

Crime and Criminal Justice in Iowa

VOLUME VIII:

CRIMINAL
JUSTICE
FLOW

Statistical

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CRIME AND CRIMINAL JUSTICE IN IOWA

VOLUME VIII: CRIMINAL JUSTICE FLOW

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STATISTICAL ANALYSIS CENTER
OFFICE FOR PLANNING AND PROGRAMMING

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Office for Planning and Programming
523 E. 12th Street
Des Moines, Iowa 50319
Robert F. Tyson, Director

Statistical Analysis Center

DIRECTOR - - - - -	Paul Stageberg, M.A.
DATA COORDINATOR - - - - -	Daryl R. Fischer, Ph.D.*
RESEARCH ANALYST - - - - -	Teresa A. Lacsina, M.A.**
TECHNICAL ASSISTANCE PLANNER - - - - -	Marcia L. Cohan, M.S.
SYSTEMS ANALYST - - - - -	Dennis Block
SECRETARY - - - - -	Joyce Samo

*Study Coordinator/Author

**Study Assistant/Data Processing Support

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PREFACE

This report is the eighth of a series of reports published by the Iowa Statistical Analysis Center (SAC) on crime and criminal justice statistics. The series, entitled "Crime and Criminal Justice in Iowa," summarizes much of the statistical work of the Iowa SAC during its first year of operation.

Volume I: Statistical Overview, provides a wide range of basic statistics on the crime problem in Iowa and on the operation of the criminal justice system. Topics addressed include (among others): crime and arrest patterns; pre-trial release practices; court dispositions; felony sentencing; offender characteristics; correctional populations; time served in prison; recidivism; and prison population trends. Other reports in the series address individual topics in greater depth and, in so doing, expand on the base of information provided in Volume I.

In this report -- Volume VIII: Criminal Justice Flow -- the Statistical Analysis Center summarizes available statistics concerning the flow of offenders through the criminal justice system in Iowa. Data are synthesized from other reports in the series concerning the rates at which offenders (or cases) "drop out" of the following processing sequence of criminal justice events:

REPORTED CRIME → ARREST → COURT DISPOSITION → CONVICTION → INCARCERATION

Data in the report are limited to felony offenses committed by adults, with emphasis placed on the Part I offenses of murder/manslaughter, forcible rape, robbery, aggravated assault, burglary, larceny, and motor vehicle theft.

This volume of the series should provide a previously lacking characterization of the criminal justice process in Iowa as manifested by the movement of offenders through the system. Specifically, it suggests the degree of efficiency of the system in bringing criminal offenders to justice, whether justice is measured by arrest, guilt, conviction, incarceration, or time served.

Information for the Crime and Criminal Justice series was taken from the Uniform Crime Reports of the Federal Bureau of Investigation and the Iowa Department of Public Safety, Biennial Reports of the Iowa Board of Parole, and from computerized offender case files maintained by the Iowa Department of Social Services. In addition, some data on District Court dispositions were taken from a statistical report prepared by the Advisory Commission on Corrections Relief.

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SUMMARY

The Statistical Analysis Center has recently completed a study of the processing of offenders through the criminal justice system in Iowa. The study examines patterns of flow through the system during the four-year period 1974-1977.

Specifically, an attempt was made to determine rates at which crimes and offenders "drop out" of the system as a case proceeds from a report to a law enforcement agency, through arrest, to court action, court disposition, and sentencing. The criminal justice system is often described as a massive sifting process, which separates out only a small fraction of cases for criminal sanction. It was the intent of this study to determine just how selective the system has been in recent years, and to isolate and characterize the sources of case attrition as accurately as possible.

Attention was limited in the study to adult offenders who (if arrested) were charged at arrest with felony offenses, and who were not already in the criminal justice system (on pre-trial release, probation, parole, work release, etc.) when arrested. Due to data restrictions, consideration of pre-courts activity was limited to persons committing (or charged with) Part I felonies, including murder/manslaughter, forcible rape, robbery, aggravated assault, burglary, larceny, and motor vehicle theft.

The study adopted a simplified model of the criminal justice process in Iowa as illustrated on the following page.

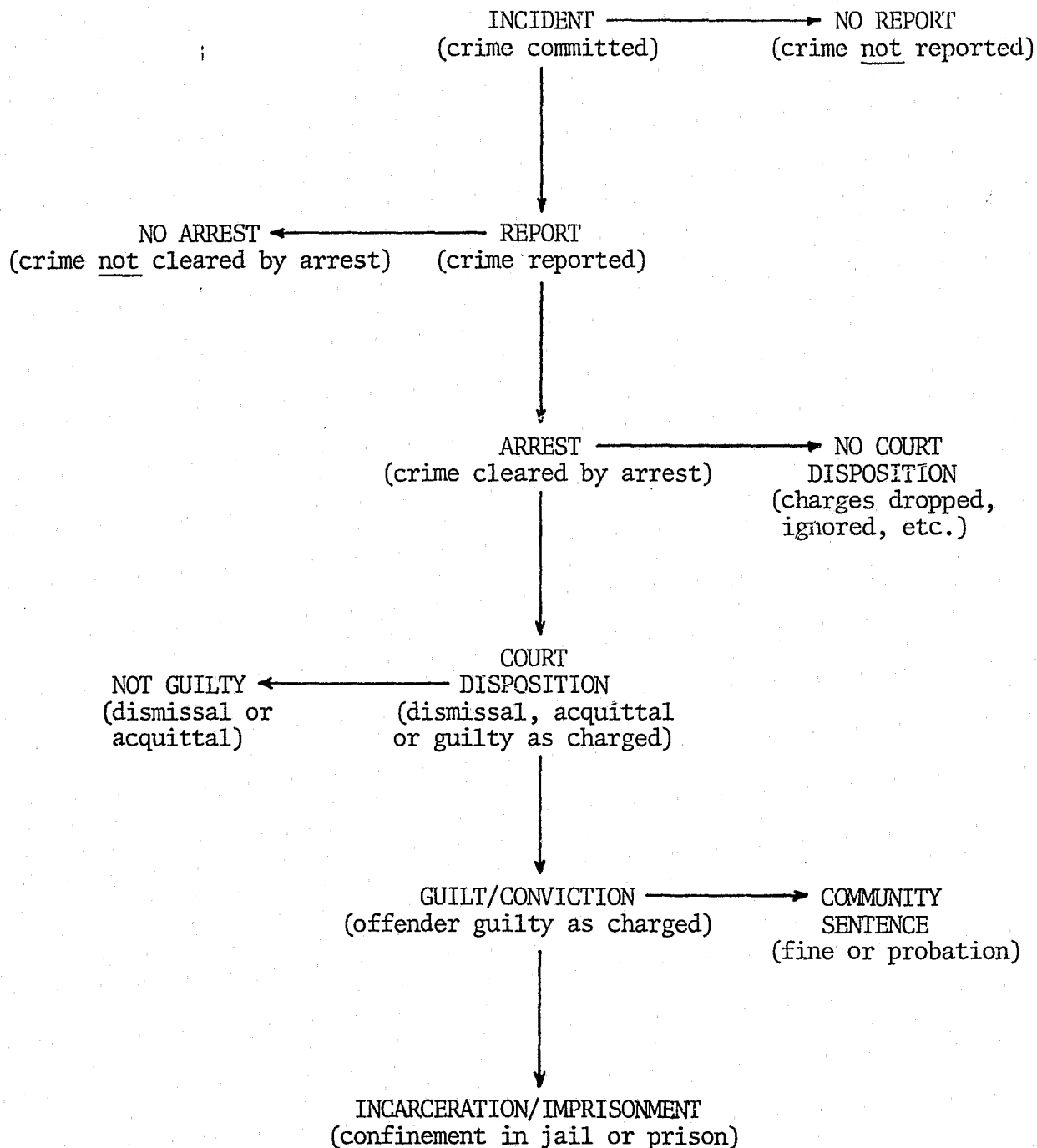
Based on this model, which designates a main sequence and drop-outs from that sequence, a number of system processing or flow rates were computed. These rates include movement rates along the main sequence, and drop-out rates from the sequence. Flow rates, taken as a whole, serve to characterize criminal justice as a system flow process.

Some of the major results of the study are as follows:

COURTS FLOW

Of 24,414 adults arrested and charged with felonies and receiving court dispositions during 1974-1977, 60% were convicted and 15% were incarcerated. Among the 14,647 convicted, 24% were incarcerated. Of those convicted, 71% were convicted of felonies, 12% of indictable misdemeanors, and 17% of simple misdemeanors. Of those incarcerated, 62% were sentenced to state prisons and 38% to county jails. Those sentenced to prison (15% of those convicted) served an average of 23.4 months prior to release on parole or by discharge.

The total of 51,784 months served by those committed to state prisons breaks down as 2 months for each court disposition, 3.5 months for each conviction, and 5 months for each felony conviction.



The study results indicate variations in courts flow - according to the nature of the arresting offense - as follows:

PERFORMANCE FACTOR	PART I VIOLENT ¹	PART I PROPERTY ²	TOTAL PART I	PART II ³
CONVICTION RATE ⁴	54%	58%	57%	63%
INCARCERATION RATE ⁵	28%	14%	18%	12%
INCARCERATION RATE ⁶	52%	23%	31%	19%
PRISON TIME PER COURT DISPOSITION (months)	7.5	1.9	3.3	1.2
PRISON TIME PER CONVICTION (months)	13.9	3.2	5.7	1.9
PRISON TIME PER PRISON COMMITMENT (months)	33.6	22.5	26.4	18.5

CRIME AND ARREST DISPOSITIONS

For Part I felonies, statistics were generated on the disposition of 21,600 arrests as follows:

PERFORMANCE FACTOR	PART I VIOLENT	PART I PROPERTY	TOTAL PART I
DISPOSITION RATE ⁷	59%	49%	52%
CONVICTION RATE ⁸	32%	28%	29%
INCARCERATION RATE ⁹	17%	7%	6%
PRISON TIME PER ARREST (months)	4.5	0.9	1.7

¹ Murder/manslaughter, rape, robbery, and aggravated assault.

² Burglary, larceny, and motor vehicle theft.

³ All other non-traffic offenses, but including drunken driving.

⁴ Percent of court dispositions resulting in conviction.

⁵ Percent of court dispositions resulting in incarceration.

⁶ Percent of convictions resulting in incarceration.

⁷ Percent of arrests leading to court disposition.

⁸ Percent of arrests leading to conviction.

⁹ Percent of arrests leading to incarceration.

Also for Part I felonies, statistics were generated on the disposition of 124,608 reported crimes as follows:

PERFORMANCE FACTOR	PART I VIOLENT	PART I PROPERTY	TOTAL PART I
CLEARANCE RATE ¹	54%	15%	17%
DISPOSITION RATE ²	32%	7%	9%
CONVICTION RATE ³	18%	4%	5%
INCARCERATION RATE ⁴	9%	1%	1.6%
PRISON TIME PER REPORTED CRIME (days)	65	4	9

Although no statewide studies of reporting rates for Part I crimes have been completed, there are figures available (see page 41) from a national crime survey conducted for the year 1974. If the reporting rates from the survey applied to Iowa during 1974-1977, then statistics on the disposition of crimes committed are as follows:

PERFORMANCE FACTOR	PART I VIOLENT	PART I PROPERTY	TOTAL PART I
REPORTING RATE ⁵	44%	24%	25%
CLEARANCE RATE ⁶	24%	3.5%	4.4%
DISPOSITION RATE ⁷	14%	1.7%	2.3%
CONVICTION RATE ⁸	7.6%	1.0%	1.3%
INCARCERATION RATE ⁹	4.0%	0.2%	0.4%
PRISON TIME PER CRIME COMMITTED (days)	28	1.0	2.2

¹ Percent of reported crimes cleared by arrest.

² Percent of reported crimes leading to a court disposition.

³ Percent of reported crimes leading to conviction.

⁴ Percent of reported crimes leading to incarceration.

⁵ Percent of crimes committed that are reported.

⁶ Percent of crimes committed that lead to arrest.

⁷ Percent of crimes committed that lead to a court disposition.

⁸ Percent of crimes committed that lead to conviction.

⁹ Percent of crimes committed that lead to incarceration.

SYSTEM DROP-OUTS

According to the system flow rates presented above, the final dispositions of 1000 arrests for Part I felonies were as follows:

FINAL DISPOSITION	PART I VIOLENT	PART I PROPERTY	TOTAL PART I
NO COURT DISPOSITION	407	510	484
COURT DISPOSITION, NO CONVICTION	269	206	223
COMMUNITY SENTENCE	153	218	201
INCARCERATION	171	66	92

Similarly, the final dispositions of 1000 reported crimes (Part I felonies) were as follows:

FINAL DISPOSITION	PART I VIOLENT	PART I PROPERTY	TOTAL PART I
NO ARREST	460	849	829
ARREST, NO COURT DISPOSITION	220	77	83
COURT DISPOSITION, NO CONVICTION	145	31	38
-----	-----	-----	-----
TOTAL FALLING OUT DURING JUDICIAL STAGE	365	108	129
-----	-----	-----	-----
COMMUNITY SENTENCE	83	33	34
INCARCERATION	92	10	16

If national non-reporting rates for 1974 were accurate for Iowa during 1974-1977, then the final dispositions of 1000 crimes committed (Part I felonies) were as follows:

FINAL DISPOSITION	PART I VIOLENT	PART I PROPERTY	TOTAL PART I
NO REPORT	565	756	746
NO ARREST	200	209	210

TOTAL FALLING OUT DURING LAW ENFORCEMENT STAGE	765	965	956

ARREST, NO COURT DISPOSITION	96	18	21
COURT DISPOSITION, NO CONVICTION	63	7	10

TOTAL FALLING OUT DURING JUDICIAL STAGE	159	25	31

COMMUNITY SENTENCE	36	8	9
INCARCERATION	40	2	4

I. CRIMINAL JUSTICE AS A "SYSTEM FLOW PROCESS"

Perhaps the most common criticism of criminal justice in the United States is that the system as currently structured is vastly inefficient in bringing criminal offenders to justice. Concerned parties frequently suggest that the police aren't arresting enough criminals, that too many defendants avoid conviction, that judges are too lenient in sentencing practices, and that those offenders who are locked up don't serve enough time. The criminal justice system is often described as a "revolving door," returning dangerous criminals to the street with alarming frequency and with little concern for the welfare of the general public. Some of the more determined critics go so far as to suggest that this alleged inefficiency actually rewards crime by letting the criminal know that he or she need not realistically fear the sanction of conviction and/or incarceration. From this perspective, the justice system neither deters crime through example nor provides a means of protecting society from repeat criminal acts.

In the past, a major stumbling block to an accurate assessment of the extent of this problem has been the lack of hard statistical data concerning the movement of offenders through the justice system. Without hard statistics, criticisms of justice system operations -- to a great extent -- have been guesswork. In contrast, statistics detailing past patterns of activity - if developed with care and from reliable data sources - can provide a valid basis for assessing the strengths and weaknesses of the current response to crime in the state.

Fortunately, some data are now available on which to base such assessments. In Volume I of the Crime and Criminal Justice series, the Statistical Analysis Center published a large quantity of information on criminal justice processes in Iowa, including - among other information - data on reported crimes, arrests, court dispositions, sentencing and time served in prison. It is the intent of this volume to mold some of the most salient results from Volume I on the processing of criminal cases into a composite "snapshot" of the criminal justice process in Iowa. As such, this report reflects not so much new or additional data, but rather a synthesis of previously published results.

CRIMES TO INCARCERATIONS

Perhaps the key to understanding the operation of the criminal justice system is to view crime and the organized response to crime as a "system flow process" consisting of successive stages of deeper and deeper legal involvement. The first stage is, of course, the criminal act itself, which may or may not be reported to a law enforcement agency, and which may or may not be reflected in official crime statistics. Those crimes which are not reported "drop out" at the earliest stage of the flow process.

Of those crimes which are reported, some lead to arrest and/or a criminal charge, while others do not, the latter dropping out of the flow process and adding to the pool of criminals who avoid justice system sanction or intervention.

Additionally, of those who are arrested, a certain percentage drop out of the process by avoiding a disposition of the case in criminal court. This occurs due to a decision not to pursue criminal charges against the accused, and may be due to choices made by the victim, the arresting authority, the prosecutor, or a grand jury.

In turn, among persons processed through the courts, a percentage remain free of any finding of guilt or a record of conviction. This can occur through the dismissal of charges by the presiding judge or magistrate or upon acquittal in a trial court. In Iowa, a person can plead guilty to certain types of charges and receive a deferred judgment or sentence, with placement on probation. If probation is completed successfully, charges may be dismissed with no record of conviction maintained. Thus even among persons guilty as charged, a fraction drop out of the criminal justice process by avoiding a conviction record.

Finally, among persons who are convicted on criminal charges, only a fraction are placed in secure custody (incarcerated) in a county jail or state prison. The remaining convicted offenders receive fines or suspended (jail or prison) sentences, and may or may not serve time in some sort of non-secure facility in the community.¹ Convicted offenders who avoid incarceration have - in a sense - dropped out of the justice system process by virtue of one or more choices not to invoke the full extent of available legal sanctions, i.e., incarceration (currently Iowa law prohibits the death penalty). Furthermore, one form of incarceration, namely county jail placement, falls short of the most severe penalty provided by statute for more serious crimes (felonies), i.e., commitment to a state prison. Here, incarceration in a county jail may involve substantially less time to be served than state-level confinement due to the one-year limit on jail sentences.

The phenomenon of successive reduction in the volume of cases or offenders remaining active at various stages in the system is often referred to as the "funneling" effect. The higher the rates of drop-out at successive stages as discussed above, the more abruptly the pool shrinks and the more pronounced the cumulative effect of system drop-out. This disappearing act can be further aggravated - or perhaps mollified - by the amount of time served by those who are confined, and/or by subsequent decisions concerning the processing of recidivists, i.e., those who became reinvolved following disposition of the original charge(s).

1

In Iowa, each of eight local Departments of Correctional Services maintains one or more community residential facilities as sentencing alternatives for District Court judges.

SYSTEM FLOW RATES

From the system flow perspective, the criminal justice process can be characterized by a set of flow rates falling into two general categories, including the movement rates and the drop-out rates. In general, a movement rate is defined as the percentage of crimes/cases/offenders active at one stage or condition in the criminal justice process which (who) are also active at a succeeding or logically more restricted stage or condition. Examples of movement rates are as follows:

Simple Movement Rates

- 1) % of crimes committed that are reported,
- 2) % of reported crimes cleared by arrest (clearance rate),
- 3) % of arrests resulting in a court disposition,
- 4) % of court dispositions resulting in a finding of guilt or in a conviction (two forms of conviction rate),
- 5) % of those found guilty who are convicted,¹
- 6) % of those found guilty or convicted who are incarcerated (two forms of incarceration rate).

On the other hand a drop-out rate is defined as the antithesis of a movement rate, i.e., as the percentage of crimes/cases/offenders active at one stage or condition but not at a succeeding or logically more restricted stage or condition. Examples of drop-out rates (corresponding to the movement rates above) are as follows:

Simple Drop-out Rates

- 1) % of crimes committed that are not reported,
- 2) % of reported crimes not cleared by arrest,
- 3) % of arrests not resulting in a court disposition,
- 4) % of court dispositions not resulting in a finding of guilt or in a conviction,
- 5) % of those found guilty who are not convicted,
- 6) % of those found guilty or convicted who are not incarcerated.

System flow rates reflect not only simple "one-step" movements or drop-outs such as those listed above, but also composite movements and drop-outs such as the following:

Composite Movement Rates

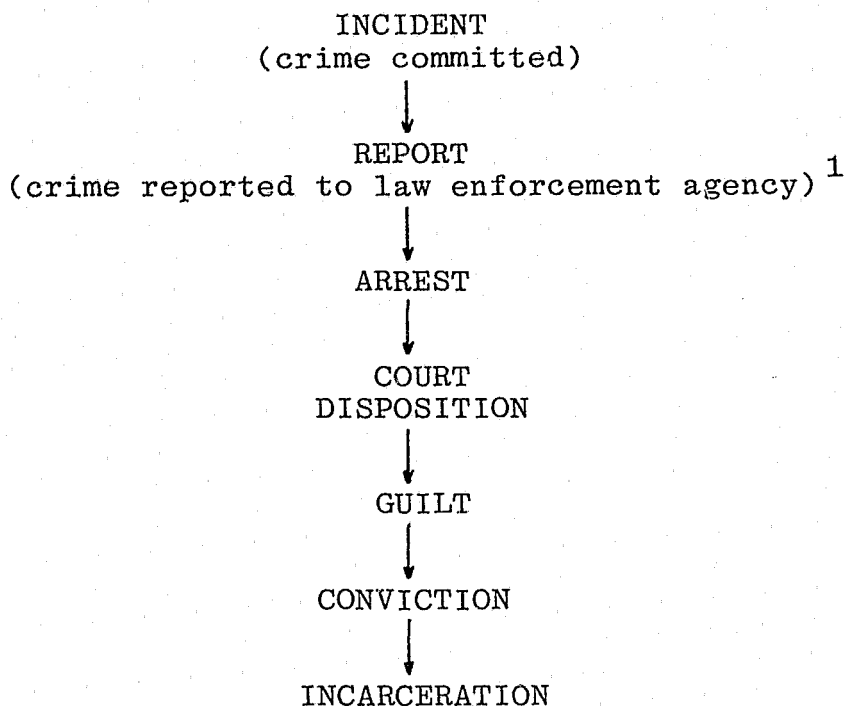
- 1) % of crimes committed that result in an arrest,
- 2) % of reported crimes leading to conviction in court,
- 3) % of arrests leading to conviction and incarceration,
- 4) % of court dispositions resulting in incarceration.

