

SELF-EVALUATION REPORT

For

Research and Development Office  
Iowa Department of Public Safety

Funded By The

Iowa Crime Commission  
With The Support Of The  
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FROM 7-1-75 THROUGH 10-31-77

## I. SUMMARY

In 1975, the Iowa Department of Public Safety received from the Law Enforcement Assistance Administration, through the Iowa Crime Commission, a discretionary grant to establish a Research and Development Office. This Office was to be a professional planning unit containing four professional staff in a statewide law enforcement agency of some 800 personnel which theretofore had had virtually no formal planning capability.

Originally, the Research and Development Office was to assist the Commissioner with managerial and operational responsibilities by developing a two-, five-, and ten-year plan to reach goals and objectives which also were to be developed. Through self-assessment, the above project goals and objectives were modified to a staff-support planning concept which addresses short- and long-term planning needs. This modified concept involved the assumption of the following objectives by the Research and Development Office: 1) develop policies and procedures; 2) develop and manage federal grants; 3) upgrade the statewide Uniform Crime Reports System; and 4) prepare special studies as requested by the Commissioner. The Office has, therefore, assumed responsibilities consistent with those of law enforcement research and development offices in other police agencies.

In general, the activities undertaken by the Research and Development Office in conformance with its revised objectives resulted in the implementation of some of the recommendations contained in the Police volume published by the National Advisory Commission on Criminal Justice Standards and Goals, and the Standards and Goals relating to law enforcement which were developed and recently published by the Iowa Crime Commission. Specifically, the activities of the Office for each of its objectives can be summarized as follows: 1) eighteen (18) Rules, General Orders, and Orders have been researched, approved, and published, and another twelve (12) are currently being developed; 2) twenty-eight (28) grants involving \$4,397,007.88 (\$3,122,166.90 Federal funds, and \$1,274,840.98 State funds) have been prepared, proposed, and coordinated; 3) numerous organizational, format and system changes have been made with the statewide Uniform Crime Reporting System which will result in the publication of the first Iowa Annual Uniform Crime Report in the Fall of 1977; 4) eleven (11) special studies have been completed for the Office of the Commissioner and have resulted in a variety of organizational improvements and changes, from the establishment of an Internal Affairs Office which investigates allegations of peace officer misconduct to a reorganization of the Department's investigative functions into a new Division of Investigation.

In each of the above areas, marked improvement has occurred in the Department's functioning since the establishment of the Research and Development Office. With this formal planning capacity, management of the Department has improved through a systematic planning process which utilizes professional planners and sound law enforcement practices.

Based upon this self-evaluation, it is concluded that the Research and Development Office is making a significant contribution to the management of the Iowa Department of Public Safety, and should be permitted to continue in its staff-support role to the Commissioner's Office.

## II. INTRODUCTION

### A. Project Need

In 1975, the Iowa Department of Public Safety recognized that while it maintained a biennial budget of nearly \$33,000,000 and employed approximately 500 peace officers and 300 non-sworn employees, it had virtually no formal planning capability. Therefore, the Department, with the assistance of the Iowa Crime Commission, applied for a discretionary grant from the Law Enforcement Assistance Administration (LEAA) for the purpose of establishing a Research and Development Unit.

On June 30, 1975, the Law Enforcement Assistance Administration awarded a discretionary grant (No. 75-DF-07-0007) to the Iowa Crime Commission and the Iowa Department of Public Safety for a project entitled "Research and Development Unit." The Iowa Department of Public Safety, sub-grantee, was to be responsible for implementation and operation over a 24-month period. The grant award of \$140,000 was supplemented with State funds of \$15,556, for a total project budget of \$155,556, and provided for four staff positions and one secretary, in addition to funds for travel, equipment, supplies, and possible contractual services.

With the above resources, the project was to develop goals and objectives for the Department, and then prepare two-, five-, and ten-year plans to reach the stated goals and objectives. Thus, the intention was to improve the management of the Iowa Department of Public Safety by establishing a planning capacity that previously had not existed.

State-of-the-art law enforcement administration, as reflected by National Criminal Justice Standards and Goals, supports the existence of such planning units:

Every police agency should immediately identify the types of planning necessary for effective operation, and should assign specific responsibility for research and development, and police agency and jurisdictional planning.

This same standard has been adopted in the Law Enforcement volume of the Iowa Criminal Justice Standards and Goals.

### B. Project Implementation

#### 1. Staff

The initial and most critical task immediately facing the Research and Development grant upon funding was the recruitment and selection of an Office Director. The Commissioner's Office, determined to select an experienced law enforcement planner, chose to recruit nationally for a Director and then let that individual recruit and select personnel for the remaining staff positions.

As a result of the national recruiting effort, and in compliance with the Department's newly-prepared job description and the Iowa Merit Employment Commission's evaluation and ranking of applicants, the project's present Director was selected and began employment on January 21, 1976. This Director had established and managed the Planning and Research Bureau for the St. Louis County Department of Police for five years prior to accepting his current position.

The Director, upon assuming his position, began a recruitment effort to fill the other staff vacancies, preparing job descriptions and submitting them for review to the Iowa Merit Employment Commission (see the Quarterly Progress Reports for details). During this selection process, Standard 5.3 of the Law Enforcement Standards and Goals guided decision-making:

Every police agency should develop planning processes which will anticipate short- and long-term problems and suggest alternative solutions to them. Policy should be written to guide all employees toward effective administrative and operational planning decisions. Every police agency should adopt procedures immediately to assure the planning competency of its personnel through the establishment of qualifications for selection and training.

This standard, like that noted above, is also contained in Iowa's Criminal Justice Standards and Goals.

The staff thus far selected for the Research and Development Office have varied backgrounds which ideally suit them to the job responsibilities they have assumed in these positions. Specifically, one staff member possesses a Master's Degree in Criminal Justice, is a doctoral candidate, and has several years of experience in designing and evaluating criminal justice programs. Another staff member has completed a Bachelor's Degree in Political Science, and has been employed four years in the development, preparation, and administration of federal grants. Another staff position has been vacant and recruiting efforts have been under way to fill this vacancy.<sup>1</sup>

## 2. Staff Training

While the grant budget provided funds for staff training, selection of specific training programs of necessity was delayed until staff were selected. At that point, training programs were chosen based upon the job responsibilities of the staff and the employee's education, previous training, and experience.

In terms of specific training, staff members have attended training geared toward increasing their contribution to the Department. The Director, immediately after appointment, attended a Management of

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<sup>1</sup>secretarial position provided for in the grant was not authorized by the State Controller, and the Department has provided secretarial support by assigning an acting secretary to the Research and Development Office.

Inspectional Services Workshop presented by the International Association of Chiefs of Police in Phoenix, Arizona during the week of January 26-30, 1976. One important result of this training was the establishment of the Department's first Internal Affairs Office (also one of the recommended Standards of the National Advisory Commission on Standards and Goals).

