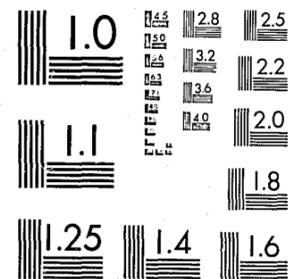


National Criminal Justice Reference Service



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National Institute of Justice
United States Department of Justice
Washington, D. C. 20531

Date Filmed

3/03/81

CDIS

DESIGN REQUIREMENT DOCUMENTATION
VOCATIONAL EDUCATION COMPONENT
PROGRAM SUBSYSTEM

OCTOBER 1979

69518

CDIS

CORRECTIONS DECISION INFORMATION SYSTEM

CALIFORNIA DEPARTMENT OF CORRECTIONS

Memorandum

Date : February 7, 1980

To : Irv Cohn
Grants Coordinator
Department of Corrections

From : Department of Corrections, Sacramento 95814
Management Information Section

Subject: OCJP Grant No. D-3315-3
Discretionary Grant No. 78ED-AX-0005

Attached is the Final Report to the Office of Criminal Justice Planning for the California Department of Corrections, Corrections Decision Information System (CDIS), the development of which is partially funded through Offender Based State Corrections Information System (OBSCIS), OCJP Grant No. D-3315-3.

Dorothy M. Tuma
DOROTHY M. TUMA
Assistant Chief
Management Information
916/322-3510

Attachments

69518

PROGRESS REPORT IDENTIFICATION
OCJP-508 (REV. 8-74)

| | | |
|---|---|-------------------------------------|
| PROJECT TITLE Offender Based State Corrections Information System (OBSCIS III) | | PROJECT NUMBER D-3315-3 |
| SUBGRANTEE California Department of Corrections | | CONTRACT NUMBER 78-ED-AX-0005 |
| ADDRESS 714 "P" Street, Sacramento, CA 95814 | | STATE AGENCY/REGION State |
| PROJECT DIRECTOR Marie Vida Ryan | PHONE (916) 445-1310 | REPORT PERIOD 10-1-79 to 11-7-79 |
| ADDRESS 4433 Florin Road, Suite 600, Sacramento, CA 95823 | | DATE OF REPORT 2-7-80 |
| SIGNATURE <i>Dorothy M. Tuma</i> | DATE | TITLE Project Director |
| REPORT PREPARED BY (NAME) Dorothy M. Tuma | TITLE (RELATIONSHIP TO PROJECT) Assistant Project Director | |
| <input type="checkbox"/> 1ST | <input type="checkbox"/> 2ND | <input type="checkbox"/> 3RD |
| <input checked="" type="checkbox"/> XXXXX FINAL | | <input type="checkbox"/> OTHER * |
| * FOR PROJECTS THAT HAVE RECEIVED CONTRACT EXTENSIONS 11-7-77 to 11-6-79 | | |

REVIEWERS COMMENTS

REVIEWED AND APPROVED FOR TRANSMITTAL TO OCJP

| | |
|---------------------------|------------|
| AUTHORIZED SIGNATURE ▶ | TYPED NAME |
| TITLE | DATE |
| STAFF REVIEWER (NAME) | TITLE |
| | PHONE |

INSTRUCTIONS FOR COMPLETING PROGRESS REPORT

Note: After completing the Progress Report, fill out the top section of the identification sheet and attach it to the front of the report. Submit three copies of both the Identification Sheet and the Progress Report to the Regional Office or in the case of State Agencies to OCJP, for review.

Narrative: Describe briefly the implementation of the project during this report period. Include comments on the following subject areas.

I. SUMMARY OF ACTIVITIES FOR REPORT PERIOD

A. Activities

1. Briefly discuss the activities completed during this report period.

B. Personnel

1. Staff - Have all positions been filled? If not, which positions remain vacant and why?

C. Fiscal

1. Equipment ordered
 - .Specifications Published
 - .Bidder List
 - .Manufacturer
2. Equipment Received
3. Cumulative grant funds awarded and cumulative grant funds expended.

D. Special Requirements

1. Security and Privacy - Describe the status of procedures initiated to assure compliance with the Security and Privacy Clause of the Crime Control Act of 1973 (42 USC, Section 3771) where applicable.
2. Equal Employment Program - Describe the status of the equal employment program in terms of compliance with the LEAA guidelines (28 CFR, Sections 42,301 et. seq) where applicable.

E. Implementation Problems

1. Discuss any problems, such as any delay in task completion dates of two weeks or more. Discuss the expected impact on the total project completion date, if any.