Composite Drop-out Rates

- 1) % of crimes committed that are not cleared by arrest,
- 2) % of reported crimes not leading to conviction in court,
- 3) % of arrests not leading to conviction and incarceration,
- 4) % of court dispositions not resulting in incarceration.

¹ Most persons who plead guilty and receive a deferred judgment have their charges dismissed and are not convicted.

In studies of criminal justice flow, certain key "target" events are selected as elements of the flow process. For this report, an attempt was made to include as many of the broad commonly discussed criminal justice events as possible. The following flow diagram spells out the major events selected and their serial ordering in the criminal justice process:



In certain discussions, distinctions will be made concerning the reduction of charges and/or the specific nature of sentences. Thus felonies sustained through the court process may be distinguished from felonies reduced to misdemeanors. Likewise, among incarcerations, prison terms may be distinguished from jail terms.

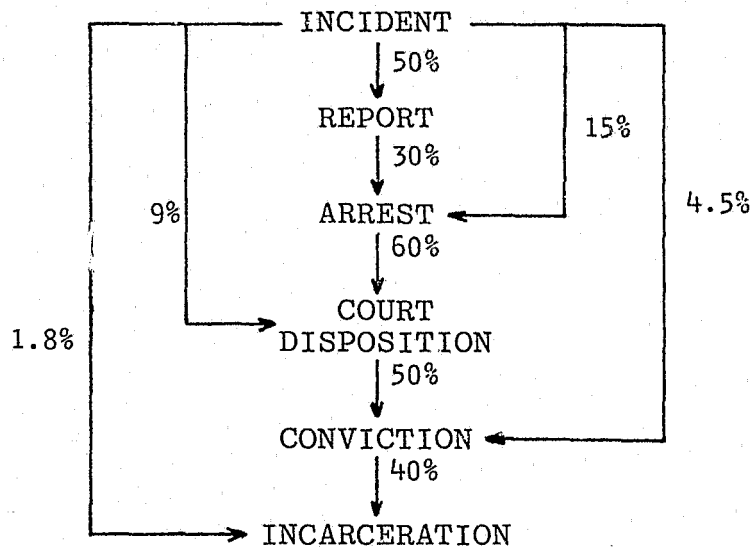
The following hypothetical example serves to illustrate the ways in which system flow rates are manipulated in this report. The reader should take careful note of the methods of presentation, as they will not be explained again when real data are presented.

EXAMPLE (fictitious)

In Smith County during a five-year period, 50% of "serious" crimes were reported to the police or the county sheriff. During this period, 30% of serious crimes were cleared by arrest, and 60% of arrests for such crimes ultimately led to a disposition in court. Statistics kept by the clerk of court indicated that 50% of court dispositions for serious charges resulted in a conviction, and that 40% of those so-convicted were incarcerated. These system performance rates, along with four composite movement rates, are depicted as follows:

¹

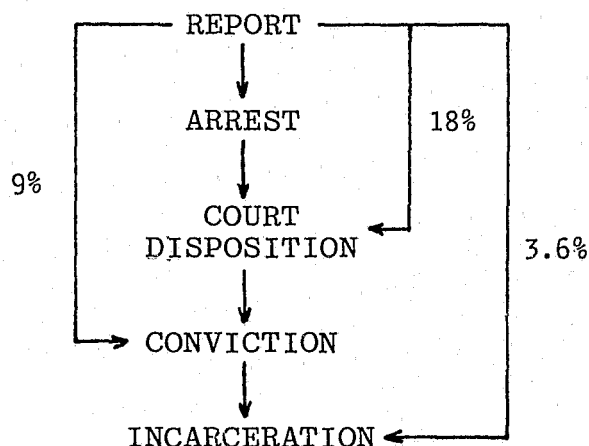
Or observed by law enforcement officer.



The diagram indicates that 15% (30% x 50%) of incidents led to an arrest, 9% (60% x 15%) led to a court disposition, 4.5% (50% x 9%) led to a conviction, and 1.8% (40% x 4.5%) led to an incarceration.

By subtracting the composite movement rates from 100%, it results that 85% of incidents didn't lead to an arrest, 91% didn't result in a court disposition, 95.5% didn't lead to a conviction, and 98.2% didn't result in incarceration. Thus, 50% of incidents dropped out of the flow process by not being reported to a law enforcement agency, 15% (85% - 70%) by being reported but not leading to an arrest, 6% (91% - 85%) by leading to an arrest but not a court disposition, 4.5% (95.5% - 91%) by leading to a court disposition but not a conviction, and 2.7% (98.2% - 95.5%) by leading to a conviction but not an incarceration.

If reported crimes, rather than incidents, are taken as units of analysis, then cumulative movement and drop-out rates must be recomputed:

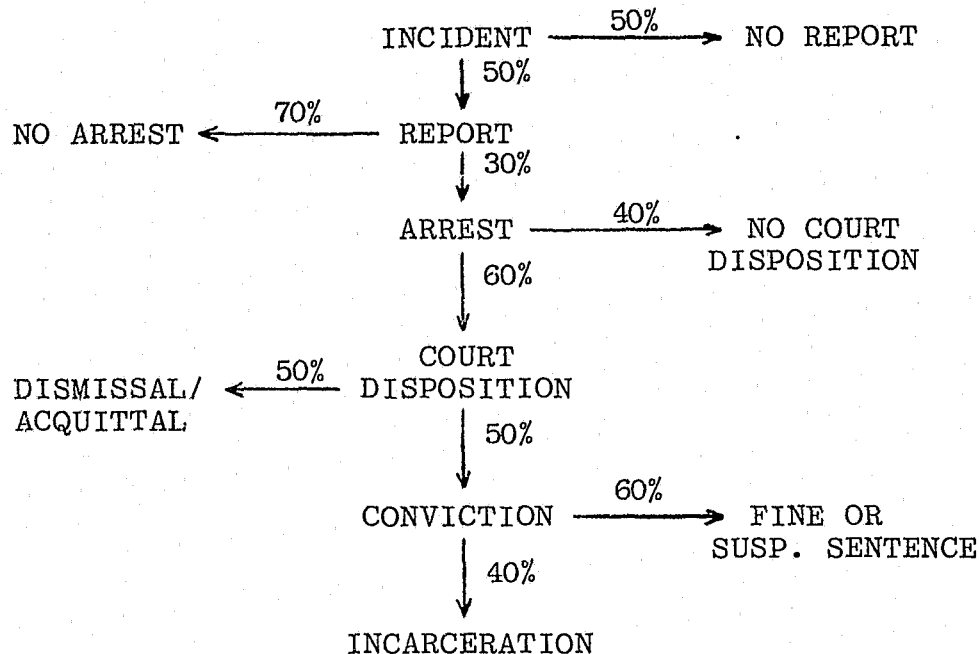


Here, 18% of reports led to a court disposition, 9% to conviction, and 3.6% to incarceration. Overall, 70% of reports didn't lead to an arrest, 82% didn't lead to a court disposition, 91% didn't lead to

conviction, and 96.4% didn't result in incarceration. Thus, 70% of reported crimes dropped out of the processing sequence prior to arrest, 12% (82% - 70%) after arrest but prior to disposition in court, 9% (91% - 82%) by dismissal or acquittal in court (no conviction), and 5.4% (96.4% - 91%) through the use of sentencing alternatives to incarceration.

In turn, movement and drop-out rates may be computed with arrests, court dispositions or convictions as units of analysis.

The drop-out rates discussed above include: 1) simple one-step rates, 2) composite or cumulative rates (total percent dropping out prior to given stage), and 3) cumulative rates broken down according to the step or stage at which drop-out occurs (drop-out components).¹ Simple one-step drop-out rates are easily displayed as follows:



On the other hand, composite drop-out rates and their components are less easily displayed in graphical form. Fortunately, there is a method of displaying all relevant movement and drop-out rates, including simple rates, composite rates and drop-out components. Table 1 below gives A) simple and composite movement rates, B) simple and composite drop-out rates, and C) drop-out components. Rates as expressed for each combination of precipitating event (antecedent) and resulting event (consequent), e.g., arrests (antecedent) leading to conviction (consequent).

¹

For example, 9% of reported crimes drop-out by dismissal or acquittal in court.

Table 1
CRIMINAL JUSTICE FLOW
(Fictitious Data)

ANTECEDENT (precipitating event)	CONSEQUENT (resulting event)				
	REPORT	ARREST	COURT DISPOSITION	CON- VICTION	INCARCER- ATION
<u>A. MOVEMENT RATES</u>					
INCIDENT	50%	15%	9%	4.5%	1.8%
REPORT	---	30%	18%	9%	3.6%
ARREST	---	---	60%	30%	12%
COURT DISPOSITION	---	---	---	50%	20%
CONVICTION	---	---	---	---	40%
<u>B. DROP-OUT RATES</u>					
INCIDENT	50%	85%	91%	95.5%	98.2%
REPORT	---	70%	82%	91%	96.4%
ARREST	---	---	40%	70%	88%
COURT DISPOSITION	---	---	---	50%	80%
CONVICTION	---	---	---	---	60%
<u>C. DROP-OUT COMPONENTS</u>					
INCIDENT	50%	35%	6%	4.5%	2.7%
REPORT	---	70%	12%	9%	5.4%
ARREST	---	---	40%	30%	18%
COURT DISPOSITION	---	---	---	50%	30%
CONVICTION	---	---	---	---	60%

In addition to movements and drop-outs mentioned previously, the table indicates that:

- 1) 30% of arrests led to conviction and 12% to incarceration,
- 2) 20% of court dispositions resulted in incarceration,
- 3) 40% of arrests dropped out prior to court disposition, 30% through dismissal or acquittal in court, and 18% through the use of sentencing alternatives to incarceration,
- 4) 70% of arrests didn't lead to conviction and 88% didn't result in incarceration,
- 5) 80% of court dispositions didn't lead to incarceration.

To illustrate the utility of system flow statistics, the fictitious data presented above were used to project the effects of designated changes at selected stages of the system on ensuing stages and on total system performance:

- 1) If the incarceration rate was increased by one-fourth, then the percent of incidents leading to incarceration would also increase by one-fourth, from 1.8% to 2.25%.
- 2) If conviction and incarceration rates were to increase by one-fourth, with all other rates remaining constant, then incarcerations would increase by 56% (not 50%).
- 3) If disposition,¹ conviction, and incarceration rates were to increase by one-fourth, then incarcerations would increase by 95% (not 75%).
- 4) If clearance, disposition, conviction and incarceration rates were to increase by one-fourth, then incarcerations would increase by 144% (not 100%).
- 5) If reporting, clearance, disposition, conviction, and incarceration rates were to increase by one-fourth, then incarcerations would increase by 205% (not 125%).

Each of the preceding results is a mathematical consequence of the percentage increase in the given rates and has nothing to do with the sizes of the rates themselves. In general, if the reporting rate increased by A%, the clearance rate by B%, the disposition rate by C%, the conviction rate by D%, and the incarceration rate by E% (some of which may be 0%), then reports would increase by A%, arrests by $(100\% + A\%) \times (100\% + B\%) - 100\%$, dispositions by $(100\% + A\%) \times (100\% + B\%) \times (100\% + C\%) - 100\%$, convictions by $(100\% + A\%) \times (100\% + B\%) \times (100\% + C\%) \times (100\% + D\%) - 100\%$, and incarcerations by $(100\% + A\%) \times (100\% + B\%) \times (100\% + C\%) \times (100\% + D\%) \times (100\% + E\%) - 100\%$.² In practice, these computations are usually done with decimals instead of percentages, e.g., .25 instead of 25%.

To illustrate, suppose that the reporting rate increased by 20%, the clearance rate by 30%, the disposition rate by 40%, the conviction rate by 50%, and the incarceration rate by 60%. Then:

¹ Percent of arrests leading to court disposition.

² If rates were to decrease rather than increase, the same formula would apply, only with $(100\% - A\%)$, etc., substituted for $(100\% + A\%)$, etc.

- 1) reports would increase by 20%,
- 2) arrests would increase by $(120\%)(130\%) - 100\% = 56\%$,
- 3) dispositions would increase by $(120\%)(130\%)(140\%) - 100\% = 118\%$,
- 4) convictions would increase by $(120\%)(130\%)(140\%)(150\%) - 100\% = 228\%$, and
- 5) incarcerations would increase by $(120\%)(130\%)(140\%)(150\%)(160\%) - 100\% = 424\%$.

The preceding calculations deal with changes in movement rates between successive stages in the system. On the other hand, if the volume of crimes/cases/offenders active at given stages were increased or decreased, this too would effect changes on down the line. In fact, if the volume at any given stage were increased by A%, then all succeeding volumes would also increase by A%.

Thus, suppose that reported crime increased by 30% and the clearance rate fell by 30%. Then arrests would change by $(100\% + 30\%)(100\% - 30\%) - 100\% = 130\% \times 70\% - 100\% = 9\%$, i.e., arrests would fall by 9%.

For one final calculation, suppose that actual crime (incidents) increased by 25%, and it was desired that incarcerations remain constant, but with each of the five subprocesses (reporting, clearance, disposition, conviction, and incarceration) sharing the burden equally (with the same percentage rate reduction). Then if A% is the percent by which each rate decreases, then we must have $(100\% + 25\%)(100\% - A\%)(100\% - A\%)(100\% - A\%)(100\% - A\%)(100\% - A\%) - 100\% = 0\%$, i.e., the calculated increase in incarcerations would be 0%. In mathematical notation, this would reduce to $(125\%)(100\% - A\%)^5 = 100\%$. This would further reduce successively to:

- 1) $(100\% - A\%)^5 = 100\% / 125\% = 80\%$
- 2) $(100\% - A\%) = \sqrt[5]{80\%} = 95.6\%$
- 3) $A\% = 100\% - 95.6\% = 4.4\%$

Then reporting, clearance, disposition, conviction, and incarceration rates would each have to drop by 4.4% for incarcerations to remain unchanged.

ADVANTAGES OF THE "SYSTEM" PERSPECTIVE

Certainly a major rationale for studying criminal justice flow lies in the total system perspective that the approach entails. Individual system components are viewed not as autonomous and self-sustaining entities, but rather as mutually interdependent processes operating in tandem and with considerable cumulative effect. While this system contiguity is an inherent part of criminal justice, it is frequently as aspect that is hidden from direct view. Statistics are routinely kept by law enforcement agencies on the clearance of reported crimes by arrest, by the courts on the disposition of criminal charges, and by corrections agencies on convicted offender populations and time served, but rarely is the combined impact of total system processing reflected in statistics kept by operating agencies. Stated in other terms, the inherent fragmentation of system operations contributes to a lack of understanding of the way the system works as a whole.

System flow statistics thus serve as a form of feedback to system practitioners on cooperative roles in the criminal justice process. In a broader context, such statistics help to bring criminal justice into the light of day, for perusal by the legislature, criminal justice planners, and, of course, private citizens concerned with crime and the handling of criminals.

Without knowledge of total system behavior, it is difficult to make judgments concerning the need for reform, altered funding, or budget reallocation. Studies of system performance not only summarize past experiences in criminal justice, but also suggest paths for constructive change. It is this ability to tie knowledge of past system behavior directly to the change process that provides the most obvious rationale for system studies.

One of the applications deriving from the development of system flow statistics is the ability to project the likely impact of specified changes or improvements in system processing on case volumes and correctional populations. Thus system flow rates can be used to provide the quantitative linkage between a known or readily projected event (such as an increase in violent crime) and a concomitant or resultant of that event (e.g., increased prison population).

The likely impact of new statutory provisions affecting the nature and disposition of criminal cases can also be estimated. For example, under the new criminal code of Iowa, persons convicted of forcible felonies¹ are no longer eligible to receive probation and must be committed to state institutions. This mandated alteration in felony sentencing practices will have an effect on prison populations that can be estimated from statistics on past sentencing and time served patterns. In another vein, certain crimes of larceny which were formerly categorized as felonies (based on the worth of goods taken) are now misdemeanors that cannot result in prison sentences. This statutory change will tend to decrease prison populations in a predictable way based on past patterns easily determined from data on criminal justice flow.

¹ Murder, sexual abuse, robbery, kidnapping, felonious assault, and burglary and arson in the first degree.

II. THE COURTS SEQUENCE

It would seem most appropriate to begin a discussion of criminal justice flow in Iowa from the starting point of the crimes to incarceration sequence, and then to proceed through the logical succession of criminal justice interventions. In this instance, however, court dispositions are discussed prior to crimes and arrests, since statistics on the latter - as they dictate patterns of offender flow - involve a degree of estimation not present with the courts data. Thus the courts sequence - court disposition, guilt/conviction, incarceration/imprisonment - forms the core representation of criminal justice as a system flow process. Patterns of crime reporting, the clearance of reported crimes by arrest, and arrest to court movements are indicated in the following section as an extension or enhancement of court flow statistics.

COURT DISPOSITION STUDY

In Section III of Volume IV: Court Dispositions, the Statistical Analysis Center summarized the results of a study of offender-based¹ court dispositions in Iowa during the period 1974-1977. The study examined dispositions for adult² offenders:

- 1) who were not already in the Iowa criminal justice system when arrested;
- 2) who were charged at arrest with an indictable offense (excluding simple misdemeanors); and
- 3) who reached the stage of final court adjudication (including deferred judgment/sentence) during 1974-1977.

Those in the justice system when arrested were excluded since the current arrest was viewed - in this case - as a "reinvolvement" to be more aptly considered in the context of recidivism or program failure. Those charged with simple misdemeanors were excluded since little valid information was available on such persons.

The study concentrated on offenses indictable at arrest since no data were available on the status of charges filed in criminal court. Thus some charges considered in the study may have been filed as simple misdemeanors rather than as indictable offenses. On the other hand, the final charge status - in some cases the result of plea bargaining or other charge reduction - was known and is reflected in the study results. Charge reductions in the study thus reflect reduction from the original arresting offense to the final charge level (at conviction or deferral).

¹ Offender-based statistics take the individual offender as the unit of analysis rather than an individual offense or charge.

² No attempt was made to study the disposition of charges against juveniles.

FELONY OFFENDERS

The study results indicate a total of 59,564 offender-based dispositions (as described above) during 1974-1977. For each offender in this group a most serious charge was determined, as in Tables 12 and 13 of Volume IV. For purposes of the current study, only those offenders with felonies as most serious charges were considered. This group of 24,414 individuals arrested for felonies and reaching final court disposition during 1974-1977 forms the target population for our study of criminal justice flow.

Because of the complexity of system flow statistics generated for the report, it was not possible to break out results for individual categories of felonies such as murder, rape, robbery and burglary. It was feasible, however, to generate separate results for four broad categories of felonies, including:

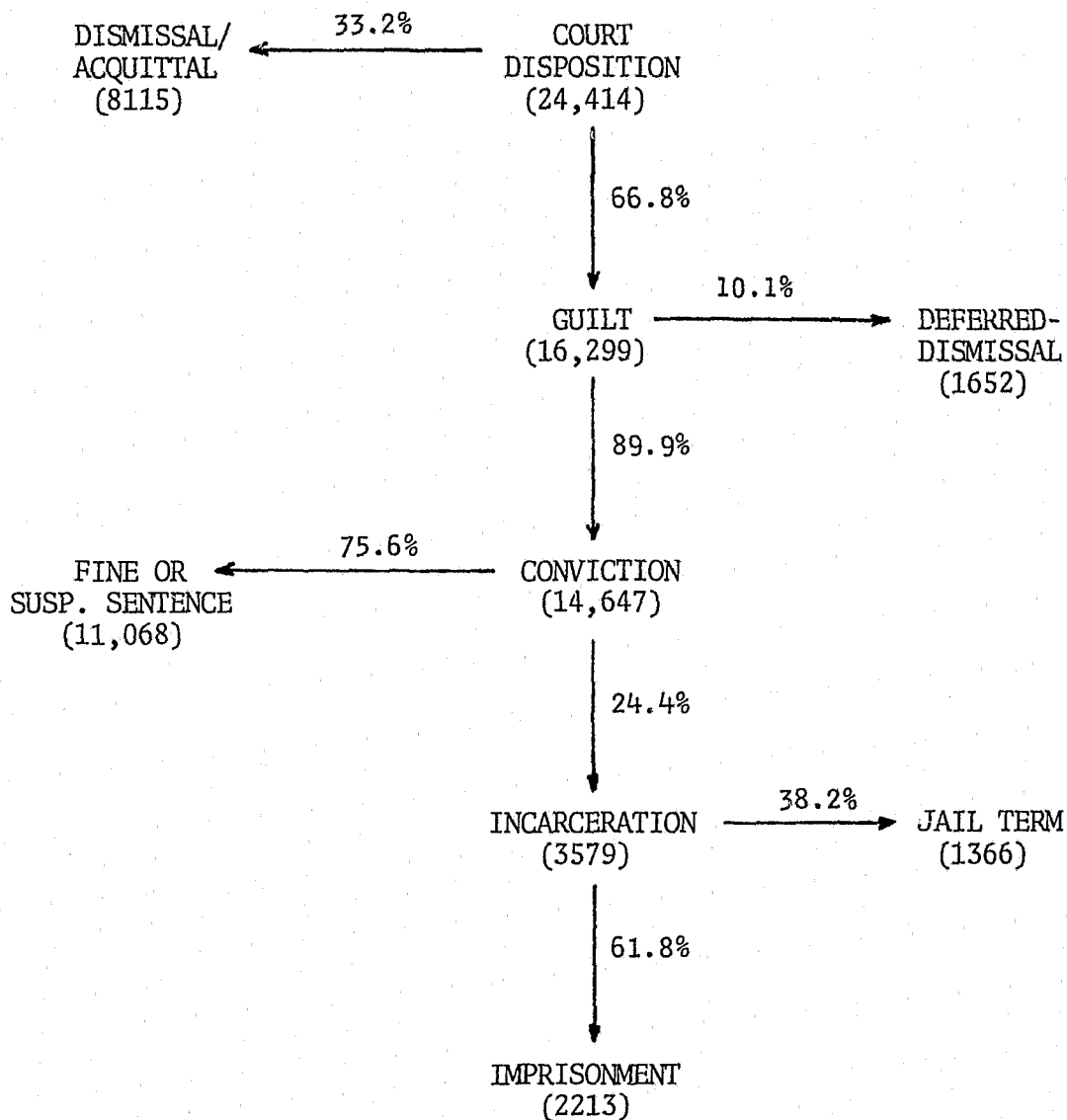
- 1) PART I FELONIES, consisting of murder/manslaughter, forcible rape, robbery, aggravated assault, burglary, larceny and motor vehicle theft.
- 2) PART II FELONIES, consisting of drug crimes, drunken driving (2nd or 3rd offense), stolen property, arson, vandalism, bad checks, forgery, embezzlement, weapons crimes, sex offenses, conspiracy and other miscellaneous crimes, which compose all non-Part I felonies.
- 3) VIOLENT (PART I) FELONIES, consisting of murder/manslaughter, forcible rape, robbery and aggravated assault.
- 4) PROPERTY (PART I) FELONIES, consisting of burglary, larceny and motor vehicle theft.