LEAA-sponsored training programs attended by the Director include:

- a. Technical Assistance Institute, October 17-22, 1976, presented by Washburn University at Topeka, Kansas;
- b. Criminal Justice Planning Institute, November 14-19, 1976, presented by Washburn University at Topeka, Kansas;
- c. Training Course in Evaluation Concepts and Methods for Managers of Planning and/or Evaluation Units, August 23-25, 1977, presented by the LEAA Training Division at Albuquerque, New Mexico.

These particular courses have proved valuable because they present state-of-the-art planning, analysis, and management techniques. As a result of the first of these, the Department has utilized the Technical Assistance Program for three projects:

- a. The National Clearinghouse for Criminal Justice Planning and Architecture provided architectural and planning assistance on the floor plan design on the second floor of the new Wallace State Office Building.
- b. The Public Administration Service performed an Evaluation of Pay Ranges for State Troopers which assisted in making salary range adjustments.
- c. The Public Administration Service completed a study of the Investigative Functions of the Department.

These are discussed at more length below.

Other staff members have also attended seminars relevant to their responsibilities in the Research and Development Office:

- a. The staff member responsible for upgrading the Uniform Crime Reporting System has attended two conferences relating to the analysis and management of data:
  - (1) Conference on Productivity Measurement and Improvement, presented by the Theorem Institute, March 29-April 1, 1977, at Chicago, Illinois;
  - (2) Conference on Crime Analysis, presented by the Theorem Institute, May 18-20, 1977, at Las Vegas, Nevada.

- b. The staff member assigned the responsibility for federal grant management has attended and is scheduled to attend conferences related to program development and grants management:
  - (1) A Grantsmanship Seminar on Short- and Long-Term Planning for Government Administration, sponsored by the Eckman Center, October 11-14, 1975, Minneapolis, Minnesota;
  - (2) The Criminal Justice Planning Institute, September 25-30, 1977, presented by Washburn University at Topeka, Kansas;
  - (3) The Law Enforcement Planning Officers Seminar presented by Traffic Institute of Northwestern University, November 7-18, 1977, at Evanston, Illinois.

In summary, the staff training received by personnel of the Research and Development Office has provided specific and general information pertinent to the job responsibilities of the Office's personnel. Particularly valuable information has related to the following:

- a. Crime Analysis;
- b. Law Enforcement planning and administration;
- c. The availability of technical assistance;
- d. State-of-the-art law enforcement techniques.

These training activities have, beyond upgrading staff resources and capabilities, provided excellent contacts in law enforcement agencies throughout the United States, and should have a positive long-term impact on the Department.

### 3. Equipment

After the arrival of the Director, necessary equipment was purchased with grant funds provided for this purpose. The office furniture purchased will be reassigned within the Department because of the Department's upcoming move to the new Wallace State Office Building. With that building designed for the open-office space concept, no possibility existed for continued use of the grant-purchased furniture by the Research and Development Office. However, had grant funds not been available for furniture, the Research and Development Office could not have functioned prior to the move to the Wallace State Office Building. New furniture will be paid for by the Department of General Services.

## C. Project Modification

### 1. Original Grant Objectives

As noted above, the original grant award specified that the primary objectives of the planning unit included the development of two-, five-, and ten-year plans for the Department. Then, the Office would develop, implement, and evaluate programs to meet the goals in the plan.

After the arrival of the Director in January of 1976, initial efforts were directed toward a thorough review of the grant, attempting to relate its objectives to the Department's needs. This process, however, could not begin immediately because of the necessity to familiarize the new Director with the Department's organization, operation, and administration.

In April and May 1976, the Director attended numerous meetings with the Commissioner of Public Safety, discussing the role and operation of the Research and Development Office as described in the discretionary grant award. These discussions led to the conclusion that development of two-, five-, and ten-year plans did not constitute the major planning need of the Department. Rather, it was agreed that addressing immediate organizational, administrative, and management issues would prove more beneficial. For example, the Department at that time was attempting to implement a rules manual to govern the conduct of peace officers in the Department's enforcement divisions. The Commissioner wanted to establish an Internal Affairs Office; a desire was evident to meet the Department's statutory obligation to collect, analyze, and publish Iowa Uniform Crime Reports; and the Commissioner also wishes to assign special studies to the Research and Development Office which related to the Department's internal management, operation, and administration. If the Research and Development Office were involved in the development of long-range plans, it would be unable to assist the Commissioner in these more pressing problems.

During these discussions, the Director indicated to the Commissioner that, based upon his knowledge of the responsibilities typically assigned to law enforcement planning units, these assignments were appropriately placed in a Research and Development Office, and while some departments had in years past developed long-range plans, these were frequently found to be less than useful. Based upon these meetings, it became apparent that the most utilitarian function to be provided by the Research and Development Office involved direct assistance to the Commissioner's Office rather than development of long-range plans.

During the Spring and Summer of 1976 the Director was involved in staff recruitment, delaying the possible development of two-, five-, and ten-year plans. Also, during this time, the Director became involved in discussions with representatives of the Iowa Crime Commission and the Kansas City LEAA Office regarding the possibility of revising the objectives of the grant. During these conversations, the Iowa Crime Commission and LEAA representatives expressed no serious objections to the changes discussed.

Because of this situation, the Director, with the concurrence of the Commissioner of Public Safety, prepared a formal request to the Iowa Crime Commission to revise the objectives of the grant. With the Department's preparation of two-, five-, and ten-year plans accomplished during the development of long-range budget projections, the request noted that any similar activity on the part of the Research and Development Office would be duplicative. The Commissioner's letter indicated the belief that the greatest impact of the Research and Development Office could be achieved working in a staff-support capacity.

## 2. Modified Objectives

Based upon the experience of the Research and Development Director, the judgment of the Commissioner's Office, and support of the Iowa Crime Commission and LEAA spokesmen, it was concluded that the proper role of the Research and Development Office should be to assist the Commissioner in improving the Department by assuming the following responsibilities:

- a. Being responsible for the Department's Written Directive System -- rules, regulation, and general orders which establish policy and procedure for all officers of the Department, and which govern every facet of the Department's administration and operation;
- b. Being responsible for grant development, preparation, and monitoring, particularly programs eligible for funding by LEAA;
- c. Reviewing and upgrading Department's efforts relating to the Uniform Crime Report System and the Department's statutory obligation to prepare quarterly and annual reports of crime in Iowa;
- d. Preparing special studies relating to the Department's administration, operation, and management as determined by the Office of the Commissioner.

These objectives, in summary, are consistent with those assumed by respected law enforcement planning units in other agencies, and were supported in a study completed by Commissioner di Grazia of the Boston Police Department in 1975. In that study, the vast number of responding planning units indicated that their responsibilities included the following:

- a. administrative problems;
- b. operational problems;
- c. contingency plans;
- d. written directives;
- e. department budgets;
- f. crime analysis;
- g. federal grants coordination;
- h. graphic arts;
- i. forms control;
- j. map making;
- k. staff support for the chief executive.

Thus the grant's change of objectives was designed to reflect real and recognized needs while being consistent with state-of-the-art law enforcement planning.