II. REQUESTED REVISIONS

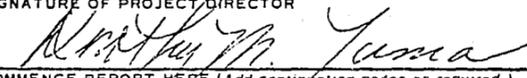
A. Programmatic

1. Nature of the requested revision.
2. Justification for the requested revision.

B. Budgetary (See Section 1540 of the Fiscal Affairs Manual)

1. Nature of the requested revision (Attach OCJP Form No. 223 - Budget Revision)
2. Justification for the requested revision.

RECEIVED
CONTROL CENTER
FEB 27 1980

| | | | |
|--|---|--------------------------------------|------------|
|  U. S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION | | CATEGORICAL GRANT PROGRESS REPORT | |
| GRANTEE | LEAA GRANT NO. | DATE OF REPORT | REPORT NO. |
| Office of Criminal Justice Planning | 78-ED-AX-0005 | 2-7-80 | 9 |
| IMPLEMENTING SUBGRANTEE | TYPE OF REPORT | | |
| Department of Corrections | <input checked="" type="checkbox"/> REGULAR <input type="checkbox"/> SPECIAL REQUEST <input type="checkbox"/> FINAL REPORT | | |
| SHORT TITLE OF PROJECT | GRANT AMOUNT | | |
| Offender Based State Corrections Information System | \$150,000 | | |
| REPORT IS SUBMITTED FOR THE PERIOD | THROUGH | | |
| 10-1-79 | 11-6-79 | | |
| SIGNATURE OF PROJECT DIRECTOR | TYPED NAME & TITLE OF PROJECT DIRECTOR | | |
|  | Marie Vida Ryan Chief, Management Information Section | | |
| COMMENCE REPORT HERE (Add continuation pages as required.) | | | |
| I. SUMMARY OF ACTIVITIES FOR REPORT PERIOD | | | |
| A. Activities | | | |
| The work on the Vocational Education Design Requirement as described in our program narrative has been completed and is ready for dissemination to all interested state correctional entities. | | | |
| The efforts involved: | | | |
| <ol style="list-style-type: none"> 1. The overview which identifies the intention of the planners of the California Department of Corrections computer system and how the program subsystem interrelates with the total system as planned and being implemented in the State of California. 2. The design requirement document which is the report to Data Processing specifying those functions which must be contained in an information system dealing with vocational education. 3. The specification of those data elements which have been defined as essential to the production of a meaningful computer system for education components, especially the vocational education. 4. The input/output and processing requirements associated with vocational education are described herein. They are presented in detail so they can be programmed. 5. The design requirement methodology which identifies the activities and tasks that must be addressed to develop a design requirement document. The methodological approach is of most importance to any state which wishes to modify the method in which needs are communicated to data processing. | | | |
| (Continued on attached sheet) | | | |
| NOTE: No further monies or other benefits may be paid out under this program unless this report is completed and filed as required by existing law and regulations (FMC 74-7; Omnibus Crime Control Act of 1976). | | | |
| RECEIVED BY GRANTEE STATE PLANNING AGENCY (Official) | | | DATE |
| | | | |

I. SUMMARY OF ACTIVITIES FOR REPORT PERIOD (Continued)

A. Activities (Continued)

- 6. The design requirement outline itself pulls together those elements which must be addressed in the development of a design requirement document.

