development of Unit Availability Model • Analysis of Sex Offenses • Initiation of Court Liaison Study • Development of Survey Plan and Instruments for Survey of Police Clientele • Continued Systems Development Support • Continued Support for Reorganization Task Force 	<ul style="list-style-type: none"> • Continuation of Court Liaison Study • Initiation of Police Clientel Survey • Satellite Crime Lab Report • Development of Crime Analysis Objectives (Three Tier Plan) • Development of Attrition Model for Reorganization Task Force • Continued Systems Development Support

TABLE II

CHRONOLOGY OF PRIMARY FIRST YEAR ACTIVITIES OF THE PEP
GRANT

● Significant Decisions or Events Related to the PEP Project

This section will briefly note those events or decisions occurring during the first year that we believe had an important effect on the PEP grant. The first event of importance was the change in command of the SJPD. The grant was written during the tenure of one chief, initiated during the tenure of an Interim Chief, and carried out during the tenure of still a third chief. Obviously, each chief had distinct philosophies and management styles. While we are not suggesting any detrimental effects on the grant due to these management changes, we do want to point out that the grant may have had to adapt its priorities to those of the incumbent chief.

A decision of importance was also made by project management. The grant application proposed the use of the GADS System (an interactive computer graphics system). After due consideration, almost \$97,000 was budgeted for GADS-related expenditures. Also, funds were budgeted for external office space to house the PEP grant and for an additional clerk-typist. Since it was decided to house the PEP grant in R & D, there was no reason to use these funds. Thus, the grant will return slightly over \$100,000 in unexpended funds to LEAA during its first year of operation. Actual first year grant expenditures then will be on the order of \$226,000. Due to internal reorganization, there was also a change in Project Managers (the Police Captain position) in February 1977. Again, we have identified no specific deleterious effects of this change and simply point out that the grant staff had to adapt to this change in leadership. The net effect of this change, in our view, was to place additional management responsibilities on the Assistant Project Manager. Finally, one additional problem faced by the grant was the serious illness of the Staff Analyst - a key member of the project team. While this problem has now been resolved, it did result in the loss of a significant amount of this invaluable staff member's time.

EVALUATION OBJECTIVES AND METHODOLOGY

From an evaluative perspective, the stated goals and objectives of the PEP grant leave a lot to be desired. These objectives are not specific enough to permit precise measurement and they are structured to be accomplished over a three-year period. First year project objectives are not stated in measurable terms. In brief, as evaluators, we regard the project's stated goals and objectives more as expressions of general areas in which the PEP efforts will be concentrated rather than as specific end products to be achieved. The SJPD evaluation RFP recognized this problem and specified that the evaluation should focus on two issues: 1) grant approach to problem solving, grant organization and management; and, 2) evaluation of process and project implementation.

We used a process-oriented, case-study evaluation design for this effort. Primary evaluation criteria were as follows:

- Availability of resource allocation data to SJPD decision-makers prior to the PEP project versus Post-PEP.
- Quality and acceptability of PEP products and services.
- Evaluation of the PEP project and specific products by key command and executive personnel of the SJPD.
- Adequacy of PEP management planning and direction.
- Determination of the merits and drawbacks of PEP organizational placement in the SJPD.
- Utilization of PEP products in SJPD management decision-making.
- Change in the nature of SJPD decision-making processes that can be linked directly to PEP activities.

Our evaluation efforts were directed at four specific areas:
1) understanding the organization and operations of SJPD;
2) understanding the PEP/ICAP grant programs; 3) understanding the SJPD PEP project; and, 4) case studies of specific PEP products. The primary evaluation techniques used involved a combination of review of documentation and extensive interviews with SJPD Executives, PEP management and staff, users of PEP services, and external agencies. Pre and post meetings were held with the Chief of Police to define initial expectations and to present evaluation findings. Drafts of this report were critically reviewed by PEP staff prior to final publication. An expanded discussion of methodology is contained in the detailed report.

PROGRAM MANAGEMENT APPROACH DECISIONS

- Action-Oriented Grant Application

From a program evaluation perspective, the objective and scope of the Patrol Emphasis Program as developed in the original grant application portray an active program intervention intent over a three-year period to meet the stated goal: "To increase the productivity of police manpower and strengthen management and supervision's decision-making processes that allocate such manpower in order to effectively and directly affect the potential victim, offender and opportunity for crime". Considerable thought was given by the Research and Development Task Force to structure the proposed program into three major areas, each having subsidiary goals and objectives (See Figure V-1, page 65 - Application of Alternative Candidate Systems).

- Program Emphasis Influenced by Impending Shift to ICAP

No sooner had the PEP grant become effective, LEAA signalled that criminal justice priorities were being reordered to emphasize

control of the career criminal. Consequently, PEP was being phased out and replaced by the Integrated Criminal Apprehension Program. Although patrol operations are still considered critical to the ICAP goals and objectives, emphasis was directed to the development of a crime analysis capability to enhance patrol operations and investigative procedures leading to increased apprehension of repeat offenders and career criminals. Anticipating a second-year shift to ICAP priorities, the PEP grant management charted what has appeared to be a cautious but stable approach during this initial program development and transitional year. First, the project management correctly perceived the need to acquire a competent and balanced multidisciplinary staff that would be responsive to the broad project requirements. Second, the importance of staff exposure to and acceptance by Department personnel at various operational levels was immediately recognized. Third, since PEP objectives call for selective changes in police operations to meet current goals, and since imposed change is generally viewed with apprehension and resistance by those potentially affected, task assignments were largely undertaken on the basis of requests for support assistance. Self-initiated task assignments have been minimal.

• Program Focus Perceived Differently

One consequence of the first year project approach has been the perception in the Department that the PEP undertakings have been somewhat fractionated, lacking in a coherent direction and focus. The evaluation team and Department observers aware of the extensive grant application submissions to LEAA for PEP and ICAP (the latter practically a reissue of the original PEP proposal) were anticipating more of an active intervention orientation.

Project management decisions were predicated largely on two major perceptions. One was the direct involvement in Patrol operations and BFO commander's perceptions of need to develop logical manning and schedule procedures. The second, PEP being located administratively within R & D perceived a natural

interrelationship evolving due to the ongoing development of RIS and access to CAPSS for crime analysis purposes.

- PEP/Crime Analysis Unit Interrelationship

Since a crime analysis function is the keystone for achieving the ICAP goals, a major PEP decision was made to undertake long term support for further development of the Department crime analysis capability vested in R & D. The PEP/CAU interaction leaves an open question, however, regarding PEP's management involvement as to the crime analysis product output having utility and impact on planned second and third year ICAP activities.

- Three Tier Crime Analysis Approach

PEP/CAU crime analysts have conceptually structured a three tier building block of crime analysis functional objectives that, in effect, specify crime and operational data analytic output applications: (1) resource deployment; (2) pattern identification; and (3) suspect/offense correlation.

PEP/CAU analysts have already produced studies utilized for resource deployment application. Pattern recognition output had been undertaken by CAU over a period of time in the form of neighborhood profiles of burglary incidents and other crimes. PEP had undertaken an aborted effort to augment these profiles (e.g., BIPS/DIPS). The third tier building block, suspect/offense correlation, is largely in a development phase. This category of crime analysis is a longer-range objective and falls into the M.O. (modus operandi) area. Probably, it is the most controversial and least understood investigation tool in today's scene.

A statement was made early in the evaluation interview phase that a crime analysis plan is not being formally developed. This is interpreted as a policy decision not to produce routine periodic volumes of statistical data and crime incident summary reports. But rather, a procedural system is being developed in the form of a data base management information system, that would be responsive on demand for special purpose operational needs.

ATTAINMENT OF PROGRAM OBJECTIVES

- Management Approach Justified

Notwithstanding reservations held relative to the chosen responsive versus alternative activist mode pursued, a strong case can be made that PEP activities undertaken in the first year have addressed the grant objectives. Inasmuch as the program was planned for execution over a period of three years, staff training, data building, and credibility establishment were adjudged to be most important in laying the groundwork for undertaking the impending complex ICAP effort.

- Program Study Emphasis

Inspection of Figure VI-1, PEP Project Response to Program Objectives, reveals that the Patrol Methodology (Program Area I) and Supervision and Management of Resources (Program Area III), received the greatest amount of overall emphasis in terms of the number of projects undertaken. Within the overall crime analysis conceptual framework, this effort falls into the first tier, "resource deployment building block." This project area, having been responsive to the BFO needs for development of patrol manning and scheduling procedures, stands out as having achieved a relatively high degree of acceptance and utility. PEP has augmented CAU by application of the CAPSS, computer-assisted-data-base, to an operational problem -- a classical operations analysis/research technique.

PROGRAMS & OBJECTIVES PROJECT ASSIGNMENT	PATROL METHODOLOGY			APPREHENSION			MANAGEMENT		
	Deployment A	Effectiv. B	Response Time C	Inv. Sup. A	Pre. Inv. Case Assgn B	Tal. Unit Assignment C	Crime Analysis A	Decision Making B	Interagency C
1. Detective Deployment	X							X	
2. Accident Survey	X							X	
3. Beat/District Profile		X							
4. Sergeants Seminar		X							
5. Fourth Watch	X		X					X	
6. BFO Training Evaluation		X							
7. Swing Watch Assignment	X							X	
8. Shift Preference Survey		X							
9. Juvenile Bureau Analysis								X	
10. Detective Night Detail				X				X	
12. Court Liaison Analysis*								X	X
13. Supervisors Training Evaluation		X							
14. Reorganization Seminars								X	
15. Fall Watch Schedule	X							X	
16. Midnight Watch Free Time	X							X	
17. Unit Availability Model	X							X	
18. Citizen Survey *								X	
Unnumbered activity									
o RIS II Support							X		

*In progress as of 11/1/77

FIGURE VI-1: PEP PROJECTS RESPONSE TO PROGRAM OBJECTIVES

In contrast, Program Area II - Apprehension, had only one project (e.g., Night General Detail Evaluation) addressing this topical area, with but inconsequential effect.

Most of the task assignments undertaken impacted on Program Area III - Management Decision-Making. As yet, of untested utility is the strong support going into the RIS II data base. This effort is believed by project management to offer the keystone potential for the crime analysis function leading to achieving the career criminal control objectives. Within the project management hierarchy, however, there has been a caution raised. A concern was raised relative to a deficiency in basic skills in patrol operations. Consequently, a greater sophistication embodied in crime analysis having an anticipated impact on patrol capabilities may be a misplaced emphasis. This concern has legitimacy in the context of the discussion contained in the section on program planning and internal assessment of long term goals.

- Program Output Amenable Only to Qualitative Impact Assessment

Contrary to initial expectations, the nature of the program studies undertaken was not susceptible to quantitative assessment of impact. For example, rarely were the schedule and manning recommendations implemented as submitted. The PEP models developed served an extremely useful function in providing a basis for manpower tradeoff negotiations between the watch commanders.

Two basic management-oriented type of studies concerning analysis of the detective Night General Detail and the Juvenile Bureau raised critical issues that went beyond the ability of the project to appropriately address. These two studies further typify the type of PEP undertakings that are not amenable

to impact assessment in a quantitative sense. However, a subjective qualitative measure of utility of most of the task assignments was obtained from the requestor/users.

Generally speaking, those project assignments concerned with BFO patrol operations and scheduling were received very well. They met the needs as specified. The success of the undertakings was measurable by the number of repeat requests for assistance. The one scheduling assignment undertaken for BI was not useful; but for reasons beyond the control of PEP.

Assignments calling for analyses of the Juvenile Bureau and the Detective Night General Detail, although not measurable for impact, had an effect to alert and/or confirm upper command's view of organizational problems, again within the Bureau of Investigations.

Assignments calling for PEP observing seminars and training sessions again did not permit assessment of actual impact.

Generally, among the requestor/users of PEP studies, there was an expressed appreciation for the work completed and a recognition of staff capability. BFO appears to be the one operating Bureau capable of implementing PEP recommendations. The BI will be a much more difficult Bureau to accommodate as attested by the lack of PEP activity in the Program Area II, Apprehension.

PROGRAM PLANNING

- Planning Influenced by Uncertainties

The impending shift from PEP to ICAP goals and objectives appeared to cast a measure of indecision over the appropriate project direction. Although the PEP grant application

specified a fairly action-oriented approach, project direction spoke to a more restrained, longer-range buildup of capability and credibility.

The long talked about Department reorganization also had an effect on project planning and decision-making. As a consequence of these two factors, no formal planning instrument became evident. Assignments were made as problems were presented. A long range commitment was made, however, to support the data buildup for RIS II and to develop computer software modules in anticipation of processing the stored information extracted from crime incident reports. But no formal plan has emerged on means to test utility.

- Upper Management Guidance Essential

While there appears to be a consensus among the middle and upper Department management levels that PEP has a demonstrated analytical capability and a promising potential, nonetheless, there is a general vagueness relative to actual impact effected. What appears to have been lacking is upper management involvement to assist PEP in defining a firm focus leading to discernible results. Top management commitment to PEP interests will be crucial during the next quarter to prevent conflicting demands and decisions made that could dissipate resources.

In view of the major Department reorganization which took effect on November 6, 1977, which subordinates BFO and BI under a newly created position of Director of Operations, it is anticipated that a greater degree of interaction will occur between these Bureaus than has probably occurred in the past. The success of the San Jose Robbery Prevention Project (another LEAA grant) in large measure can be attributed to the cooperation of BI and BFO elements.

The role of the ICAP effort in this new organizational environment can be vital. Consequently, we suggest placing the grant in a position where the Director of Operations can use their capabilities to the maximum. Later in this report we suggest several specific organizational placement alternatives. Along with providing direct staff assistance to the Director of Operations, we regard it as absolutely essential to the successful accomplishment of ICAP objectives, that ICAP staff have appropriate delegated authority to pursue their grant responsibilities.

In this regard, PEP will have turned back as much as \$100,000 to LEAA at the end of the first project year. While the project decision was probably correct not to fund certain activities because of doubtful results, given the benefit of top management guidance, it may have been possible to redirect those funds to other more appropriate tasks. Major PEP/ICAP decisions - particularly those having this level of fiscal impact - should have the benefit of management policy and decision-making counsel.

● Workplan and Schedule Appear Necessary

PEP has been attempting to bring an analytic technology into the management decision-making process. But it can only survive by having the full understanding and support by middle and upper Department managers. "Understanding" is emphasized, because it is incumbent on the PEP project management and staff to devise an operational plan that would propose to accomplish certain expected results by undertaking specific tasks, recommend changing certain procedures, and/or institute selected experimentation.

Our checking with other LEAA-funded ICAP projects indicates a general confusion among the various proponents as to how to "get the show on the road". The SJPD Project is so far advanced with regard to resources being in place, compared to the other jurisdictions, it is no small wonder that a parade of visitors has passed through during the project's last half year. While this

is flattering, it no doubt has been a distraction. The distraction factor is only mentioned in the sense that the next year ICAP effort should be more results-oriented and will require definitive program planning for appropriate resource allocation.

● Internal Assessment of Long Term Goals

The ICAP guidelines specify, and the PEP management and staff are committed to a long range goal of evolving a functional crime analysis capability leading to a reduction of the career criminal population. ICAP (no longer PEP) planning should assess whether the approaches they are undertaking or propose to undertake will produce desired results to achieve stated objectives.

Attention is called to several LEAA-funded studies that address the following:

- Crime analysis in support of patrol operations;
- The investigative function; and
- Elements of investigation leading to suspect identification and apprehension.

These studies have rigorously treated such topics and are particularly illuminating with regard to state-of-the-art operational and skill limitations constraining hoped for results.

The career criminal component of the ICAP goals and objectives is recognized as highly controversial and possibly subject to judicial due process restrictions. Apart from this, the implications of burden placed on the investigation process to assure conviction on multiple charges cannot be overlooked. CJIC and CJIS will provide knowledge of criminal histories. Expectations are that RIS II will permit the linking of arrested offenders to other crimes committed, or even reveal the identity of an unknown offender by his unique MO.

While the value of computer-based information systems is unquestioned with regard to storing and retrieving definitive events or items, they remain marginal in an intelligence function whereby random events and items can be clustered to provide a revelation of "something" not otherwise manually possible.

SECOND YEAR APPROACH

Given that there were events in the first project year approach that PEP should follow, the fact that the ICAP submission to LEAA contained practically the same PEP program goals and objectives leads to the assumption that the SJPD intends to pursue an action, results-oriented approach. Both the first- and second-year grant applications speak to the systematic evaluation of candidate application alternatives. An appropriate evaluation design can only be realistically devised at the time a structured workplan is evolved. The cautious, relatively unstructured first year activities could only be subjected to a process evaluation.