It should be noted that, under the old criminal code (pre-1978), all violent Part I crimes, burglary, and motor vehicle theft were felonies, whereas this was the case for only a fraction of larcenies and Part II crimes. Under the new code, certain types of aggravated assault, which formerly were felonies, are now aggravated misdemeanors. Additionally, many larcenies that would formerly have been felonies are now misdemeanors of various types. This report, then, concerns some crimes that would no longer be felonies under the new code. This should be kept in mind when the results given here are related to current justice system practices.

SIMPLE FLOW

Figure 1 below provides a concise summary of dispositions within the 24,414-member study population. The chart is based on what is termed the (basic) courts sequence: court disposition - guilt - conviction - incarceration - imprisonment, reflecting increasingly serious consequences of the adjudication process. The exact definitions of these categories are as follows:

FIGURE 1
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 COURTS SEQUENCE - SIMPLE FLOW
 ADULT FELONIES



- 1) COURT DISPOSITION Covers dismissals, acquittals, guilty pleas, and findings of guilt, including deferred judgments. All cases studied fall in this category.
- 2) GUILT All those found or pleading guilty, including convictions, and deferred judgments leading to dismissal.
- 3) CONVICTION Includes all those guilty as charged, with the exception of deferred judgments leading to dismissal.
- 4) INCARCERATION All those sentenced to - and as a result serving time in - a county jail or state prison.
- 5) IMPRISONMENT Those sentenced to and serving time in a state prison.

It should be re-emphasized that probation and parole violators and other persons already in the criminal justice system when arrested are excluded.

The chart identifies four simple (one-step) movements between successive stages of the courts sequence as follows:

- 1) 66.8% of court dispositions (16,299) lead to a finding of guilt or a guilty plea,
- 2) 89.9% of those guilty (14,647) are convicted,
- 3) 24.4% of those convicted (3579) are incarcerated (as a sentence), and
- 4) 61.8% of those incarcerated (2213) are sentenced to a state prison.

The chart also indicates four simple drop-outs from successive stages of the courts sequence as follows:

- 1) 33.2% of court dispositions (8115) lead to dismissal¹ or acquittal (no guilt),
- 2) 10.1% of those guilty as charged (1652) have charges dismissed via deferred judgment,
- 3) 75.6% of those convicted (11,068) receive non-incarcerative sentences (fines or suspended jail or prison sentences), and
- 4) 38.2% of those incarcerated (1366) are sentenced to confinement in county jails.

COMPOSITE MOVEMENT

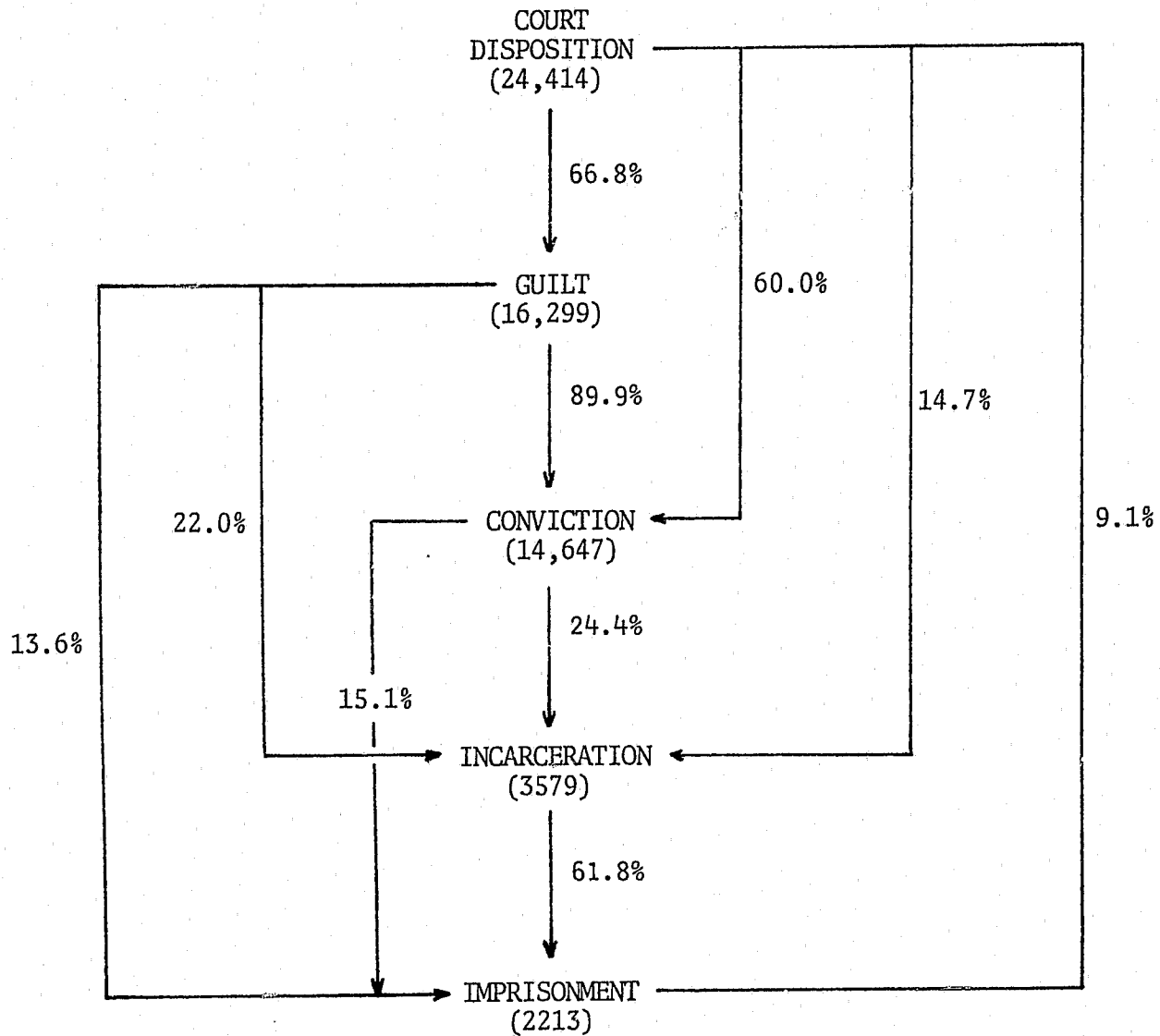
Figure 2 below itemizes composite movements along the basic courts sequence as follows:

- 1) 60.0% of court dispositions lead to conviction, 14.7% to incarceration, and 9.1% to imprisonment,
- 2) 22.0% of those guilty as charged are incarcerated and 13.6% are imprisoned, and
- 3) 15.1% of those convicted are imprisoned.

¹

Not via deferred judgment.

FIGURE 2
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 COURTS SEQUENCE - COMPOSITE MOVEMENT
 ADULT FELONIES



THE SPLIT SEQUENCE

As indicated above, not all of those within the 24,414-member study population who were guilty as charged (16,299) were guilty of felony charges. In fact, as seen from Table 14 of Volume IV, a total of 28.3% of the 16,299 had their (most serious) charges reduced to misdemeanors (15.9% guilty of simple misdemeanors and 12.4% guilty of indictable misdemeanors).

Figure 3 below portrays the splitting of those guilty as charged into the two subgroups, namely those guilty of felonies and those guilty of misdemeanors. These two subgroups initiate two new (split) courts sequences as indicated.

Within the misdemeanor sequence:

- 1) 90.4% of those guilty as charged are convicted,
- 2) 12.9% of those convicted are incarcerated, and
- 3) none of those incarcerated are imprisoned.

Within the felony sequence:

- 1) 89.6% of those guilty as charged are convicted,
- 2) 29.0% of those convicted are incarcerated, and
- 3) 72.8% of those incarcerated are imprisoned.

THE RESTRICTED SEQUENCE

From at least one perspective, those charged with felonies but guilty of misdemeanors have "dropped out" of the courts processing sequence. This follows if one places primary emphasis on the disparate seriousness of felony and misdemeanor charges, and especially on the stigma and likely consequences of a felony conviction. At the very least, a person charged with a felony but guilty of no more than a misdemeanor has dropped down to a lower avenue of criminal justice interaction.

The restricted courts sequence, then, amounts to a restricted view emphasizing the preservation of felony charges throughout the courts processing sequence.

Simple movements in the restricted courts sequence, as in Figure 4 below, include:

- 1) 47.8% of court dispositions (11,681) lead to a finding of guilt or a plea of guilty on felony charges,
- 2) 89.6% of those guilty of felonies (10,472) are convicted of felonies,
- 3) 29.0% of those convicted of felonies (3039) are incarcerated on felony charges, and
- 4) 72.8% of those incarcerated for felonies (2213) are imprisoned.

It should be noted here that under the old criminal code, a person could receive a jail sentence for either a misdemeanor or a felony. Thus felony incarcerations - as in the restricted courts sequence - include both jail terms and prison terms.

FIGURE 3
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
SPLIT COURTS SEQUENCE - SIMPLE MOVEMENT
ADULT FELONIES

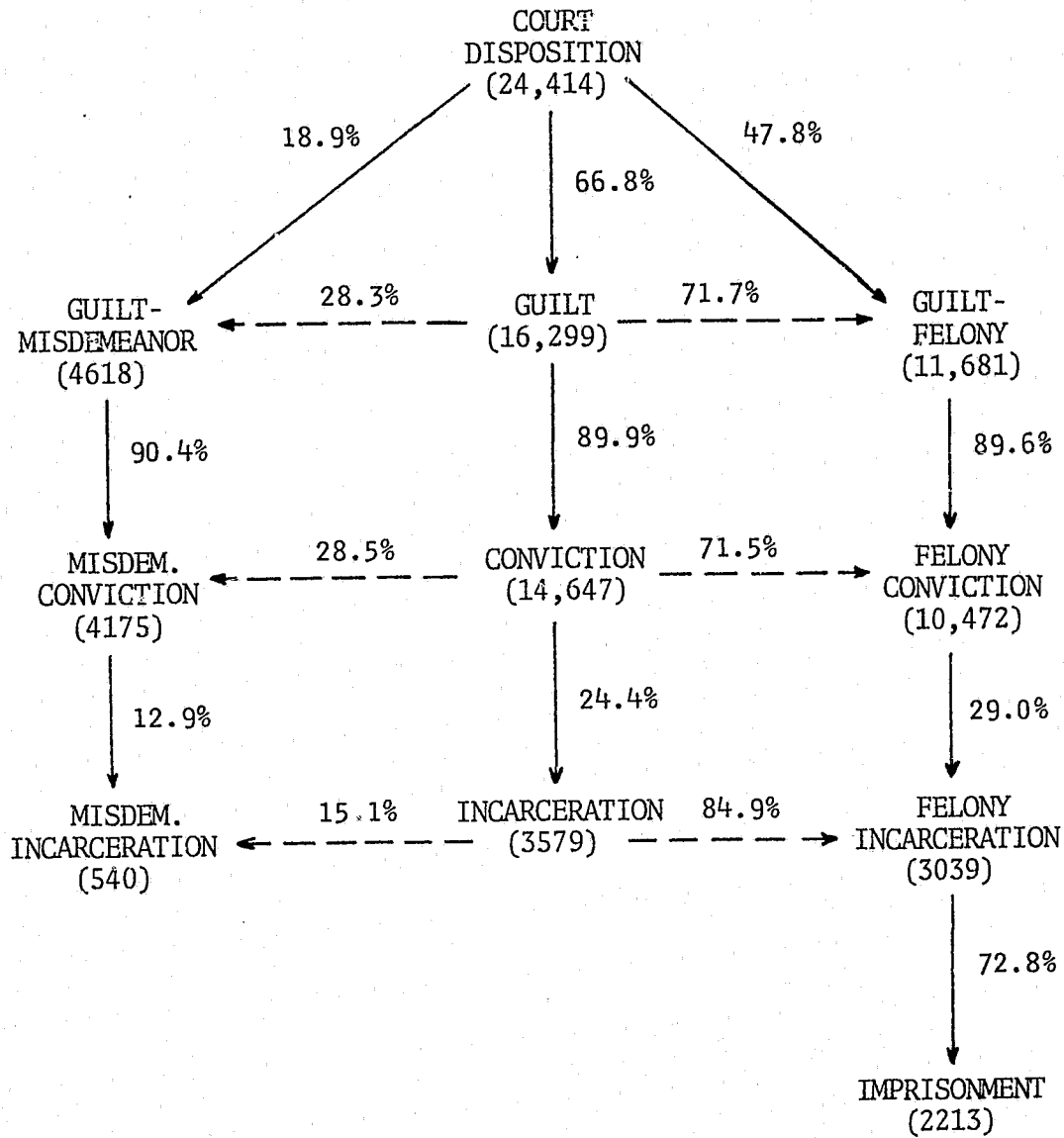
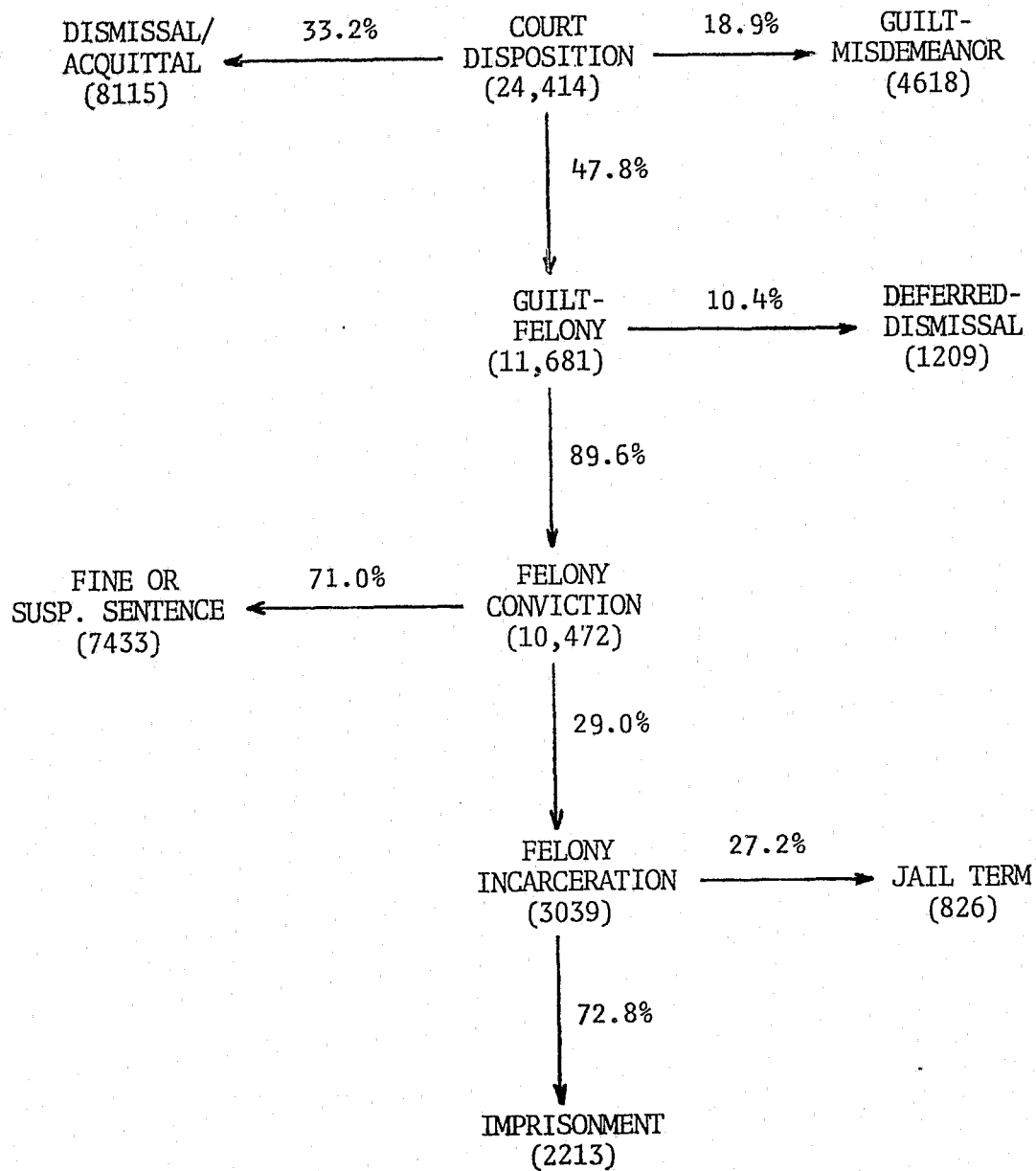


FIGURE 4
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
RESTRICTED COURTS SEQUENCE - SIMPLE FLOW
ADULT FELONIES



Simple drop-outs are as follows:

- 1) 33.2% of court dispositions lead to dismissal (not by deferred judgment) or acquittal,
- 2) 18.9% of court dispositions result in pleas or findings of guilt on (reduced) misdemeanor charges,
- 3) 10.4% of those guilty of felonies have charges dismissed via deferred judgment,
- 4) 71.0% of those convicted of felonies receive fines or suspended jail or prison sentences, and
- 5) 27.2% of those incarcerated for felonies are sentenced to county jails.

Composite movements (Figure 5 below) include:

- 1) 42.9% of court dispositions result in a felony conviction and 12.4% in a felony incarceration,
- 2) 26.0% of those guilty of felonies are convicted and 18.9% are incarcerated, and
- 3) 21.1% of those convicted of felonies are imprisoned.

THE MOVEMENT MATRIX

As in the introductory section of this report (see pp. 6-7), movement rates, drop-out rates and drop-out components may be conveniently displayed in tabular (matrix) form. Table 2 below is just such a tabulation for the class of all possible (simple and composite) movement rates itemized above. The courts sequence designated in the table is termed "full" to indicate the union of the basic and the restricted sequences.

The table indicates, for example, that among those convicted (fourth line, reading across), 71.5% are convicted of felonies, 24.4% are incarcerated, 20.7% are incarcerated for felonies, and 15.1% are imprisoned.

Taken as a whole, Table 2 characterizes - for the courts sequence - the extent of the "funneling" effect mentioned in the first section. (See Figure 14 also).

PRISON TIME

One interesting measure of criminal justice performance is the amount of prison time served per crime/case/offender active at any given stage of the criminal justice process. Thus one can ask how much prison time is served per reported crime, per arrest, or per convicted offender. Such statistics - perhaps better than any other - characterize the role of imprisonment in criminal justice.

In this vein, Table 2 indicates - in addition to movement rates - the amount of time served (in days and in months) per offender active at each stage of the courts sequence. Statistics on time served (per imprisoned offender) were taken from Table 50 in Volume I of the series.

Table 2 suggests that 2 months are served per court disposition, 3 months per offender guilty as charged, 4 months per offender guilty of a felony, 3½ months per convicted offender, 5 months per incarcerated offender, 17 months per offender incarcerated for a felony, and 23 months per imprisoned offender.