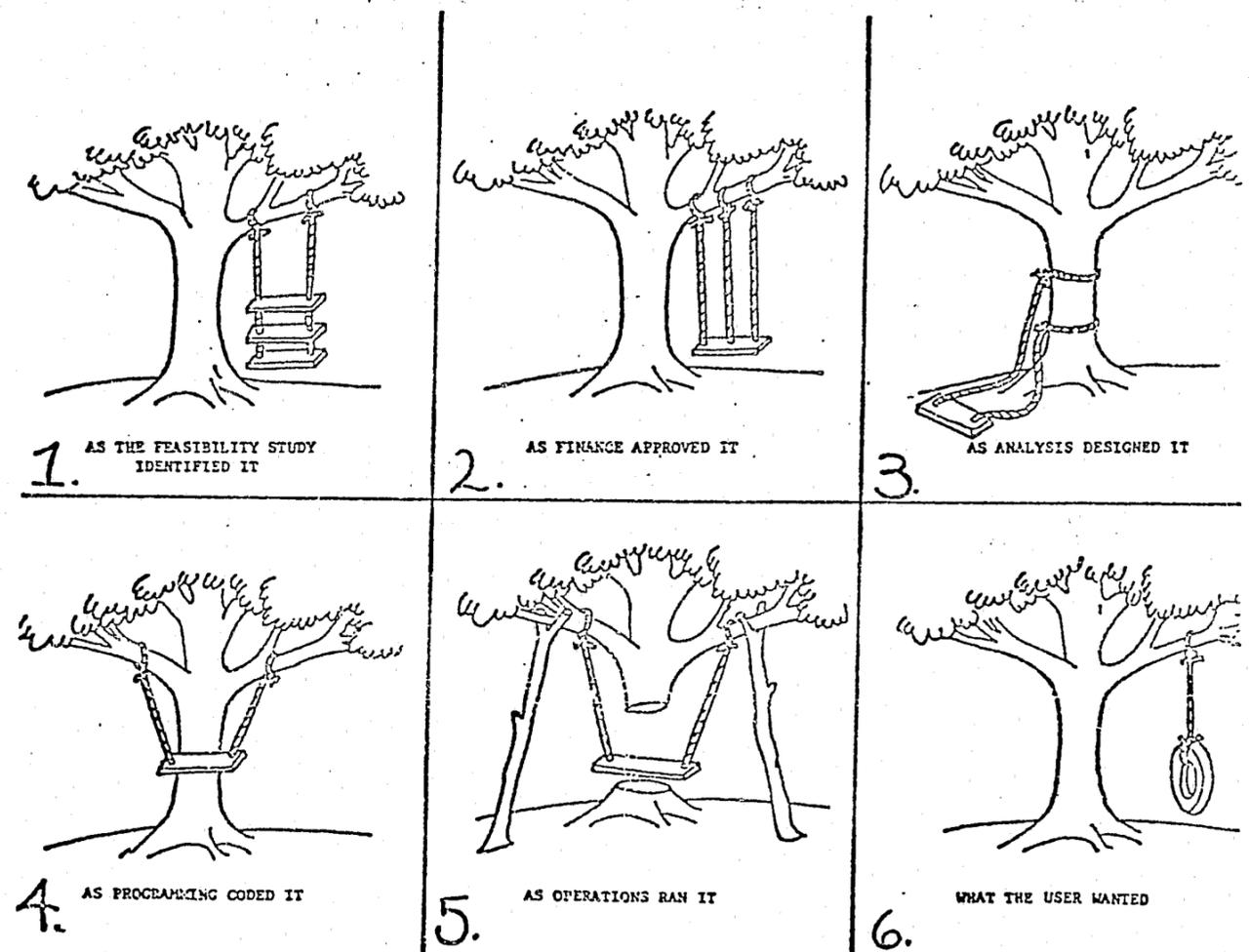
California's major contribution to the growth and improvement of computer system development is a combination of the design methodology as defined in the attached document and the actual sample design requirement document included. California Department of Corrections has found that this systematic definition of a needed computer function by the user increases understanding between user and data processor.

One of the major problems all systems development has experienced is the dissimilarity between what the user requests and what the user receives as a product. This document gives a method which has been found successful in reducing the communication gap between user and data processor. While this system is not perfect, California staff finds that the methodology presented herein has reduced the "communication gap syndrome" so common in systems development. The following cartoon says this better than words.

I. SUMMARY OF ACTIVITIES FOR REPORT PERIOD (Continued)

A. Activities (Continued)

| |
|--------------------|
| PROBLEM DEFINITION |
|--------------------|



—Source unknown
(and if we did, we wouldn't tell)

I. SUMMARY OF ACTIVITIES FOR REPORT PERIOD (Continued)

B. Personnel

The California civil service classifications as described in the original grant application had to be modified due to hiring constraints placed upon the California bureaucracy. Shortly after the funding of the grant, extensive modifications in planning had to be made due to the passage of Proposition 13 which limited access to employees not currently employed by the State of California. This was noted in earlier discussions and formed one of the basic reasons for the extension of the grant to the second year.

C. Fiscal

The budget as established in the original grant has been significantly underspent due to the problems associated with the inability to hire staff.

D. Special Requirements

1. Security and Privacy

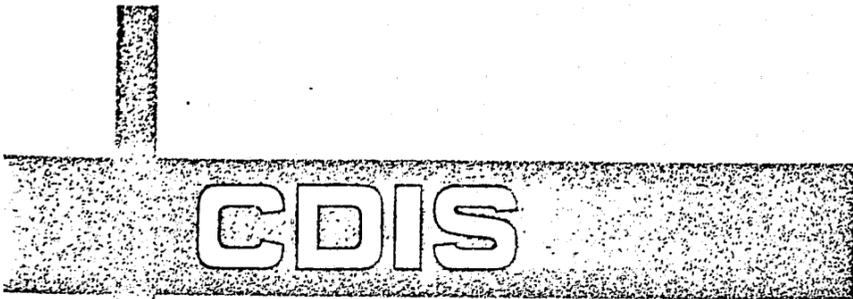
Security and privacy of all activities under this grant are made in compliance with the security and privacy clause of the Crime Control Act of 1973, as has all other OBSCIS and LEAA related activities of the California Department of Corrections.