LEAA formally approved these goals and objectives in the early part of 1977. The following evaluation, therefore, is based upon the revised objectives of this grant, and indicates that these new objectives have resulted in the undertaking of many projects from the Office of the Commissioner which have had a positive impact on the organization and operation of the Department.

## EVALUATION OF OBJECTIVES

### Development of Policy and Procedures

#### 1. History

Historically, the Department of Public Safety has not maintained standardized policies to govern the conduct of the sworn personnel. While each of the enforcement divisions of the Department might have maintained some formal policies in the form of regulations, no formal set of Departmental rules existed to ensure continuity and consistency among the different divisions.

It was realized, however, that at some time a systematic set of policies and procedures would be necessary. National and Iowa Criminal Justice Standards and Goals, for example, suggest the utility of such a system. It was not until the onset of collective bargaining, however, that the development of such a system actually started in the Department of Public Safety.

At the time of the formation of the Research and Development Office, the Department had already developed a draft manual governing Departmental policies and procedures. The Research and Development Office, among others, in its early days reviewed and made suggestions on these policies. These original Departmental rules and general orders were implemented in July of 1976, after being adapted from a similar set developed by the International Association of Chiefs of Police.

This original formulation proved inadequate in some ways, however, and the Research and Development Office has played a large role in modifying this system and developing means for progressive improvement. One of the disadvantages was lack of rules geared specifically to the problems of the Iowa Department of Public Safety.

#### 2. Rules and General Orders

Consequently, the Research and Development Office was given responsibility for further refinement and development of the Department's system of rules and general orders, in an effort to ensure that adequate research is done prior to implementation and to ensure policies that are "state-of-the-art."

Typically, in the development of rules and general orders, other agencies may be contacted for comparison and advice, knowledgeable individuals within the Department may be surveyed, and the like. In this process, a formal process has evolved in which Division Directors are given an opportunity to review and "sign off" on prospective policies, a mechanism by which they can be held accountable for rules upon implementation.

Another improvement attributable to the Research and Development Office relates to the numbering system used for rules and general orders. Originally, general orders sent to officers governing their conduct were numbered dependent on the rule of conduct upon which they were based. As

a result, it could happen that several general orders, all relating to the same basic rule, could conceivably have identical numbers. At the suggestion of the Research and Development Office, this numbering system was abandoned, and a chronological numbering system substituted. The result of this substitution is a much less cumbersome and more easy to understand numbering system.

Appendix A contains a listing of all Rules, General Orders, and Orders that have been prepared by Research and Development, approved, published, and distributed to officers, as well as those which are currently assigned to Research and Development Office for preparation. As can be seen by the titles of the Rules, and Orders, they cover many facets of the Department's administration and management, including implementation of the collective bargaining agreement between the State of Iowa and the Peace Officers bargaining unit.

## B. Development and Management of Grants

### 1. History

The Department began receiving federal funds from the Law Enforcement Assistance Administration in 1970. At that time, while each Division Director would approach the State Planning Agency regarding possible projects, the Deputy Commissioner was responsible for ensuring fiscal compliance and obtaining matching funds.

In 1970, the Public Safety Department was represented on the Iowa Crime Commission by the Commissioner and two Division Directors. As a result, the Division Directors on the Commission were more cognizant of funding opportunities than were the other directors. The former would discuss possible projects with the Iowa Crime Commission staff and, if the staff were receptive, would prepare grant applications. While the Commissioner ultimately approved all grants, there was no Departmental list of priorities for funding, the effect of which was that Division Directors, for all practical purposes, set Departmental policy. With not all divisions receiving funding, friction developed between divisions.

During this period, even when the Commissioner gave final approval to a grant, long-term programmatic and budgetary implications were not analyzed in relation to the Department as a whole. Because federal guidelines did not require the development of a schedule for assumption of costs by grantees, no policy existed to assist in a determination of the length of time for which federal funds would be available for a project.

The Department received thirteen grants in 1970, ranging from the formation of the State's criminalistics laboratory to the upgrading of the State's narcotics division. Each Division Director acted as project director for projects in his division, and was responsible for implementing the project. Grants were typically managed in a fashion best described as trial and error. When questions arose as to the interpretation of guidelines, the Director would proceed with what seemed reasonable. Many times guidelines were not distributed to appropriate directors, and while there existed the intention of following guidelines, without the proper information problems arose.

The accounting division of the Department served as the central bookkeeping center for most of the grants. One individual was assigned the fiscal record keeping function. As fiscal problems would develop, the accounting division would make fiscal revisions without necessarily consulting with the project director to determine the impact of the revision on the program's operation. Conversely, project directors would revise the programmatic section and/or the fiscal category with or without the knowledge of the accounting division.

As revisions became necessary, no systematic procedure existed for requesting changes. Division Directors would typically submit revisions without the knowledge of the Commissioner. Frequently, the revision requests were not submitted in the proper format, were submitted to the wrong individuals at the Iowa Crime Commission, and were made after-the-fact instead of prior to the need. Often, too, respective project directors were not notified when new guidelines were issued.

Due to the fact that no one individual was responsible for monitoring the grant cycle, hostility soon developed between the Department and the Commission. The lack of coordination appeared to be the root of the problem between the agencies. Lack of communication within both agencies served to exacerbate the problem.

## 2. Centralization of Grant Administration

In order to ameliorate some of these difficulties, the Department received a grant in late 1973 to fund a position to coordinate Departmental grants. It was anticipated that this individual would devote approximately 40% of his or her work day to grant-related activities and 60% to other activities. While this helped eliminate some problems, sufficient personnel was not available to devote 100% of a work day to grants.

With the establishment of the Research and Development Office in 1976, the Commissioner assigned responsibility for grants coordination to that Office. One staff person in the Research and Development Office was subsequently given authority to coordinate all grant-related functions.

Recognizing the importance of grants to law enforcement agencies, the National Advisory Commission on Criminal Justice Standards and Goals in Standard 5.8, Section 3.a states:

Every police agency should use grants under explicit conditions to fund planning and experimentation in all phases of police service. Functional responsibility for the procurement of grants from Federal and State agencies and foundations should be made the specific responsibility of a police agency employee designated by the chief executive.

The Iowa Standards and Goals on Criminal Justice Law Enforcement, also recognizing the importance of this function, adopted Standard 3.5, which in Section 2.a emphasizes the same point as the National Standard. Thus, management of the Department's grants program now parallels the Standards and Goals recommendations.

As the Research and Development Office became functional, nearly all communications between the Iowa Crime Commission and Department of Public Safety began to be funneled through that Office. Soon nearly all grants were prepared and submitted by that Office, and a ten-phase cycle was developed to assist in the preparation of funding requests:

- Phase 1. If a Division Director has a request for funding, the proposal is referred to the Commissioner's Office.
- Phase 2. The Commissioner's Office decides whether the proposal should be explored.
- Phase 3. If the Commissioner decides the proposal should be further explored, the Research and Development Office is notified.
- Phase 4. The Research and Development Office explores the budgetary and programmatic impact of the proposal. Long-range impact is analyzed so that all facets of the program are reviewed.
- Phase 5. The proposal is discussed with the Iowa Crime Commission to determine if they are receptive as well as the availability of funds.
- Phase 6. A check is made with the Administrative Services Division to ensure that match money is available.
- Phase 7. The proposal is discussed with the individual or individuals initiating the proposal to obtain details of the proposal.
- Phase 8. The proposal is presented to the Commissioner explaining the need, impact, cost both the first year and following years, and the possibility of receiving funds. A decision is made whether the proposal is a Department priority.
- Phase 9. The proposal is researched; a grant prepared and signed by the Commissioner's Office.
- Phase 10. The grant is submitted.