FIGURE 5
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 RESTRICTED COURTS SEQUENCE - COMPOSITE MOVEMENT
 ADULT FELONIES

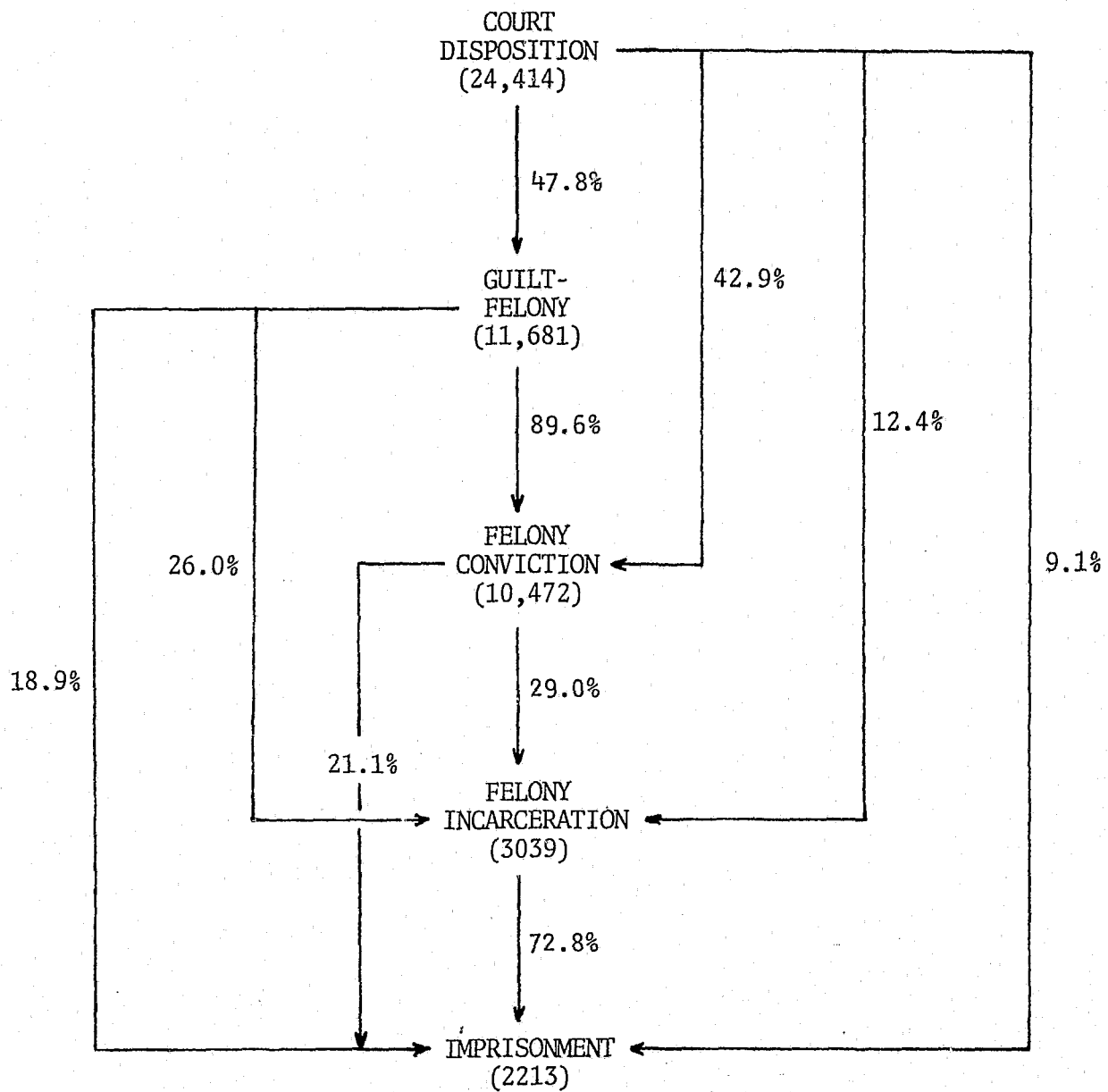


TABLE 2
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL COURTS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES

ANTECEDENT	N	GUILT	GUILT- FELONY	CON- VICTION	CONSEQUENT			IMPRISON- MENT	AVERAGE PRISON TIM	
					FELONY CON- VICTION	INCAR- CERATION	FELONY INCAR- CERATION		DAYS	MONTH
COURT DISP.	24,414	66.8%	47.8%	60.0%	42.9%	14.7%	12.4%	9.1%	64.5	2.12
GUILT	16,299	-----	71.7%	89.9%	64.2%	22.0%	18.6%	13.6%	96.6	3.18
GUILT-FELONY	11,681	-----	-----	89.6%	89.6%	26.0%	26.0%	18.9%	134.8	4.43
CONVICTION	14,647	-----	-----	-----	71.5%	24.4%	20.7%	15.1%	107.5	3.54
FELONY CONVICT.	10,472	-----	-----	-----	-----	29.0%	29.0%	21.1%	150.3	4.95
INCARCERATION	3579	-----	-----	-----	-----	-----	84.9%	61.8%	439.9	14.5
FELONY INCARC.	3039	-----	-----	-----	-----	-----	-----	72.8%	518.0	17.0
IMPRISONMENT	2213	-----	-----	-----	-----	-----	-----	-----	711.4	23.4

COMPARISONS AMONG CRIME CATEGORIES

In the study of criminal justice flow, as with individual stages in the flow process, there is a substantial variation in processing according to the nature and seriousness of offenses. In particular, it is of interest to study differences in offender flow between those charged with violent and those charged with non-violent crimes. Also, since crime rates are measured in terms of Part I crimes, it is useful to differentiate Part I from Part II offenses.

To highlight differences in system performance between violent and non-violent offenders and between Part I and Part II offenders, versions of Figures 1 and 2 and Table 2 were generated for the following four offense categories:

- 1) Part I (Total)
- 2) Part II
- 3) Part I (Violent)
- 4) Part I (Property)

Since Part I crimes are split between violent and property offenses, it will not always be necessary to discuss results for the Part I (Total) category.

NOTE: To facilitate the statement of comparative results, simple drop-outs will be referred to as 1) dismissal/acquittal, 2) deferred-dismissal, 3) fine/susp. sentence, and 4) local incarceration (jail).

In terms of simple drop-out rates, Figures 6 through 9 suggest:

- 1) a higher percentage of those charged with violent crimes drop out by dismissal/acquittal: Violent (44.1%), Part II (32.7%), Property (27.9%);
- 2) a higher percentage of those guilty of property crimes drop out by deferred-dismissal: Property (17.6%), Part II (6.9%), Violent (2.7%);
- 3) higher percentages of those convicted of Part II and property crimes drop out by fine/susp. sentence: Part II (80.8%), Property (76.7%), Violent (47.5%); and
- 4) a higher percentage of those incarcerated for Part II crimes are incarcerated locally: Part II (47.3%), Property (38.8%), Violent (21.4%).

If conviction rate is defined as the percent of court dispositions leading to conviction, and if incarceration rate is defined as the percent of convictions resulting in incarceration,¹ then Figures 10 through 13 show:

- 1) a higher conviction rate for Part II crimes: Part II (62.6%), Property (57.9%), Violent (54.4%), and

¹In Volume IV, conviction rate was defined as the percent guilty rather than as the percent convicted. Likewise, incarceration rate was defined as the percent of those guilty who were incarcerated, rather than as the percent of those convicted who were incarcerated.

- 2) a higher incarceration rate for violent crimes: Violent (52.5%), Property (23.3%), Part II (19.2%).

Tables 3 through 6, which differentiate the results in Table 2 according to the four categories above, indicate 3.3 months served per court disposition for Part I felonies, 1.2 months for Part II felonies, 7.5 months for Violent (Part I) felonies, and 1.9 months for Property (Part I) felonies. These results clearly suggest greater justice system emphasis on violent crimes and more emphasis on Part I property offenses than on Part II offenses.

FIGURE 6
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
COURTS SEQUENCE - SIMPLE FLOW
ADULT FELONIES - PART I (TOTAL)

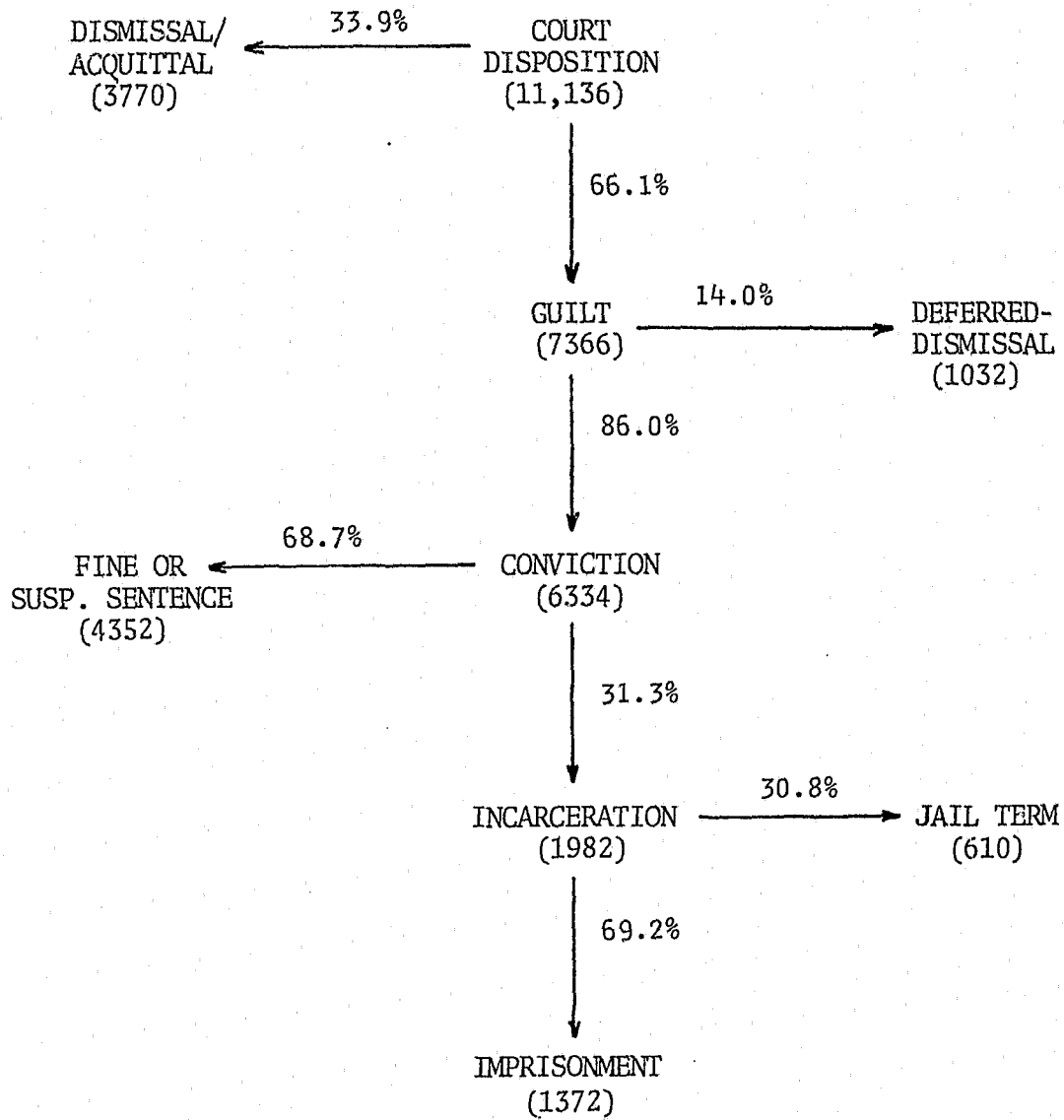


FIGURE 7
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
COURTS SEQUENCE - SIMPLE FLOW
ADULT FELONIES - PART II

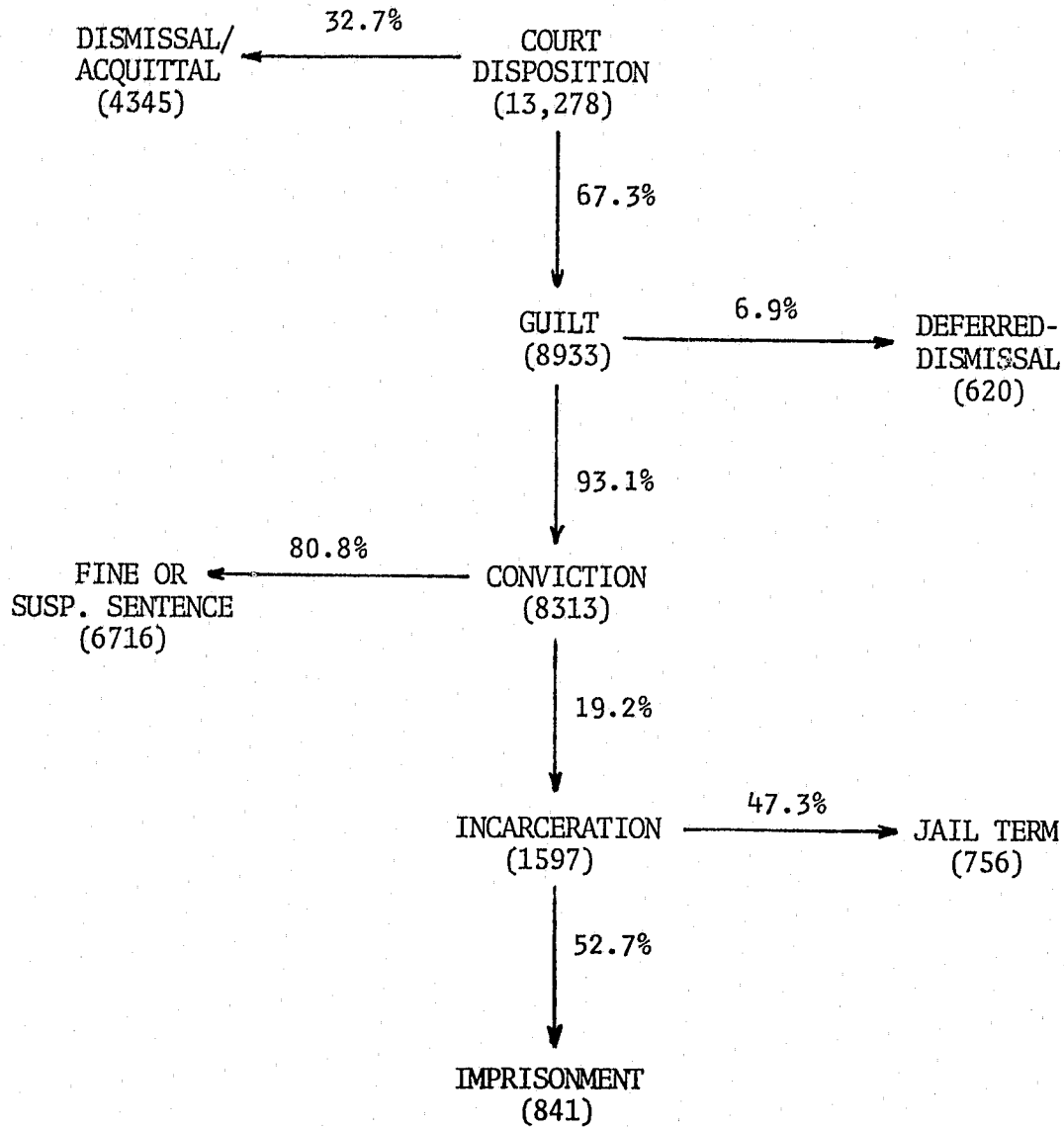


FIGURE 8
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
COURTS SEQUENCE - SIMPLE FLOW
ADULT FELONIES - PART I (VIOLENT)

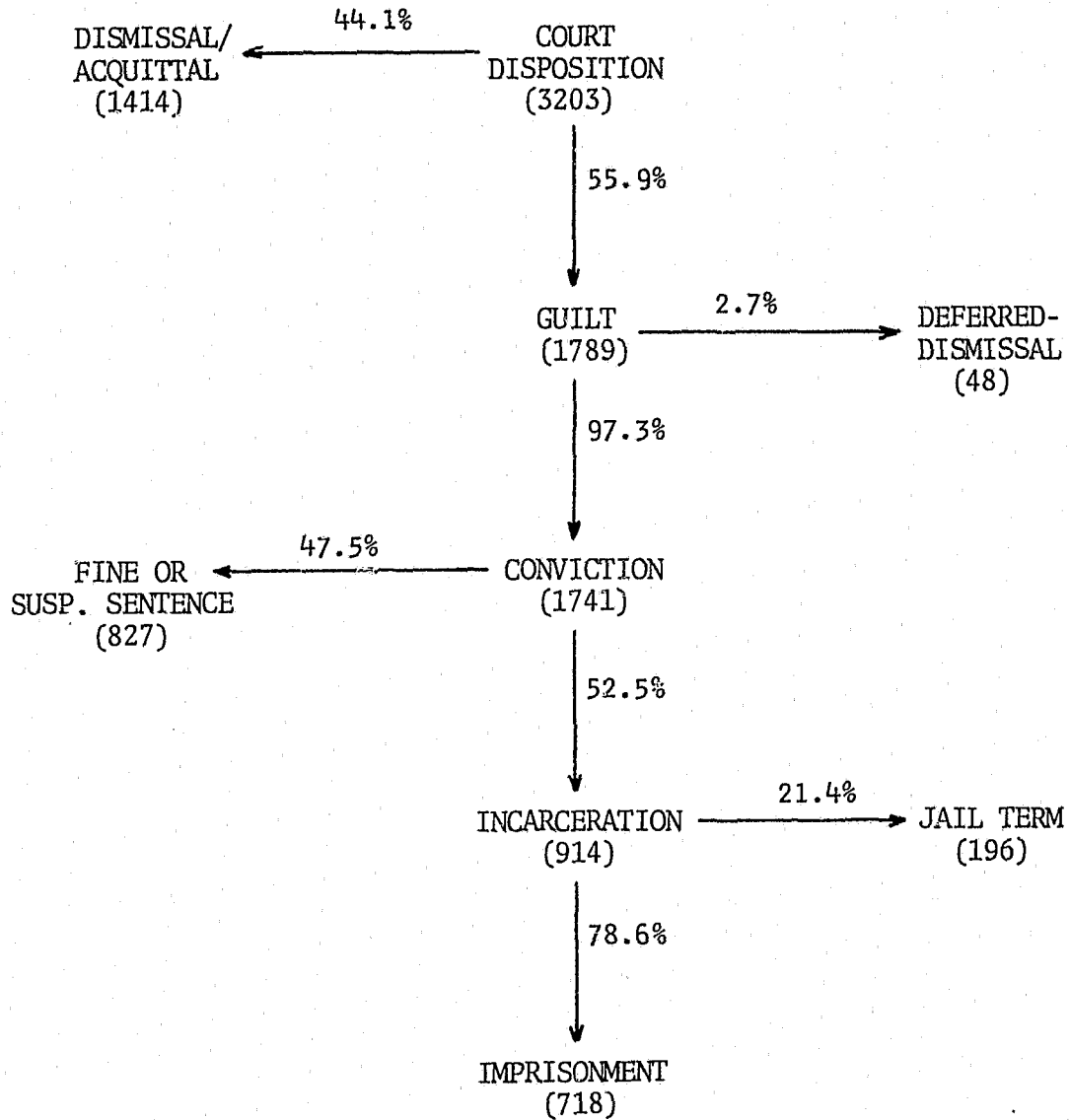


FIGURE 9
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 COURTS SEQUENCE - SIMPLE FLOW
 ADULT FELONIES - PART I (PROPERTY)

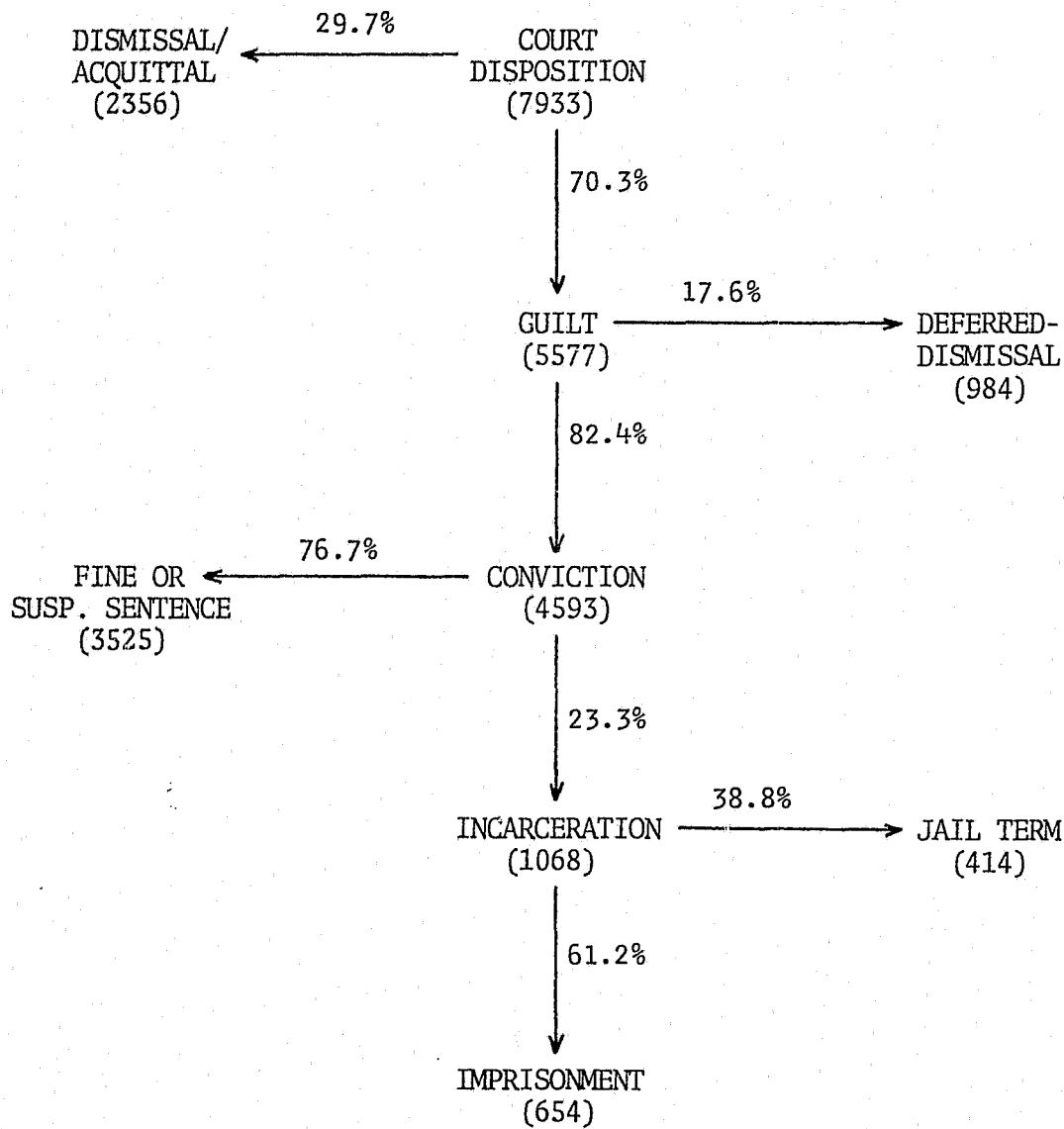


FIGURE 10
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 COURTS SEQUENCE - COMPOSITE MOVEMENT
 ADULT FELONIES - PART I (TOTAL)