2. Equal Employment Program

The California Department of Corrections has an approved equal employment program which is in compliance with the Law Enforcement Assistance Administration guidelines.

E. Implementation Problems

Implementation of this system was delayed due to the difficulty of acquiring the staff. The return of unspent funds is a direct result of the aftermath of Proposition 13 and the emergency restrictions placed upon acquisition of staff.



CDIS

CORRECTIONS DECISION INFORMATION SYSTEM

MARIE VIDA RYAN, PROJECT DIRECTOR

DOROTHY M. TUMA, ASSISTANT PROJECT DIRECTOR



CDIS

CALIFORNIA DEPARTMENT OF CORRECTIONS

J. J. ENOMOTO, DIRECTOR

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SACRAMENTO, CALIFORNIA 95814

NCJRS

JUL 24 1980

ACQUISITIONS

ACKNOWLEDGMENTS

The preparation and publication of this report are being funded by grants from the Law Enforcement Assistance Administration (LEAA), U. S. Department of Justice, through the Office of Criminal Justice Planning (OCJP):

OCJP Grant No. 1313 (Part E)

LEAA/OCJP Grant No. 78-ED-AX-0005/D3315

Preface

The purpose of this publication is to present and describe the design requirement document, a communication tool. Such a document is a detailed step-by-step statement of need, definition of concepts, identification of processes, and specification of outputs required for a computerized system.

This publication includes the prototype design requirement document for the vocational education component. It also gives:

- a brief statement of the organization of California's Offender Based Information System (Overview).
- the California Department of Corrections' organization of its systems development process (Appendix A).
- the design requirement outline which was the basic guide for the prototype document contained herein and used for other design documents prepared by the California Department of Corrections in developing Corrections Decision Information System/Offender Based Information System (Appendix B).

CONTENTS

| | Page |
|---|------|
| Preface | iii |
| Contents | iv |
| Overview | 1 |
| Design Requirement Document | 4 |
| Review Signatures | 5 |
| Version Log | 6 |
| Section Chapters | 7 |
| Appendix A, Design Requirement Methodology. | 63 |
| Appendix B, Design Requirement Outline. | 72 |

OVERVIEW

The California Department of Corrections Decision Information System has four major subsystems. These are: legal, movement, description and program. The design effort for each of the subsystems has had to be segmented and developed in a modular way. Thus, the process of design and implementation of such a massive project was controllable.

The program subsystem is the last of the four to be researched, designed, and implemented. The vocational education is a component of the program subsystem and is presented in this prototype design requirement document.

Legal Subsystem

The legal subsystem contains the commitment and term information associated with each offender. The California Offender Based Information System consists of two separate commitment files - one for offenders sentenced under the indeterminate law and one for offenders sentenced under the determinate law, which became effective July 1, 1977. Expansion of the subsystem allows those offenders received with both indeterminate and determinate sentences to have data recorded in each of the respective commitment files. The legal information is the base of length of stay, time served, severity of classification and custody, program admission, as well as for identification in law application or changes due to court decisions and legislation.

Movement Subsystem

The movement subsystem is used to record and maintain an accurate up-to-date file of the physical and/or administrative moves of each offender assigned to the jurisdiction of the California Department of Corrections.

The four basic movement events required to track offenders under the jurisdiction of the Department of Corrections are admission, change of location, change of status, and discharge.

Admission to the Department of Corrections is the beginning of Departmental jurisdiction.

Change of location reports physical moves within and between administrative units of the California Department of Corrections.

Change of status reports modifications in the status of the offender and may or may not be associated with a change in physical location.

Discharge records the termination of Departmental jurisdiction.

As each transaction is processed, it is also stored in a historical file which is used as the primary source for the offender locator program and summary reports.

Description Subsystem

The description subsystem contains the identification, summarized prior criminal history, and demographic data about an offender. The identification data, such as CDC number and name, are the items most often used to request detailed information about an offender's location, status, or history.

The prior criminal history data reflect the offender's experience with the criminal justice system prior to admission to the California Department of Corrections.

The demographic data consist of such items as date of birth, place of birth, ethnic group, and grade placement level.

The data contained within the description subsystem are necessary for development of statistical information and proper classification of offenders within the institution and on parole.