With the submission of a grant, the need for coordination within the Department and with other State agencies does not terminate. Because this had not been understood during the early years of LEAA funding, the Department had experienced difficulties particularly pertaining to budgetary projections.

To remedy these problems, the Research and Development Office has developed a system by which the following offices and individuals review and approve of grants prior to implementation:

- a. Director of the Division receiving the grant;
- b. The Department's Accounting Bureau Supervisor;
- c. Federal Funds Coordinator, Office of Planning and Programming;
- d. Budget Analyst - State Comptroller's Office;
- e. Assistant Director - State Legislative Fiscal Bureau.

Using this system, a reduction has occurred in the difficulties associated with the implementation of grants received by the Department.

### 3. Impact

Since the beginning of the Research and Development Office, twenty-eight (28) grants involving \$4,397,007.88 (\$3,122,166.90 Federal funds and \$1,274,840.98 State funds) have been coordinated through this Office. The grants have involved block, discretionary, and technical assistance funds, with a wide variety of subject matters (see Appendix B). With one exception, all grants have involved LEAA funds.

After a grant is awarded, the division receiving the grant remains responsible for implementing the program. The Research and Development Office, however, monitors the grant administration. If questions arise as to the interpretation of a grant procedure, the project directors now obtain information from the Research and Development Office. As revisions become necessary, this Office prepares the adjustment and discusses the change with the project director and Accounting Bureau. All changes are explained to the Commissioner's Office and approved by that Office.

In addition to coordinating grants with the Iowa Crime Commission, the Research and Development Office serves as liaison for the Department with the Iowa Crime Commission. With the Department of Public Safety being the only statewide law enforcement agency, the importance of a good working relationship between the two cannot be overestimated. Recognizing the importance of liaison with the Iowa Crime Commission, the Iowa Standards and Goals on Criminal Justice Law Enforcement in Standard 2.2, Section 4.b points out that close interagency planning should be maintained:

Responsibility for maintaining close interagency planning should be assigned. Where regional law enforcement planning agencies exist, every agency should assign responsibility for planning with those regional planning agencies whose decisions might affect the assigning agency. This responsibility should include liaison with the established regional planning unit or other representatives of the Iowa State Planning Agency.

As a result of the recommendation of the Research and Development Office, the Department of Public Safety now submits its annual proposals to the Iowa Crime Commission as a Department rather than by each division. The Research and Development Office discusses with each division any proposals that may be incorporated into grant applications. The Research and Development Office next discusses each proposal with the Commissioner, explaining the budgetary implications and anticipated impact. Approved proposals are then given a priority rank by the Commissioner, and the Research and Development Office prepares the formal grant application and submits them to the Iowa Crime Commission to be incorporated into the state plan.

Another grant-related function provided by the Research and Development Office involves an annual review of the Iowa Crime Commission's state plan and mini-block proposals. A summary of the law enforcement section of each of these is prepared for the Commissioner's Office, and entails an analysis of the programmatic and budgetary impacts of the plans on the Department.

While all problems have not been eliminated in regard to grants since the Research and Development Office became functional, several improvements have been made. A summary of these follows:

- a. Grants are coordinated through a single office;
- b. The Comptroller's Office is notified of each grant application;
- c. Proposals are rank-ordered by the Commissioner;
- d. Long-range implications of programs are determined;
- e. The Legislature is provided a copy of each grant;
- f. Budgets now show where and for how long federal funds will be received;
- g. Time tables for cost assumption are established prior to receiving funds;
- h. Analysis of the state plan is completed prior to final approval;
- i. Coordination between project directors and fiscal bureau has been established.

It would appear fair to say that the effects brought about by these changes have been almost entirely beneficial, and that a result has been the development of a more sound--and predictable--relationship between the Department and granting agencies.

## C. Improvement of the Statewide Uniform Crime Reports System

### 1. History

In the early 1970's, the Iowa Department of Public Safety began gearing up for implementation of statewide Uniform Crime Reports which, prior to that time, had been entirely the responsibility of the Federal Bureau of Investigation. With the development of the TRACIS computer system in the early '70's, the Department for the first time began to have the capabilities to develop a system which was completely state operated.

In 1975 State law enforcement agencies began submitting monthly reports of crimes and arrests directly to the Department of Public Safety rather than to the FBI. These monthly reports were received by the Department throughout 1975, and led in late 1976 to release of the first statewide crime data collected by a state-operated department.

During this early period, responsibility for Uniform Crime Reports rested with the Bureau of Criminal Investigation (BCI), which assigned one special agent and several clerical staff to this responsibility. The Data Processing Bureau, as well, maintained several staff members whose primary or exclusive responsibility was to work with the information submitted by contributing agencies.

With the advent of the Department's Research and Development Office in 1976, however, the utility of removing responsibility for Uniform Crime Reports from the BCI became more evident. One of the factors responsible for this transition was Criminal Justice Standards and Goals, which urged law enforcement agencies to use uniformed personnel only in those areas in which the necessity for law enforcement training is evident. Clearly, in the case of the Uniform Crime Reports, uniformed offenses are not required, and maintenance of the UCR function within the Bureau of Criminal Investigation in effect decreased the Bureau's operational manpower while giving the special agent working on Uniform Crime Reports a responsibility for which he had neither background nor training.

The release of 1975 figures by the Department presents an example of the problems inherent in this arrangement. The only publication resulting from 1975 crime data was a "preliminary release" which contained only the raw numbers of crimes reported by contributing agencies in the State. Although the release was to be only preliminary, no final release followed, and no further analyses were performed.

### 2. Uniform Crime Reports System Improvements

In January 1977, with the addition of a staff member experienced in tabulation and analysis of crime data, the Research and Development Office was placed in an excellent position to assume responsibility for analysis and publication of crime data, and the Commissioner assigned the responsibility for crime data publication and analysis to the Research and Development Office. After this hiring came a series of meetings between members of the Research and Development Office staff and personnel from the Data Processing Bureau. These meetings led to the suggestion of considerable improvements in programming and format of UCR data. Examples of the types of improvements suggested are noted below:

- a. Presentation of race and sex of those arrested, rather than race or sex, as is currently the case;
- b. Itemization of individual ages in what is now a category including ages 25-29;
- c. Development of arrests and arrest rates by population categories by month;
- d. Juvenile arrests by month, rather than only total arrests by month;
- e. Comparison of Part I Crime versus Part II Arrests;
- f. Itemization of the individual cities falling into suburban and non-suburban population categories, rather than mere presentation of total rates;
- g. Development of computer programs which will print crimes reported by agency even when other information submitted by agencies may not be complete;
- h. Development of computer-generated estimates for non-reporting agencies;
- i. Elimination of some tables generated currently which have limited utility;
- j. Development of quarterly printouts which present comparisons;
- k. Movement away from collection of crime data by judicial district toward districts which are more geographical in nature.