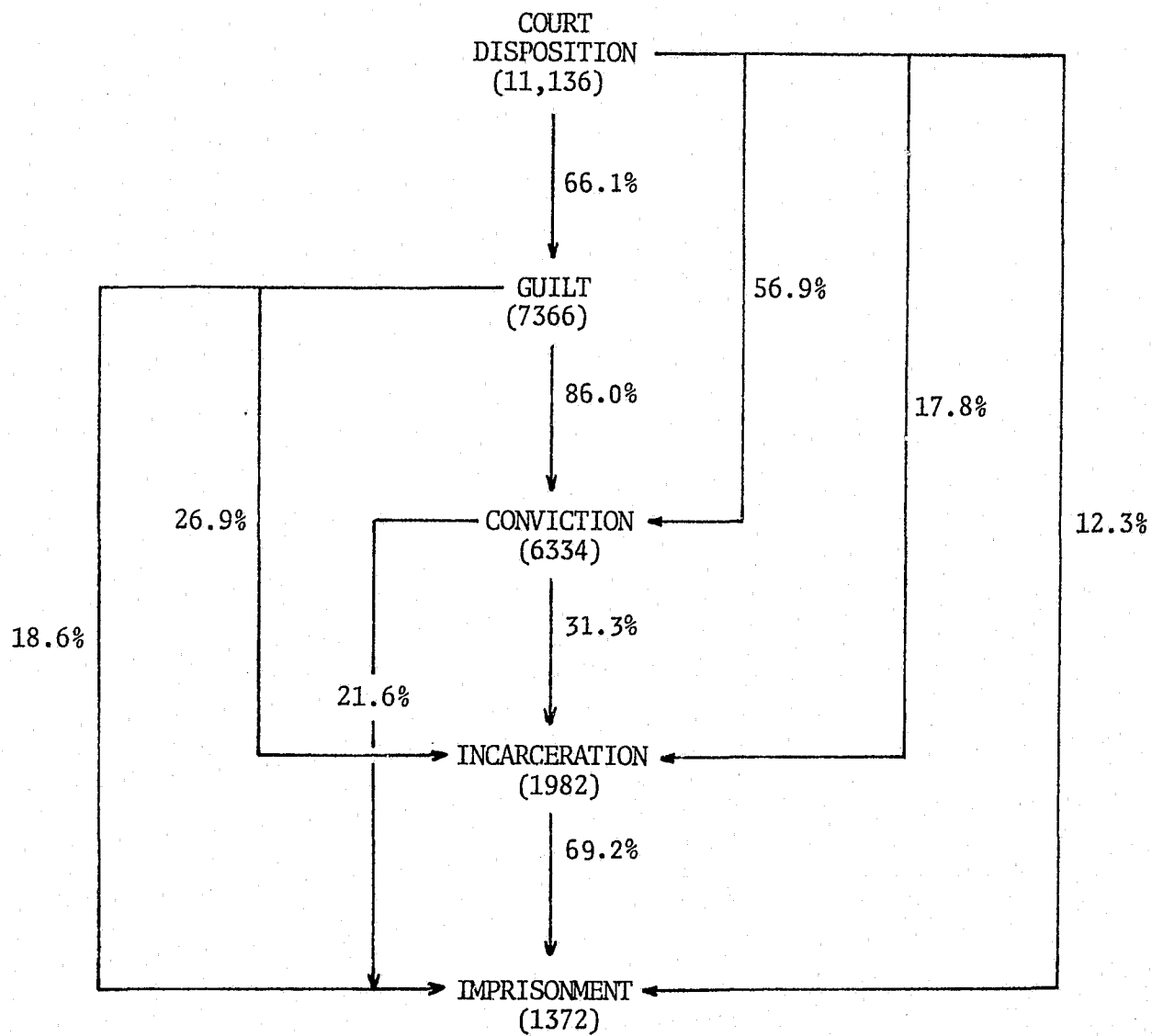


FIGURE 11
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 COURTS SEQUENCE - COMPOSITE MOVEMENT
 ADULT FELONIES - PART II

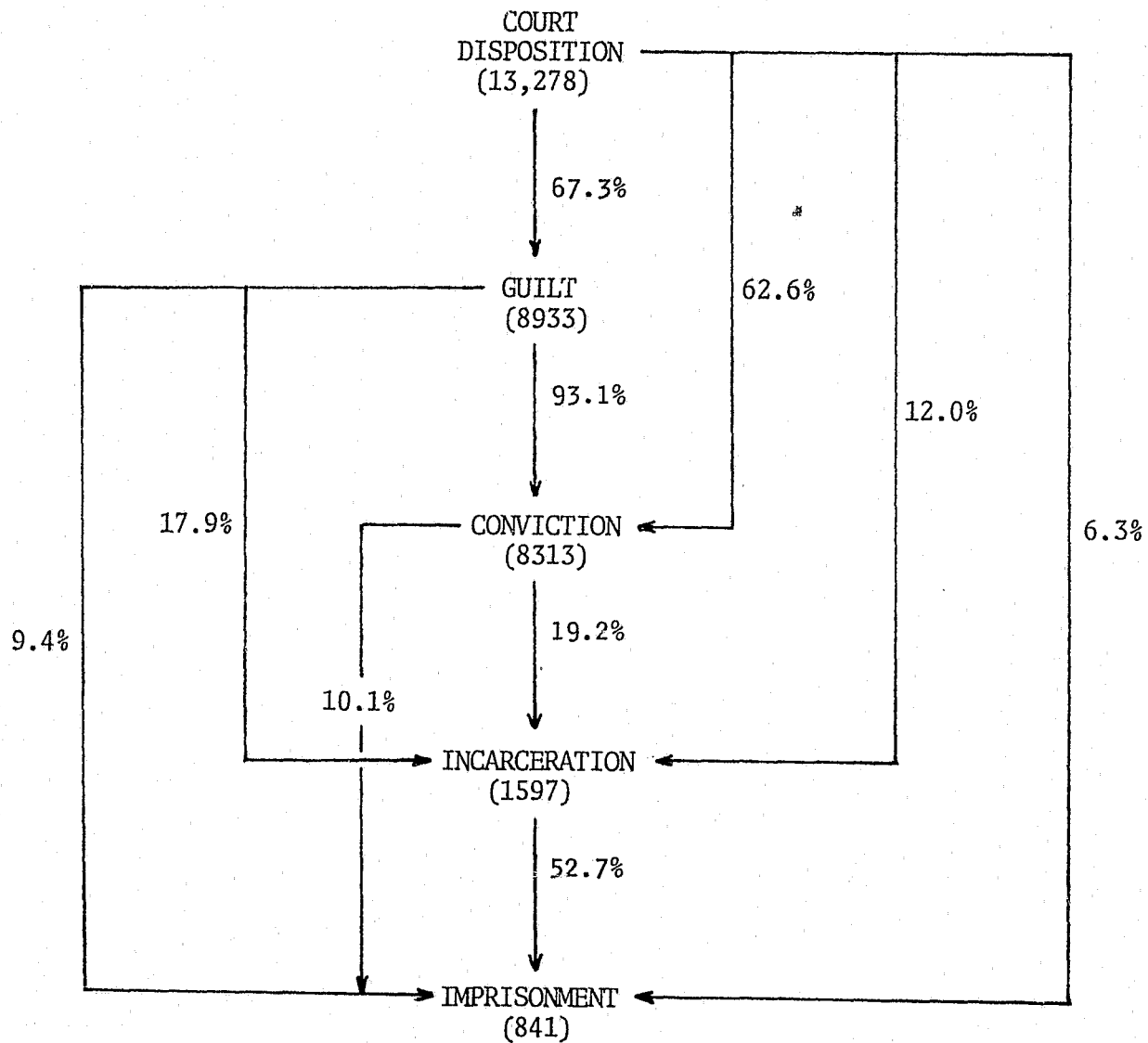


FIGURE 12
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 COURTS SEQUENCE - COMPOSITE MOVEMENT
 ADULT FELONIES - PART I (VIOLENT)

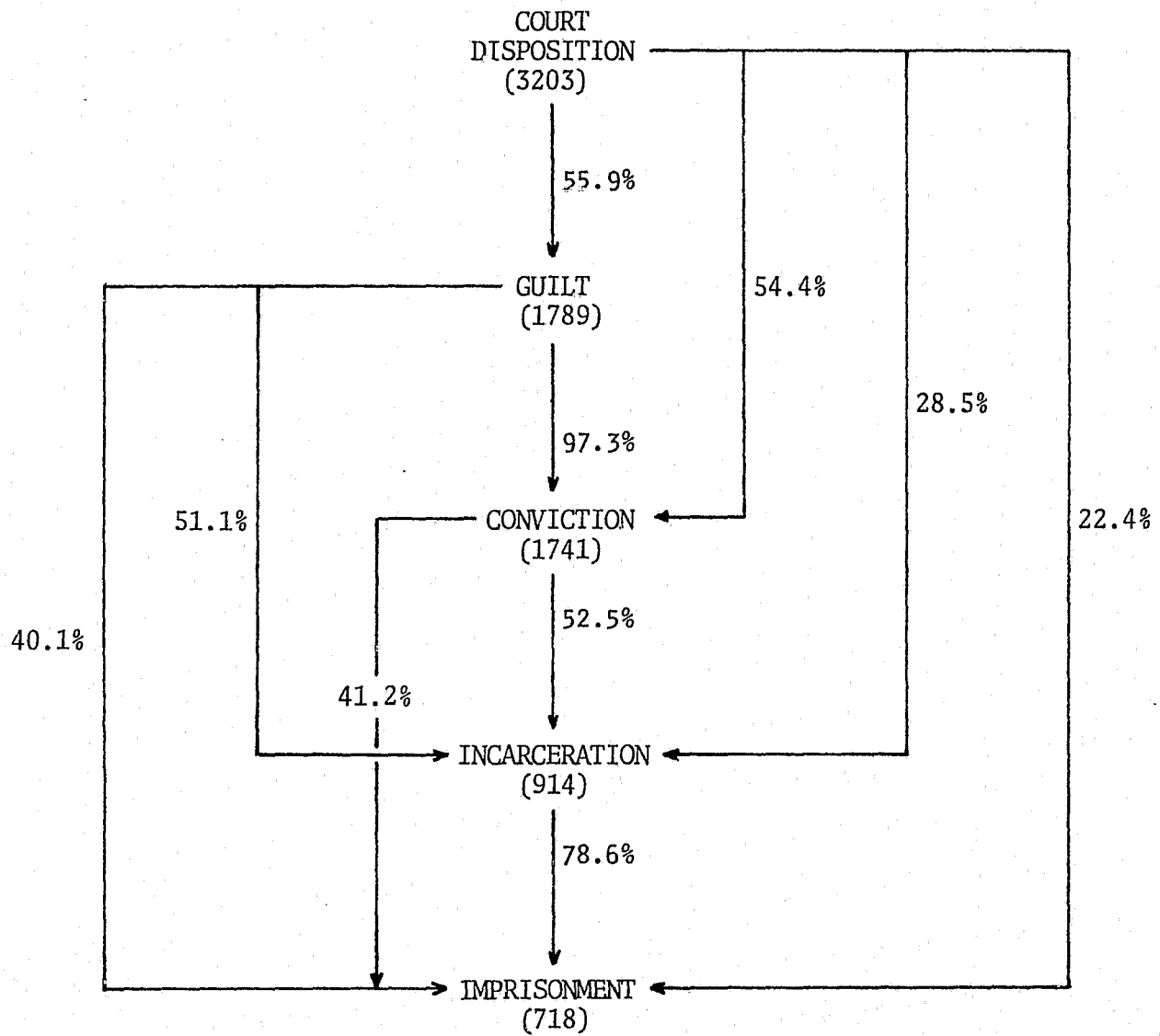


FIGURE 13
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 COURTS SEQUENCE - COMPOSITE MOVEMENT
 ADULT FELONIES - PART I (PROPERTY)

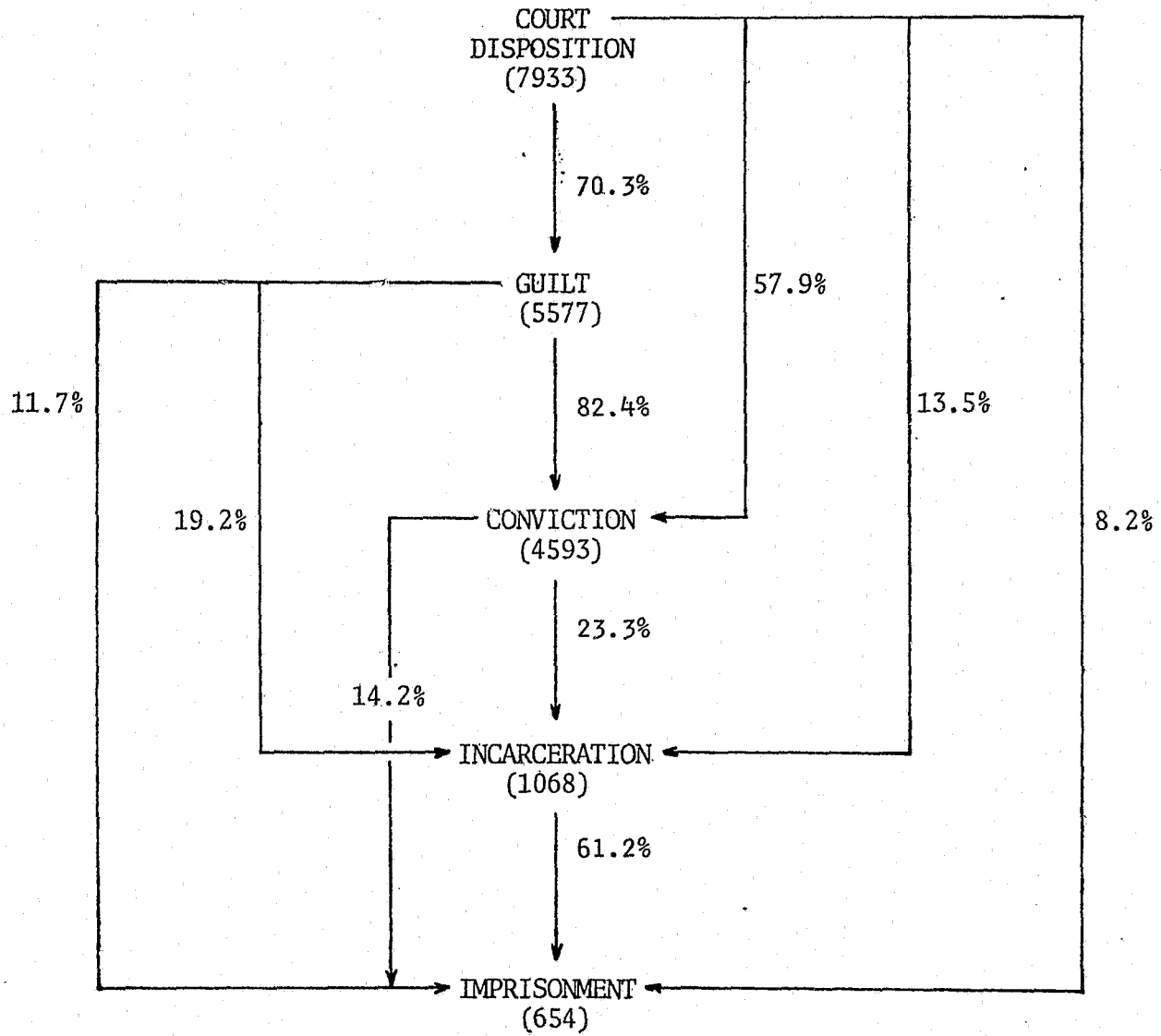


TABLE 3
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL COURTS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (TOTAL)

ANTECEDENT	N	GUILT	CONSEQUENT						AVERAGE PRISON TIME	
			GUILT-FELONY	CON-VICTION	FELONY CON-VICTION	INCAR-CERATION	FELONY INCAR-CERATION	IMPRISON-MENT	DAYS	MONTHS
COURT DISP.	11,136	66.1%	49.0%	56.9%	41.0%	17.8%	16.0%	12.3%	99.2	3.3
GUILT	7366	-----	74.2%	86.0%	62.0%	26.9%	24.2%	18.6%	149.8	4.9
GUILT-FELONY	5463	-----	-----	83.7%	83.7%	32.6%	32.6%	25.1%	201.6	6.6
CONVICTION	6334	-----	-----	-----	72.2%	31.3%	28.1%	21.6%	174.2	5.7
FELONY CONVICT.	4570	-----	-----	-----	-----	39.0%	39.0%	30.0%	241.5	7.9
INCARCERATION	1982	-----	-----	-----	-----	-----	89.9%	69.2%	555.9	16.3
FELONY INCARC.	1781	-----	-----	-----	-----	-----	-----	77.0%	618.3	20.3
IMPRISONMENT	1372	-----	-----	-----	-----	-----	-----	-----	802.6	26.4

TABLE 4
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL COURTS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART II

ANTECEDENT	N	GUILT	GUILT-FELONY	CON-VICTION	CONSEQUENT				AVERAGE PRISON TIME	
					FELONY CON-VICTION	INCAR-CERATION	FELONY INCAR-CERATION	IMPRISON-MENT	DAYS	MONTHS
COURT DISP.	13,278	67.3%	46.8%	62.6%	44.4%	12.0%	9.5%	6.3%	35.6	1.17
GUILT	8933	-----	69.6%	93.1%	66.1%	17.9%	14.1%	9.4%	53.0	1.74
GUILT-FELONY	6218	-----	-----	94.9%	94.9%	20.2%	20.2%	13.5%	76.1	2.50
CONVICTION	8313	-----	-----	-----	71.0%	19.2%	15.1%	10.1%	56.9	1.87
FELONY CONVICT.	5902	-----	-----	-----	-----	21.3%	21.3%	14.2%	80.2	2.64
INCARCERATION	1597	-----	-----	-----	-----	-----	78.8%	52.7%	296.3	9.75
FELONY INCARC.	1258	-----	-----	-----	-----	-----	-----	66.9%	376.2	12.4
IMPRISONMENT	841	-----	-----	-----	-----	-----	-----	-----	562.7	18.5

TABLE 5
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL COURTS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (VIOLENT)

ANTECEDENT	N	GUILT	GUILT- FELONY	CON- VICTION	CONSEQUENT				AVERAGE PRISON TIME	
					FELONY CON- VICTION	INCAR- CERATION	FELONY INCAR- CERATION	IMPRISON- MENT	DAYS	MONTHS
COURT DISP.	3203	55.9%	42.1%	54.4%	40.6%	28.5%	25.8%	22.4%	229	7.5
GUILT	1789	-----	75.3%	97.3%	72.6%	51.1%	46.1%	40.1%	410	13.5
GUILT-FELONY	1347	-----	-----	96.4%	96.4%	61.2%	61.2%	53.3%	544	17.9
CONVICTION	1741	-----	-----	-----	74.6%	52.5%	47.4%	41.2%	421	13.9
FELONY CONVICT.	1299	-----	-----	-----	-----	63.5%	63.5%	55.3%	565	18.6
INCARCERATION	914	-----	-----	-----	-----	-----	90.3%	78.6%	802	26.4
FELONY INCARC.	825	-----	-----	-----	-----	-----	-----	87.0%	889	29.2
IMPRISONMENT	718	-----	-----	-----	-----	-----	-----	-----	1021	33.6

TABLE 6
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL COURTS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (PROPERTY)

ANTECEDENT	N	GUILT	GUILT- FELONY	CON- VICTION	CONSEQUENT				AVERAGE	
					FELONY CON- VICTION	INCAR- CERATION	FELONY INCAR- CERATION	IMPRISON- MENT	PRISON TIME DAYS	MONTHS
COURT DISP.	7933	70.3%	51.9%	57.9%	41.2%	13.5%	12.1%	8.2%	56.6	1.9
GUILT	5577	-----	73.8%	82.4%	58.7%	19.2%	17.2%	11.7%	80.4	2.6
GUILT-FELONY	4116	-----	-----	79.5%	79.5%	23.2%	23.2%	15.9%	109.2	3.6
CONVICTION	4593	-----	-----	-----	71.2%	23.3%	20.8%	14.2%	97.7	3.2
FELONY CONVICT.	3271	-----	-----	-----	-----	29.2%	29.2%	20.0%	137.2	4.5
INCARCERATION	1068	-----	-----	-----	-----	-----	89.5%	61.2%	420.5	13.8
FELONY INCARC.	956	-----	-----	-----	-----	-----	-----	68.4%	470.0	15.5
IMPRISONMENT	654	-----	-----	-----	-----	-----	-----	-----	687.0	22.5

THE "FUNNELING" EFFECT

As mentioned in the first section, the successive reduction in the volume of crimes, cases or offenders active in the system - as one moves along the crimes to incarcerations sequence - is termed the "funneling" effect. Figure 14 below illustrates this phenomenon within the courts sequence for three offense categories, including 1) All Felonies, 2) All Violent (Part I) Felonies, and 3) All Non-Violent Felonies.