Program Subsystem

The program subsystem deals with both administrative and participatory programs. The administrative programs are those which are prescribed by the Department of Corrections staff for the offender, such as classification, custody, etc. The participatory programs are those in which the offender has an active part in the selection of the programs, such as vocational education (the subject of this design requirement), academic education, and work assignment.

The program subsystem, as discussed in this design requirement document, provides the capability to record the program activities of the offender. Such recordings will provide both institutional and parole managements with an accounting of the various types of work, education, and training programs in which the offender has been involved. With such information administrators can:

- Identify the growth or improved level of proficiency in a vocational skill area from the time an offender entered the system and was released to parole.
- Weed out the nonproductive training programs and concentrate on more viable, useful training programs.
- Identify the offender's possible violence potential and other factors which have been defined in the process of classification and programming within the institution.

- Provide parole management and caseload supervisors with assistance in establishing and locating work for the offender when released to parole.

- Identify the actual utilization of skills learned in the institutional setting by the parolee.

Thus, basic information is available for the development of reports to the Legislature regarding the usefulness, cost/benefit, and need of institution programs supported by the State for the benefit of the incarcerated offender.

In general, this system is designed to service not only the individual offender by providing line and operations staff with information to help classify and recommend programs for an individual, but will also be used to provide summary information to management and administrative staff, the Department of Finance, the Governor, and the Legislature.

CALIFORNIA DEPARTMENT OF CORRECTIONS
CORRECTIONS DECISION INFORMATION SYSTEM

VOCATIONAL EDUCATION COMPONENT
OF THE PROGRAM SUBSYSTEM
DESIGN REQUIREMENTS

Sacramento, California

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

Prepared by
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MANAGEMENT INFORMATION SECTION
CALIFORNIA DEPARTMENT OF CORRECTIONS
For Use by
DATA PROCESSING SERVICES UNIT

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Accepted by
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DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

1.1 Introduction

The vocational education program of the California Department of Corrections (CDC) provides committed offenders with the opportunity to learn a trade and develop skills which may ultimately be productively used in free society. The majority of the vocational education programs are approximately 2,000 hours long. In order to ascertain the merit of the various vocational education programs, an information reporting system is necessary; one which will not only monitor the offender's progress and achievements, but also gather, process, and output information which will aid in determining the value of teaching an offender this skill. The purpose of this project is two-fold: 1) to provide individual information for use by care and treatment staff, and 2) to initiate the development of a follow-up and evaluation component for the vocational education program. Pertinent information regarding individual vocational students will be available to administrators, as well as to classification, vocational education, and parole staffs.

Currently, no machine readable follow-up procedure for former vocational students exists; the last follow-up procedure was dropped in 1973. The lack of current information makes it difficult for the Department to assess the effectiveness of its vocational education program. However, the implementation of this project will furnish a basis for the reinstatement of the follow-up procedure by accumulating data relating to the offender's vocational education in the institution.

This information will also be the basis upon which many summary reports can be produced to be used for vocational program administration, management, and evaluation.

1.2 Current System Description

Presently there is no structured method for collecting data on offenders approved for, enrolled in, or exiting from a vocational education program/course.

The current institution procedures are:

Vocational Education Program/Course Approval

- The offender is approved for program participation in a specified course by the Institution Classification Committee (ICC).
- Approval is documented on the classification chrono (CDC 128-G), which is then placed in the offender's central file.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

1.2 Current System Description (cont.)

Vocational Education Program/Course Waiting List

- If the approved program/course is full, the offender's name is placed on the waiting list until there is a vacancy in the program/course.

Vocational Education Program/Course Entry and Progress Reports

- Upon entry into a specified course, the offender is automatically placed on probationary status for the first 180 hours of instruction. This probationary period allows both student and instructor to assess the student's interest and potential for the program/course subject.
- A quarterly probation report is prepared by the instructor, using the Quarterly Probationary Student Report, Part E (CDC 128-E).
- Student progress is monitored on the Vocational Educational Progress Report which is prepared (1) quarterly; (2) prior to parole board appearances; and (3) upon termination from the program/course prior to completion.
- All probationary and/or progress reports are filed in the offender's central file.

Vocational Education Program/Course Completion

- Upon completion of a vocational education program/course, the instructor prepares a Vocational Training Evaluation Report (CDC 153). This report provides an in-depth evaluation of the student's accomplishments.
- The report is placed in the offender's central file and is also included with other pre-release material forwarded to the regional parole office to which the offender is to be paroled.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

1.3 Proposed Project Description

The proposed project will be an on-line system which will follow individuals from the time of approval to exit from the vocational education program/course. Basic historical information about participation and achievement will be gathered and stored for use by Departmental staff to aid in:

- Placement and transfer of offenders in the Vocational Education Program
- Monitoring of offender progress in program/course
- Parole planning
- Follow-up of former participants
- Budgeting, planning and evaluation of the Vocational Education Program.