### 3. Impact

Anticipatory to and following the receipt of quarterly and annual UCR data, the Research and Development Office spent considerable time in developing formats for quarterly and annual reports, determining analyses to be done for these reports, developing mailing lists for such reports, and the like. With the receipt of the 1976 data, approximately six weeks was spent by two staff members in preparation of the first annual release, the projected release date of which is in October of 1977.

Several other responsibilities have come to the Research and Development Office which stem from the UCR responsibility. One of these is in the area of information requests, which during recent months have been received regularly. Prior to the assumption of this responsibility by the Research and Development Office, no office existed within the Department capable of handling information requests relating to crime or crime patterns. During the past several months, however, the Research and Development Office has received and responded to information requests relating to White Collar Crime, Drug Arrests, Juvenile Crime, and crime in specific municipalities or areas. It is anticipated, with the release of the first UCR Annual Report, that such information requests will proliferate.

Another responsibility logically following from the development of Annual UCR Reports is the analysis of long-term crime patterns for the State of Iowa, as well as comparisons with other states. Some original analyses in these areas have been prepared during the first grant period which compares Iowa's national ranking for Part I Crimes with other states over a 5-year period. While such analyses have to this time been primarily limited to Part I Offenses reported, future analyses will address such topics as Part I and Part II arrests, the contribution of juveniles to the general crime picture in Iowa, identification of different crime patterns in geographical areas of the State, and the like. It is hoped that with these efforts, the Research and Development Office will be capable of providing a much more accurate and complete picture of crime in the State than has previously been possible.

In this regard, the Research and Development Office has been able to provide preliminary information to local crime commissions, other departmental offices, and other criminal justice agencies, providing comparative information at the local level, providing accurate and up-to-date information for public appearances, and the like. It is anticipated that this sort of activity increase as publicity surrounding Iowa Uniform Crime Reports increases.

One area of the Uniform Crime Reporting System which had presented problems prior to the development of the first annual report involved the relationship between the Department of Public Safety -- which has responsibility to collect crime data -- and the Iowa Crime Commission -- which has the statutory responsibility to analyze these data. In late 1976 and early 1977 several meetings were held to determine the roles of each agency in this area. At the present time, although the Iowa Crime Commission does still maintain the statutory responsibility to analyze data, some of this responsibility has been assumed by the Research and Development Office of the Department of Public Safety, as the latter maintains the staff resources and expertise necessary to properly analyze UCR data, whereas the Iowa Crime Commission's staff resources have decreased. What is evident, however, in this latter situation is that a cooperative relationship between the two offices exists: it does not appear that the jurisdictional dispute which occurred in 1976 is likely to recur.

#### D. Special Studies

##### 1. History

The chief law enforcement executive is in the final analysis responsible for all short- and long-range planning relating to the administration, operation, and management of the agency. Formal planning units are relatively new in law enforcement agencies, having their initial beginnings in the late 40's and early 50's. With rapid changes in social, economic and political values, law enforcement has had to change its management and operations much more rapidly than it had in the first half of this century. For the chief executive of any law enforcement agency to adequately and effectively manage change, a capability is required to perform research and develop programs, plans, and policies. To effectively meet this particular law enforcement need, many law enforcement agencies have assigned the responsibility for this type of planning to the formal planning unit within the organization.

The Iowa Department of Public Safety is similar to other law enforcement agencies in this respect. The Commissioner of Public Safety and the Director of the Research and Development Office agreed that one of the major objectives of the Research and Development Office should be the preparation of special studies and the undertaking of special projects relating to the Department's administration, operation, and management. The assignment of this objective permits the Commissioner, through the Research and Development Office, to address those issues which require immediate and professional attention, and which may have immediate or long-term impact.

Prior to the grant award which established the Research and Development Office, special studies relating to internal management were performed largely by the respective Division Directors and were in many cases limited by divisional needs and boundaries. With the assignment of special studies to the Research and Development Office, the Department achieved the ability to objectively plan and evaluate issues relating to internal management, to assist in establishing of priorities, and to complete analyses of the operational and administrative facets of the Department.

## 2. Special Projects

Without duplicating the information contained in the Quarterly Progress Reports for this grant, listed below is an itemization of the 11 special projects undertaken by the Research and Development Office. Each project will be briefly identified by title, followed by a description of the problem and the consequence of the study by the Research and Development Office.

### a. Job Description Definition

The Research and Development Director, upon arrival to the Iowa Department of Public Safety developed job descriptions outlining the duties and responsibilities of the remainder of the planning staff. The result of this effort was the establishment of a specific job description for law enforcement planners, the approval of these by the Merit Commission, and the use of these in recruiting and evaluating new personnel.

### b. Establishment of an Internal Affairs Office

As previously indicated, the Commissioner of Public Safety indicated to the newly employed Director that the Department desired to explore the need to establish an Internal Affairs Office to centrally receive, investigate, and make recommendations to the Commissioner pertinent to allegations of misconduct by peace officers of the Department. The Research and Development Director, upon return from a training course (see above) on inspectional services, briefed the Commissioner on the perceived need for a centralized investigative mechanism to handle citizens complaints. The Commissioner, as a result, established the Department's first Internal Affairs Office on August 1, 1976.

c. The Written Directive System

As noted above, the Department of Public Safety, prior to the establishment of the Rules Manual and the General Order System, had no formal method to obtain written indications of approval of drafts of rules and general orders. Prior to the development of the Written Directive System, drafts of various orders would be prepared by the Commissioner's Office or others within the organization, discussed at the directors' meeting, and approval by verbal agreement.

With the new Written Directive System, rules and general orders are prepared in a more systematic and thorough manner, reducing the time necessary for completion, and ensure accountability of supervisory personnel.

d. Planning for the Wallace State Office Building

The Commissioner of Public Safety, being faced with the responsibility of moving the entire headquarters functions of the Department of Public Safety to the new Wallace State Office Building, was saddled with the responsibility to ensure that proper planning, space allocation, and other physical needs were properly planned for and coordinated with the Iowa Department of General Services. Because of the Department-wide nature of this project and because of the new physical space planning concept to be utilized, the Commissioner assigned the responsibility for floor plan design to the Research and Development Office.

The Director personally undertook this project, and after numerous meetings with respective division representatives, requested technical assistance to draw the floor plan and implement the open spaces concept. A professional architect and law enforcement planner from the National Institute of Criminal Justice Architecture visited the Iowa Department of Public Safety in the late fall of 1976, worked directly with the Director, and made formal presentations on the functional aspects of open space as they applied to the law enforcement environment.