The chart clearly demonstrates the impact of drop-out rates on incarcerations and imprisonments, especially for non-violent crimes. In fact, for non-violent felonies 7.0% of court dispositions lead to imprisonment, while for violent felonies the comparable figure is 22.4%.

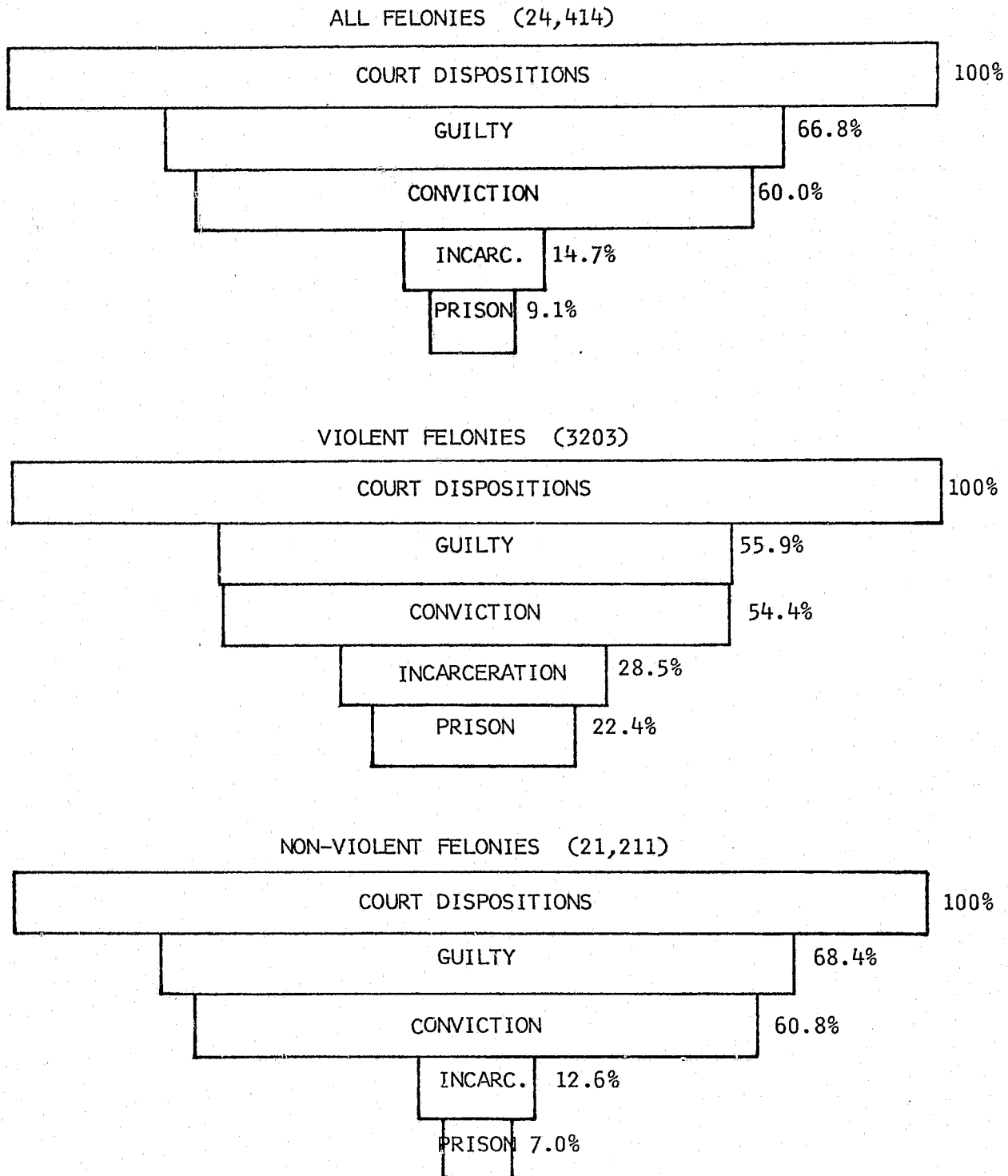
FIGURE 14

CRIMINAL JUSTICE FLOW IN IOWA

1974-1977

COURTS SEQUENCE - THE "FUNNELING" EFFECT

ADULT FELONIES - ALL FELONIES, VIOLENT FELONIES, NON-VIOLENT FELONIES



III. TOTAL SYSTEM FLOW

In the last section, data were presented on the flow of felony offenders through the criminal courts of Iowa. In this section, an attempt is made to expand the focus back to pre-adjudicatory stages, to shed some light on the dispositions of crimes committed, crimes reported, and arrests.

As with the courts flow data, attention is restricted to adults charged with (or committing) felony offenses, and to persons who were not in the criminal justice system when arrested (if arrested). Furthermore, due to the lack of information on reported Part II crimes and on Part II felony arrests, attention is restricted to Part I felonies.

ARREST DATA

The approach taken to expand the courts flow perspective to the arrest stage encompassed the following:

- 1) calculation of total Part I arrests of adults in Iowa during 1974-1977 from Uniform Crime Reports of the Iowa Department of Public Safety, and from arrest data provided by the Federal Bureau of Investigation,
- 2) calculation of the percent of adults arrested for larceny who were charged (at arrest) with felony larceny, with data taken from computer files maintained by the Iowa Department of Social Services,¹ and
- 3) calculation of the percent of adults arrested and charged with various Part I felonies who were in the criminal justice system for a previous offense when arrested.²

Based on the results of 1)-3) above, estimates were developed of the total number of adults arrested and charged during 1974-1977 with Part I felony offenses, who were not already in the criminal justice system when arrested. These calculations indicated a total of 21,600 such individuals, including 5400 charged with violent (Part I) felonies and 16,200 charged with property (Part I) felonies.

According to courts statistics presented in the previous section, there were a total of 11,136 adults receiving court dispositions during 1974-1977, who were charged with Part I felonies at arrest, and who were not already in the criminal justice system when arrested. This total includes 3203 charged with violent (Part I) felonies and 7933 charged with property (Part I) felonies.

Certainly some of the 11,136 offenders mentioned directly above were arrested prior to 1974-1977. Likewise some of the estimated

1

The Bureau of Correctional Evaluation pre-trial data file.

2

From results of a recidivism study to be discussed in a future report from SAC.

21,600 arrested offenders mentioned previously reached final court disposition after 1974-1977. On the other hand, it is likely that little would be sacrificed by assuming that the 11,136 receiving court dispositions consisted of exactly those individuals among the 21,600 arrested offenders who reached final court adjudication during the four-year period. This, in fact, is the assumption that will allow the extension of the courts sequence to include the arrest stage of criminal justice (for Part I felonies).

The results of this extension will appear after a discussion of two additional extensions - to reported crimes and to actual incidence of crime.

REPORTED CRIMES

Fortunately, the extension of the arrests to incarcerations sequence back to the crimes reported stage was straightforward due to the availability of reliable data on arrests and reported crimes.¹

Two types of statistics dictate the interrelationship between reported crimes and arrests, including:²

- 1) clearance rate, indicating the percent of reported crimes (of a given type) that are cleared by arrest, and
- 2) arrests to reports ratio, that indicates the simple numerical ratio (in percentage form) of arrests to reported crimes (of a given type).

Since, in the context of criminal justice flow, the concern is with the fraction or percentage of reported crimes leading to arrest, the desired extension of the arrests to incarcerations sequence can be attained through use of the clearance rate. The arrests to reports ratio, on the other hand, will provide the numerical link between the number of arrests and the (total) number of reported crimes. The distinction here is that more than one reported crime may be cleared by a given arrest, so that the ratio of arrests to reports is not the same as the percentage of reports leading to arrest.

To calculate clearance rates for Part I felonies it was necessary to assume that clearance rates for felony larcenies were the same as for misdemeanor larcenies. Based on this assumption, on an estimate (as mentioned above) of the percent of adult larceny arrests that were felony arrests, on the 1976-1977 clearance rates given in Table 7 of Volume I, and on the further assumption of equal clearance rates for adult and juvenile crimes, it was determined that the following clearance rates should be used for the desired extension:

¹

Iowa Uniform Crime Reports, Research and Development Bureau, Iowa Department of Public Safety, 1976-1977.

²

See Chapter II of Volume I for further discussion.

- 1) Part I (Total) - 17.1%
- 2) Part I (Violent) - 54.0%
- 3) Part I (Property) - 15.1%

Based on the same set of assumptions as above and on the arrests to reports ratios appearing in Table 7 of Volume I, it was determined that the following ratios should be used to estimate the total numbers of reported crimes leading to the designated arrests:

- 1) Part I (Total) - 17.3%
- 2) Part I (Violent) - 47.7%
- 3) Part I (Property) - 14.3%

Based on these figures, total reported crimes leading to the 21,600 Part I arrests (5400 violent and 16,200 property), were as follows: Part I (Total) - 124,608, Part I (Violent) - 11,321, Part I (Property) - 113,287.

CRIME INCIDENCE

The final link in the extension of the courts sequence to a full criminal justice sequence is, of course, the link from reported crimes back to actual incidences of crime. The concern here is with the rate at which Part I crimes are reported to law enforcement agencies. The problem, in turn, is the lack of hard statistics on crime incidence and on the completeness of reported crime data. As of 1979, no comprehensive statewide victimization study has been attempted in Iowa to fill this gap in criminal justice knowledge.

Although no hard statistics are currently available on victimization and crime incidences in Iowa, some insight can be gained from results of a nationwide victimization study - the National Crime Survey - being conducted on an ongoing basis by the National Criminal Justice Information and Statistics Service (NCJISS).¹ In Chapter II of Volume I (see page 28), there appeared a discussion of crime survey data as interpreted by Eugene Doleschal of the National Council on Crime and Delinquency (NCCD).² Based on survey results, Doleschal listed estimates of nationwide non-reporting rates for 1974 for various categories of Part I crime as follows:

<u>Crime Category</u>	<u>% Not Reported</u>
Motor Vehicle Theft	32%
Robbery	51%
Burglary	54%
Forcible Rape	56%
Aggravated Assault	60%
Larceny	82%

¹ Criminal Victimization in the United States - A National Crime Survey Report: 1973, 1974, 1975, United States Department of Justice, Law Enforcement Assistance Administration.

² Eugene Doleschal, "Crime-Some Popular Beliefs," Crime and Delinquency, Volume 25, Number 1, 1970, pp. 1-8.

If, in fact, these estimated national non-reporting rates were accurate for Iowa during the period 1974-1977, then just 25.4% of incidences of Part I felonies would have been reported to law enforcement agencies,¹ including 43.5% of violent crime incidents and 24.4% of property crime incidents.

To indicate the impact of crime reporting on the funneling effect, these estimates were incorporated into system flow results given in this section. When such estimates are presented, they will be labelled INCIDENT (NA), with NA referring to "National Average." The other set of estimates for non-reporting appearing in this section are labelled INCIDENT (CE), with CE referring to "Conservative Estimate," i.e., a percentage reduction for Iowa non-reporting rates (for individual crimes) over the NA rates. These reductions yield non-reporting rates of 57.0% for Part I felonies, 37.5% for violent (Part I) felonies, and 58.3% for property (Part I) felonies.

Based on the two sets of estimated non-reporting rates for Part I felonies, the following are estimates of the total numbers of Part I felonies committed by adults in Iowa during 1974-1977, restricted to those who would not have been (or were not already) in the criminal justice system at the time of arrest. Again, the assumption is made that the 124,608 reported Part I felonies discussed above consisted of previously those Part I felonies reported among crimes committed in 1974-1977.

	<u>NA</u>	<u>CE</u>
Part I (Total)	490,316	289,785
Part I (Violent)	26,025	18,114
Part I (Property)	464,291	271,671

SIMPLE FLOW

Figures 15 through 17 illustrate all simple movement and drop-out rates in the CJS (Criminal justice system) sequence: incident, report, arrest, court disposition, guilt, conviction, incarceration, imprisonment, as discussed in this section and in the previous section. Figures 18 through 20 limit consideration to the restricted CJS sequence: incident, report, arrest, court disposition, guilt-felony felony conviction, felony incarceration, imprisonment. Figures 15 and 18 are for all Part I felonies, Figures 16 and 19 for violent (Part I) felonies, and Figures 17 and 20 for property (Part I) felonies.

Flow from incidents to reports is indicated with dual percentages, one for the NA estimates (left) and the other for the CE estimates (right).

The charts each indicate a total of six movement and six drop-out rates, the latter covering crimes not reported, reports not leading to arrest, arrests not leading to court disposition, and the four types of drop-out discussed in the previous section.

¹ Assumes non-reporting for felony larceny is the same as non-reporting for misdemeanor larceny, which may or may not be a valid assumption. Also assumes no difference in reporting rates for crimes committed by adults and juveniles.

For the Part I (Total) category - Figures 15 and 18, simple movements not discussed in the previous section include:

- 1) 25.4% (43.0%) of crimes are reported to law enforcement agencies,
- 2) 17.1% of reported crimes are cleared by arrest, and
- 3) 51.6% of arrests lead to a disposition in court.

Simple drop-outs not discussed in the previous section include (for the Part I (Total) category):

- 1) 74.6% (57.0%) of crimes are not reported to law enforcement agencies,¹
- 2) 82.9% of reported crimes are not cleared by arrest, and
- 3) 48.4% of arrests do not lead to a disposition in court.

For the Part I (Violent) category - Figures 16 and 19, simple movements include:

- 1) 43.5% (62.5%) of crimes are reported to law enforcement agencies,
- 2) 54.0% of reported crimes are cleared by arrest, and
- 3) 59.3% of arrests lead to a disposition in court.

Simple drop-outs include (for the Part I (Violent) category):

- 1) 56.5% (37.5%) of crimes are not reported to law enforcement agencies,
- 2) 46.0% of reported crimes are not cleared by arrest, and
- 3) 40.7% of arrests do not lead to a disposition in court.

For the Part I (Property) category - Figures 17 and 20, simple movements include:

- 1) 24.4% (41.7%) of crimes are reported to law enforcement agencies,
- 2) 15.1% of reported crimes are cleared by arrest, and
- 3) 49.0% of arrests lead to a disposition in court.

Simple drop-outs include (for the Part I (Property) category):

- 1) 75.6% (58.3%) of crimes are not reported to law enforcement agencies,
- 2) 84.9% of reported crimes are not cleared by arrest, and
- 3) 51.0% of arrests do not lead to a disposition in court.

¹To reiterate, these figures are not based on hard statistical evidence concerning crime reporting in Iowa. Instead, they were derived from national figures (25.4%) and by conservative estimate (43.0%).

COMPOSITE MOVEMENT

With the addition of the INCIDENT, REPORT, and ARREST stages to the courts sequence, the resulting CJS sequence is eight stages long. Further, with consideration of the restricted courts sequence, and with the recognition of two possible movements from incidents to reports, there are a total of eleven stages from which composite movements to other stages can be computed. This would entail many more movements than can be discussed in this report, and especially so if separate results are given for Part I (Total), Part I (Violent), and Part I (Property) categories.

In order to efficiently display all possible movements in the full CJS sequence (restricted and regular CJS sequences combined), reliance was again placed on movement matrices. Table 7 below is the CJS analogue of the courts movement matrix in Table 3 (for the Part I (Total) category).

The Table indicates - as did Tables 2 through 6 for the courts sequence - the percent of crimes/cases/offenders active at a given (antecedent) stage which (who) are yet active at a following (consequent) stage. Thus among 124,608 reported crimes - reading across the 3rd line - 17.1% lead to arrest, 8.8% to a court disposition, 5.8% to a finding or plea of guilty, 5.0% to conviction, 1.6% to incarceration, and 1.1% to imprisonment.

The underlined statement directly above can be restated more simply as follows: Of 1000 reported crimes, 171 lead to arrest, 88 to a court disposition, 58 to a finding or plea of guilty, 50 to conviction, 16 to incarceration, and 11 to imprisonment.

In this way, all composite movements can be expressed as successive reductions of 1000 initial (antecedent) events. Tables 8 and 9 express composite movements in this manner, with movements along the (basic) CJS sequence in Table 8, and movements along the restricted CJS sequence in Table 9.

Notice that if the national average reporting rates discussed earlier applied in Iowa during 1974-1977, then no more than 13 crimes in a 1000 led to a conviction, 9 in a 1000 to a felony conviction, 4 in a 1000 to incarceration, and 3 in a 1000 to imprisonment.

DROP-OUT COMPONENTS

Just as movements may be expressed as successive reductions of a group of 1000 target events, so may drop-outs be expressed as successive spin-offs from the 1000. Table 10 below gives the final disposition of 1000 target events of each type, with final dispositions¹ (consequents) covering all drop-outs discussed earlier and the ultimate (non-drop-out) disposition of imprisonment.

¹ The term "final disposition" refers to the last step of the flow process for each target event, i.e., the step beyond which there are no further steps (as discussed in this report).

FIGURE 15
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 CJS SEQUENCE - SIMPLE FLOW
 ADULT FELONIES - PART I (TOTAL)

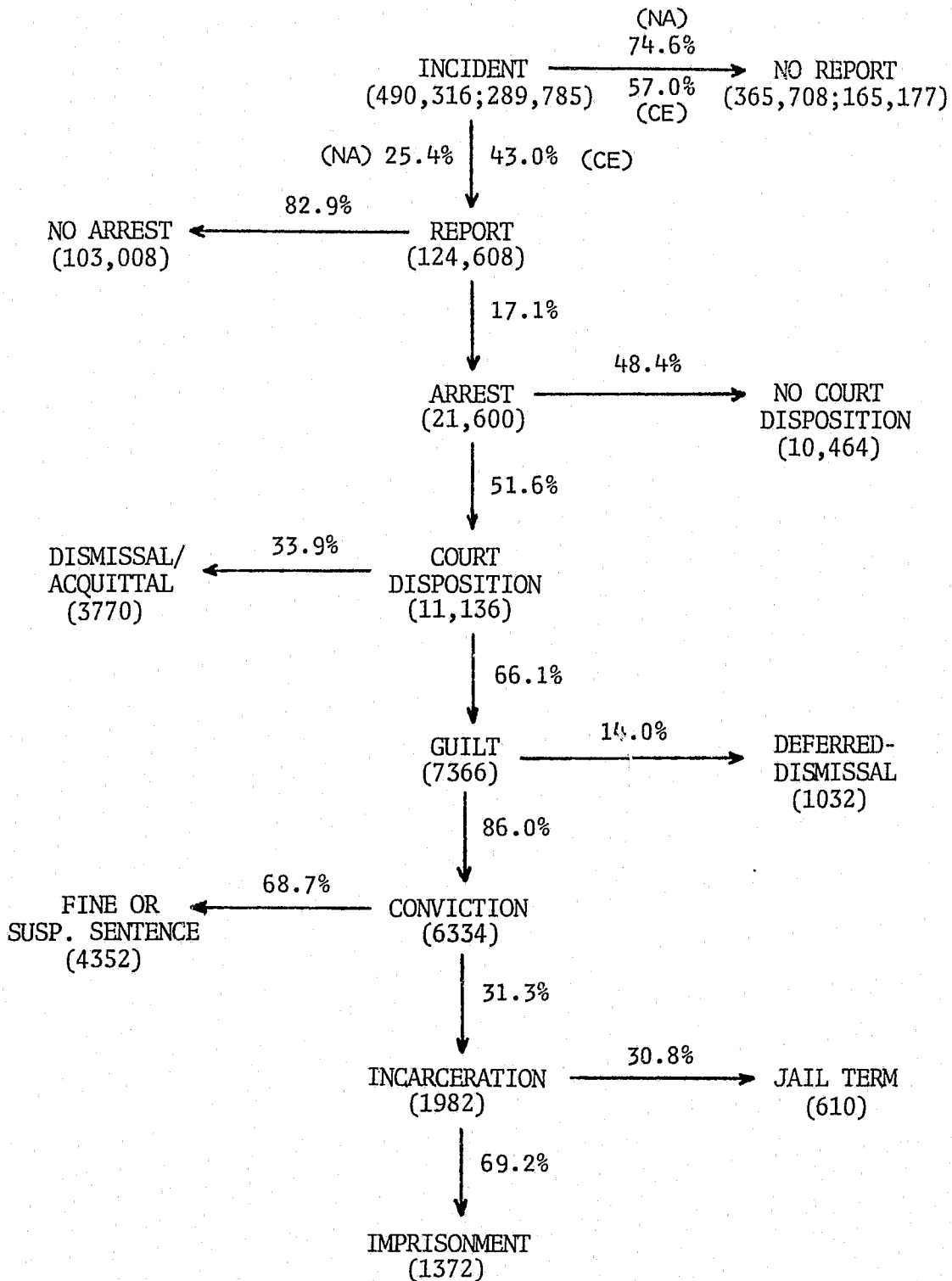


FIGURE 16
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 CJS SEQUENCE - SIMPLE FLOW
 ADULT FELONIES - PART I (VIOLENT)