The SJPD and project management can best determine whether the second year ICAP effort will be more results-oriented and consequently can be evaluated for impact. Given this decision, the following approach is suggested:

- Shortly after LEAA approves the second year grant, the ICAP management and key staff should have prepared for Department management a brief regarding proposed project activities.*
- The Assistant Chief in charge of the new operations bureau should provide a brief of his needs for which ICAP could provide assistance within the specified grant guidelines.

*Subsequent to submission of this report in draft form, we were pleased to learn that grant staff initiated work on development of a detailed plan to guide second-year operations.

• While organizational placement of the grant in BFO was appropriate to first year PEP goals, it is clearly not appropriate for ICAP whose mission cuts across the total police organization. It is not our place to make a specific organizational placement recommendation. However, we suggest that management consideration be given to: 1) placing the ICAP grant directly under the newly created position of Director of SJPD Operations; 2) forming a small (two or three member) inter-Bureau Management Advisory Panel to assist ICAP in achieving its goals; or, 3) placing the grant directly in the Office of the Chief of Police. Irrespective of the option chosen our key point here is that the option should be one that invests the ICAP staff with appropriate delegated authority, subject to management review, to carry out its responsibilities under the grant.

• At this stage, it is suggested that a workshop be convened that would systematically consider those interventions that appear desirable and feasible to undertake. The second year evaluators should be involved in this process to the extent that their experience can contribute to a project task intervention design and provision made for internal evaluation.

• Attention is called to Appendix D - Evaluation Plan - of the second year ICAP grant application. ICAP and SJPD management should carefully examine this document with regard to the enormous burden to be levied in the Department for data collection and evaluation that is explicitly called for. On pages 2 and 3, the Evaluation Plan calls for specific evaluations to have been undertaken during the first program year. We have no quarrel with the four areas specified for evaluation, as they correspond to the proposed first year grant program approach. What appears necessary is a reconciliation with actual program elements to be undertaken during the ensuing two years, so that planned task interventions can be evaluated internally as they become operational.

- In accordance with the recommendations given in the paragraph above, an important function that should be undertaken jointly by the second year evaluators and the ICAP staff is to examine each of the evaluation criteria tabulated on pages 4 through 7 of the Evaluation Plan for relevance to the workplan developed.
- We suggest that each key member of the staff be assigned responsibility for one or more of the ICAP objectives during the second year of the project. These individuals should be responsible for preparing a plan to accomplish the objective and for documenting results achieved.
- Finally, we regard it as imperative that an analysis or study be undertaken by ICAP staff, early in the second year, that sets forth and describes exactly how the ICAP plans to attack the "career criminal" problem. We regard the general ambiguity of this concept as a barrier to more effective utilization of ICAP grant resources and feel that early resolution of this issue will serve to sharpen the precision of grant-related decision making.

CHAPTER I INTRODUCTION

This report documents an evaluation of the San Jose Police Department's Patrol Emphasis Program (PEP). The first year of this project concluded on November 30, 1977. It was expected that this U.S. Law Enforcement Assistance Administration (LEAA) Discretionary Grant would be conducted over a three-year period. However, LEAA eliminated the PEP grant category. The second and third year of the project will be funded under a new grant category known as the Integrated Criminal Apprehension Program (ICAP). While PEP and ICAP are similar, in that they both stress the upgrading of police patrol allocation and operations, ICAP is a more narrowly defined program and is aimed primarily at the apprehension of "career" or recidivist criminals. Thus, this evaluation will concentrate on the assessment of Patrol Emphasis Program achievements but will also anticipate the coming transition to ICAP status.

The PEP grant had an official start date of September 1, 1976. Due to administrative delays, its actual start was on October 12, 1976, when the grant was approved by the San Jose City Council. Because of this, and other delays, the SJPD requested a 90 day extension - which was subsequently approved - that moved the first year grant termination date to the end of November, 1977.

The basic aim of the San Jose PEP grant is to increase police - particularly patrol - productivity and effectiveness through the enhanced integration and structured analysis of existing information resources. To accomplish this end, the SJPD created and staffed what is basically an operations analysis unit. This PEP unit concentrates its efforts in three areas: patrol methodology and rationale; apprehension techniques and effectiveness; and supervision and management of resources. The

project was fully staffed and operational by early 1977.

EFA was retained as evaluation contractor, after a competitive procurement process, on June 15, 1977. The project had been in operation roughly 10 months before the evaluator became involved.

The evaluation report is organized as follows. Chapter II presents a discussion of the PEP and ICAP programs and their purposes. Chapter III provides a detailed description of the San Jose PEP project. Chapter IV discusses evaluation objectives and methodology. Chapter V contains case studies and critique of PEP projects. Chapter VI presents our assessment of the program, and Chapter VII sets forth our suggested second year approach.

CHAPTER II
DESCRIPTION OF THE PEP/ICAP GRANT PROGRAMS

The purpose of this chapter is to provide a context for evaluation by describing the U.S. Law Enforcement Assistance Administration's (LEAA) Discretionary Grant categories for Patrol Emphasis Programs (PEP) and Integrated Criminal Apprehension Programs (ICAP). The similarities and differences between these two grant categories are of substantial importance to understanding this evaluation. The specific grant being evaluated here is the San Jose Patrol Emphasis Program. However, shortly after receiving this grant, San Jose was notified that this would be the last year for PEP grants and that the second and third years of the project would be funded under the ICAP category. Therefore, while this evaluation will focus on the achievement of PEP goals, it recognizes that the San Jose project is moving toward ICAP status.

The Patrol Emphasis Program (PEP)

The Patrol Emphasis Program (PEP) is a Discretionary Funding (DF) category established by the U.S. Law Enforcement Assistance Administration (LEAA). This type of grant is made directly by LEAA to the grantee and does not involve regional or State Criminal Justice Planning Agency "action" grant funds. As described in the 1975 LEAA Guide for Discretionary Grant Programs, the general purpose of the PEP effort is as follows:

Projects within this program must be directed toward increasing the police agency capability to place patrol manpower in a more effective position to prevent criminal attack and/or affect apprehension of the criminal.

More specifically, the guide goes on to state that:

The applicant must demonstrate the willingness to support a broad area of agency effort from the Crime

Analysis Section through the crime prevention effort to the patrol force. The support is intended to assist the agency to maintain and harmonize these related efforts into a working habit.

While speculative, we believe that the genesis of the PEP concept arose as a result of the work of the Police Task Force Report of the National Advisory Commission on Police Standards and Goals; the important, but controversial, results of the Kansas City Preventive Patrol Experiment; and related studies that stressed the overall importance of crime analysis and its relationship to upgrading police patrol operations. In brief, this grant category established a funding source for those police agencies interested in strengthening their patrol operations through the application of certain emphasis areas (e.g., crime analysis, enhanced preliminary investigation, etc.) that LEAA felt offered the most productive means to this end.

At the same time, however, LEAA was obtaining the results of a wide variety of research projects they had commissioned relating to criminal justice system effectiveness. Probably, the most important element of this work was directed at the concept of the "career criminal". Studies by the Institute for Law and Social Research, using the data base of the Prosecutor Management Information System (PROMIS) clearly demonstrated that the recidivist criminal was simply not deterred by the criminal justice system (CJS). The PROMIS data showed plainly that, while the CJS as a whole had many inadequacies, significant problems were encountered at the police level in terms of cases being lost because of insufficient evidence, poor preliminary investigations, inadequate deployment of resources, poor utilization of existing data resources for crime analysis, police training deficiencies and the like. Other studies bearing on this issue were the highly controversial Rand Corporation study of the "Criminal Investigation Process", Stanford Research Institute's studies on "Enhancement of the Investigative Function" and the "Felony Investigation Decision Model", and assessments of

preventive patrol, specialized patrol, and team policing conducted under LEAA's National Evaluation Program (NEP). Briefly stated, the preponderance of findings in these various reports stressed the need for a fresh look and reassessment of the criminal investigation and prosecution process

This led LEAA to create two more Discretionary Grant categories. The first was the Prosecutorial Career Criminal Program (PCCP). The goal of this program was to ensure and expedite the full prosecution of those persons whose criminal histories indicate repeated commission of dangerous criminal acts (e.g., robbery, forcible sex offenses, aggravated assault, burglary, homicide, etc.). The PCCP is designed specifically to quickly identify the violent recidivist after apprehension and to prioritize case processing to assure conviction for those individuals so identified. Grants in this category were made to District Attorney and Prosecutor offices.

The second of the new grant categories relates closely to the PCCP and is known as the Integrated Criminal Apprehension Program (ICAP). This category was first described in detail in the LEAA Guideline Manual entitled Guide for Discretionary Grant Programs (September 27, 1976). The ICAP effort is aimed specifically at police agencies. The overall objective of ICAP is two-fold:

1. Increased Criminal Apprehension by the police, and
2. Increased capability by police to identify and apprehend the career criminal.

The Guide indicates that police ICAP projects must show a commitment to the establishment, operation, and coordinated integration of:

- Preliminary investigation conducted by Patrol,
- Crime Analysis,
- Strategic planning, and
- Career criminal identification and apprehension.

LEAA believes that the following results should be obtained from an ICAP:

- Increased solvability and apprehension information from preliminary investigation.
- Increased directed patrol activities.
- Increased apprehension of repeat offenders and career criminals.

As will be made clearer in Chapter III, San Jose received a PEP grant in 1976 - probably one of the last issued - and expected to continue this effort for a three-year period. Instead, it became apparent during first year grant operations that PEP funding would be terminated. Therefore, San Jose requested second year funding to convert the PEP program to an ICAP program. While not dissimilar, the two programs do evidence significant differences. Specifically, PEP was a fairly broad mandate to upgrade patrol operations and productivity. ICAP, while still encompassing efforts to upgrade patrol, is a more narrowly defined effort whose primary aim is to enhance police efforts to apprehend the repeater or "career" criminal. These programmatic differences are subtle but they are particularly important, both from an operational and evaluation standpoint. The implications of this change are discussed in later segments of this report.

One point that we do want to make here is that both the PEP and ICAP efforts were, and are, evolving, and are not precisely defined program concepts. We have studied a wide variety of documents relating to both programs including grant guidelines, LEAA decision-memo's, descriptive reports, and have discussed such programs with LEAA officials and with the National Technical Assistance (TA) contractor for ICAP programs (Westinghouse National Issues Center).

To gain perspective on ICAP, we contacted a number of cities with ICAP grants for comparative purposes. The programmatic direction these cities have taken is presented below:

- Simi Valley: Provides funds for crime analysis and four crime prevention officers.
- San Francisco: Provides for a staff of 10 police officers and civilians. Primary effort devoted to crime analysis, upgrading training and apprehension efforts, better utilization of automated information systems, liaison with Prosecutorial Career Criminal Program.
- Oxnard: Provides for crime analysis capability development and eight officer tactical unit to focus on recidivist offenders.
- San Diego: Originally part of law enforcement component of Prosecutor's Career Criminal Grant. Now an ICAP effort. Concentration on crime analysis and upgrading police apprehension capabilities.
- Portland (Oregon): Operated as PEP for two years - now an ICAP effort. Originally used civilian Crime Analysts and concentrated on sophisticated trend analysis of crime and service demands and upgrading patrol operations. Significant shift in program emphasis under ICAP. Placed sworn Crime Analysts in precincts supported by central staff. No longer use civilian analysts. Emphasis is now on developing prevention and apprehension tactics in cooperation with beat officers.
- Fort Worth: Incorporates a crime analysis capability and provides for intensive training of field officers in utilization of crime analysis data - also involves purchase of mini-computer and microfiche systems.
- Austin: Developing Crime Analysis Unit and setting up files for M.O. Analysis system will be built around mini-computer and involves close liaison with D.A. for career criminal purposes.

After this review, we concluded that the ICAP program is moving toward precise definition but has not yet arrived at the point where a local grantee can rely totally on LEAA guidance for determining exactly what their programs should achieve. At this stage of ICAP development, a general framework and direction has been defined but the program is still ambiguous enough to allow the grantee significant latitude and flexibility in approaching the problem. We want to stress here that we are not criticizing LEAA. The ICAP concept is an inordinately complex, difficult and ambitious endeavor and it can only be defined in precise terms in an iterative fashion based on the experiences and results achieved under operational conditions.

In any event, the general description of the ICAP by LEAA does provide a framework for program development. Specifically, ICAP is based on an interlocking series of assumptions. We formulated these assumptions primarily from LEAA resource materials and they are as follows:

- Little attention has been paid to enhancing and directing patrol operations.
- Directed patrol strategies will be more effective in terms of apprehension and will be more satisfying to police personnel.
- Directed patrol will involve pre-programmed activities as opposed to present random preventive patrol.
- Better management of existing patrol and investigative resources is essential.
- Information gathered by patrol officers is the key to suspect identification and apprehension.

- Analysis of existing operations will lead to policies and procedures that promote enhanced preliminary investigation, meaningful case screening, expedite follow-up investigation, and encourage better working relationship between police and prosecutors.
- Police decision-making must be formalized and involve analysis to a greater degree than at present.

Based on these and other related assumptions, LEAA's ICAP Program is expected to encompass a series of efforts in a grantee agency to: Improve Police Patrol Resource Allocation and Deployment Tactics and Strategies based on a Systematic Data Collection and Analysis; Decrease Crime Target Vulnerability; and Improve Patrol Force Investigative, Apprehension and Prosecution of Career Criminals. As a result of pursuing this general objective, LEAA anticipated the following results from the ICAP:

- Increased preliminary investigations (by Patrol Force)
- Increased suspect identifications from preliminary investigations
- Increased clearances from suspect identification and arrests
- Increased arrests (by Patrol Force)
- Increased number of Patrol Force arrests accepted for prosecution
- Increased career criminal arrests by Patrol Force and prosecution of career criminals
- Decreased follow-up load for Investigative Division.

- Increased attempted burglaries/larcenies resulting from target hardening techniques (decreased burglaries/larcenies)
- Increased security surveys conducted by Patrol Force
- Increased tenure and seniority within Patrol Force
- Increased Patrol Force strength in relation to agency strength
- Increased operations - training exchange for training purposes for upgrading Patrol Force activity.

Now, clearly these are laudable end products and represent fairly concrete targets for guidance of an ICAP. However, even in its most optimistic moments, we doubt that LEAA expects these targets to be achieved overnight. Instead, we believe that LEAA sees the ICAP effort as a beginning point in helping police agencies to move toward achievement of such objectives.

The latest LEAA initiative is the development of Integrated Police/Prosecution Programs to combat the Career Criminal. This is an attempt to link efforts such as the Integrated Criminal Apprehension Program and the Prosecutorial Career Criminal Program with the Managing Criminal Investigation (MCI) Program and the "STING" anti-fencing effort into a comprehensive career criminal program in a jurisdiction. A recent meeting of police and prosecutors at Harpers Ferry (Virginia) was convened to discuss this concept. As noted in a recent Westinghouse Technical Assistance Letter:

Initially, participants had some difficulty in recognizing the common links between the two programs (e.g., ICAP and PCCP). Discussion focussed on the mutual interest of the police and prosecutor not only in the apprehension of the serious recidivist offender but in his successful prosecution. One specific objective within ICAP, the enhanced role of patrol in preliminary investigation can be linked directly with prosecutor's need for better evidence, both physical evidence and witness testimony. Discussion of this aspect of ICAP allayed a concern of attending prosecutors, i.e., that ICAP is directed solely to the increased apprehension of the serious offender.

At this writing, a fully integrated comprehensive career criminal program is yet to be achieved. However, LEAA is not attempting to force the full program on participating jurisdictions. A jurisdiction can have ICAP or PCCP, or both and funding is not dependent on implementing both.

Chapter Summary and Conclusions

San Jose was initially funded under the LEAA Discretionary category for Patrol Emphasis Programs (PEP) a fairly open-ended grant category designed to enhance police patrol operations. However, LEAA has now dropped this category and the final two years of San Jose's efforts will be funded under the Integrated Criminal Apprehension Program (ICAP). ICAP essentially extends the PEP concept, but also narrows it so that primary emphasis is placed on upgrading police capabilities (particularly Patrol Force capabilities) to deal with the recidivist or "career criminal".

More specifically, the ICAP category requires the grantee agency to focus their efforts on:

- Upgrading patrol preliminary investigation capabilities,
- Initiation of case management and screening process,
- Development and/or enhancement of the crime analysis function,
- Development of a means to identify recidivist offenders,
- Development of a structured decision-making process for delivery of police services,
- Enhanced allocation and deployment decisions based on analysis of crime and service data,
- Tactical response designs and integrated across unit lines to maximize effectiveness.