Output reports of the system will consist of three types: (1) offender specific, (2) program/course specific, and (3) summary reports.

Offender Specific

An offender profile will contain both information of a general nature on an offender, such as minimum and maximum release date, ethnicity, custody level, and specific information regarding the status of the individual's vocational training. This profile design will permit expansion to include an offender's other non-vocational and vocational program activities. The profile will be accessible to the institutions via on-line terminal and batch processing.

Program/Course Specific

The program/course specific reports will be generated upon request in response to query commands input via computer terminal. These reports will present information such as:

- The number of offenders on each waiting list
- Number of vacancies in vocational education programs/courses

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

1.3 Proposed Project Description (cont.)

Summary Reports

Some examples of reports that will be produced for management staff through the batch mode are:

- Length of waiting time from approval date to program/course entry
- Age classification for all students within vocational education programs/courses
- Ethnic identification of all students within vocational education programs/courses

Such reports will be of use in budgeting, planning, and evaluation of the vocational education program(s).

A follow-up of parolees who participated in the vocational education program will be possible with a future design.

1.4 Developmental Priorities

Developmental priorities are listed below in order from highest to lowest priority.

Expandability and Growth Potential

The highest priority is to have the system amenable to expansion. The system to be developed in this project is only a framework; additional data elements and reporting capabilities will be added in the future. Thus, the system must be designed so that expansion and enhancements can be done with minimal expense and effort.

Flexibility and Maintainability

The system must be capable of modification while continuing the everyday functions of the system.

Performance Efficiency

The system must be capable of providing inquiries and reports with minimum effort and expense.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

1.5 Implementation Considerations

The initial implementation of the subsystem will be in its entirety, including all current vocational education programs/courses. However, if necessary, due to time and resource constraints, the implementation of one vocational education program/course at a time will be considered.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

2.1 Input Description

The following forms are used by staff within the Department of Corrections for reporting activities about an individual offender, and are retained in the offender's central file.

• Classification Chrono (CDC 128-G)

The classification chrono authorizes an offender's participation in specified vocational education program(s)/course(s). The approval date and vocational education program(s)/course(s) approved will be taken from this document.

• General Chrono (CDC 128-G)

The general chrono is a utility form used by the Department and can be designed to provide the following information: vocational education program/course name, vocational education program/course location, offender course entry date, and offender skill level at entry.

• Vocational Education Progress Report (CDC 128-E)

The CDC 128-E is a vocational education progress report which contains the following data: hours completed, reason for termination, and skill level.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

2.2 Data Element Dictionary

| Data Element | Description | Field Size | Type |
|--------------------------------------|--|------------|---------------|
| Approval Date | Identifies the date the offender was approved to participate in the specified vocational education program/course. | 10 | Numeric |
| Apprenticeship | Indicates if the offender has been indentured into an apprenticeship program. | 1 | Alpha |
| CDC Number | The CDC number is a unique identifier assigned to an offender upon first admission from the committing court. This number is valid until the offender is discharged. | 7 | Alpha/Numeric |
| Comments | Informational data associated with a transaction which has no effect on the file. | 78 | Alpha/Numeric |
| Course(s) Approved | Identifies the vocational education program/course for which the offender has been approved to participate. | 14 | Numeric |
| Course Entry Date | Identifies the date the offender entered a designated vocational education program/course for training. | 8 | Numeric |
| Course Location | Identifies the institution at which the offender is participating in the specified vocational education program/course. | 5 | Alpha |
| Current Course | Identifies the course in which the offender is presently enrolled. | 4 | Numeric |
| Current Vocational Education Program | Identifies the current vocational education program for which the offender has begun training. | 4 | Numeric |

2.2 Data Element Dictionary (cont.)

| Data Element | Description | Field Size | Type |
|-----------------------|---|------------|---------------|
| Employability | Designates the type of job(s) which the offender is qualified to perform upon completion of training. | 95 | Alpha/Numeric |
| Hours Completed | Reflects the cumulative number of hours the offender has completed for the specified course. | 4 | Numeric |
| Name | Reflects the offender's name as it is recorded on the original Abstract of Judgment committing the offender under the present CDC number. | 35 | Alpha/Numeric |
| No. Courses Completed | Reflects the number of courses an offender has completed toward the specified vocational education program. | 2 | Numeric |
| Program Entry Date | Identifies the date the offender entered a specified vocational education program. | 10 | Numeric |
| Removal Date | Identifies the date the offender's name was removed from the waiting list. | 10 | Numeric |
| Removal Reason | Specifies the reason the offender's name was removed from the waiting list. | 5 | Alpha |
| Skill Level | Reflects the offender's level of proficiency in relationship to the designated vocational education program/course. | 12 | Alpha |
| Entry | The offender's level of skill at time of entry into specified course of training. | 12 | Alpha |
| Modification | The offender's level of skill at time of modification of data. | 12 | Alpha |
| Termination | The offender's level of skill at time of course completion or termination. | 12 | Alpha |