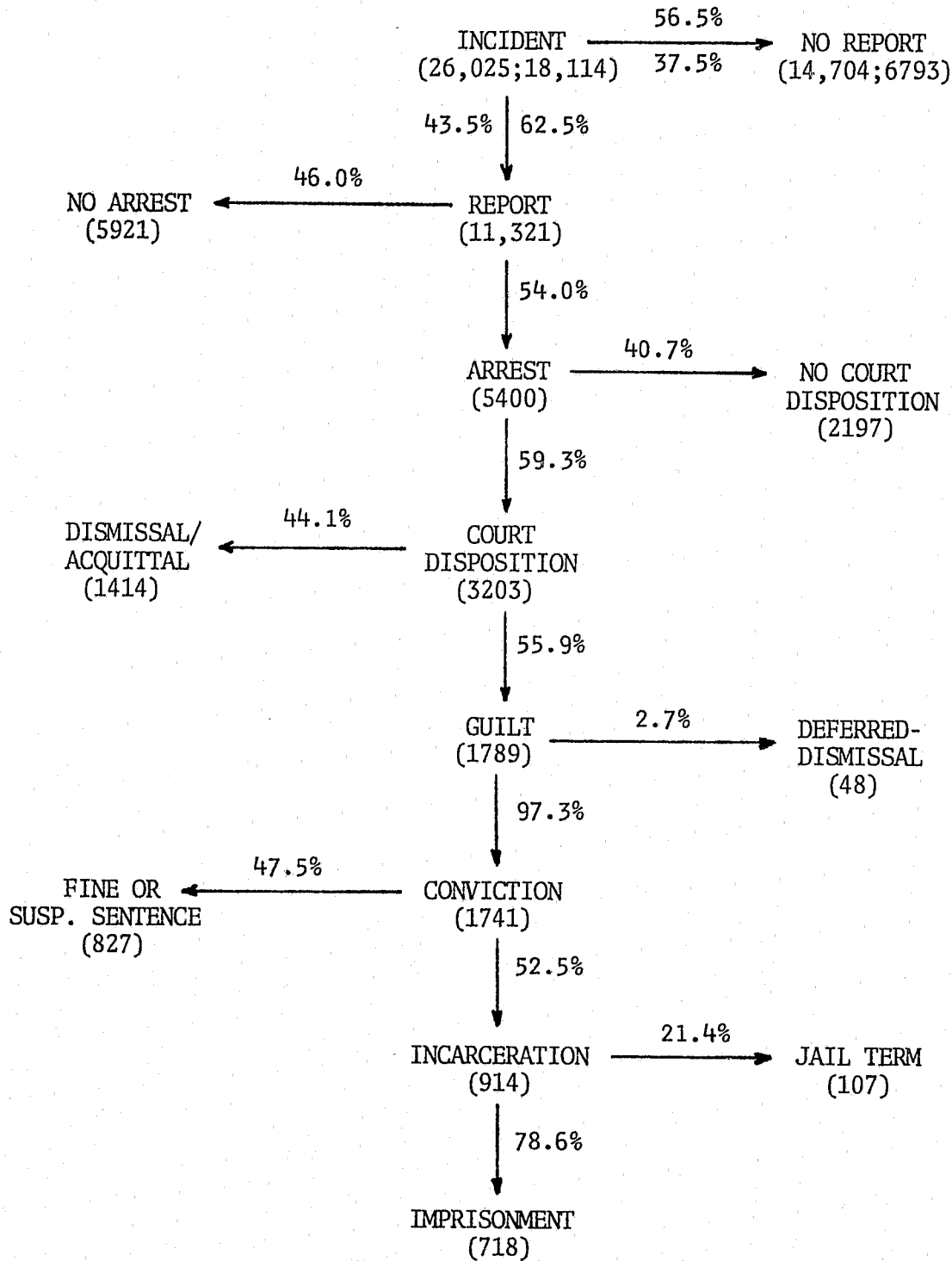


FIGURE 17
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 CJS SEQUENCE - SIMPLE FLOW
 ADULT FELONIES - PART I (PROPERTY)

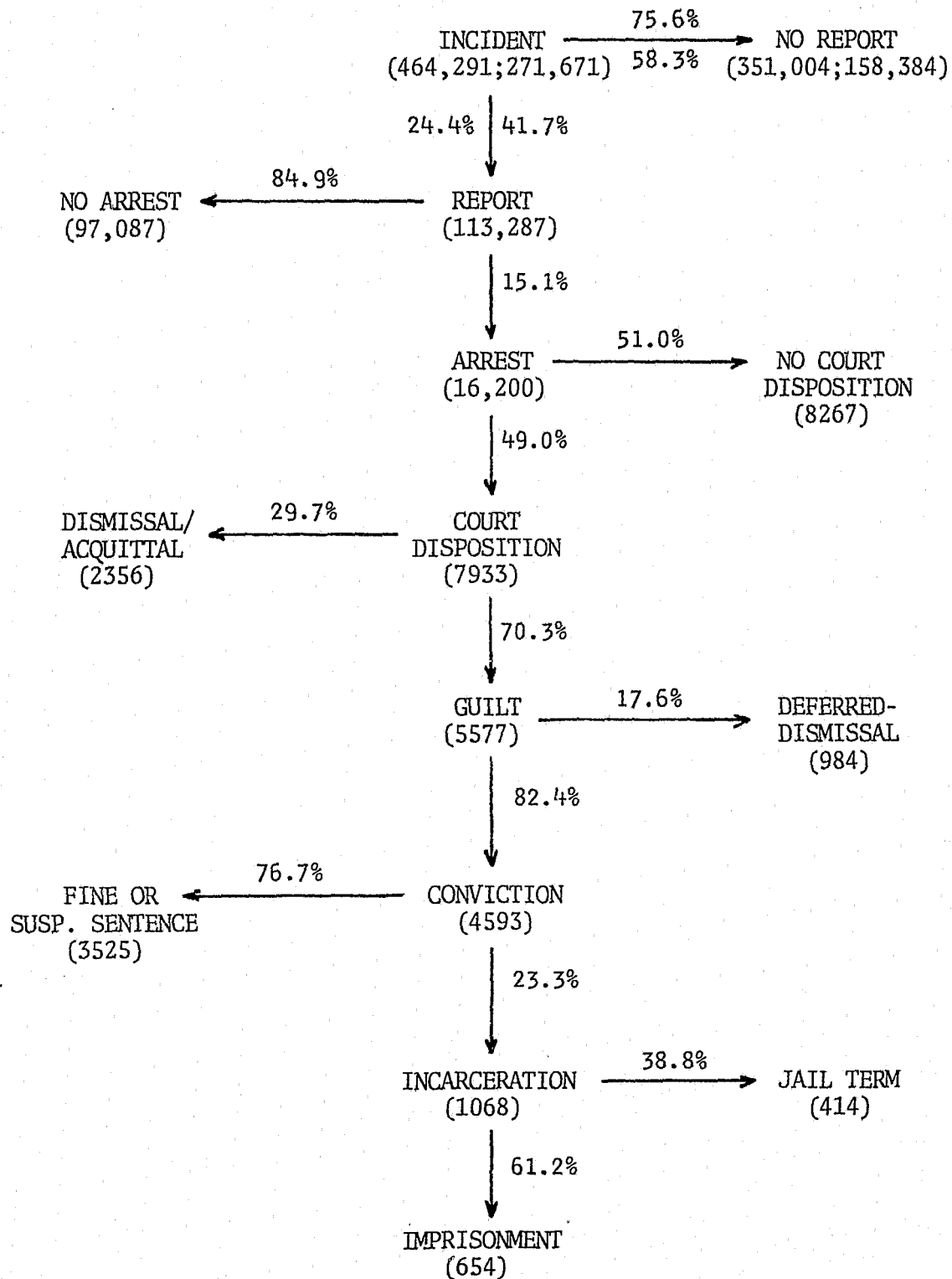


FIGURE 18
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 RESTRICTED CJS SEQUENCE - SIMPLE FLOW
 ADULT FELONIES - PART I (TOTAL)

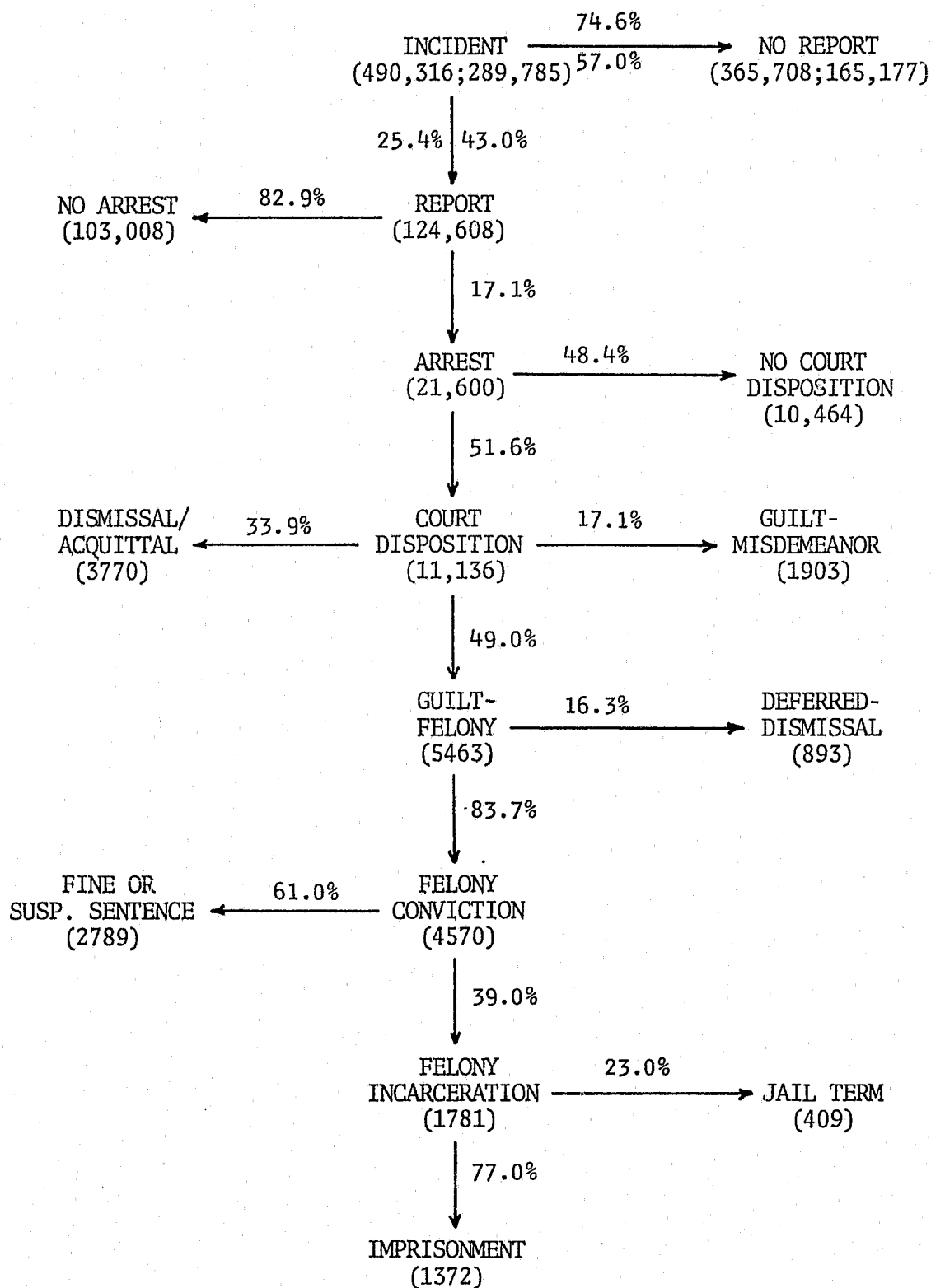


FIGURE 19
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 RESTRICTED CJS SEQUENCE - SIMPLE FLOW
 ADULT FELONIES - PART I (VIOLENT)

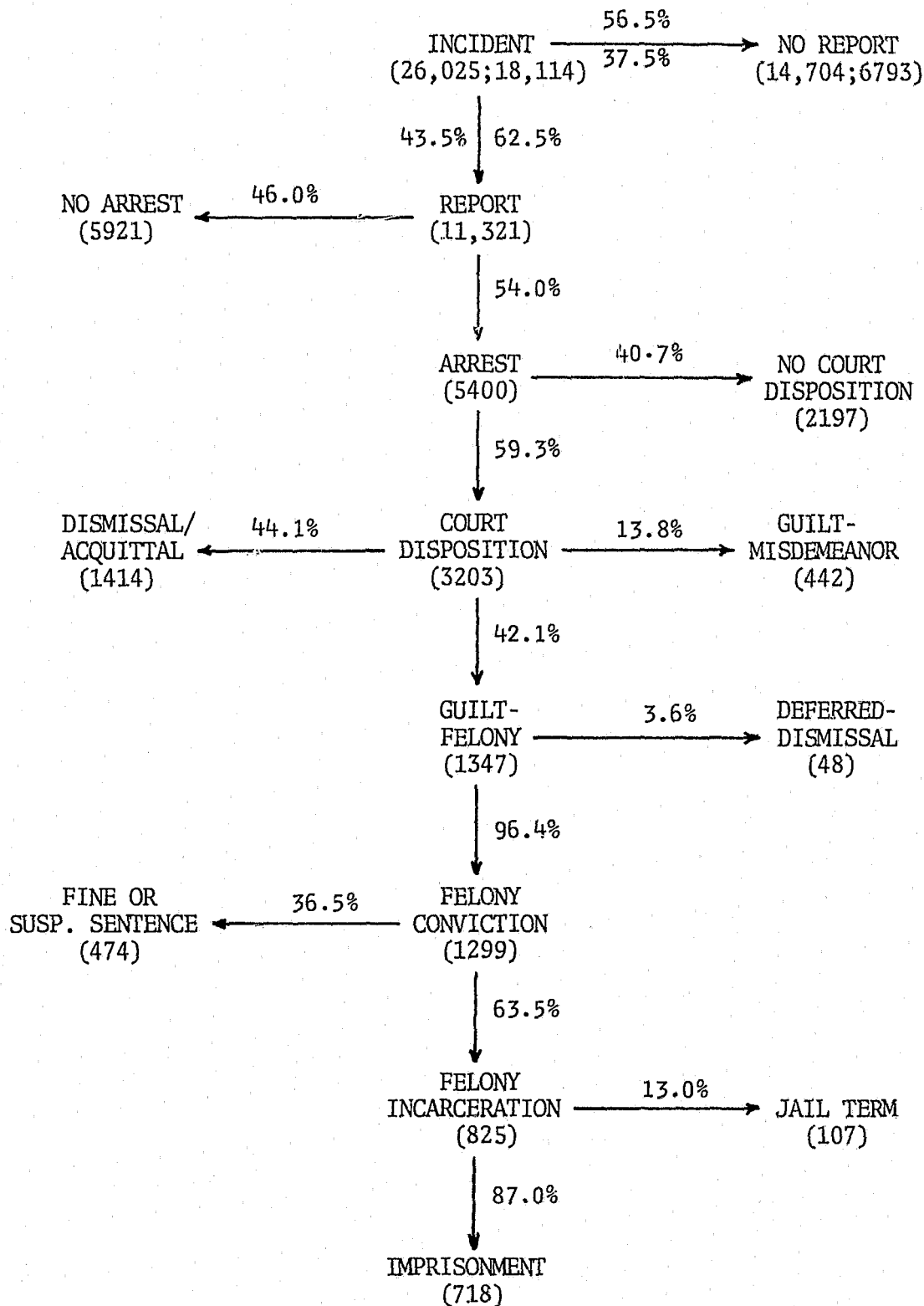
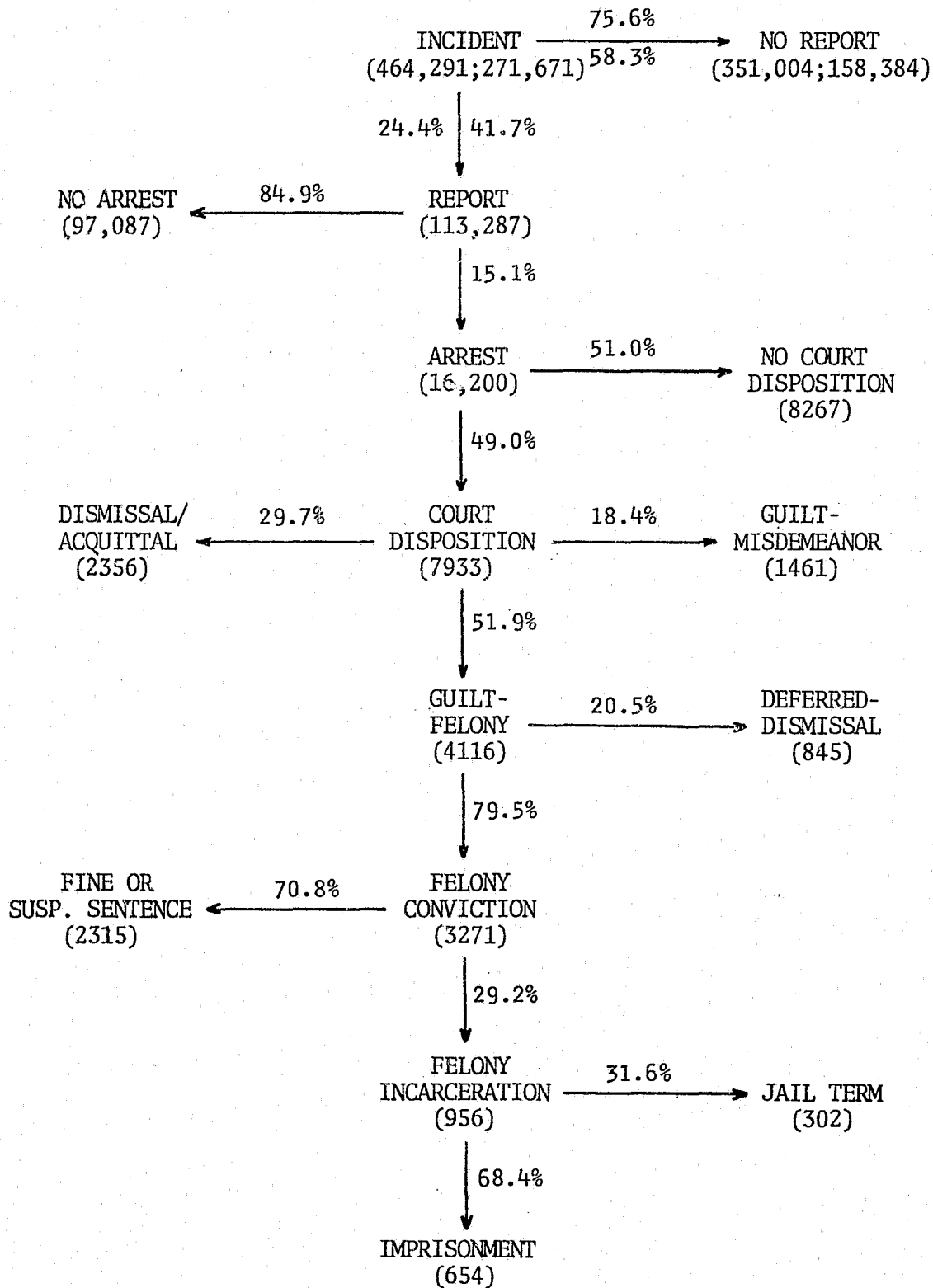


FIGURE 20
 CRIMINAL JUSTICE FLOW IN IOWA
 1974-1977
 RESTRICTED CJS SEQUENCE - SIMPLE FLOW
 ADULT FELONIES - PART I (PROPERTY)



1

[illegible]

TABLE 8
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
CJS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (TOTAL)

ANTECEDENT	N	REPORT	ARREST	CONSEQUENT				
				COURT DIS- POSITION	GUILT	CON- VICTION	INCAR- CERATION	IMPRISON- MENT
INCIDENT (NA)	1000	254	44	23	15	13	4	3
REPORT	1000	---	171	88	58	50	16	11
ARREST	1000	---	---	516	341	293	92	63
COURT DISPOSITION	1000	---	---	---	661	569	178	123
GUILT	1000	---	---	---	---	860	269	186
CONVICTION	1000	---	---	---	---	---	313	216
INCARCERATION	1000	---	---	---	---	---	---	692

TABLE 9

CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
RESTRICTED CJS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (TOTAL)

ANTECEDENT	N	REPORT	ARREST	CONSEQUENT				
				COURT DIS- POSITION	GUILT- FELONY	FELONY CON- VICTION	FELONY INCAR- CERATION	IMPRISON- MENT
INCIDENT (NA)	1000	254	44	23	11	9	4	3
REPORT	1000	---	171	88	43	36	14	11
ARREST	1000	---	---	516	253	212	83	63
COURT DISPOSITION	1000	---	---	---	490	410	160	123
GUILT-FELONY	1000	---	---	---	---	837	326	251
FELONY CONVICTION	1000	---	---	---	---	---	390	300
FELONY INCARCERATION	1000	---	---	---	---	---	---	770

TABLE 10
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL CJS SEQUENCE - DROP-OUT COMPONENTS
ADULT FELONIES - PART I (TOTAL)

ANTECEDENT	N	CONSEQUENT							
		NO REPORT	NO ARREST	NO COURT DISP.	DISM./ ACQUIT.	DEFER.- DISM.	FINE OR SUSP. SENT.	JAIL TERM	IMPRISC MENT
INCIDENT (NA)	1000	746	210	21	8	2	9	1	3
INCIDENT (CE)	1000	570	365	37	13	3	15	2	5
REPORT	1000	---	829	83	30	8	34	5	11
ARREST	1000	---	---	484	175	48	201	29	63
COURT DISP.	1000	---	---	---	339	92	391	55	123
GUILT	1000	---	---	---	---	140	591	83	186
GUILT-FELONY	1000	---	---	---	---	163	511	75	251
CONVICTION	1000	---	---	---	---	---	687	97	216
FELONY CONVICTION	1000	---	---	---	---	---	610	90	300
INCARCERATION	1000	---	---	---	---	---	---	308	692
FELONY INCARC.	1000	---	---	---	---	---	---	230	770

Thus among 1000 reported crimes, 829 aren't cleared by arrest, 83 lead to arrest but not action in court, 30 fall out by dismissal or acquittal in court, 8 end in dismissal on a deferred judgment, 34 result in a fine or a suspended jail or prison sentence, 5 lead to a jail term, and 11 end in imprisonment.