In summary, San Jose recognizes the subtle differences between PEP and ICAP and anticipated the shift to the ICAP effort midway in the first year grant. This presents an evaluation problem because of the differences in emphasis of the two programs. It also presented operational difficulties due to the ambiguity of guidance provided by LEAA to grantees. In the chapter that follows, we will focus specifically on describing the San Jose Patrol Emphasis Program.

CHAPTER III

PROJECT DESCRIPTION

This chapter describes the background, objectives, current operations and other relevant details regarding the San Jose Police Department's Patrol Emphasis Program (PEP). The chapter is based on examination of the grant applications, project files, quarterly reports, project reports, and extensive interviews with SJPD management and project personnel. The chapter is designed to provide a context for the evaluation results presented later in this report. Before describing the project, we will first present some salient material on the City of San Jose and the San Jose Police Department.

The City of San Jose

The City of San Jose was first established in 1777 as the first Spanish pueblo in California. After California was ceded to the U.S. by Mexico, San Jose became the first capital of California in the year 1849. Located in Santa Clara County at the southern tip of San Francisco Bay, San Jose's present boundaries encompass almost 150 square miles and contain over 1,500 miles of surface streets.

San Jose is one of the fastest growing cities in the U.S. Population more than doubled between 1960 and 1970 and the present (1977) population of the city is approximately 575,000 persons. The city expects a population of 865,000 by 1985, according to City Planning Department projections.

The population composition of the city is predominantly white-caucasian. The 1970 census showed that only 2.5% of the population was black. The City Planning Department estimates that roughly 15% of the City population is of Mexican-American heritage.

San Jose's population has a fairly high personal income on the whole. Median family income is in excess of \$16,000 per year. The City displays a typical older downtown core area (which is in the process of redevelopment) as well as numerous shopping centers that have been constructed throughout the city. Most industry is located in surrounding communities and San Jose serves basically as an exceptionally large "bedroom" community.

San Jose has had a Council-Manager form of government since 1916. The Council is composed of six members and the Mayor and is elected at-large. The City Manager is appointed by the Council and is the Chief Executive and Administrator of the City. The City Manager appoints the heads of all City Departments, including the Chief of Police.

The San Jose Police Department

The San Jose Police Department's history dates back to 1849. Over the years, the SJPD has gained a regional reputation as an innovative, firm and effective police agency. It is one of the first cities in the U.S. to have required its applicants to have completed 60 semester units in an accredited college or university as a condition of employment.

In 1976, the SJPD had a total of 988 police employees, including 771 sworn officers and 217 civilians. An additional 30 sworn positions were recently authorized which will bring the total sworn complement of the SJPD to over 800 officers.

The Department is currently in the process of a major internal reorganization that we will discuss in some detail later in this report. However, for the first year of the PEP grant, the SJPD was organized into three major bureaus each of which was commanded by a Deputy Chief. Figure III-1 shows the organization structure of the SJPD at the time of this evaluation. As an indication of the SJPD's rapid growth, we note that in 1960, the Department had only 239 employees. By 1977, this staffing had increased by over 325% to the present figure of over 1,018 employees.

OFFICE OF THE CHIEF OF POLICE

Special Investigations

Internal Investigations

Research & Development

Command and Inspectional Srv.

Psychological Services

BUREAU OF INVESTIGATIONS

BUREAU OF FIELD OPERATIONS

BUREAU OF ADMINISTRATION

Narcotics Division

Detective Division

Juvenile Division

Youth Services Division

Patrol Division

Special Operations Division

Records and I.D. Division

Fiscal Division

Personnel and Training Division

Undercover Unit

General Crimes Unit (Days)

General Persons Offense Unit (Days)

Youth Programs Unit

1st Watch (West Unit)

M.E.R.G.E Unit

Records Unit (Days)

Fiscal Affairs Unit

Personnel Unit

Major Violator Unit

Burglary Unit

Sex Crimes Unit

Youth Law Enforcement Unit

2nd Watch (West Unit)

Traffic Investigation Unit

Photo Lab Unit

Property Control Unit

Training Unit

Investigation Unit

Auto Theft Unit

Missing Persons Unit

3rd Watch (West Unit)

Traffic Law Enforcement Unit

Warrants Unit

Fraud Unit

General Property Offense Unit

(East Unit)

Crime Prevention Unit

Juvenile Burglary Unit

Police Reserve Unit

Bicycle Unit

FIGURE III-1

SJPD staffing by function is shown in Table III-1.

The Bureau of Field Operations, the primary target group of PEP, is further broken down into the Patrol Division (426 sworn) and the Special Operations Division (118 sworn). The Patrol Division works a three-shift operation under a 4-10 plan.

The Special Operations Division (SOD) consists of four main units: the M.E.R.G.E. (two-man felony cars) Unit; Traffic Investigation Unit; Traffic Law Enforcement Unit; and the Crime Prevention Unit. Police reserve forces are also part of the SOD.

At the staffing levels indicated in Table III-1, the SJPD has 1.37 police officers per 1,000 people - a figure that is significantly under the national average for cities of this size.

The total SJPD budget for FY 76-77 was \$23,450,000 - of which 83.6% was devoted to salaries and wages. The SJPD budget accounted for roughly 23% of the total City of San Jose budget.

Table III-2 shows actual Part I crimes in the City between 1973 and 1976.

This table indicates that Part I crimes increased by 17 percent during this four year period. During the same period, San Jose's population increased by roughly 11 percent.

The SJPD has been evaluated by outside consultants on a number of occasions. The most recent study was a comprehensive management survey of the Department by the California Commission on Peace Officer Standards and Training (P.O.S.T.) in 1971.

A new chief was appointed at that time (1971) who served until mid-1976. For a five-month period, the SJPD had an interim Chief of Police (who is now serving as Assistant Chief). In October 1976, Joseph McNamara - former Chief of Police of Kansas City, Missouri - was appointed Chief of the San Jose Police Department.

TABLE III-1
SJPD STAFFING BY FUNCTION*

	Sworn	Civilian	Total	% of Total
Office of the Chief	32	20	52	5.2
Bureau of Field Operations	554	58	612	61.9
Bureau of Investigations	140	19	159	16.1
Bureau of Administration	45	120	165	16.8
TOTAL	771	211	988	100.0

*Based on 1976 Annual Report.

TABLE III-2
PART I CRIME IN SAN JOSE

	1973	1974	1975	1976	% Increase 1973-1976
Murder	25	29	39	38	+52
Negligent Hom.	35	24	26	28	-20
Forcible Rape	182	210	234	296	+62
Robbery	687	807	887	967	+15
Aggravated Ass.	486	551	954	1,223	+152
Burglary	9,168	11,180	13,846	12,096	+42
Larceny/Theft	21,212	23,329	24,467	22,063	+4
Auto Theft	3,767	3,775	3,654	3,828	+2
TOTAL	35,562	39,815	43,885	41,539	+17

The San Jose Patrol Emphasis Program

Work on the San Jose PEP grant application was initiated in late 1975. The application was prepared by a Research and Development Division Task Force.

The official start date of the project was September 1, 1976. However, the grant was not officially accepted by the San Jose City Council until October 12, 1976 and no expenditures were authorized until that date. The grantee was the State of California and the sub-grantee was the City of San Jose. The project was assigned LEAA grant number 76-DF-09-0032. While the first year grant was expected to terminate as of August 31, 1977, the SJPD requested a 90-day extension - which was subsequently approved, extending the termination date of the grant to November 30, 1977.

Project Rationale

San Jose's grant application for a Patrol Emphasis Program began with the following statement:

The San Jose Police Department ... responds to well over 250,000 calls for police service annually. ...with the demand for police service increasing at a steady rate of 10-14% annually, the Department is experiencing a decreased ability to meet the increased demand. It has become obvious, however, that responding to increased workloads solely through addition of manpower and equipment does not provide an adequate solution. The Department realizes that it must find means of making its available resources both more efficient and effective at all levels of operation.

In short, the primary reason why the SJPD desired to undertake this project was to devise means to increase police productivity and effectiveness in the face of growing service demands and tightened budgetary allocations. It proposed to do this by creating an Operations Analysis Unit that would: 1) draw

together the various sources of information on SJPD operations available from automated and manual systems in the Department; 2) analyze such data, and, 3) assist management in using the results of such analyses in making decisions relating to SJPD effectiveness and productivity. A little background is necessary here to understand this approach.

The SJPD Research and Development Division has done an outstanding job in developing design specifications for computerized systems to support Department operations. Specifically, the following systems have been installed:

- Computer-Assisted Public Safety System (CAPSS)
An automated computer-aided dispatch system that provides data regarding dispatch times (receipt, dispatch, arrival, and cleared) necessary for measurement of response and manpower utilization. The system provides historical data on number and types of calls by type and location.
- Records Index System I & II (RIS II) This is an automated joint SJPD/Santa Clara County Sheriff's Department system that contains incident and crime report data. The system provides data on incident type, case number, jurisdiction, location, date, time of occurrence, etc. This system was initially called the RIS I system. RIS II, which is currently nearing completion, will include specific crime related descriptive data (such as M.O.) and Case Control Information.
- Automated Single Fingerprint System: This North American-Rockwell system utilizes computer techniques to match latent crime scene prints against a data base of known offenders' fingerprints.

Other systems in various stages of development in the SJPD include an Automated Property File designed to centralize the cross-match all property reports (stolen, found, recovered, pawned), and an automated Field Interview (F.I.) system designed to expedite the search for field interview information with the purpose of linking persons or vehicles to crime occurrences.

In addition, there are a number of County-level systems that contain information relating to SJPD operations. These include the Santa Clara Criminal Justice Information System (CJIC) - an automated subject-in-process system; the CAPER system - an automated offense and crime specific information system - that will be replaced by RIS II; and the Geo-Data Analysis and Display System (GADS) - an interactive computer graphic system using CRT terminals to display geographically-oriented data.

The problem with all of these systems is that they can produce masses of data relating to all aspects of SJPD operations. However, raw data is not useful for decision-making purposes and the SJPD did not have a group of analysts that could properly use this data for strategic analysis of operations. The SJPD R & D Division has a Crime Analysis Unit, a long-range Planning and Budgeting Unit, a Systems Development Unit, and a Methods and Procedures Unit. Aside from the excellent work being done by a Crime Analyst, there was no unit specifically responsible for detailed analysis of this data.

Given this problem, the SJPD proposed to utilize existing automated data bases and other information sources to form what they termed a "Working Information System" (W.I.S.). The product of the analysis of these WIS outputs would be used to support specific decisions relating to resource management, patrol methods, apprehension techniques, and crime prevention. Thus, the central theme of the project was to assure that information collected related to SJPD operations is used to the maximum extent to support SJPD decision-making. The grant application provided a detailed statement of goals and objectives based on this rationale which are described below.

PEP Goals and Objectives

The overall goal of the SJPD Patrol Emphasis Program was stated as follows:

To increase the productivity of police manpower and strengthen management and supervision's decision-making processes that allocate such manpower in order to effectively and directly affect the potential victim, offender, and opportunity for crime.

Under this goal, there were three "program areas" each of which had both primary and sub-objectives.

The first program area was titled Patrol Methodology and Rationale. The primary objective of this category was as follows:

To improve the capability of patrol forces to impact the occurrences of crime and meet the demand for other police services.

Specific sub-objectives in this program area were as follows:

- 1.1 To improve field deployment and strategies and tactics.
- 1.2 To increase the amount of police officer effectiveness in patrol operations
- 1.3 To minimize response times.

The second program area was titled Apprehension Techniques and Effectiveness. The primary objective of this program category was:

To improve the capacity and effectiveness of patrol and investigative resources for apprehension of offenders.

Specific sub-objectives in this program area were as follows:

- 2.1 To increase level and quality of investigative resources available for apprehension activities.
- 2.2 To improve the procedures for preliminary investigation and case assignment.
- 2.3 To improve tactical deployment of special units assigned to apprehension operations.

Program Area III was titled Supervision and Management of Resources. The primary objective to be achieved in this category was:

To strengthen management and supervision's capability in improving and maintaining a high level of police officer productivity.

Specific sub-objectives of this program area were as follows:

- 3.1 To create a functional unity among information analysis, crime prevention, and apprehension operations.
- 3.2 To systematically provide the information and training needed by management to make decisions in allocating personnel and deploying manpower.
- 3.3 To improve relationships with external agencies that affect police productivity.

It is important for the reader to understand that these goals and objectives related to the planned three-year Patrol Emphasis Program. Achievement of such results were to be initiated in the first year and to be completed in the subsequent years. Specifically, the first year of the PEP was to be devoted to setting up the project, hiring staff, and conducting the analytical activities necessary to define exactly what was to be accomplished in each of these three program areas.

From an evaluative perspective, these statements of goals and objectives of the Patrol Emphasis Program leave a lot to be desired. They are generally useful as guidelines for evaluation but they are not specific enough to permit precise measurement of accomplishment. For example, sub-objective 3.3 states that the PEP will strive "to improve relationships with external agencies that affect patrol productivity." Overtly, this seems a quite reasonable objective. However, what, specifically does it mean? The grant

application provides no particular guidance nor does it review how police productivity is affected by such agencies - whoever they may be. Another example is sub-objective 1.2 "minimize response time". Again, this is a laudable end product to be achieved. But, it would have been much easier to evaluate if it were precise. Specifically, does the statement contemplate reducing response time for all calls for service, for high priority calls for service, etc.? Obviously, rushing to all calls for service, (e.g., take a report for insurance purposes, check out an illegally parked car, etc.) is not what is intended by this objective statement. More likely, the intent was to reduce unacceptable delays in responding to those types of calls where a rapid response is important.

In short, as evaluators, we regard these goals and objectives to be more in terms of general areas in which the Patrol Emphasis Program planned to concentrate efforts rather than being precise end products. The grant application cuts to the heart of the matter with the following statement:

Perhaps the underlying theme that ties the goals and objectives together and constitutes the basic hypothesis of the project, is that the utilization of police manpower can be brought to a high level with analysis providing necessary and quality information and by validating the decisions therefore made. And the institutionalization of these very processes can be achieved only when the police officers and managers themselves are convinced that it permits them to reach their highest levels of professional performance.

The problem with which we are confronted as evaluators, is that the first year grant objectives are not defined with any precision. Thus, we are left with assessing if the project is, or is not, generally moving toward the attainment of the stated three-year goals in each of the three "program areas" (i.e, patrol methodology; apprehension techniques and

effectiveness; and, supervision and management of resources). Clearly, it will not be possible to assess impact during the first year of the grant since the project will not attempt to propose specific operational changes until the second and third years of the grant. Further complicating the evaluation is the fact that there are: 1) a number of other grants in operation that also relate to the attainment of PEP objectives; and, 2) other analytical efforts are underway in the Department conducted by the Research and Development Division whose purposes are also to strengthen SJPD decision-making processes.

With regard to the former category, the SJPD is currently using Federal funds to develop and enhance its Computer Assisted Public Safety System (CAPSS) and the Records Index System - Phase II. Both information systems produce the types of data needed to conduct planned PEP analytical activities. In addition, the SJPD has: 1) an ongoing and quite successful grant to combat armed robberies; 2) recently completed a highly sophisticated burglary methodology grant; 3) a large-scale sex offense control grant, and 4) will soon undertake a crime prevention-oriented burglary grant.

The second complication is that the SJPD has a quite effective Research and Development Division that includes among its components a fairly sophisticated Crime Analysis Unit; a long-range Planning and Budgeting Unit; a Systems Development Unit; and a Methods and Procedures Analysis Unit. All of these units display a high degree of technical ability and also aim to enhance SJPD decision-making processes.

In brief, the PEP grant is but one element of an overall and extensive effort to modernize the SJPD and to rationalize its decision-making processes. Our evaluation will focus specifically on its contributions to this overall effort.

Proposed PEP Approach

The SJPD PEP grant application provided a very detailed discussion of tasks and activities to be undertaken. In general, this approach was to take each of the project objectives and sub-objectives and to follow a series of steps that included the following:

- Review and Analysis of the scope of concern relating to the objective,
- Development of Criteria to measure objective objective attainment,
- Identification of System Deficiencies relating to the objective,
- Identification of Data Requirements for analysis purposes,
- Development of WIS Components to provide the necessary data,
- Development of Alternatives to meet the objectives,
- Implementation of the Selected Alternative, and
- Evaluation of the Implementation of the Alternative.