Based upon this outside technical assistance, the floor plan, after many months of effort and after much involvement of the Division Directors, was completed and approved by the Commissioner, accepted by the Department of General Services, and is presently being implemented in the Wallace State Office Building.

e. Analysis of the Uniform Crime Reporting System

In the Spring of 1976, the Commissioner of Public Safety requested that the Director of the Research and Development Office research problems related to the Department's preparation of the statutorily-required annual Uniform Crime Reports. Based on the assignment by the Commissioner, the Director met with the involved personnel in the Bureau of Criminal Investigation, and with the then-TRACIS group, and the Iowa Crime Commission to determine the status of the system, what the output would be, what resources were yet needed, and who would prepare the final report.

Based upon this management study, the Research and Development Office recommended to the Commissioner that the responsibility for the analysis and preparation of the Annual Uniform Crime Report be assigned to the Research and Development Office, and that TRACIS field personnel would be transferred to the Administrative Services Division. This recommendation was approved, and by November of 1977 the Department will have published the first Annual Uniform Crime Report for the State of Iowa.

f. Investigative Services Survey

During the Summer of 1976, the Research and Development Office was assigned to assess the need for field supervision among the investigative divisions and the issue of consolidating the four investigative divisions. Initially, discussions were held with Division Directors to determine the possibility of developing a new proposal.

While these efforts resulted in a general agreement on a need for field supervision, disagreement surfaced concerning the large issue of whether or not to consolidate the four investigative divisions. Based upon this disagreement, it was concluded that consultants should be employed to address this issue. As a consequence, the Department, through the technical assistance program of LEAA, applied for a grant to address the issues of field supervision and consolidation of investigative divisions (see technical assistance report TA76-13).

Based upon the efforts of the technical assistance team, the Commissioner of Public Safety on August 15, 1977, announced the creation of a new Division of Investigation. The Director of this new division -- an eminently qualified individual recently retired from the FBI -- was employed to organize and lead a new division consisting of the Bureau of Criminal Investigation, the Bureau of Narcotics and Drug Enforcement, and the Bureau of Vice Enforcement.

g. Evaluation of Pay Ranges for State Troopers

The Commissioner of Public Safety, in early 1976 indicated dissatisfaction about the low percentage of eligible Troopers applying for promotional opportunities. Suspecting that a small pay differential between ranks might be contributing to the low percentage, the Commissioner requested the involvement of the Research and Development Office in a study of Patrol pay ranges.

Based upon this assignment, the Research and Development Office, through the Iowa Crime Commission, requested technical assistance to assess the situation and make recommendations. As a result of this study, a 10% salary increase between the ranks of Trooper, Sergeant and Lieutenant was made, approved by the Commissioner and the State Director of Employee Relations, and implemented effective in July of 1976.

h. Administrative Services Division

Because it had been observed that a large number of Department personnel involved in administrative issues were reporting directly to the Commissioner, the Research and Development Office in mid-1976 was requested to suggest changes in organization which would more effectively utilize the Commissioner's time. Based upon conversations with the Commissioner, the Research and Development Director subsequently recommended that an Administrative Services Division be created, given the status of a Division, and be administered by a Division Director who would report to the Commissioner through the Deputy Commissioner.

This organizational change was implemented in November, 1976, thereby reducing the Commissioner's direct span of control and improving the Department's organization and management.

i. Equal Employment Opportunity Recruiting Plan

The Department has demonstrated its commitment to affirmative action, and has engaged in active recruitment and employment of women and minorities. In an effort to improve the Department's recruiting effort, a female trooper, for a short period of time, was assigned the responsibility of recruiting women and other minorities. With the transfer of this trooper from the field to headquarters, the Office of the Commissioner requested that the Research and Development Office prepare a recruitment plan containing recruiting goals, a time frame, and sources of contact for protected class and minority recruitment. This plan, after development, was submitted to the Deputy Commissioner for his utilization and for the guidance of the patrol officer assigned to recruiting.

j. Input into the Department's Two- and Five-Year Budget Plan

During the Summer of 1976, the Commissioner of Public Safety requested the Research and Development Director to assist in budget preparation, as the State Comptroller requires each Department of State government to project its programs and budget needs based upon two- and five-year plans. The Commissioner, in making this request, attempted to ensure that planning efforts are consistent with the Department's budget, thus making planning realistic and based upon budgetary projections.

k. Homicide Investigation Study

In early 1977, in an effort to obtain an unbiased examination of the investigation of homicides by the Department, the Commissioner requested an analysis of recent homicide investigations conducted by the BCI.

The results of this study provided the Commissioner with the first objective information by which to assess homicide investigations. Included among results were breakdowns of the number of agents involved in homicide investigations, the number of hours expended in travel and investigation, the types of cases involved, and the like. While this study has not as yet resulted in specific changes in operation or organization, it provides a starting point from which to form Departmental policy on homicide investigations.

### 3. Impact

These special studies, despite their varied nature, possess a common thread linking them together:

- a. A request from the Commissioner;
- b. Objective study by the Research and Development Office;
- c. A judgment of the Department's ability to itself conduct the study or make recommendations;
- d. The conducting of the study, either by the Research and Development Office or by outside consultants;
- e. The preparation of a final report;
- f. The implementation of recommendations from the report.

In each of these, the Research and Development Office has played a significant role, conducting or coordinating studies and thereby assisting in the upgrading of the Department.

## IV. FUTURE OF THE RESEARCH AND DEVELOPMENT OFFICE

### A. Should Continuation Funding Be Granted

The intention of the Iowa Department of Public Safety is to apply for continuation funding for the Research and Development Grant from the period from January 1, 1978 through June 30, 1978. Anticipated budget for this period of time is approximately \$80,000.00. After that time, the Department intends to provide funding for the Research and Development Office from its State allocation. Thus, the Department will have followed the intention of LEAA funding, with the latter providing "seed money" and the former continuation to fund the project following the termination of federal monies.

### B. Should Continuation Funding Not Be Granted

Should the Research and Development project not be re-funded, the functions provided by the Office would probably revert to the offices having responsibility for the functions prior to the formation of the Research and Development Office:

1. The responsibility for rules and general orders would probably be assumed by the Assistant Attorney General, who held that responsibility for the first year of the Research and Development Grant. This arrangement was terminated because of the assignment priorities for the Assistant Attorney General.
2. Grants management would be assumed by some part of the Administrative Services Division, which would probably result in considerable difficulties due to a) lack of understanding of LEAA and its practices, b) unfamiliarity with the processes necessitated by the State in the funding process, and c) little experience in the development of Department priorities.

3. Uniform Crime Reports would probably be handled exclusively by the Data Processing Bureau of the Administrative Services Division. This Division currently does not have the personnel resources to complete an analytical report such as that under preparation by the Research and Development Office. This would present major problems because of the Department's statutory obligation to prepare these reports.
4. Special studies would probably either be done by outside consultants (with attendant costs) or by Division Directors or their aides. The latter groups a) have an inherent bias in studying their own divisions, and b) are not trained in research methodology.

Thus, it can probably be fairly said that each of the four areas of responsibility would suffer with the absence of the Research and Development Office, and each of the Divisions assuming new responsibilities would incur a new work load with which they would have difficulty coping.