Furthermore, according to Table 7, 8.8 days are served in prison for each reported crime. Thus, as a result of 1000 reported crimes, a total of 8800 days or 24 years are served in state prisons. This would further reduce to 6 years of prison time per 1000 crimes committed if the national average (NA) reporting rates are accurate for Iowa.

JUSTICE BY CONVICTION

From another perspective, one might measure the efficiency of the criminal justice process by the extent to which crimes committed, crimes reported, arrests, or court dispositions lead to conviction in court, and at what level of seriousness. Table 11 below indicates outcomes (convictions and drop-out components) from just this perspective, expressed again in outcomes per 1000 target events.

Thus among 1000 reported crimes, 950 drop out prior to conviction, 12 lead to a simple misdemeanor conviction, 2 to an indictable misdemeanor conviction, and 36 to a felony conviction.

VIOLENT/PROPERTY COMPARISONS

To allow more insight into the criminal justice process, Tables 12 through 21 were constructed as equivalents to Tables 7 through 11 for violent and property crimes.

As was the case with the courts sequence, the funneling effect in the pre-courts sequence is more extreme for property crimes than for violent crimes. In fact, all three pre-courts movement rates, including incidents to reports, reports to arrests, and arrests to courts dispositions, are higher for violent crimes. According to Tables 12 and 13, 32.0% of reported violent crimes lead to a disposition in court, as opposed to 7.4% of reported property crimes.

According to Table 14, of 1000 reported violent crimes, 540 lead to arrest, 320 to a court disposition, 180 to a finding of guilt, 175 to a conviction, 92 to incarceration, and 72 to imprisonment.

For property crimes (Table 15), the picture is substantially different. Of 1000 reported property crimes, 151 lead to arrest, 74 to a court disposition, 52 to a finding of guilt, 43 to a conviction, 10 to incarceration, and 6 to imprisonment.

Thus, according to the findings above, twelve times as many violent crimes as property crimes end in imprisonment.

TABLE 11
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
CJS SEQUENCE - MODIFIED DROP-OUT COMPONENTS
ADULT FELONIES - PART I (TOTAL)

ANTECEDENT	N	CONSEQUENT					SIMPLE MISD. CON- VICTION	INDICT. MISD. CON- VICTION	FELONY CON- VICTIO
		NO REPORT	NO ARREST	NO COURT DISPOSITION	DISM./ ACQUIT.	DEFER- DISM.			
INCIDENT (NA)	1000	746	210	21	8	2	3	1	9
INCIDENT (CE)	1000	570	365	37	13	3	5	1	16
REPORT	1000	---	829	83	30	8	12	2	36
ARREST	1000	---	---	484	175	48	68	13	212
COURT DISP.	1000	---	---	---	339	92	132	26	411
GUILT	1000	---	---	---	---	140	200	39	621
CONVICTION	1000	---	---	---	---	---	233	46	721

TABLE 12
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL CJS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (VIOLENT)

ANTECEDENT	N	REPORT	ARREST	COURT DISPOSITION	GUILT	CONSEQUENT						AVERAGE PRISON TIME	
						GUILT- FELONY	CON- VICTION	FELONY CON- VICTION	INCAR- CERATION	FELONY INCAR- CERATION	IMPRISON- MENT	DAYS	MONTHS
INCIDENT (NA)	26,025	43.5%	23.5%	13.9%	7.8%	5.9%	7.6%	5.7%	4.0%	3.6%	3.1%	28	0.9
INCIDENT (CE)	18,114	62.5%	33.8%	20.0%	11.3%	8.5%	11.0%	8.2%	5.8%	5.2%	4.5%	40	1.3
REPORT	11,321	-----	54.0%	32.0%	18.0%	13.6%	17.5%	13.1%	9.2%	8.3%	7.2%	65	2.1
ARREST	5400	-----	-----	59.3%	33.3%	25.1%	32.4%	24.2%	17.1%	15.4%	13.4%	137	4.5
COURT DISPOSITION	3203	-----	-----	-----	55.9%	42.1%	54.4%	40.6%	28.5%	25.8%	22.4%	229	7.5
GUILT	1789	-----	-----	-----	-----	75.3%	97.3%	72.6%	51.1%	46.1%	40.1%	410	13.5
GUILT-FELONY	1347	-----	-----	-----	-----	-----	96.4%	96.4%	61.2%	61.2%	53.3%	544	17.9
CONVICTION	1741	-----	-----	-----	-----	-----	-----	74.6%	52.5%	47.4%	41.2%	421	13.9
FELONY CONVICTION	1299	-----	-----	-----	-----	-----	-----	-----	63.5%	63.5%	55.3%	565	18.6
INCARCERATION	914	-----	-----	-----	-----	-----	-----	-----	-----	90.3%	78.6%	802	26.4
FELONY INCARCERATION	825	-----	-----	-----	-----	-----	-----	-----	-----	-----	87.0%	889	29.2
IMPRISONMENT	718	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	1021	33.6

TABLE 13
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL CJS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (PROPERTY)

ANTECEDENT	N	REPORT	ARREST	COURT DISPOSITION	GUILT	GUILT- FELONY	CON- VICTION	CONSEQUENT				AVERAGE PRISON TIME	
								FELONY CON- VICTION	INCAR- CERATION	FELONY INCAR- CERATION	IMPRISON- MENT	DAYS	MONTHS
INCIDENT (NA)	464,291	24.4%	3.5%	1.7%	1.2%	0.9%	1.0%	0.7%	0.2%	0.2%	0.1%	1.0	0.0
INCIDENT (CE)	271,671	41.7%	6.0%	2.9%	2.1%	1.5%	1.7%	1.2%	0.4%	0.4%	0.2%	1.7	0.1
REPORT	113,287	-----	15.1%	7.4%	5.2%	3.8%	4.3%	3.0%	1.0%	0.9%	0.6%	4.0	0.1
ARREST	16,200	-----	-----	49.0%	34.4%	25.4%	28.4%	20.2%	6.6%	5.9%	4.0%	27.7	0.9
COURT DISPOSITION	7933	-----	-----	-----	70.3%	51.9%	57.9%	41.2%	13.5%	12.1%	8.2%	56.6	1.9
GUILT	5577	-----	-----	-----	-----	73.8%	82.4%	58.7%	19.2%	17.2%	11.7%	80.4	2.6
GUILT-FELONY	4116	-----	-----	-----	-----	-----	79.5%	79.5%	23.2%	23.2%	15.9%	109.2	3.6
CONVICTION	4593	-----	-----	-----	-----	-----	-----	71.2%	23.3%	20.8%	14.2%	97.7	3.2
FELONY CONVICTION	3271	-----	-----	-----	-----	-----	-----	-----	29.2%	29.2%	20.0%	137.2	4.5
INCARCERATION	1068	-----	-----	-----	-----	-----	-----	-----	-----	89.5%	61.2%	420.5	13.8
FELONY INCARCERATION	956	-----	-----	-----	-----	-----	-----	-----	-----	-----	68.4%	470.0	15.5
IMPRISONMENT	654	-----	-----	-----	-----	-----	-----	-----	-----	-----	-----	687.0	22.6

TABLE 14
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
CJS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (VIOLENT)

ANTECEDENT	N	REPORT	ARREST	CONSEQUENT				
				COURT DIS- POSITION	GUILT	CON- VICTION	INCAR- CERATION	IMPRISON- MENT
INCIDENT (NA)	1000	435	235	139	78	76	40	31
REPORT	1000	---	540	320	180	175	92	72
ARREST	1000	---	---	593	333	324	171	134
COURT DISPOSITION	1000	---	---	---	559	544	285	224
GUILT	1000	---	---	---	---	973	511	401
CONVICTION	1000	---	---	---	---	---	525	412
INCARCERATION	1000	---	---	---	---	---	---	786

TABLE 15
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
CJS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (PROPERTY)

ANTECEDENT	N	REPORT	ARREST	CONSEQUENT				
				COURT DIS- POSITION	GUILT	CON- VICTION	INCAR- CERATION	IMPRISON- MENT
INCIDENT (NA)	1000	244	35	17	12	10	2	1
REPORT	1000	---	151	74	52	43	10	6
ARREST	1000	---	---	490	344	284	66	40
COURT DISPOSITION	1000	---	---	---	703	579	135	82
GUILT	1000	---	---	---	---	824	192	117
CONVICTION	1000	---	---	---	---	---	233	142
INCARCERATION	1000	---	---	---	---	---	---	612

TABLE 16

CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
RESTRICTED CJS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (VIOLENT)

ANTECEDENT	N	REPORT	ARREST	CONSEQUENT		FELONY CON- VICTION	FELONY INCAR- CERATION	IMPRISON- MENT
				COURT DIS- POSITION	GUILT- FELONY			
INCIDENT (NA)	1000	435	235	139	59	57	36	31
REPORT	1000	---	540	320	136	131	83	72
ARREST	1000	---	---	593	251	242	154	134
COURT DISPOSITION	1000	---	---	---	421	406	258	224
GUILT-FELONY	1000	---	---	---	---	964	612	533
FELONY CONVICTION	1000	---	---	---	---	---	635	553
FELONY INCARCERATION	1000	---	---	---	---	---	---	870

TABLE 17
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
RESTRICTED CJS SEQUENCE - COMPOSITE MOVEMENT
ADULT FELONIES - PART I (PROPERTY)

ANTECEDENT	N	REPORT	ARREST	CONSEQUENT				
				COURT DIS- POSITION	GUILT- FELONY	FELONY CON- VICTION	FELONY INCAR- CERATION	IMPRISON- MENT
INCIDENT (NA)	1000	244	35	17	9	7	2	1
REPORT	1000	---	151	74	38	30	9	6
ARREST	1000	---	---	490	254	202	59	40
COURT DISPOSITION	1000	---	---	---	519	412	121	82
GUILT-FELONY	1000	---	---	---	---	795	232	159
FELONY CONVICTION	1000	---	---	---	---	---	292	200
FELONY INCARCERATION	1000	---	---	---	---	---	---	684

As for drop-out components, of 1000 reported violent crimes, 460 aren't cleared by arrest, 220 lead to arrest but no action in court, 140 fall out by dismissal or acquittal in court, 5 end in dismissal on a deferred judgment, 83 result in a fine or a suspended jail or prison sentence, 20 lead to a jail term, and 72 end in imprisonment (Table 18).

Of 1000 reported property crimes, 849 aren't cleared by arrest, 77 lead to arrest but no action in court, 22 fall out by dismissal or acquittal in court, 9 end in dismissal on a deferred judgment, 33 result in a fine or suspended jail or prison sentence, 4 lead to a jail term, and 6 end in imprisonment (Table 19).

According to Table 20, of 1000 reported violent crimes, 825 drop out prior to conviction, 43 lead to a simple misdemeanor conviction, 2 to an indictable misdemeanor conviction, and 130 to a felony conviction. According to Table 21, of 1000 reported property crimes, 957 drop out prior to conviction, 10 lead to a simple misdemeanor conviction, 2 to an indictable misdemeanor conviction, and 31 to a felony conviction.

CRIMINAL JUSTICE ACTIVITY

Table 22 below provides a summary of all crime and offender counts used to establish system flow rates, including a few that were not used. In fact, Table 22 may be used to construct somewhat more-detailed flow charts than those contained in the report. For the most part, terms used in the table have been previously defined.

CONTINUED

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TABLE 18
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL CJS SEQUENCE - DROP-OUT COMPONENTS
ADULT FELONIES - PART I (VIOLENT)

ANTECEDENT	N	CONSEQUENT							IMPRISO MENT
		NO REPORT	NO ARREST	NO COURT DISP.	DISM./ ACQUIT.	DEFER.- DISM.	FINE OR SUSP. SENT.	JAIL TERM	
INCIDENT (NA)	1000	565	200	96	61	2	36	9	31
INCIDENT (CE)	1000	375	287	138	87	3	52	13	45
REPORT	1000	---	460	220	140	5	83	20	72
ARREST	1000	---	---	407	260	9	153	37	134
COURT DISP.	1000	---	---	---	441	15	259	61	224
GUILT	1000	---	---	---	---	27	462	110	401
GUILT-FELONY	1000	---	---	---	---	36	352	79	533
CONVICTION	1000	---	---	---	---	---	475	113	412
FELONY CONVICTION	1000	---	---	---	---	---	365	82	553
INCARCERATION	1000	---	---	---	---	---	---	214	786
FELONY INCARC.	1000	---	---	---	---	---	---	130	870

TABLE 19

CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
FULL CJS SEQUENCE - DROP-OUT COMPONENTS
ADULT FELONIES - PART I (PROPERTY)

ANTECEDENT	N	CONSEQUENT							IMPRISO MENT
		NO REPORT	NO ARREST	NO COURT DISP.	DISM./ ACQUIT.	DEFER.- DISM.	FINE OR SUSP. SENT.	JAIL TERM	
INCIDENT (NA)	1000	756	209	18	5	2	8	1	1
INCIDENT (CE)	1000	583	357	31	8	4	13	2	2
REPORT	1000	---	849	77	22	9	33	4	6
ARREST	1000	---	---	510	146	60	218	26	40
COURT. DISP.	1000	---	---	---	297	124	444	53	82
GUILT	1000	---	---	---	---	176	632	75	117
GUILT-FELONY	1000	---	---	---	---	205	563	73	159
CONVICTION	1000	---	---	---	---	---	767	91	142
FELONY CONVICTION	1000	---	---	---	---	---	708	92	200
INCARCERATION	1000	---	---	---	---	---	---	388	612
FELONY INCARC.	1000	---	---	---	---	---	---	316	684

TABLE 20
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
CJS SEQUENCE - MODIFIED DROP-OUT COMPONENTS
ADULT FELONIES - PART I (VIOLENT)

ANTECEDENT	N	CONSEQUENT					SIMPLE MISD. CON- VICTION	INDICT. MISD. CON- VICTION	FELONY CON- VICTIO
		NO REPORT	NO ARREST	NO COURT DISP.	DISM./ ACQUIT.	DEFER.- DISM.			
INCIDENT (NA)	1000	565	200	96	61	2	19	1	56
INCIDENT (CE)	1000	375	287	138	87	3	27	1	82
REPORT	1000	---	460	220	140	5	43	2	130
ARREST	1000	---	---	407	260	9	79	3	242
COURT DISP.	1000	---	---	---	441	15	132	6	406
GUILT	1000	---	---	---	---	27	237	10	726
CONVICTION	1000	---	---	---	---	---	244	10	746

TABLE 21
CRIMINAL JUSTICE FLOW IN IOWA
1974-1977
CJS SEQUENCE - MODIFIED DROP-OUT COMPONENTS
ADULT FELONIES - PART I (PROPERTY)

ANTECEDENT	N	CONSEQUENT							FELONY CON- VICTION
		NO REPORT	NO ARREST	NO COURT DISP.	DISM./ ACQUIT.	DEFER.- DISM.	SIMPLE MISD. CON- VICTION	INDICT. MISD. CON- VICTION	
INCIDENT (NA)	1000	756	209	18	5	2	2	1	7
INCIDENT (CE)	1000	583	357	31	8	4	4	1	12
REPORT	1000	---	849	77	22	9	10	2	31
ARREST	1000	---	---	510	146	60	65	17	202
COURT DISP.	1000	---	---	---	297	124	132	34	413
GUILT	1000	---	---	---	---	176	188	49	587
CONVICTION	1000	---	---	---	---	---	229	59	712

TABLE 22
CRIMINAL JUSTICE ACTIVITY IN IOWA
1974-1977
ADULT FELONIES

CRIMINAL JUSTICE EVENT	ALL FELONIES	PART I FELONY			PART II FELONY
		VIOLENT	PROPERTY	TOTAL	
INCIDENT (NA)	N.A.	26,075	464,291	490,316	N.A.
INCIDENT (CE)	N.A.	18,114	271,671	289,785	N.A.
REPORT	N.A.	11,321	113,287	124,655	N.A.
ARREST	N.A.	5400	16,200	21,600	N.A.
COURT DISPOSITION	24,414	3203	7933	11,136	13,278
GUILT	16,299	1789	5577	7366	8933
CONVICTION	14,647	1741	4593	6334	8313
INCARCERATION	3579	914	1068	1982	1597
IMPRISONMENT	2213	718	654	1372	841

NO REPORT (NA)	N.A.	14,704	351,004	365,708	N.A.
NO REPORT (CE)	N.A.	6793	158,384	165,177	N.A.
REPORT - NO ARREST	N.A.	5921	97,087	103,008	N.A.
ARREST - NO COURT DISPOSITION	N.A.	2197	8267	10,464	N.A.
DISMISSAL/ACQUITTAL (NOT GUILTY)	8115	1414	2356	3770	4345
DEFERRED SENTENCE - DISMISSAL	1652	48	984	1032	620
FINE OR SUSPENDED SENTENCE	11,068	827	3525	4352	6,116
JAIL TERM	1366	107	414	610	756
IMPRISONMENT	2213	718	654	1372	841

GUILT-FELONY	11,681	1347	4116	5463	6218
GUILT-MISDEMEANOR	4618	442	1461	1903	2715
FELONY CONVICTION	10,472	1299	3271	4570	5902
MISDEMEANOR CONVICTION	4175	442	1322	1764	2411
FELONY INCARCERATION	3039	825	956	1781	1258
MISDEMEANOR INCARCERATION	540	89	112	201	339

NO CONVICTION (COURT DISPOSITIONS)	9767	1462	3340	4802	4965
SIMPLE MISDEMEANOR CONVICTION	2440	425	1050	1475	965
INDICTABLE MISDEMEANOR CONVICTION	1735	17	272	289	1446
FELONY CONVICTION	10,472	1299	3271	4570	5902

FINE	3428	270	990	1260	2168
STRAIGHT PROBATION	8762	537	3282	3819	4943
RESIDENTIAL CORRECTIONS	530	68	237	305	225
JAIL TERM	1366	196	414	610	756
IMPRISONMENT	2213	718	654	1372	841

TOTAL PROBATION	9292	605	3519	4124	5168

FINE - FELONY	1304	35	208	243	1061
FINE-MISDEMEANOR	2124	235	782	1017	1107
PROBATION-FELONY	7338	488	2952	3440	3898
PROBATION-MISDEMEANOR	1954	117	567	684	1270
JAIL-FELONY	826	107	302	409	417
JAIL-MISDEMEANOR	540	89	112	201	339
IMPRISONMENT (FELONY)	2213	718	654	1372	841

PRISON SENTENCE	5764	1068	2016	3084	2680
PRISON SENTENCE SUSPENDED	3551	350	1362	1712	1839
PRISON SENTENCE NOT SUSPENDED	2213	718	654	1372	841
JAIL SENTENCE	5104	390	1260	1650	3454
JAIL SENTENCE SUSPENDED	3738	194	846	1040	2698
JAIL SENTENCE NOT SUSPENDED	1366	196	414	610	756
DEFERRED SENTENCE (JUDGMENT)	2003	61	1311	1372	631

FELONY SENTENCE FLOW

For the most part, data on criminal justice flow appearing in this report concern law enforcement and courts activities in Iowa. The one exception is the presentation of data on prison time, which concerns aspects of the corrections subsystem of criminal justice.

In order to provide some further insight into corrections activities in Iowa, a chart was constructed (Figure 21) that characterizes offender flow through the corrections system for persons sentenced on felony charges, i.e., on persons convicted of - or receiving deferred judgments/sentences for - felonies. The period of time on which the chart is based is the three-year period 1974-1976.

The chart indicates the total population of (7495) felony sentence in the top section, and a splitting of the population between those placed on probation (78.8%) and those sentenced to prison (21.2%) in the second section. In the third section, those receiving probation are split between those who had their probations revoked (16.6%) and those who did not (83.4%), with the pool of those sentenced to prison left as is. In the fourth section, the total population is split between those remaining in the free community (65.7%),¹ those placed in county jails as probation violators (4.5%), and those admitted to prison² (29.8%). In the fifth section, those entering prison are split between those who are eventually paroled (67.0%), and those who expire their sentences in prison (33.0%).³ Finally, the sixth line splits those released on parole between those whose paroles are eventually revoked (27.0%) from those whose paroles are not revoked (73.0%).

¹ Not placed in jail or prison.

² Either directly sentenced or as probation violators.

³ No data are currently available on the release of those placed in county jails.

FIGURE 21
SYSTEM FLOW FOR FELONY SENTENCES IN IOWA
1974-1976

FELONY SENTENCES				
GRANTED PROBATION* 78.8%			SENTENCED TO PRISON 21.2%	
PROBATION NOT REVOKED 83.4%		PROBATION REVOKED 16.6%	↓ ADMITTED TO PRISON 29.8%	
REMAIN IN FREE COMMUNITY 65.7%		JAILED 4.5%		
			GRANTED PAROLE 67.0%	EXPIRE SENTENC 33.0%
			PAROLE NOT REVOKED 73.0%	PAROLE REVOKED 27.0%

* Includes both deferred sentences and suspended jail or prison sentences. Approximately 11% of this group served some time in a county jail or in an alternate jail facility prior to release on probation.