With respect to the three "program areas" to be addressed by PEP, the grant application proposed the following:

Patrol Methodology and Rationale

- Adopting patrol techniques to anticipated events.
- Identification of high-risk targets (people & property) to provide risk factors and required patrol efforts.
- Specific deployment strategies and criteria to satisfy demands for service.

Apprehension Techniques and Effectiveness

- Crime pattern recognition to aid apprehension.
- Diverting apprehension-oriented manpower from the mechanics of relating found to stolen property.
- Developing methods to quickly identify stolen property.
- Alternative tactical assignment for SJPD "strike force" (e.g., merge unit) to increase apprehension.

Supervision and Management of Resources

- Discriminating among citizen calls for service for prioritization.
- Development of appropriate dispatch strategies to minimize non-patrol, non-apprehension functions.
- Field support functions that could be accomplished by non-sworn personnel.
- Peak variations in demand and how to allocate resources.
- Supervisory decisions related to deployment.

Referring back to the general methodology proposed, the first year of the PEP Project was to concentrate primarily on review and analysis, criteria development, and identification of system deficiencies. The actual development of alternatives, implementation of alternatives, and evaluation of the alternative implemented were to be undertaken during the second and third years of the project.

Project Organization and Staffing

Due to the "patrol" orientation of this project, SJPD management decided to appoint the Captain of Patrol (located in the Bureau of Field Operations) as overall Project Manager. However, the

PEP effort itself is physically located in the SJPD's Research and Development Division and administrative support is provided to PEP by R & D. The R & D Division is organizationally located in the Office of the Chief. The rationale behind this decision was as follows:

Because the program is directed primarily toward the Patrol function, extremely close liaison is necessary between project activities and daily police activity. Further, that person will be responsible to provide daily project direction and guidance and act as the intradepartmental staff coordinator, establishing and maintaining program philosophy and design intent.

The Captain of Patrol, at the time of the grant application, commanded all patrol operations and reported directly to the Deputy Chief in charge of the SJPD Bureau of Field Operations (BFO). Due to an internal reorganization, another patrol captain assumed the responsibility as Program Manager early in 1977.*

An internal search was conducted by the Commander of the R & D Division and his staff to select an Assistant Project Manager who would be responsible for day-to-day direction of project activities. This position was budgeted for a police sergeant. The types of skills necessary for this position were described in the grant application as follows:

This position is significant and critical since a thorough knowledge of police practices, tactics, and strategies is essential to program success. The individual must possess a high degree of supervisory/administrative skill and be comfortable functioning within a clinical, exploratory, abstract principle atmosphere.

A total of six individuals applied for this position. After extensive screening and oral interviews, Sgt. Thomas Johnson was selected as Assistant Project Manager. Sgt. Johnson has over 10 years of police service in the SJPD and holds a B.A. Degree in

* This position is intended to provide the necessary point of coordination between PEP and BFO. However, for all practical purposes - the Assistant Project Manager has the primary responsibility for grant activity and performance. 27

Social Science. He has an exceptionally diverse background in police work and has been assigned to patrol, internal affairs, intelligence, burglary investigation, tactical felony cars; and the Metro Unit. He also served as a Patrol Sergeant and has completed numerous in-service and specialized police training programs. This was his first assignment as a Project Manager and he was assigned full-time to the project.

The remaining positions budgeted in the grant were as follows:

- Consultant Psychologist (1,200 hours - Personal Service Consultant)
- Statistical Analyst
- Programming Analyst
- Staff Analyst
- Principal Clerk
- Stenographer/Clerk II
- Two Typist/Clerk II
- 3,200 hours of Staff Aides (Part-time positions).

The Consultant Psychologist was a full-time member of the SJPD at the time of the grant application. However, the contract position was not approved by the City until November 1976.

The Consultant Psychologist has a quite unique background that clearly justified a sole-source contract to provide these services. The Consultant holds a Ph.D. in Industrial Psychology. Earlier positions included: Director of Psychological Services for a large industrial corporation, extensive research experience, Director of a Police Community Relations Program in a large western city and Researcher on Police Personnel Administration and Selection Standards with the International Association of Chiefs of Police, Inc. Upon leaving the IACP, the Consultant joined the SJPD as a Patrol Officer and spent almost two years "on the street". He also served in the Personnel and Staff

Inspections Unit of the Department. His responsibilities are primarily in the areas of productivity assessment, employee motivation, WIS development, survey techniques and management analysis.

The PEP Statistical Analyst selected for the project holds a M.A. Degree in Political Science with a strong minor in Statistics. He also holds a Master's Degree in City Planning (MCP) and has completed 90 additional hours toward the Ph.D. Degree. While this is his first experience in the police field, his previous employment was as an Economic Planner and Consultant. He joined the PEP staff in January, 1977.

The PEP Staff Analyst possesses an extensive background in police operations, management, research, and teaching. This individual served over 22 years with the Los Angeles Sheriff's Department where he rose to the rank of Lieutenant and for eight years was Administrative Assistant to a top executive of that 8,000 officer police agency. After retirement, he served as Police Specialist for the San Francisco Crime Commission; Police Specialist in Santa Clara County's LEAA-funded Pilot City Program; Police Administration Instructor in a Junior College; and Police Specialist with the Sonoma County Criminal Justice Self-Assessment Project. He has also served as Consultant to numerous police and private agencies. He joined the PEP staff in February, 1977.

The Principal Clerk holds an undergraduate degree in Education and was employed by the SJPD in the Personnel Division for two years prior to joining the PEP staff. She was employed as a teacher prior to that position. She joined the staff in November, 1976.

The Stenographer/Clerk II serves as the Project Secretary as well as being actively involved in PEP study projects. She was employed by the SJPD for five years in the Records Division prior to joining the PEP Project. She joined the staff in November 1976.

The Clerk/Typist II will complete requirements for the B.A. Degree in Sociology by June, 1978. This is her first job in a police organization. Her date of employment was in July, 1977.

The three staff aides on the project all have appropriate educational and experience qualifications commensurate with their part-time positions as Research and Data Collection Assistants.

The Programming Analyst III position was not filled during the first grant year. Funds were also budgeted for a Consultant Systems Engineer, but, again, a decision was made not to fill the position.

Project Finances

The total budget for the first year PEP effort was \$326,980. The grant itself was for \$294,252 and local match was \$38,698. The proposed budget was broken down as follows:

Personnel Services	\$131,182
Employee Benefits	\$ 29,646
Travel	\$ 3,596
Consulting Services	\$112,244
Operating Expenses	\$ 40,572
Equipment	\$ 9,740
Indirect Costs (12.7% of Personal Services)	\$ 10,425
TOTAL	\$326,980

Under the category of contractual services, the following items were included:

Consultant Psychologist	\$20,244
Consultant Systems Engineer	\$ 5,000
Center for Urban Analysis	\$35,000
Special Computer Services	\$35,000
Evaluation	\$12,000

Not all of these funds were spent during the first year. We will discuss this situation later in this Chapter.

First Year Project Activities

While Chapter V will discuss specific PEP projects in detail, this section will review the chronology of such activities and simply note the general nature of activities undertaken by quarter.

First Quarter (September 1976)

During the first quarter (one month) of the project, the majority of effort was devoted to preliminary administrative activities necessary to implement the PEP project while awaiting City Council approval of the grant.

Second Quarter (October - December 1976)

Intensive effort was devoted to recruitment of project staff and initiation of specific analytic and information gathering activities. Specific activities undertaken included:

- Developing trends in patrol deployment and response data.
- Detective Allocation Plan.
- Liaison with all SJPB Bureaus to explain the PEP efforts.

- Planning for crime analysis by collection of data from other police agencies known to have such a capability.
- Interviews relating to WIS development.
- Provision of support to RIS II and CAPSS system to assist in system development.
- Visits to other agencies to review specific related activities.

Third Quarter January - March, 1977.

All key positions were filled during this quarter and specific projects were initiated. Specifically, the following activities were performed:

- Initial production and assessment of Beat Information Profiles (BIPS) and District Information Profiles (DIPS).
- Design and administration of a shift preference study.
- Analysis of deployment patterns to isolate time lags and initial development of re-deployment plan.
- Initiation of a fourth watch experimental program in one district to test the effect of additional resources on response times and backlogs.
- Analysis of traffic accident data for selective enforcement deployment.
- Midnight watch off-time study.
- Development of evaluation Request for Proposal (RFP).
- Seminar with Patrol Sergeants to identify problem areas and to solicit suggestions for organizational and operational improvement.

Fourth Quarter (April - June, 1977)

- Selection of evaluator and preparation and signing of contract.
- Completed evaluation of fourth watch experiment and presentation of results to Chief's staff.
- Development of alternative proportional manning plan.
- Assignment plan for swing watch.
- Completion of BFO training for latent fingerprints, report writing and preliminary investigation evaluation.
- Initiation of management analysis of SJPD Juvenile Bureau.
- Completion and submission of detailed application for ICAP funding to LEAA.
- Second phase production and evaluation of BIPS/DIPS.
- Provision of support to Reorganization Task Force.
- Development of schedule for fall watch. (The SJPD rotates shifts three times per year).

Fifth Quarter (July - September 1977)

- Completion and submission of analysis of Juvenile Bureau.
- Evaluation of Bureau of Investigation's Night General Detail.
- Development of Unit Availability Model.
- Analysis of sex offenses to identify specific characteristics related to rapes in San Jose.
- Initiation of Court Liaison Study.
- Development of Survey Plan and instrument for sample survey of police clientele.

Sixth Quarter (October-November, 1977)

- Development of attrition model for reorganization task force.
- Continuation of court liaison study
- Development of general objectives for crime analysis
- Initiation of citizen survey
- Satellite crime lab report.

In general, the descriptions above include most activities undertaken by the PEP grant during its first year. Not mentioned are the extensive amount of time devoted to briefing visiting police agencies on the PEP/ICAP program; specific file searches relating to active cases, and other lesser activities such as the preparation of news releases on quarterly FBI crime figures, and related assignments. Also, the grant provided considerable technical assistance and staff aide time to assist in developing SJPD automated systems for crime analysis and resource allocation purposes. Specifically, PEP provided assistance in file maintenance, development of SPSS capabilities, began implementation of the ASI-ST package on RIS II; development of a geo-file and coding BCS crime reports. Some of the activities listed by quarter, we have designated as a major project products and we will analyse such products, from a "lessons learned" standpoint in Chapter V.

Use of PEP Staff Time by Function

Project staff fill out weekly time cards noting the amount of time they spend on specific PEP functions. We have used nine-months of such data to develop Table III-3. This data was

originally filled out on a form that listed general functions performed. Later in the project, this form was made more specific to capture the amount of effort spent on precisely defined PEP studies. We have reallocated the data into representative categories shown in Table III-3 to obtain a general picture of the level of PEP effort used by function. As this table shows: PEP staff spent 26.2% (2,173 hours) of their time in the analysis of the patrol function; 8.7% (723 hours) on organizational analysis; 29.7 percent (2,453 hours) on system development activities; 3.4 percent on development of crime analysis capabilities; and 32.1 percent on grant administration and other activities.

We believe that this allocation of effort is to be expected during the first year of the grant. Subsequent grant years will likely reflect a reduction in the categories of grant administration and system development and a significant increase in the proportion of overall effort devoted to crime analysis, patrol methodology, and organization analysis.

Staff Development Activities

PEP grant management has done an outstanding job in developing a project "team". Internal communication is excellent and the staff has a real sense of mission. A number of formal staff development activities have been undertaken. Specifically, PEP staff attended the following training programs:

- Training Seminar on Evaluation (LEAA) Washington, D.C., Assistant Project Manager (two days).
- Development and Use of Geo-Based Files, Oakland, Cal. Statistical Analyst and R & D crime analyst (five days).
- Automated Manpower Scheduling, St. Louis, Mo. - Statistical Analyst, (7 days).

TABLE III-3
PEP STAFF ALLOCATION OF TIME BY FUNCTION

		January	February	March	April	May	June	July	August	September	TOTAL	
PATROL METHODOLOGY	OPERATIONS	15	45	99	123	114	45	53	60	12	565.0	
	DEPLOYMENT	60	117	62	72	99	110	245	41	48	853.0	
	RESOURCE ALLOCATION	144	77	111	80	9	27	21	195	2	490.0	
	MANAGEMENT	47	9	39	3	3	14	4	0	0	119.0	
	CITIZEN SURVEY	0	0	0	0	0	0	10	29	75	114.0	
	COMMUNICATIONS	6	4	4	8	8	0	0	0	2	32.0	Subtotal 2173.0
ORGANIZATION ANALYSIS	JUVENILE BUREAU	0	0	0	0	0	0	95	94	69	269.0	
	NIGHT DETECTIVES	0	0	0	0	0	0	96	0	0	96.0	
	COURT LIAISON	0	0	0	0	0	0	10	29	75	114.0	
	REORGANIZATION	1	0	4	56	8	0	5	127	49	244.0	Subtotal 723.0
SYSTEMS DEVELOPMENT	CAPPS	187	131	247	111	127	95	24	128	91	1,140.0	
	RIS II	6	2	2	0	12	29	33	38	71	193.0	
	GEOFILE	0	0	0	0	0	0	0	92	58	220.0	
	BCS CODING	0	0	0	0	0	0	0	88	153	241.0	
	WIS	82	199	66	43	106	163	0	0	0	59.0	Subtotal 2,453.0
CRIME ANALYSIS	CRIME ANALYSIS DEV.	45	11	2	0	5	3	64	44	60	234.0	
	SPECIFIC STUDIES	0	0	0	0	0	0	0	0	47	47.0	Subtotal 281.0
GRANT ADMIN. & OTHERS	PROGRAM DEVELOPMENT	69	24	24	28	40	49	4	12	14	264.0	
	EVALUATION	2	5	5	7	8	8	7	1	15	58.0	
	QUARTERLY REPORTS	0	0	20	0	0	9	0	0	8	37.0	
	2ND YEAR APP.	7	63	103	126	3	8	9	1	40	417.0	
	CLERICAL	95	56	117	132	153	164	170	78	54	1,019.0	
	HOSTING	0	16	32	0	0	39	11	98	39	235.0	
	OTHER	0	36	0	96	29	22	176	120	154	633.0	Subtotal 2,663.0
TOTAL											8,293.0	

- Use of Hypercube Model (two days), Statistical Analyst, R & D Crime Analyst.
- Criminal Justice Planning Institute, Modesto, California Principal Clerk (five days)
- Organization Development and Communications (San Jose) Project Secretary.

In addition, PEP staff visited a number of other police organizations to observe specific programs of interest including:

- Atlanta P.D. (Patrol Car Allocation Methods) - Assistant Project Manager
- Dallas P.D. (Crime Analysis) - Assistant Project Manager - PEP Psychologist
- Lexington-Fayette County Police Department - (Reorganization) Assistant Project Manager
- New Haven P.D. (Directed Patrol) Assistant Project Manager
- St. Petersburg P.D. (ICAP Programs) Assistant Chief of Police, Assistant Project Manager
- Harpers Ferry, Va. (ICAP concepts and grant management) Assistant Project Manager.

Considerable transfer of concepts also occurred as a result of visits to the San Jose PEP Project by representatives of the following agencies:

- Portland (Oregon)
- New Orleans (LA)
- Lexington (KY)
- Simi Valley (CA)
- Westinghouse TA Representatives
- Memphis (TE)
- Hartford (CONN)
- Norfolk (VA)

- Long Beach P.D. (CA)
- South S.F. (2) (CA)
- Springfield (MO)
- Santa Ana P.D. (CA)
- Stockton P.D. (CA)
- Touche Ross.
- Arlington TX
- Oxnard P.D.
- Portsmouth

All project staff members have also participated in "ride-along" efforts with patrol officers to get a first hand view of operational problems.

- Significant Decisions or Events Related to the PEP Project

This section will briefly note those events or decisions occurring during the first year that we believe had an important effect on the PEP grant. The first event of importance was the change in command of the SJPD. The grant was written during the tenure of one chief, initiated during the tenure of an Interim Chief, and carried out during the tenure of still a third chief. Obviously, each chief had distinct philosophies and management styles. While we are not suggesting any detrimental effects on the grant due to these management changes, we do want to point out that the grant may have had to adapt its priorities to those of the incumbent chief.