## APPENDIX A

### LISTING OF RULES, GENERAL ORDERS, AND ORDERS PREPARED BY THE RESEARCH AND DEVELOPMENT OFFICE

The subject matter covered by Rules and General Orders is very broad, necessitating expertise in a variety of areas which may or may not appear relevant to management of a law enforcement agency. Following is a list of Rules, General Orders, and Orders which have been developed by the Research and Development Office and implemented by the Iowa Department of Public Safety:

1. Secondary Employment/Inconsistent Activities
2. Residence Requirements
3. Complaint Form
4. Basic Academy
5. Table of Organization/Chain of Command
6. Conduct Review Board
7. Background Investigation of Applicants
8. Appraisal of Applicants
9. Written Directive System
10. Relocation Expenses
11. Rules and General Orders
12. Applicant Selection Procedures
13. Compensatory Time
14. Probationary Employee Evaluations
15. Probationary Officer Evaluations
16. Communicator for Official Notices
17. Council Postings on Bulletin Boards
18. Death Investigations

In addition to these, the following are currently under development by the Research and Development Office:

1. Internal Affairs Office
2. Jury Duty
3. Conduct Unbecoming an Officer
4. Leave of Absence
5. Use of Firearms
6. Release of Crime Data
7. Telecommunication Terminals
8. Disciplinary Actions
9. Auxiliary Handguns
10. Radio Control
11. Grievance Procedure
12. Interdivisional Transfers

GRANTS COORDINATED BY RESEARCH AND DEVELOPMENT  
FROM 7-1-75 THROUGH 10-31-77

Grants Operating When Research and Development Began

Project and Number	Purpose	Time Period	Funds (State/Federal/Total)		
Fraud Unit 75-DF-07-0004 Discretionary	Investigate white-collar crimes. Provides for 6 agents, 1 secretary plus equipment and support.	1-1-74/6-30-76	\$ 24,963.80	\$ 224,665.20	\$ 249,629.00
Technological Improvement 702-75-00-0380-23-01 Block	Conversion to high-band radio system.	1-1-75/12-31-75	174,500.00	261,750.00	436,250.00

Grants Prepared, Coordinated, and Monitored by Research and Development

Project and Number	Purpose	Time Period	Funds (State/Federal/Total)		
Radio Equipment 702-74-00-0387-23-01 Block	Conversion to high-band radio system.	1-1-76/12-31-75 (extended to 6-30-76)	\$ 174,500.00	\$ 261,750.00	\$ 436,250.00
Communication Equipment 702-73-00-0380-23-10 Block	Hand-held radios (29).	6-13-75/10-30-75		31,411.00	31,411.00
TRACIS Tech. Improvement 702-75-00-0206-23-01 Special	State computer system 60% of 4 operators plus 60% of 2 part-time operators.	7-1-75/6-30-76	83,333.33	250,000.00	333,333.33

Project and Number	Purpose	Time Period	Funds (State/Federal/Total)		
Research and Development 75-DF-07-0007 Discretionary	Provides research and planning capabilities for the Commissioner. Funds one (1) director and three (3) planners plus support and equipment.	7-1-75/6-30-77	\$ 15,556.00	\$ 140,000.00	\$ 155,556.00
Equal Employment Opportunity 702-75-00-0380-21-04 Block	Implement EEO program (1) EEO officer plus funds for training and equipment.	7-1-75/6-30-76	2,336.70	21,030.30	23,367.00
Narcotics Task Unit 75-DF-07-0008 Discretionary	Aid local communities in combating drug trafficking. Provides for 5 agents plus 1 analyst, 1 secretary, equipment and support.	7-1-75/6-30-76	23,330.00	210,000.00	233,330.00
Personnel Assistant 702-75-00-0380-21-05 Block	(1) Assistant Personnel Director plus equipment.	7-1-75/6-30-76	2,941.90	26,477.10	29,419.00
Security and Privacy Planning 76TA-99-6016 Special	Implement state TRACIS PLAN.	7-1-75/3-31-76		19,376.00	19,376.00
Arson Schools 702-75-00-0380-25-06 Block	Eight Arson Detection Schools held throughout the State. Funds provide for an instructor plus material.	1-1-76/6-30-76	281.60	2,534.40	2,816.00
DPS Offices (Wallace Bldg.) NCCJPA Project L-1484-278 Technical Assistance	Technical Assistance for DPS in determining floor plans in Henry Wallace Bldg.	7-16-76/9-30-76		-0-	
Technological Improvement 702-74-00-0380-23-05 Block	Provides 7 high-band aircraft radios and 35 hand-held radios.	3-1-76/12-31-76	8,421.40	75,792.60	84,214.00

Project and Number	Purpose	Time Period	Funds (State/Federal/Total)		
Technological Improvement 702-76-00-0380-23-01 Continuation Block	Conversion to high-band radio system.	4-28-76/4-27-77	\$ 300,714.40	\$ 451,071.60	\$ 751,786.00
Unified Law Enforcement 705-75-00-0380-24-07 Block	Provides for a district office in Cedar Falls.	5-25-76/6-30-77	71,000.00	71,000.00	142,000.00
Computerized Criminal History 702-76-00-0380-52-02 Block	Provides for 4 computer programmer/analysts; message switcher; 8 terminals.	7-1-76/6-30-77	24,469.33	220,224.00	244,693.33
Mansion Security 702-76-00-0380-23-01 Block	Provides security equipment for the Governor's Mansion.	9-1-76/8-30-77	42,919.00	42,920.00	85,839.00
Criminal Fraud 702-76-00-0380-25-04 Continuation Block	Investigate white-collar crimes. Provides for six (6) agents, one (1) secretary, plus support.	7-1-76/6-30-77	16,092.30	144,830.70	160,923.00
Criminal Data: Processing 702-76-00-0380-52-05 Block	Provides for two (2) teletype operators enabling extended hours that data will be available.	11-1-76/10-31-77	3,079.00	14,504.00	17,583.00
Narcotic Task Unit 76-DF-07-0013 Continuation Discretionary	Aids local communities in combating drug trafficking. Provides for five (5) agents, one (1) analyst, one (1) secretary, equipment and support.	10-1-76/9-30/77	22,222.22	200,000.00	222,222.22
Personnel and Training Ass't. 702-76-00-0380-21-07 Continuation Block	Provides for one (1) assistant personnel director plus support.	7-1-76/9-30-77	5,066.00	31,601.00	36,667.00