SECTION 2
INPUT

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

VERSION 1
OCTOBER 1979

2.2 Data Element Dictionary (cont.)

| Data Element | Description | Field Size | Type |
|--------------------------|--|------------|---------------|
| Status Modification Date | Identifies the date on which the current vocational education program/course data for an offender has been modified. | 10 | Numeric |
| Termination Date | Identifies the date the offender completes or exits from a specified vocational education program/course. | 10 | Numeric |
| Termination Reason | Specifies the reason an offender exits from a specified vocational education program/course. | 2 | Alpha/Numeric |

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

2.3 Validation and Conditional Edits

| Data Element | Validation Edit | Conditional Edit | Warning Message | Error Message |
|--|--|--|-----------------|---|
| Approval Date | Standard date format MM/DD/YYYY | If present, then course(s) approved must be present. | | Invalid approval date No. courses indicated |
| Apprenticeship | 'Y' or blank | | | Invalid apprenticeship code |
| CDC Number | The first character of CDC number must be one of the following: A, B, C, W, N, or 0 (zero). The second through sixth characters must be numeric. The seventh digit must be blank. | Must be present. CDC number must be on OI. CDC number must be active. | | Invalid CDC number CDC number missing CDC number not on file CDC number discharged |
| Course(s) Approved | Valid CDIS/OBIS vocational education course code | If present, then approval date must be present. | | Invalid course code No approval date indicated |
| Course Entry Date | Standard Date Format | If present, then must be equal to or greater than approval date. If present, then course course location must be present. | | Invalid course entry date Entry date prior to approval date. Course location missing |
| Valid CDIS/OBIS Primary Reporting Unit Code | Valid CDIS/OBIS primary code | If present, then course entry date must be present. | | Invalid course location code Course entry date missing |
| Current Vocational Education Program | Valid CDIS/OBIS vocational education program/course code | If present, then program entry date must be present. | | Invalid current vocational education program code Program entry date missing |
| Current Course | Valid CDIS/OBIS vocational education program/course code | If present, then course entry date must be present. | | Invalid current course code Course entry date missing |

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

2.3 Validation and Conditional Edits (cont.)

| Data Element | Validation Edit | Conditional Edit | Warning Message | Error Message |
|-----------------------|---|---|---------------------------|--|
| Employability | Valid DOT code in one of following formats: xxx.xxx or xxx.xxx-xxx | If present, then termination date should be present. | Termination date missing. | Invalid DOT code |
| Hours Completed | Valid four digit number: 0000-9999 | | | Invalid format for hours completed |
| Name | | Must match name recorded on the OI for the specified CDC number | | CDC number and name do not match name on file |
| No. Courses Completed | Valid two digit number: 01-99 | | | Invalid format for no. courses completed |
| Program Entry Date | Standard date format | If present, must be equal to or greater than approval date. If present, then current vocational education program must be present. | | Invalid program entry date Program entry date prior to approval date Current vocational education program code not indicated |
| Removal Date | Standard date format | If present, then removal reason must be present. | | Invalid removal date Removal reason code missing |
| Removal Reason | Valid CDIS/OBIS removal reason code | If present, then removal date must be present. | | Invalid removal reason code Removal date missing |

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

2.3 Validation and Conditional Edits (cont.)

| Data Element | Validation Edit | Conditional Edit | Warning Message | Error Message |
|--------------------------|---|---|-----------------------------------|---|
| Skill Level | Must be one of the following valid codes: Skilled, Semi-skilled, or Unskilled. | | | Invalid skill level |
| Entry | | Must be present | | Skill level at entry missing |
| Modification | | If present, then status modification date must be present. | | Status modification date missing |
| Termination | | If present, then termination date must be present. | | Termination date missing |
| Status Modification Date | Standard date format | If present, must be greater than course entry date. | | Invalid status modification date. |
| | | If present, then number of hours completed should be present. | Missing number of hours completed | Status modification date prior to course entry date |
| | | If present, then skill level modification should be present. | Missing skill level | |