A decision of importance was also made by project management. The grant application proposed the use of the GADS System (an interactive computer graphics system). After due consideration, project management decided not to utilize GADS. A total of almost \$97,000 was budgeted for GADS-related expenditures. Also, funds were budgeted for external office space to house the PEP grant and for an additional clerk-typist. Since it was decided to house the PEP grant in R & D, there was no reason to use these funds. Thus, the grant will return slightly over \$100,000 in unexpended funds to LEAA during its first year of operation. Actual first year grant expenditures then will be on the order of \$226,000. Due to internal reorganization, there was also a change in Project Directors in February 1977. Again, we have identified no specific deleterious effects of this change and simply point out that the grant staff had to adapt to this change in leadership. The net effect of this change, in our view, was to place additional management responsibilities on the Assistant Project Director. Finally, one additional problem faced by the grant was the serious illness of the Staff Analyst - a key member of the project team. While this problem has now been resolved, it did result in the loss of a significant amount of this invaluable staff member's time.

CHAPTER IV
EVALUATION OBJECTIVES AND METHODOLOGY

The primary objectives of this evaluation were set forth in San Jose's Request for Proposal as follows:

To summarize, there are two areas of focus for the evaluation: 1) grant approach to problem-solving, grant organization and management, and, 2) evaluation of process and project implementation by PEP and evaluation approach and techniques used to test these.

The ultimate purpose of the evaluation, as stated in the RFP, is to provide top management of the SJPD with appropriate information relating to the PEP grant to enable decisions on the structure and continuation of the grant in the second and third action years, as well as decisions on implementation of grant approaches after grant funding is terminated. With this purpose in mind, the RFP was specific in stating that: "The client or consumer for evaluation results is the Chief of Police whose interest is providing the most effective police service to the Community".

At the outset, we think that it is important to stress that this is a process evaluation. The PEP grant's first year activities did not focus on impacting crime rates nor were they aimed specifically at making changes in police operations. Instead, our examination of the grant convinces us that PEP had followed the implicit objectives set forth below:

- Establish the Patrol Emphasis Program and perform the necessary internal and external administrative activities necessary to enable PEP to engage the planned program in an as effective and expeditious manner as possible.

- Assign and/or hire PEP project management and staff that possess outstanding qualifications and the specific types of technical skills necessary to accomplish stated PEP goals and objectives.
- Orient and develop such PEP management and staff to a high order of competence through both specific staff development activities and formal training.
- Establish strong cooperative relationships with all elements of the SJPD to enable the PEP staff to function effectively in conducting planned activities.
- Establish PEP staff credibility in the SJPD through a carefully planned and cautious strategy of responding to specific service requests and in undertaking projects that are tailored to specific staff strengths.
- Provide specific assistance to the R & D Crime Analysis and Systems Development Units in implementing key information systems that will provide data necessary to accomplish PEP objectives.
- Present such study results to top SJPD management in a form that enables them to obtain a better insight into the nature of SJPD resource allocation and deployment effectiveness.
- Influence the characteristics and process of management decision-making in the SJPD by providing analytical products that SJPD managers perceive to be of value and assistance in making major resource allocation, organizational, and operational decisions.
- Produce study results that are credible and reflect the highest technical quality and state-of-the-art in police management and operations.
- Develop a clear concept and plan for making the transition from the PEP grant category to the Integrated Criminal Apprehension Program (ICAP) grant category.

Achievement of these process aims will provide the foundation vital to achievement of ultimate program goals and objectives. Specific operational changes that are linked directly to PEP activities will begin to be implemented during the second grant year and will be fully implemented during the third year of the project. In short, the aim of the PEP grant during its initial year was to build a firm organizational base from which to operate and to influence the nature of the SJPD's decision-making process.

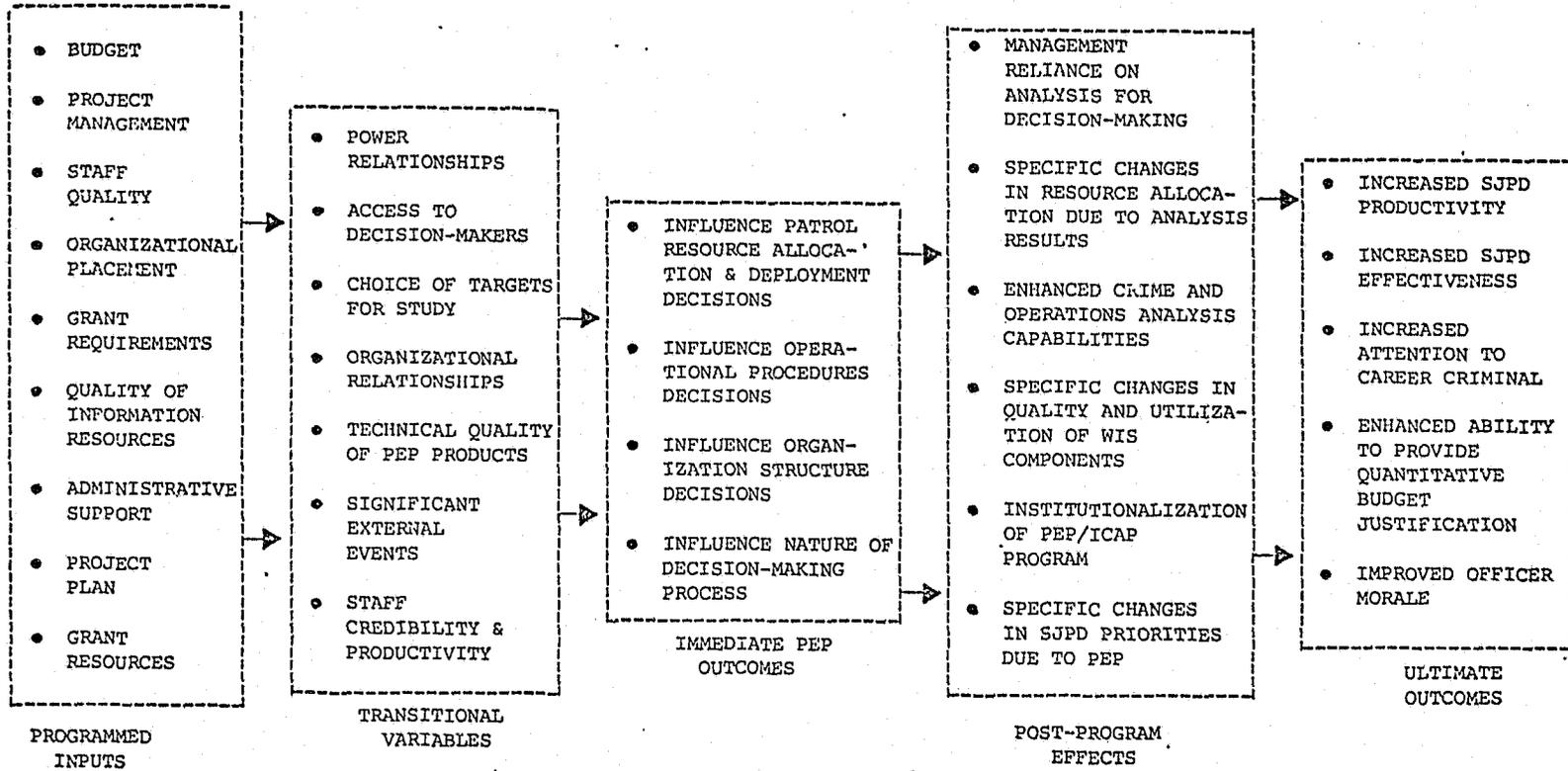
EFA, therefore, decided to utilize a case-study, process-oriented, evaluation design to determine the extent of PEP grant process and achievement during its first year of operation.

Figure IV-1 shows the rationale of PEP grant we developed for structuring the evaluation. The case study design was chosen because it was clear from the nature of this project that a classical control group "before and after" evaluation design was simply not applicable. As Rossi and Williams point out "demonstration projects differ from field experiments in that they are aimed as showing administrative and/or political feasibility"¹. As such, this type of project - and PEP is clearly of this type since the SJPD did not have this capability prior to PEP - requires a more subjective analysis than would normally be required with a crime-specific or production-oriented project. EFA believes that this is particularly true with regard to the Patrol Emphasis grant. The PEP staff has no formal authority or power to force SJPD managers to use the information they develop. They must convince decision-makers of the significance and validity of their findings and assist them to design and implement changes that enhance police productivity and effectiveness. And, as is usual, decision-makers must consider

¹Peter Rossi and Walter Williams: Evaluating Social Programs: Theory, Practice and Politics, Seminar Press, New York 1972, p. 9.

TABLE IV-1

OVERVIEW OF PERCEIVED PEP PROJECT RATIONALE AND PROCESS



a wide range of "other" factors (e.g., political acceptability, police association response, etc.) and integrate such considerations, as well as PEP products, into their final decisions and actions. Therefore, this evaluation will focus on the precision of PEP's analytical efforts and their ability to "sell" their results to the key command and management personnel of the San Jose Police Department.

The primary evaluation criteria used in this assessment were:

- Availability of resource allocation data to SJPD decision-makers prior to the PEP project versus Post-PEP.
- Quality and acceptability of PEP products and services.
- Evaluation of the PEP project and specific products by key command and executive personnel of the SJPD.
- Adequacy of PEP management planning and direction.
- Determination of the merits and drawbacks of PEP organizational placement in the SJPD.
- Utilization of PEP products in SJPD management decision-making.
- Change in the nature of SJPD decision-making processes that can be linked directly to PEP activities.

The case study approach followed in this evaluation was, as noted, oriented to the analysis of "process". As described by Suchman (1967), this process analysis encompasses four basic dimensions: 1) the attributes of the project itself; 2) the population exposed to the project; 3) the situational context in which the project takes place; and 4) the different types of effects produced by the project. Each dimension is

briefly discussed below:

- An analysis of the attributes of the project attempts to diagnose those features that make it more or less successful. That is, each component of the project (management, quality of staff, finances, etc.) must be identified and analyzed to determine which aspect of the project contributed to or detracted from the overall effect produced.
- An analysis of the population exposed to the project provides information about the recipients of the services and products of PEP. This analysis will focus on how these recipients assessed the utility of PEP outputs.
- An analysis of the situational context within which the PEP project was implemented and operated provides insight into those conditions and significant events that affected the project.
- An analysis diagnoses the intended effects, as well as the unintended effects, of the project. In addition, tangible products (e.g., reports, models, analysis) are reviewed to determine what lessons were learned from such efforts. Thus, this part of the analysis focusses on the broad picture of PEP results, durability, acceptability, internal credibility, and potential for continuation.

Specific evaluation activities conducted included the following:

- Orientation to the SJPD: It was vitally necessary that we understand the nature, organization, and the SJPD in order to determine the situational context in which PEP operates. This activity included collection and review of a wide variety of documentary material on the department (e.g., management studies, departmental annual reports, newsletters, R & D reports, census data, crime statistics, newspaper articles, etc.); ride-along with patrol units and informal discussion with officers; interviews with the Chief of Police and all major unit commanders; interviews with R & D personnel and interviews with City Government officials. Since we had conducted another evaluation of an SJPD grant program (the Robbery Prevention Project), we were somewhat familiar with the Department at the outset of this evaluation.

- Understanding the PEP/ICAP Grant Program. This involved review of LEAA grant guidelines, descriptions of the PEP, ICAP, Career Criminal Program descriptions, LEAA decision-memos, and ICAP newsletters; telephone interview with the LEAA national program manager, discussion with the national ICAP technical assistance contractor (Westinghouse Critical Issues Center), personal and telephone interviews with other PEP/ICAP programs (including San Francisco, San Diego, Oxnard, Jacksonville, Austin, Fort Worth, Colorado Springs, Portland, Simi Valley and Stockton) and informal discussion with ICAP visitors from/to San Jose including representatives from PEP/ICAP grants in Norfolk, Portsmouth and Springfield (Mo.).
- Understanding the San Jose PEP Program. This activity involved review of the SJPDP PEP grant application, quarterly reports, budget documents, correspondence files, and project files; interviews with the R & D personnel who prepared the application, interviews with both the first and second Project Directors, extensive and continuing discussion with the PEP Assistant Project Manager, formal and informal interviews with project staff; and initial and continuing discussion with SJPDP top management regarding the project.
- Case Study of PEP Products: Each major PEP project was carefully reviewed and the users and/or requestors of each such product were interviewed. Using a carefully designed survey instrument, we attempted to assess user reaction to the product as well as specific lessons that were learned from each such assignment. Of course, we also interviewed the PEP staff member that prepared the study, the PEP project management and top management officials of the SJPDP.

The outcomes of all of these activities were analyzed and the results are presented in this report. It should be noted that we assume that this report will be disseminated to LEAA as the funding agency so we also present considerable descriptive material in this report on San Jose and the San Jose Police Department to facilitate their review. Much of this material is elemental and well known to SJPDP and PEP staff. But it is necessary to present it to enable "outside" readers to understand the context in which the project was conducted.

CHAPTER V
CASE STUDIES AND CRITIQUE OF PEP PROJECTS

A. PROJECT ASSIGNMENTS

Since November 1976, the Patrol Emphasis Program has undertaken a number of assignments for analysis of a wide variety of operational problems presented by requestors from several different units in the Department. Some assignments have been self-initiated. The discussion that follows centers largely on those projects that involved a significant amount of time, i.e., greater than three weeks.

All numbered reports on projects completed prior to October 15 have been reviewed by the evaluators and discussed with the principal investigators and the Assistant Project Manager. In view of the potential impact that several reports may have had on several Department operations, we undertook to interview the officers in the various units who requested that PEP perform the studies. The responses to a series of questions are contained in the ensuing synopses. Each synopsis follows a uniform format adapted from the Project log and our interview guide. (See Appendix A for questionnaire).

PEP Project No. 1 - Detective Deployment/Manpower Scheduling

1. Requesting organizational unit: Bureau of Investigations (BI), Detective Division.
2. Project duration: One month.

3. Nature of assignment: A night schedule was developed for deployment of detectives on the basis of categories of incidents occurring during the night watch. The basis for the schedule request was precipitated by a decision to implement an augmented manning level without adequate planning as to specific needs. It was suspected that there were slack periods of time in the early morning hours for which a surplus of investigators occurred.

4. Summary of Report: A manpower allocation schedule was devised for 12 Bureau of Investigation officers on the basis of investigation needs for providing services during the swing and midnight watches. Six Part I felony crimes were analyzed with regard to frequency of service: rape and sex felonies, armed and strongarm robbery, aggravated assault, narcotics violations and burglary. An analysis revealed that approximately 92% of these types of crimes occurred between 1600 and 0400 hours. Consideration was given to incident occurrence by day of week, hour, patrol district and the four radio-channel assignment in developing the schedule. No attempt was made to designate specific investigators for this initial project.

5. Utilization of results: The schedule was submitted to BI, but manpower availability changed during the interim period that the study was performed. Consequently, the scheduling was undertaken internally by BI. (Reference PEP Project #10 - Night General Detail that discusses a considerable departure from the PEP - developed schedule).

6. Lessons learned: Although the information requested was provided, i.e., determining demand for services by felony crime category, frequently and times of occurrence, the scheduling of specialist detectives necessitated their handling of multiple crimes. Much initial resistance was encountered from the specialist detectives to handle general crime investigations until a concentrated training period was completed. It consequently appeared that a statistically based decision to schedule detectives was too rigid for the frames of reference held by the detectives.

PEP Project No. 2 - Traffic Accident Survey

1. Requesting organizational unit: Bureau of Field Operations (BFO), Special Operations Division.
2. Project duration: Four months.
3. Nature of assignment: Information was provided to assist in the deployment of motorcycle units based on traffic accident demands for service. A directive was issued from the Deputy Chief, BFO to relieve patrol from the burden of responding to traffic accidents. Assistance was requested from PEP to provide an analysis of accident occurrences, frequency and times by district.
4. Summary of report: An analysis of traffic accident responses was undertaken using CAPSS (Computer Assisted Public Safety System) data from November 14, 1976 to February 5, 1977. Demand was measured by counting the number of accidents that occurred in two-hour increments from 0600 to 0200 hours the following morning. Counts were taken for each of the seven districts. Accidents were grouped into three categories: hit and run, injury and non-injury accidents. Results were charted by half-hour increments in color for each district, weekday, weekend and weekly. Except for one district the highest accident incidence occurred between 1600 and 1800 hours. Three districts showed lower peaks during the morning commute hours.
5. Utilization of results: The findings were useful in re-deploying units. Guesswork was taken out of the decision-making process to the degree that anticipated high accident incident rates didn't exist in some districts as thought.
6. Lessons learned: Deployment of traffic enforcement units cannot be solely based on a statistical recapitulation of accident incidents. Consideration must also be given to community complaints received on reported traffic problems.

PEP Project No. 3 - Beat Information Profile and District Information Profile (BIP/DIP)

1. Requesting organizational unit: PEP self-initiated.

2. Project duration: Three months.

3. Nature of Assignment: Summary and specific briefs on major felony crime incident suspect and vehicle information were developed by district and beat for two, two-week sample periods. The initiation of the task was prompted by a perception of need for more comprehensive information than that contained in the Watch Bulletin. Also the CAU profile was apparently not being widely used by patrol elements.