Project and Number	Purpose	Time Period	Funds (State/Federal/Total)		
Equal Employment Opportunity 702-76-00-0380-21-06 Continuation Block	Implement EEO program, one (1) EEO officer, plus support.	7-1-76/9-30-77	\$ 3,977.00	\$ 26,023.00	\$ 30,000.00
Fraud Unit 702-76-00-0380-25-09 Continuation Block	Investigate white-collar crimes. Provides for 6 agents, 1 secretary plus equipment and support.	8-1-77/10-31-77	21,137.00	23,250.00	44,387.00
Technological Improvement 702-76-00-0380-23-08 Continuation Block	Conversion to high-band radio system.	6-27-77/6-26-78	59,424.00	84,000.00	143,424.00
Technological Improvement 702-77-00-0380-23-01 Continuation Block	Conversion to high-band radio system.	6-27-77/6-26-78	194,576.00	280,000.00	474,576.00
Pay Range Evaluation J-LEAA-002-76 Technical Assistance	Evaluation of pay ranges for state troopers.		-0-	-0-	-0-
Investigative Survey Study TA76-13 Technical Assistance	Study to determine the need for field supervision and reorganization for the investigative divisions.		-0-	-0-	-0-
Fire Incident Reporting NFPCA-77009 (U.S. Dept. of Commerce)	Upgrade the State fire incident reporting system. Provides funds for training, printing and computer time to implement the new system.			7,956.00	7,956.00
TOTAL			\$1,274,840.98	\$3,122,166.90	\$4,397,007.88



## MEMORANDUM

To: Gerry Hardersen

From: Marcia Cohan

Subject: Critique of "Self-Evaluation Report for Research and Development Office, Iowa Department of Public Safety" (No. 75-DF-07-0007)

Date: November 3, 1977

Approval was given by Ms. Marge Lowry of our LEAA Regional Office for the D.P.S. - Research and Development Office to evaluate its own activities as described in the grant. Development of this self-evaluation was contingent upon the SPA working with R. and D. in this effort.

As a result of the Regional Office's decision, an evaluation design was developed by the SPA staff (PA3); this consisted of a series of performance measures, based on the grant's revised objectives, which were to be used in assessing the effectiveness of the R. and D. Unit. Concurrent with the design's development was a meeting between that Unit and the SPA to discuss their expectations of what should be included in the evaluation. At this meeting it was mutually agreed that the design would be the basis from which the self-evaluation would develop.

The "Self-Evaluation Report" was formally submitted to the SPA on October 25, 1977 which reviewed the past activities of the R. and D. Unit under LEAA Grant No. 75-DF-07-0013. The following comments address this Report.

First, as there were no formal planning capabilities in the Department of Public Safety a grant application was submitted in 1975 to the Iowa Crime Commission for the establishment of a Research and Development Office whose primary responsibilities were to address these planning needs. Upon approval of this grant the Unit was to develop a two, five and ten year plan based on goals and objectives which were to be identified. However, as a result of a "self-assessment" the Research and Development Unit modified its responsibilities considerably and identified the following as its four primary objectives: 1) the development of policies and procedures; 2) the development and management of federal grants; 3) the upgrading of the Uniform Crime Report; and 4) the preparation of special studies as requested by the Commissioner. Based upon the description of their activities as described in the "Self-Evaluation Report" it appears as though each objective has somewhat been met.

With reference to the first objective the Department of Public Safety had not maintained standardized policies or a formal set of rules prior to establishment of the Research and Development Unit. However, since the Unit's inception the following accomplishments relating to this objective have been noted according to the evaluation: 1) eighteen Rules, General Orders, and Orders have been researched, approved and published; 2) another twelve are currently being developed; 3) a formal process for Division Directors to review prospective policies has been developed; 4) a numbering system which was used for rules and general orders has been modified due to problems with duplication of numbers. A review of the Rules and General Orders which has been developed by

the Research and Development Office reveals that not only was there a substantial number, i.e. thirty, researched and processed but also there was much variation in the different types of procedures handled. Moreover, the system designed for reviewing potential policies by Division Directors seems to be a feasible way in which to receive input from each division. Based upon the above-stated activities it appears as though the first objective is successfully being met.

The second objective of this DPS grant is to develop and manage federal grants. According to the evaluation the Research and Development Unit has coordinated twenty-eight grants since its inception. Coordination of these grants should involve timely submission of pertinent information to the SPA, i.e. grant applications, revision requests, financial and progress reports, as well as grant extensions. However, according to some SPA staff who work with the Research and Development Unit in grant coordination, submission of this information on a timely basis has been lacking. This, in turn, has presented problems for our staff in trying to meet the needs of subgrantees by efficiently processing grants coordinated by that Unit. To improve the activities as addressed under this objective it is recommended that the Research and Development Office staff review the Administrative Planning Guide (May 1, 1977), paying particular attention to SPA Memo No. 25 pertaining to "Grant Extension and Revision" and also Memo No. 26 which refers to "Pre-Agreement Costs of Initial and Continuation Applications." It appears as though this second objective has partially been met as the staff of Research and Development is coordinating a large number of grants; however, the quality of this coordination is in need of improvement.

The upgrading of the statewide Uniform Crime Reports Systems is the third objective of the Research and Development Office. To date, the following accomplishments pertaining to this objective have been noted: 1) changes in the organization and format of the U.C.R. which will result in Iowa's first annual publication in November (Note: as of this writing the publication has not been released by DPS and thus, cannot be reviewed by this evaluator); and 2) supplying information pertaining to crime and crime patterns based upon specific requests received. As the responsibility for analyzing crime data has fallen on the Iowa Crime Commission in the past, it is essential that the U.C.R. publication be thoroughly reviewed and used by the SPA staff in order to keep abreast as to better ways to collect and analyze crime data. I am not in a position to determine whether this objective has successfully been met until reviewing the U.C.R. However, based upon examples of the types of data included in this publication, as noted in the evaluation and also previous meetings and conversations pertaining to the U.C.R. publication in which I have participated, it is my opinion that this document will satisfy accomplishment of the third objective.

The fourth objective addressed in the grant is the preparation of special studies as requested by the Commissioner. Activities directed toward this objective include the completion of 11 such studies and the consequence of their preparation. Each study was briefly discussed in the evaluation as well as any subsequent effects that each may have had. Two of 11 studies, i.e. The Written Directive System and Analysis of the Uniform Crime Reporting System, have been addressed as activities under the previous objectives.

Thus, analysis of the remaining nine special studies conducted by the Research and Development Office reveals that each has contributed to assisting the Commissioner in upgrading the Department. This objective appears to have been successfully met.

My overall impressions of this evaluation were favorable. In terms of its format the evaluation was relatively easy to follow as activities of the Research and Development Office were systematically addressed under each objective. Other information relevant to the grant, i.e. history of the project, staff experience and training, and the future of the Research and Development Office were also included in the evaluation. The only other subject which should have also been addressed in the evaluation, in my opinion, was the reason for not having a full staff until many months after the project was funded. This, of course, has been a determining factor in limiting the Unit's performance. Project implementation has fallen short due to shortage of staff.

In spite of predetermined biases which are always built into any self-evaluation I thought that this report made a definite attempt to assess the strengths and weaknesses of this Unit. The evaluation appeared to be well thought-out, coherent and easily understandable.

It is my opinion that the tasks and strategies currently undertaken by the Research and Development Office (as detailed in the self-evaluation) are directed toward the grant's overall goal, i.e. implementation of a systematic planning process to improve management of the Department of Public Safety. The project appears to be cost-effective; however, this cannot be determined until an analysis of the project's impact is performed at some later date and by an outside evaluator. Nevertheless, based on information provided in the evaluation and my knowledge of the project's activities, I recommend that it be refunded.



**END**