4. Summary of report: Two, two-week periods of incidents of burglary, robbery, grand theft, assault and related sex crimes, and traffic accidents were tabulated from CAPSS and other sources. District 7 was the pilot target area. Data compiled included case number, brief subject and vehicle descriptions, dates and times of incidents. Summary arrest information was compiled.

5. Utilization of results: A self-initiated survey and evaluation was conducted. Twenty four patrol officers and sergeants were surveyed. Responses revealed that burglary and major crime data were of more interest than traffic accident information. Mixed comments were received relative to the volume of information presented. Some respondents would have preferred more descriptive data; others wanted less volume. Timeliness of getting the BIP/DIP reports into the field was reported to be an important consideration.

Our independent interviews confirmed the fact that the delay in getting selected briefs to patrol greatly limited usefulness. Patrol officers are unable to handle the volume of material presented.

The R & D Crime Analysis Unit (CAU) has been submitting weekly briefs to all districts on burglary and other felonies by district for quite some time. The BIP/DIP appear to be a considerable expansion in scope of the CAU brief.

6. Lessons Learned: One BFO sergeant indicated that his preference would be for an area analysis that may reveal a cluster of criminal activity in a timely manner to permit appropriate patrol response. PEP, in view of findings, will delay further work, for at least one year, pending an appraisal of the RIS II (Record Index System) crime analysis output.

PEP Project No. 5 - Fourth Watch

1. Requesting organizational unit: Bureau of Field Operations, Patrol Division.

2. Project duration: Four months.

3. Nature of assignment: An overlay fourth watch was scheduled for a one-month experiment to determine the cost and effectiveness in improving patrol response on the basis of demand for service. The motivating factors behind the request for such an evaluation centered on the complexity of manually scheduling patrol manpower under the 10/4 plan and to manually determine appropriate allocation of manpower resources when and where needed. The third, and underlying rationale was the desire to acquaint the P.E.P. staff to actual patrol functions and to expose their capabilities to the command and operational levels. A proponent view for the need of a fourth watch was the perception of a schedule structure that could free the backlogged patrol units for self-initiated, community-oriented crime prevention and suppression interrelations.

4. Summary of report: For a period of four weeks, a fourth watch was deployed in three beats in one district. The experimental district was selected on the basis of prior developed information on calls for service derived from CAPSS. The overlay watch complement consisted of six patrol officers and one patrol sergeant temporarily reassigned for the purpose of the experiment. Controls were established for comparative analyses in other district beats. The final report is extensively documented. The basic conclusion was that a fourth watch provides little improvement in delivery of patrol services at a relatively high cost. (No cost data are presented; however, a qualitative assessment is made on the basis of incremental manpower and equipment that would be needed to fully implement the procedure.) The only noted improvement in response times occurred for the lower priority 3 call assignments.

5. Utilization of results: The negative finding that the fourth watch was too costly an operation to fulfill needs resulted in a decision not to implement the procedure. There was a strong reaction from the proponent of the proposed fourth watch schedule, that cost factors unduly influenced the negative finding of usefulness.

6. Lessons learned: The experiment and findings were termed "priceless" from the perspective of demonstrating the valuable contribution that can be made by PEP. It was stated that PEP had proven its ability to assist in the design of deployment strategies using resources not heretofore available, nor fully appreciated. The presentation of factual information, derived from the CAPSS computer assisted data base system, was instructive as well as convincing. Although the proponent was disappointed in the top management decision outcome, the value of such evaluations was recognized as a useful input for the periodic need to restructure patrol deployment and scheduling.

PEP Project No. 6 - Bureau of Field Operations Training Program

1. Requesting organizational unit: Bureau of Field Operations, Patrol Division.
2. Project duration: Two and one-half months.
3. Nature of assignment: Observations were made of a special training program instituted by BFO and an evaluation made of the training sessions covering report writing, fingerprint lifting, and preliminary crime scene investigation. PEP was brought into the training program in an observer/evaluator capacity as an after-the-fact decision. It was believed useful to have an independent overview of how well the training program was conducted.
4. Summary of report: The report discusses the background of special training programs instituted to remedy deficiencies in required basic skills. The need for special training courses had been established as a result of prior survey of need. Fingerprint lifting deficiency was impacting negatively on the computerized single print I.D. system. Basic police academy report writing instruction was judged poor. Preliminary crime scene investigation instruction in the academy was rated average.

The BFO report writing instruction sessions were rated as adequate by 97% of the attendees. The preliminary crime scene instruction content was judged adequate by 94% of the attendees. Impact of the three-subject instruction program was randomly assessed immediately following the completion of the training cycle.

The overall quality of reports prepared by officers who had received the course instruction was judged to be "much better" than those prepared during the training cycle. However, 64% of the reports contained errors, largely with regard to accuracy or evidence reporting.

Following instruction on latent print lifting, a significant improvement was observed in the number and quality of useable prints recovered from crime scene investigations. A 500% increase in numbers of prints recovered occurred, and useable prints increased from a 71% to an 80% level.

The impact on preliminary crime scene investigation instruction was primarily noted by the increase in latent print recovery. Overall evidence collection declined somewhat. It appeared that patrol officers have resisted this latter function, compared to a more positive response in latent fingerprint lifting crime investigation. The usability of the photographs was not determined.

5. Utilization of results: Following the completion of the training cycle, the Deputy Chief, BFO directed that first line supervisors should review and sign off on incident reports to ensure that the quality of the reports is improved. It was noted by BFO that such follow-up steps faltered. A transition in BFO command may have contributed to a lack of follow through to implement a recommended report quality standardization procedure.

6. Lessons learned: PEP should have been brought into the training program at a much earlier time during the planning phase. Exposure of the assigned PEP analyst to this training exercise was looked upon as a procedure for introduction to police operations and to become acquainted. Although the report was "more than adequate" for presenting findings, continued exposure of the PEP analyst to Department operations would add to capability.

PEP Project No. 7 - Assignment to the Swing Watch

1. Requesting organizational unit: BFO, Patrol Division
2. Project duration: Three weeks.
3. Nature of assignment: A methodology was developed to schedule watches, the initial being the swing watch. Complexity of frequent shift changes, changing population and calls for service necessitated a more methodical, statistically based analysis to adequately schedule beats.
4. Summary of report: Proportional manning of six districts was based on priority 1 through 4 calls for service tabulated for a 16-week period. District 7, a training district, was excluded from the assignment due to the need for maintaining a uniform experience for a fixed number of assigned patrol officers. Strict proportional assignment was waived in circumstances involving geographic distribution needs. The Department 10/4 plan, involving two-team assignments with a resultant overlap of one day was resolved for the purposes of analysis by fixing the team structure.
5. Utilization of results: Recommendations for cutting midnight beat manning levels were acted on. The swing watch team size recommendations were followed "right down the line".
6. Lessons learned: Data provided a basis for manpower trade-off negotiations among the watch commanders.

PEP Project No. 8 - Shift Preference Survey

1. Requesting organizational unit: BFO, Patrol Division.

2. Project duration: Two months.

3. Nature of assignment: A survey was conducted to determine shift preferences of uniformed patrol personnel and an analysis conducted of the factors influencing assignment selection. The past practices of polling the uniformed force for assignment preferences every four months is looked upon by management as a disruptive and destabilizing procedure. Management, however, had little insight as to factors influencing the selection process. The fact that closer officer/community relations are a prime consideration in structuring patrol allocations prompted a formal inquiry to ascertain the motivations behind selection of assignments and whether frequency of change was a strong consideration.

4. Summary of report: A total of 358 uniformed patrol personnel responded to the two-page survey form--335 officers and 23 sergeants. The respondents were asked to rank preferences that may influence assignments. The following preference factors were included in the survey and analyzed: days off, shift, district, supervision/command, one-or two-man units, seasonal and frequency of watch changes. Longevity of rank and time on force were also queried.

Days off and specific shifts were found to be the two most important factors in selecting shift assignments. Less frequent shift changes, to six months, did not appear to be a problem. Shift starting times, varying about two hours from the present times do not appear to be a problem if greater staggered deployment is desired. With an increase in longevity on the force, days and weekends off became increasingly more important. Preferences for shift, district, supervision and command factors decrease with longevity. Few differences in preferences were revealed relative

to rank. A significantly greater percentage of officer rank personnel responded to the questionnaire, giving rise to the speculation that officer rank personnel felt more accountable to sergeants than sergeants do toward lieutenants.

5. Utilization of results: Actual impact is unknown and probably untested.

6. Lessons learned: Believe that report gave a needed insight to management for their "negotiations" in assignment of personnel. Seniority, however, cannot be ignored. Certain factors, such as preferences or objections to certain supervisors, appeared to be non-issues.

PEP Project No. 9 - Analysis of Juvenile Division

1. Requesting organizational unit: Juvenile Division, Bureau of Investigations.

2. Project duration: Three months.

3. Nature of assignment: Operations and procedures of the Juvenile Division were assessed in consideration of functional service requirements. Change of command motivated a need to secure an objective independent appraisal of operations and functional responsibilities with a view toward establishing goals to meet changing service requirements.

4. Summary of report: The report indicated that the original assignment was much too broad to be addressed within the scope of the PEP program. Consequently, the inquiry was considerably narrowed. The staff analysts further noted that the nature of the management structure, the goals and objectives could best be addressed in the context of the Department Reorganization Task Force responsibilities. Many critical observations were noted with recommendations made that will require top level management decisions. Major policy considerations include establishing current functional responsibilities and an organizational structure that should be created to ensure that duties are discharged effectively.

5. Utilization of results: The report findings supported command impressions regarding the urgency for reordering Division priorities that would be responsive to current service needs. Certain administrative procedural recommendations can and are being implemented. It was acknowledged that the initial scope was broader than PEP's ability to undertake so sweeping an analysis that effects inter-divisional operational policy. The report did serve as an important catalyst to institute change and cause top management to undertake an assessment of the critical policy considerations explored.

6. Lessons learned: The fact that PEP was able to respond to the request for assistance, emphasized the importance of having an independent body of staff analysts available and capable of providing objective analyses and recommendations.

PEP Project No. 10 - Evaluation of the Night General Detail

1. Requesting organization unit: Bureau of Investigations, Detective Division.

2. Project duration: Two months.

3. Nature of assignments: An assessment of the usefulness of the detective night general detail was undertaken. The detail was made operational without the benefit of advance planning that led to many problems involving assignment of specialist detectives. (Reference PEP Project #1 - Detective Deployment/Manpower Scheduling). An independent opinion was believed important to assess the value of the detail.

4. Summary of report: The detective night general detail was organized in the latter part of January 1977. The detail consisted of 12 sergeants and 1 lieutenant. The detectives were selectively drawn from the Bureau of Investigations to service the following felony crime categories: juvenile, general crimes, burglary, robbery, auto theft, homicide and technical specialty. The report indicated that the lack of quantitative documentation precluded an appropriate assessment of work load and effectiveness.

Selective interviews were conducted with assigned detail personnel, the majority having been conducted during the night watch to permit observation of the activities. A survey was also undertaken of all BFO sergeants to solicit their opinion on the functioning of the detail.

The findings generally indicated the need for night availability of investigators. However, recommendations were made to greatly restrict self-initiated field activities by the night detail. Duty Officer activities and BI support for handling night traffic in the Police Administration building were specified



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as needed. Because of the lack of "hard data" to measure productivity, a longer term recommendation was made to analyze case assignment policies, procedures and effectiveness.

5. Utilization of results: Certain of the less controversial findings and recommendations were implemented. Generally, the findings did not surprise Division management, particularly with regard to the lack of planning for training prior to making the detail operational.

6. Lessons learned: While the report on the surface appeared to satisfy some concerns by Division management, the inability to address substantive issues reflected deeper problems in dealing with the detective force and the investigative function itself.

PEP Project No. 15 - Schedule for Fall Watch

1. Requesting organizational unit: BFO, Patrol Division.
2. Project duration: Three weeks.
3. Nature of assignment: A methodology was developed for scheduling each of the three watches (days, swings and mids) every four months. The request was motivated by a BFO desire to obtain valid facts on manpower allocation needs so as to permit comparison with the shift preference polling and scheduling conducted every four months.

4. Summary of report: The accomplishment of the task assignment was based on a refinement of the methodology devised from a previous analysis that measured service demand based on calls for service (CAPSS data base). Proportional manpower assignment was accomplished on the basis of the number of units responding to calls for service. This approach was justified in that the severity, and hence the priority of unit response (singular, multiple) would indicate the need for service.

The report documented the mathematical equations used and tabulated the suggested manning levels for the seven districts and 76 beats for the three watches, two-team (10/4 plan) deployment pattern. The rationale and constraints governing the assignment schedules are stated.

5. Utilization of results: The schedules developed provided a more solid basis than previously possible for working out manpower reallocation according to demands. The fact that repeat requests have been made for scheduling analyses speaks well for the P.E.P. and R & D staff support. Comments have been very complimentary.

6. Lessons learned: Facts revealed from the analyses conducted contradicted prior "gut" beliefs of needs. This in itself has caused some problems in reassignments.

PEP Project No. 16 - Midnight Watch Time Off

1. Requesting organizational unit: BFO, Patrol Division.
2. Project duration: Three weeks.
3. Nature of assignment: On the basis of the demand for service, a determination was made of those beats that could be cut on the midnight watch to permit manpower reallocation should this become necessary. BFO management suspected that over-manning existed at certain periods during the midnight watch. Assistance was thus requested for PEP to develop a factual assessment.
4. Summary of report: The analysis was conducted on calls for service occurring for a sample six-hour period, 0200 - 0800 hours. This decision was predicated on the assumption that undermanning a patrol district during this period without adequate backup could have a potentially negative impact on service and safety. The analytic procedure used to develop the suggested beat cuts is briefly described. Tables are included of a weekly average number of units responding to calls in the 0200 - 0800 time period. Suggested beat cuts for the two 10/4 plan teams by district and beat are tabulated for each day of the week.
5. Utilization of results: Recommendations were partially followed as compromises were necessary.
6. Lessons learned: Report provided a data base from which compromise reallocation decisions could be made.

PEP Project No. 17 - Unit Availability Model

1. Requesting organizational unit: BFO, Patrol Division.
2. Project duration: One month.
3. Nature of assignment: A model was developed, based on the number of patrol units responding to calls for service, that yielded an estimate of units that could be available for alternative assignment at any given point in time. Request was motivated by a need to provide a police officer for school classroom lecture assignment. The need was to identify available slack time to free officers for this function and not disrupt patrol beat service.
4. Summary of report: The methodology, based on data captured from CAPSS, is described in detail. A step-by-step discussion is made of assumptions and approximations used in the model construct. Included in the report is a set of graphs developed for the day watch for one week. Through use of the graphs and an accompanying table, districts and days of the week can be identified where removal of one or more units would have a minimum impact on delivery of patrol services. The report lists three possible uses of the model for planning and/or manpower unit reallocation to other activities.
5. Utilization of results: The model fully satisfied need. Appropriate free times were identified and school assignments made without any problems reported.
6. Lessons learned: A tool has been made available to counter groundless arguments from beat sergeants, lieutenants and captains that more men are always needed. It has been demonstrated that free time could be found. Later events showed that no problems arose as to manpower shortage occurring in those beats from which an officer was pulled out for the classroom assignment.

B. CRIME ANALYSIS AND WIS (WORKING INFORMATION SYSTEM)

One of the major thrusts undertaken by P.E.P. has been the strong support given to the Department Crime Analysis Unit (CAU). The CAU, administratively centered in the Research and Development Division, has been actively involved with R & I) to upgrade the crime records reporting system, RIS (Records Index System). R & D also had strongly influenced the design of the CAPSS (Computer Assist Public Safety System), that has automated the complaint and dispatch procedures. Both RIS and CAPSS have been augmented by applying the SSPSS (Statistical Package for the Social Sciences) software programs to aid in developing data output that have been useful in the developing of proportional manning scheduling analyses, and summary report of crimes and accidents by district and beat. Programming modules termed, AS-IST are being written for eventual data manipulation upon demand. These modules will permit access to stored data contained in RIS I and II tapes.

The ease with which PEP has integrated its resources, funding for clerical support, and professional staff conjointly with the R & D and CAU ongoing programs, speaks well for the long range crime analysis objectives established for P.E.P. and the conversion to the follow-on ICAP. The investment of resources, while having had an immediate return for those projects completed in the first year and described in A above, will impact more heavily in the second and third year as basic data being input into to RIS II and CAPSS are retrieved and processed to support directed crime analysis tasks.

The crime analysis approach taken is depicted as impacting on three major functions being directed at criminal apprehension and crime suppression/prevention. Concurrent capabilities are being developed and applied to (1) resource deployment; (2) crime pattern identification; and (3) suspect/offense correlation. Proposed projects encompassing these three functions remain to be formalized into a scheduled workplan for second and third year ICAP activities.

Both the RIS I and II and CAPSS are part of a concept for total accessing of available information systems to support PEP/ICAP objectives. Termed WIS (Working Information System), the project proposed objective is to develop the ability to extract relevant information by a routine methodological procedure to support patrol and investigative functions. Given predetermined information of potential value derived from the WIS, PEP/ICAP in conjunction with BFO/BI conjecturely would propose candidate interventions. (Some 42 such possible candidate applications were outlined in both the first year PEP and second year ICAP grant applications. These are shown in Figure V-1 and as they may impact on the three major PEP/ICAP program objectives). Analytic and field experimental exercises could be undertaken and impact measured for effectiveness. The Fourth Watch task assignment is an example of a field experiment undertaken at minimal cost that demonstrated fairly conclusively that marginal benefits in patrol response would accrue but only at a high cost. From this exercise, PEP has evolved a technique that forms a basic building block in developing beat manning schedules and resource deployment to meet changing crime patterns and demands for service, be it from calls or self-initiated responses.

C. MISCELLANEOUS PROJECT ACTIVITIES

Part of the PEP effort in the first year has been geared to the acquiring of competent staff and training for the less experienced staff. The learning process has been rapid by means of exposure to those project assignments described. Statistical skills have added a much-needed augmentation to the on-going CAU programs also as noted. There have been several task assignments undertaken that have not taken a large amount of staff time, but have served to expose PEP staff capabilities to various department organizational units and their special activities. Others were logged after the October 18 interview cutoff date.

Figure V-1

APPLICATION OF ALTERNATIVE CANDIDATE SYSTEMS

Candidate Applications	Programs & Objectives	I PATROL METHODOLOGY			II APPREHENSION			III MANAGEMENT		
		IMPROVE FIELD DEPLOYMENT - STRATEGIES & TACTICS	INCREASE P.O. EFFECTIVENESS IN PATROL OPERATIONS	MINIMIZE RESPONSE TIME	INCREASE INVESTIGATIVE APPREHENSION RESOURCES	IMPROVE PRELIMINARY INVESTIGATION AND CASE ASSIGNMENT	IMPROVE TACTICAL UNIT ASSIGNMENT FOR APPREHENSION	RELATE ANALYSIS, CRIME PREVENTION AND APPREHENSION	INFORM MANAGEMENT TO FACILITATE DECISION MAKING	INTERAGENCY COORDINATION
		A	B	C	A	B	C	A	B	C
1. High Risk Patrol		X		X			X			
2. High Service Demand		X	X	X						
3. Random Patrol		X		X						
4. Prepatterned Patrol		X		X						
5. Functional Separation		X	X	X	X					
6. Variable Deployment		X		X						
7. Field Mgmt. Options		X	X							
8. Info. Packets/Profile			X	X	X		X			
9. Hand Pack Radios			X	X			X			
10. Referrals - Community			X							
11. Crime Prevention			X							
12. Intradepartment Cor.			X	X	X	X	X	X		
13. Training Patrol Proc.			X		X	X				
14. Supervisory Training			X			X				
15. Motivational Counsel			X	X						
16. Non-sworn Personnel			X	X	X					X
17. Reorder Priority of CFS			X	X						
18. Decentralization			X	X						
19. O.D. Officer Invest.			X	X	X	X				
20. Crime Pattern Recogn.					X	X				
21. Strike Forces	X				X					
22. Complaint Procedures					X	X				
23. Team Policing Concepts	X				X					
24. Evidence Technicians		X			X	X				
25. Case Assignment/Shift					X	X				
26. Case Assignment/M.C.					X	X				
27. Lateral Assignment					X		X			
28. Case-point Screening					X					
29. Undercover						X				
30. Surveillance						X				
31. Saturation	X					X				
32. Response Priority	X					X				
33. Crime Ring Case Assgn.						X				
34. Management Task Force							X			
35. User/Mgmt. Task Force							X			
36. Organizational Changes							X			
37. Service Reduction		X	X	X	X					X
38. WIS Utilization								X		
a. levels & details								X		
b. time/frequency								X		
c. community media								X		
d. grouping of decision-making staff								X		
39. Crime Prevention Alter.										X
40. Cost/Recov. & Reduce Dem.										X
41. Res. All. Productivity/Cst.										X
42. Interagency Coordination										X
DEVELOP WIS										
<u>Components</u>										
CAPS		X	X	X	X	X	X	X	X	X
CAPER		X	X			X	X	X		
Records Index		X	X				X	X		
Model Systems		X					X	X	X	X
Manpower Schedules		X					X	X	X	X
Property File					X		X	X		X
Fingerprint Scanner					X		X	X		
CJIC					X		X	X		X
Case Control System (RIS)					X	X	X	X	X	
PIN, CLETS					X		X	X		
Field Interview System					X		X	X		

- PEP Project #4, "Sergeants Seminar" was convened for a one-day session to ascertain concerns and to explore suggestions relative to patrol operational issues. While the outcome was less than insightful, the exposure was believed useful.
- PEP Project #13, "Evaluation of Supervisors Training Course" involved observing two, one-week training program sessions. The brief report noted that the program met objectives as determined from a review of the student critiques.
- PEP Project #14, "Evaluation of Reorganization Task Force Seminars" involved observing two, two-day conferences convened to foster participating management in the ongoing study of Department organization and functions. The brief report noted that the sessions appeared useful.

The two following projects are currently in progress:

- PEP Project #12, "Court Liaison Study" involves the development of a centralized court appearance notification system to improve scheduling and eliminate inefficiencies. This is a major effort involving extensive staff commitment. The first phase, in progress, is devoted to problem analysis.
- PEP Project #18, "Citizen Survey Questionnaire" is being planned to sample citizen attitudes toward police services relative to calls made for service and reactions on receiving citations for moving violations. The evaluators reviewed a draft of the survey questionnaire and furnished suggestions. The survey began in November and will be complete by the end of the year. A sample of 1,000 is planned.

The following projects either were not extensive or completed after the analysis cutoff date:

- PEP Project #19, "Reported Offenses Profile - Sex Crimes".
- PEP Project #20, "Alternatives to the Fourth Watch", was originally undertaken in conjunction with Project #5 and has served as a model for development of subsequent scheduling and proportional manning analyses.

- PEP Project #23, "Systems Material Request from International Management Association."
- PEP Project #24, "Los Angeles Sheriff's Office Satellite Crime Lab".
- PEP Project #26, "Research for Oakland Police Department".
- PEP Project #27, "Personnel Attrition".
- PEP Project #25, "Crime Analysis Objectives".

CHAPTER VI
PROGRAM ASSESSMENT AND ATTAINMENT OF OBJECTIVES

A. PROGRAM MANAGEMENT APPROACH DECISIONS

• Action-Oriented Grant Application

From a program evaluation perspective, the objectives and scope of the Patrol Emphasis Program as developed in the original grant application clearly reveal an active program intervention intent over a three-year period to meet the stated goal: "To increase the productivity of police manpower and strengthen management and supervision's decision-making processes that allocate such manpower in order to effectively and directly affect the potential victim, offender and opportunity for crime." Considerable thought no doubt was given to structuring the three program-area approach, each with subsidiary goals and objectives. These have been discussed in Chapter III in context with the almost immediate change in concept at the initiation of the PEP grant operation signalled from LEAA in Washington that would occur in the second grant year.

The criminal justice priorities established in Washington were reordered to emphasize the apprehension and conviction of career criminals. Careful reading of the new guidelines established for the Integrated Criminal Apprehension Program (ICAP), taking effect in December for the second grant year, reveals, however, that patrol operations are still considered critical to the ICAP objectives. But distinctly called for is emphasis directed toward crime analysis to enhance patrol operations and investigative procedures leading to increased apprehension of repeat offenders and career criminals.

- Program Emphasis Influenced by Impending Shift to ICAP

PEP grant management, confronted with being responsive to the first PEP year goals and objectives, but anticipating a second-year shift to ICAP priorities, charted what has appeared to be a cautious but stable approach during this program development and transitional first year.

Extensive discussions held with project management revealed an understanding of the need to acquire a competent and balanced multidisciplinary project staff that would be responsive to the broad project requirements. Secondly, the Assistant Project Manager, with wide experience in the Department, recognized the importance of staff exposure to and acceptance by the personnel at various operational levels. Since imposed change is generally viewed with apprehension by those potentially affected, the project approach taken in view of this universal reaction has been that of primarily responding to requests made for assistance from various units. Self-initiated task assignments have been minimal and non-controversial.

- PEP/Crime Analysis Unit Interrelationship

A major decision was made to undertake long term support for further development of the Department crime analysis capability. A crime analysis functional capability is a program requirement of both PEP and ICAP. Because the PEP/CAU involvement is so closely interrelated, it is not possible, nor is it particularly important at this stage to, assess which component of effort can be ascribed to PEP or to CAU. It is evident, however, that the CAU/R & D effort having been instituted some time ago, is receiving an added impetus from the PEP support to build a data base and develop programming that will enable the RIS II output to be available at a much earlier period.

The PEP/CAU interaction leaves an open question regarding PEP's management involvement as to the crime analysis product output having utility and impact on planned second and third year ICAP activities. A statement was made early in the evaluation phase that a crime analysis plan is not being formally developed. This is interpreted as a policy decision not to produce routine periodic volumes of statistical data and crime incident summary reports. But rather, a system is being developed in the form of a data base management information system, that would be responsive on demand for special purpose operational needs.

• Three Tier Crime Analysis Approach

PEP/CAU crime analysts have conceptually structured a three-tier building block of crime analysis objectives that, in effect, specify crime and operational data analytic output applications: (1) resource deployment; (2) pattern identification; and (3) suspect/offense correlation.

The resource deployment category has been the earliest and probably most successfully applied joint PEP/CAU analysis of CAPSS/CSF (calls for service) data for BFO scheduling needs. The manning models have been developed and refined over a period of months. Further applications are proposed. When questioned as to BFO's ability to "institutionalize" this capability, one watch commander did not believe BFO personnel have the necessary skills to apply the computerized modeling techniques to develop alternative schedules and manpower allocations. In view of this response, it would appear that a management decision to vest the prime responsibility for this service within CAU beyond PEP/ICAP grant support would be a logical step. What PEP has provided that CAU had not been able to do previously, is to apply a computer-assisted data base to an operational problem -- a classical operations analysis/research technique.

The pattern recognition tier building block relies primarily on the RIS I & II systems and CAPER (will be replaced by RIS II) to provide cross tabulations on crime specific incidents by geographic sector (district and beat). Weekly and monthly profiles of neighborhood burglary, robbery and selected other felony incidents have been provided by CAU for a period of time. PEP attempted to elaborate on this reporting process through a test development of BIP/DIP publications. The reaction from the field was that the data compilation was much too voluminous and untimely. Further work on BIP/DIP has been indefinitely suspended by PEP. Special crime pattern analyses are proposed that would highlight threshold levels of crime specific victimization incidents and correlate possible similarities.

The third tier building block, suspect/offense correlation is a longer range, and probably the most ambitious undertaking. This category of crime analysis falls into the MO (modus operandi) area and is the most controversial and least understood investigation tool in today's scene.

RIS II is building a data base of crime incident and offender characteristics by coding "bubble sheets" of check box type data extracted from crime incident reports. These data forms will be processed by OCR (optical character reader) and stored on tape. The "bubble sheet" entries are added to the crime incident tapes that already have recorded information on the crime event by case number, victims, witnesses, offenders and suspects. Supplemental updated report information is added via the bubble sheet annotations. From these stored files, the desired objective is to be able to make special computer runs that search on given descriptors to enable matches on vehicles, suspects and possible MO. Some projects have been undertaken and others proposed by PEP/CAU.

Much effort by many police departments has been expended on this type of computer-based procedure with disappointing results. The problem is discussed in an ensuing section of the report.

B. ATTAINMENT OF OBJECTIVES

In perspective, the first year project management decisions have been marked by the desire to have the PEP grant staff become fully acquainted with Department operations, key management, personnel and resource facilities. Their analytic skills were cautiously demonstrated on a request for assistance basis. Project output and utilization were discussed in Chapter V and are assessed below in context with program objectives set forth to LEAA.

Because the Department has had a level of sophistication having been developed in some measure through the R & D efforts, and subsequently supported by PEP, an influx of visitors to PEP from outside agencies was encouraged that appears to have been excessively distracting.

• Program Focus Perceived Differently

PEP management administrative time was wisely spent in developing Department-wide support. But concerns have been expressed from the Office of the Chief and elsewhere that the PEP efforts have been fractionated, lacking in a coherent direction and focus. Twice submitted to LEAA have been elaborate PEP/ICAP grant applications detailing some 42 candidate applications as possible interventions, plus 11 WIS subsystems that have been proposed for consideration to aid in achieving specific program goals. Files have been set up in anticipation of documentation to be developed for each numbered candidate application (See Table V-1).

Further concerns has been expressed from separate quarters that: 1) more direct PEP impact on operations was expected during the first grant year; and, 2) not much formal or overt effort has been made in the form of a work plan to undertake a systematic evaluation of candidate intervention applications in the three major PEP/ICAP program areas described in the initial grant application.

• Program Methodology, Apprehension and Management

From the evaluator's perspective, the necessary art of grantsmanship is recognized and understood. Nevertheless, we have some reservations regarding an untoward appearance of a grant paper exercise, touting great expectations and accomplishments without verification by measurable impact results. A case can be made, however, that PEP activities undertaken in the first year have been responsive to the grant objectives, and that the proposed program as submitted has been planned for execution over a three-year period.

Reference is made to Figure VI-1 showing a number of selected PEP project assignments that have been undertaken in the first year that fall into the designated program areas. (The checked-off program areas have largely been so indicated in ICAP grant application dated May 5, 1977). Our review of the published PEP reports and discussions held (Chapter V) with the recipients of the reports generally shows that needs were satisfied. We are somewhat moved, however, to observe that one project area stands out as having achieved a relatively high degree of acceptance and utility. This is the work having been undertaken jointly by PEP/CAU for BFO and manpower allocation.



PROGRAMS & OBJECTIVES PROJECT ASSIGNMENT	PATROL METHODOLOGY			APPREHENSION			MANAGEMENT		
	Deployment A	Effectiv. B	Response Time C	Inv. Sup. A	Pre. Inv. Case Assgn B	Tal. Unit Assignment C	Crime Analysis A	Decision Making B	Interagency C
1. Detective Deployment	X							X	
2. Accident Survey	X							X	
3. Beat/District Profile		X							
4. Sergeants Seminar		X							
5. Fourth Watch	X		X					X	
6. BFO Training Evaluation		X							
7. Swing Watch Assignment	X							X	
8. Shift Preference Survey		X							
9. Juvenile Bureau Analysis								X	
10. Detective Night Detail				X				X	
12. Court Liaison Analysis*								X	X
13. Supervisors Training Evaluation		X							
14. Reorganization Seminars								X	
15. Fall Watch Schedule	X							X	
16. Midnight Watch Free Time	X							X	
17. Unit Availability Model	X							X	
18. Citizen Survey *								X	
Unnumbered activity									
o RIS II Support							X		

*In progress as of 11/1/77

FIGURE VI-1: PEP PROJECTS RESPONSE TO PROGRAM OBJECTIVES

• Program Study Emphasis

Inspection of Figure VI-1 reveals that the Patrol Methodology Program Area, and the Management Decision-Making Program Area, received the greatest amount of overall program emphasis in terms of the number of projects undertaken. Program Area II- Apprehension, had only one project directed to this area, with but inconsequential effect.

By contrast, Figure V-1, Application of Alternative Candidate Systems, reveals heavy emphasis proposed on patrol and apprehension program areas. The proposed WIS component integration shows heavy emphasis on crime analysis and enhancement of investigative capabilities.

Although PEP Project #10, Detective Night General Detail, the sole project directed to Program Area II, was basically frustrated in the inability to acquire hard data to permit the desired analysis, a strong recommendation was made for a broad analysis of BI operations. The recommendations centered on case management, productivity assessment, and the administration and training role in conjunction with BFO. During our project evaluation interviews in BI, we could discern that the PEP recommendations have merit.

PEP Project #9, Juvenile Bureau Analysis, was faced with even a much broader and more difficult task compared to the Night General Detail evaluation. The circumstances leading to the Juvenile Bureau study and the findings revealed an administrative problem of some magnitude that clearly was beyond the ability for PEP to resolve. Nonetheless, crucial issues were exposed that have served to stimulate management action.

• Program Output Not Amenable to Impact Assessment

From an evaluation perspective, the latter two projects typify the type of PEP study that is not amenable to quantitative measurement of impact. Even though the scheduling and proportional manning models developed affect BFO operations, their impact also would be extremely difficult to measure quantitatively. For example, rarely were the schedule and manning recommendations implemented as submitted. The models, however, served an extremely useful function in providing a basis for manpower tradeoff negotiations between the watch commanders. Thus, contrary to our initial expectations of being able to develop measures of impact for PEP projects undertaken to meet program goals and objectives, we recognized that "impact" could only be subjectively evaluated on the basis of user acceptance of output (Chapter V). Also, having reached this decision, the development of baseline data became a moot objective. Discussions were held with the Assistant Project Manager on this problem and it was agreed that for the first year, impact evaluation would be based primarily on subjective criteria.

As the reader has no doubt noted, this first year evaluation necessarily has been heavily process analysis oriented.

C. PROGRAM PLANNING

• Planning Influenced by Uncertainties

The PEP grant became effective in September, 1976 and considerable administrative planning time became necessary to acquire staff and secure appropriate facilities and equipment. The delays encountered necessitated a three-month grant period extension to December 1, 1977. Although the PEP grant application addressed the LEAA goals and objectives by detailing an understanding of the PEP program, and outlined a comprehensive listing of alternative candidate interventions that might be undertaken, project management elected to take a longer range

developmental and experimental planning approach. As noted previously, the impending grant shift to ICAP program goals for the second year, cast a measure of indecision over the appropriate project direction in anticipation of LEAA's program requirement changes.

Another perturbation affecting project planning, and of more immediate concern, was the long talked about Department reorganization and potential impact.

Given these two major uncertainties, the project management election was to cautiously build a rapport with the line operating divisions to provide assistance on a request basis. No formal planning instrument became evident to the evaluators with regard to pursuing this procedure which has taken considerable staff time. Concurrent with providing these analyses, an election was made to build a data base from which a planned crime analysis orientation would emerge from PEP-turned-ICAP. The fact that a CAU effort was already functioning in R & D, greatly facilitated PEP's move to support and strengthen the Department's crime analysis capability.

- Project and Department Interrelated Objectives

It has repeatedly been stated by project management, that crime analysis is one of the three major planned project thrusts. The other two major planned activities encompass the enhancement of the preliminary investigation function by patrol, and career criminal multiple offense linkage to ensure appropriate sentencing of convicted repeat offenders. In view of these articulated project plans, we would be remiss if we did not offer constructive comments that may aid in the project planning process.

Our first observation is that the Department top management reorganization taking effect as of November 6, 1977, will affect PEP/ICAP to the degree that its staff skills will be essential to support the needs of the newly designated Director of Operations (Assistant Chief). The subordination of BFO and BI within this command structure portends a greater degree of mutual interaction than has probably occurred in the past. The success of the Robbery Prevention Project in large measure can be attributed to the cooperation between BFO and BI elements.

Our recent experience and involvement in national level program planning, research and symposia concerned with managing criminal investigations emphatically underscores the trend to strengthening the patrol role in investigations, particularly as apprehension of the hard core criminal repeater is a prime law enforcement objective. In consonance with this view, during our initial interview with Chief McNamara, he stressed that PEP should develop a work plan directed toward patrol operations.

• Upper Management Guidance Essential

While there appears to be a consensus among the middle and upper Department management levels that PEP has a demonstrated analytical capability and a promising potential, there is a general vagueness relative to actual impact effected. What we suspect has been happening, or rather not occurring is upper management involvement to assist PEP project management in defining a firm focus leading to discernible results. As the first project year is coming to an end, and the second grant year is about to begin, coinciding with new ICAP goals and objectives, and a restructured Department management organization, we strongly recommend that SJPD management consider means to assure that ICAP staff receive the benefit of their guidance and counsel on major issues.

This top management guidance will be particularly crucial during the next quarter to prevent conflicting demands and decisions made that could dissipate resources.

The project will have turned back to the Federal Government over \$80,000 and possibly as much as \$100,000 at the end of the project year as being unspent. While the project decision probably was correct not to fund certain activities because of doubtful results, given the benefit of top management input, it may have been possible to redirect those funds to other appropriate tasks. Major funding allocation decisions, particularly of this magnitude, should have the benefit of management policy and decision-maker counsel.

- Workplan and Schedule Appear Necessary

The "art" of apprehending criminal offenders has been practiced by law enforcement bodies ever since society demanded protection from such predators. But with the burgeoning growth of urban and suburban populations, and the severe economic stress over the past decade or so giving rise to an enormous increase in crimes, treating crime control as an intuitive art no longer seems acceptable. Many aspects of our defense, business, industrial and social sectors have benefited from scientific and analytic processes developed in the post World War II years. Rational decisions on allocation of resources can be made on assembled facts, resulting from the use of proven analytic tools, rather than reliance on intuitive judgments stemming from emotions or "feel".

PEP has been attempting to bring this new analytic technology into the decision-making process. But it can only survive by having the full understanding and support by middle and upper Department managers. Understanding is underscored because it is incumbent on the PEP project management and staff to lay out an operational design whereby they would propose to accomplish certain expected results by undertaking specific tasks, recommend

changing certain procedures or propose experimentation. For the benefit of upper management levels, PEP should do its "homework" by detailing proposed undertakings, budget and schedule them for the ensuing year.* Assistance should be secured from top management so that a decision for rejection or go ahead on any or all of the proposed undertakings is based on a full comprehension of what is involved. A go ahead constitutes a command decision commitment. Also, a decision and plan should be made on how to deal with the proposed candidate applications contained in the grant application.

● Internal Assessment of Three Long-Term Goals

The ICAP guidelines specify and the PEP management and staff are committed to a long range goal of evolving a functional crime analysis capability leading to a reduction of the career criminal population. ICAP (no longer PEP) planning should assess at the earliest possible time whether the approaches they are undertaking or propose to undertake will produce desired results to achieve objectives.

Projects funded by LEAA have produced some significant findings that ICAP and Department management would find particularly illuminating -- informative in the sense of revealing some limitations of heavy reliance on overly sophisticated computer-based information systems and mathematical analyses. For example, in the Foreword to a National Evaluation Program report, "Crime Analysis in Support of Patrol" the Director of the National Institute of Law Enforcement and Criminal Justice (NILECJ) observed as follows:

The message of the study is clear; better understanding and coordination between the analysts and the departments that use the analyses is essential. The police officials polled in this survey acknowledged the value of crime analysis. At the same time, they were not convinced that

*Subsequent to submission of this report in draft form, we were pleased to learn that ICAP staff initiated efforts to develop such a work plan.

the more sophisticated mathematical analysis techniques -- such as response force modeling and crime event predictions -- are superior to less sophisticated formulas. In fact, the study found that the more formal the analysis program, the more remote it becomes to practitioners and the less likely it is that the information it produces will be used.

Our overview of the excessively wordy report insofar as it is relevant to ICAP, is that the Director's observation of crime analysis remoteness from the user will cause its being cast aside, is a highly relevant caution. PEP project management has made all the correct efforts to forestall this problem in its first year undertakings. But the second year should involve a close examination of WIS and particularly RIS input - output as to relevancy to crime analysis result expectations. In this regard, reference is made to another NILECJ-funded study report "Felony Investigation Decision Model: An Analysis of Investigative Elements of Information". (One of the PEP co-principal evaluators was the principal investigator for the project undertaken in the Oakland Police Department). This report addresses the development of felony cases screening models and assesses the value of investigative information leading to suspect I.D. The report in particular raises critical questions relative to M.O. usefulness in crime analysis.

An earlier, companion report to the Decision Model Study, "Enhancement of the Investigative Function" addressed the question of effort devoted to linking prior crimes to an apprehended felon if all that occurs is the paper clearing of cases. PEP has articulated this third endeavor as being the longest range goal in the crime analysis program triad discussed previously. It is surmised that achieving this objective will be costly, time consuming and of little consequence unless a programmatic approach is laid out to involve investigators, prosecutors and the judiciary. Charging multiple offenses and

establishing proof of guilt in prosecutorial and judicial proceedings can consume an enormous amount of resources. The RAND Corporation in their somewhat controversial study also funded by NILEC, "The Criminal Investigation Process" concluded the following:

- In relatively few departments do investigators consistently and thoroughly document the key evidentiary facts that reasonably assure that the prosecutor can obtain a conviction on the most serious applicable charges.
- Police failure to document a case investigation thoroughly may have contributed to a higher case dismissal rate and a weakening of the prosecutor's plea bargaining position.

PEP Project #6, "BFO Training Evaluation" exposed BFO/BI recognition of serious deficiencies in patrol investigation practices. PEP Project #10, "Detective Night General Detail." strongly recommended a management evaluation of the role of investigators in BI.

In summary then, PEP has completed a generally successful experimental and transitional first year without whatever benefit a more structured planning process may have produced. In view of all the considerations we have presented, we strongly recommend that a more structured planning procedure is required with more upper management involvement in the planning and decision-making process.

CHAPTER VII
SECOND YEAR APPROACH

At the time that this first year evaluation report was being completed, PEP program plans for the ensuing year had not been formalized. Inasmuch as the program focus will be directed to achieving ICAP objectives over the next two years, an evaluation design should be responsive to the ICAP application grant proposed program outline submitted to LEAA in May, 1977. There are three uncertainties at this writing, however, that inhibit the ability to lay out a specific evaluation design.

The first, given that the first year program was pursued on a developmental mode and largely responsive to requests for assistance, the past relatively unstructured approach provides little guidance as to the form that the second year activities will be planned and executed. Both the first and second year grant applications, however, speak to the systematic evaluation of candidate application alternatives: "an extensive list of candidate remedial applications will be searched for the most appropriate. If none are found, others will be developed. Once an alternative is selected, training and coordination methods will be developed and instituted. Immediate and close evaluation will coincide with implementation. Documented evaluation of the programs will be processed through a "review loop" and decisions made whether to retain the program with appropriate revisions, abandon it, or re-subject the issue to the review and analysis process."

The second uncertainty concerns the ICAP staff involvement for assisting in the inevitable operational changes that will occur as a result of the Department reorganization taking effect on November 6, 1977.

The third uncertainty involves LEAA final approval of the second year grant, that to our knowledge has not occurred as of November 15, 1977. The ICAP Program is scheduled to become operational on December 1, 1977.

It is our professional judgement that the second year evaluation design can best be undertaken at the time a structured workplan has been evolved by the ICAP program management. In retrospect, as the proposed first year evaluators, we had anticipated more of an intervention-oriented approach to have been undertaken. As a consequence of the actual direction of activities that had taken place and discussed throughout this report, a quantitative-based assessment of impact and productivity as originally proposed was found inappropriate.

Despite these constraints, the insights we have obtained regarding project staff competence and their understanding of needs, and the excellent and cooperative relationships we have established at all operational levels in the Department, suggest the following approach for the second year:

- Shortly after LEAA approves the second year grant, the ICAP management and key staff should have prepared for Department management a brief regarding proposed project activities. *
- The Assistant Chief in charge of operations bureau should provide a brief of his needs for which ICAP could provide assistance within the specified grant guidelines.

* Subsequent to submission of this report in draft form, we were pleased to learn that grant staff initiated work on development of a detailed plan to guide second-year operations.

• While organizational placement of the grant in BFO was appropriate to first year PEP goals, it is clearly not appropriate for ICAP whose mission cuts across the total police organization. It is not our place to make a specific organizational placement recommendation. However, we suggest that management consideration be given to: 1) placing the ICAP grant directly under the newly created position of Director of SJPD Operations; 2) forming a small (two or three member) inter-Bureau Management Advisory Panel to assist ICAP in achieving its goals; or, 3) placing the grant directly in the Office of the Chief of Police. Irrespective of the option chosen our key point here is that the option should be one that invests the ICAP staff with appropriate delegated authority, subject to management review, to carry out its responsibilities under the grant.

• At this stage, it is suggested that a workshop be convened that would systematically consider those interventions that appear desirable and feasible to undertake. The second year evaluators should be involved in this process to the extent that their experience can contribute to a project task intervention design and provision made for internal evaluation.

• Attention is called to Appendix D - Evaluation Plan - of the second year ICAP grant application. ICAP and SJPD management should carefully examine this document with regard to the enormous burden to be levied in the Department for data collection and evaluation that is explicitly called for. On pages 2 and 3, the Evaluation Plan calls for specific evaluations to have been undertaken during the first program year. We have no quarrel with the four areas specified for evaluation, as they correspond to the proposed first year grant program approach. What appears necessary is a reconciliation with actual program elements to be undertaken during the ensuing two years, so that planned task interventions can be evaluated internally as they become operational.

- In accordance with the recommendations given in the paragraph above, an important function that should be undertaken jointly by the second year evaluators and the ICAP staff is to examine each of the evaluation criteria tabulated on pages 4 through 7 of the Evaluation Plan for relevance to the workplan developed.
- We suggest that each key member of the staff be assigned responsibility for one or more of the ICAP objectives during the second year of the project. These individuals should be responsible for preparing a plan to accomplish the objective and for documenting results achieved.
- Finally, we regard it as imperative that an analysis or study be undertaken by ICAP staff, early in the second year, that sets forth and describes exactly how the ICAP plans to attack the "career criminal" problem. We regard the general ambiguity of this concept as a barrier to more effective utilization of ICAP grant resources and feel that early resolution of this issue will serve to sharpen the precision of grant-related decision making.

APPENDIX A

PEP PROJECT INTERVIEW GUIDE

PEP PROJECT INTERVIEW GUIDE

1. Nature of Assignment

What specifically led to the request that PEP undertake this task assignment?

2. Report Utilization

- A. How did you feel about the findings?
- B. Did the report satisfy the requirements?
- C. Were the findings useful in aiding a decision to do something, or not to take action?
- D. Were the recommendations or findings implemented in whole or part?
- E. If not implemented, what were the reasons?

3. Lessons Learned from Assignment and Report

- A. Was the report instructive? In what manner?
- B. As a result of experience in requesting this task of PEP, do you think you or your Bureau or unit would again request PEP for additional analysis?
- C. If not, why not?

4. Report Quality

- A. How would you rate the overall quality of the report?
- B. How would you rate its clarity in presentation of facts?

APPENDIX B

DEPARTMENT PERSONNEL INTERVIEWED

The following personnel were interviewed during the evaluation period. Some were questioned on projects they had requested. Line management was questioned on overall policy and substantive issues. Project staff were questioned on methodological approaches taken.

- Chief Joseph D. McNamara
- Assistant Chief Jay Propst
- Deputy Chief Edward McKay
- Deputy Chief Robert Allen
- Captain Stan Horton
- Captain Lyle Hunt
- Captain Larry Stuefloten
- Captain Gordon G. Ballard
- Lt. Robert Bradshaw
- Lt. R. Moier
- Lt. Charles Roy
- Lt. Ivan Comeli
- Lt. Ray Isle
- Lt. Gary Leonard
- Sgt. Tom Johnson
- Sgt. William Gergurich
- Sgt. R. Brooks
- Sgt. J. Hober
- Det/Sgt. L. Darr
- Sgt. Bert Kelsey
- Sgt. William Erfurth
- Mr. James Gibson
- Dr. Terry Eisenberg
- Mr. Craig Broadus
- Ms. Yvonne Adams
- Mrs. Elba Lu
- Mrs. JoAnn Moore

External Interviews (Spelling is Phonetic)

- Mr. G. Yamomota, Stockton ICAP (telephone)
- Mr. George Sullivan, San Diego (telephone)
- Mr. E. Zelewski, LEAA Office of Evaluation (telephone)
- Mr. Robert Heck, LEAA PEP/ICAP Coordinator (telephone)
- Mr. Ray Galvin, San Francisco ICAP (personal)
- Lt. Caty, Oxnard ICAP (telephone)
- Sgt. E. Freeman, Portland PEP/ICAP (telephone)
- Mr. R. Louth, Colorado Springs ICAP (telephone)
- Lt. Iami, Simi Valley ICAP (telephone)
- Sgt. James Green, Fort Worth ICAP (telephone)
- Mr. Thomas Spann, Jacksonville ICAP (telephone)
- Ms. Ann Gomez, Austin ICAP Planner (telephone)



END