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

2.3 Validation and Conditional Edits (cont.)

| Data Element | Validation Edit | Conditional Edit | Warning Message | Error Message |
|--------------------|--|---|---|--|
| Termination Date | Standard date format | <p>If present, must be greater than course entry date.</p> <p>If present, then termination reason must be present.</p> <p>If present, then skill level termination should be present.</p> <p>If present, then hours completed should be present.</p> <p>If present, then employability should be present.</p> | <p>Missing skill level.</p> <p>Missing hours completed.</p> <p>Employability missing.</p> | <p>Invalid transaction date</p> <p>Termination date prior to course entry date</p> <p>Termination reason missing</p> |
| Termination Reason | One of CDIS/OBIS valid termination reason codes. | <p>If present, then termination date must be present.</p> | | <p>Invalid termination reason code</p> <p>Termination date missing</p> |

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

3.1 Processing Requirements

Data entry/modification general processing needs are:

- (1) Add data (entry)
- (2) Modify data (change)
- (3) Delete data

Workload Estimates

Presently, there are approximately 2,300 offenders enrolled in the vocational education program. At implementation of the system, data will be collected for offenders being approved for or entering the vocational education program at that time. Due to staffing limitations, no effort will be made to collect data on offenders who entered the vocational education program prior to the implementation date. However, in order to maintain an accurate waiting list, an effort will be made to collect sufficient data to produce a waiting list regardless of the time the offender's name was placed on the list.

3.2 Program Subsystem Interrelationship

Offender Index File

The interrelationship with the offender index(OI) file initially occurs at time of entry for verification of CDC number and name. Thereafter, each time vocational education data are entered or changed, specified portions of that transaction are recorded on the offender index for queries and reports.

Description File

The program reporting subsystem will interface with the description file for the production of reports.

Program History File

Each program transaction entered for a CDC number is to be recorded on the program history file to be used for reports and as an audit trail. The purge criteria as to length of time data are to be retained will be determined at a later date.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

3.3 Error Processing

Error processing for all validations and conditional edits discussed in Section 2.3 will be processed as follows:

No Errors

Error-free transactions update the data base and form the basis for later reports and queries.

Warnings

When the consistency edits indicate that the data being entered are incorrect, a warning message will be displayed, but the data will be accepted for entry and the files updated. However, when a warning does occur, an exception report listing those transactions will be produced on a weekly basis.

Errors

Errors detected at the time of data entry result in the transaction being rejected and an error message being sent back to the operator. If the error is the result of a data entry mistake, the error can be corrected and re-entered. Other errors require that the discrepancy between the data entry document and the information contained within the data base be resolved before re-entry.

3.4 File Control

System Integrity and File Control

Only qualified personnel may access the data base. A determination will be made regarding the personnel who may access the data base for data entry and inquiry.

Some functions that may be performed by respective staff are:

CDIS/OBIS Central Office Staff

- (1) Add data
- (2) Modify data
- (3) Delete data--reverse a transaction entered in error

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

3.4 File Control (cont.)

CDC Institution Staff

- (1) Add data
- (2) Modify data
- (3) CDC institution staff may not delete a transaction entered in error.

File Control and Security

Provisions must be made to allow for the re-creation of the program history file from separate and distinct sources. Also, a separate master file which contains current data must be stored in an area which protects the data from fire, water, and other potential hazards.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.1 Output Overview

The vocational education output will consist of the following three types:

- Offender specific
- Program/course specific
- Summary reports

Each of these output types is defined separately under Section 1.3, Proposed Project Description. Appropriate formats and output specifications are displayed and described in Section 4.2, Output Format.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format

Title: Offender Profile: Vocational Education

Purpose: Provide an automated status report of an offender's participation in and skills obtained from the CDC vocational training program.

Use: Furnish CDC staff with an up-to-date report of an individual offender's vocational training or skill level attained. The data will aid in activities such as:

- Provide information for review by the Classification Staff Representative (CSR) when considering offender transfer recommendations.
- Aid the Institution Classification Committee (ICC) in deciding which assignments are appropriate for an offender.
- Provide the Parole and Community Services Division with data for offender job referrals and placement.
- Provide the Board of Terms and Paroles with information to use in setting parole dates for those offenders with indeterminate sentences.

Selection Criteria: Records are chosen to be included in the output based on:

- CDC number
- Name

Source: The following CDIS/OBIS subsystems files will be used to produce the report:

- Program
- Description
- Offender Index

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

Data Elements and Field Calculations:

1. Date of Inquiry (MM/DD/YYYY)

- On-line
Date of terminal request
- Batch
Date report printed

2. Offender Description Information

- a) CDC number
- b) Name
 - Display full name
- c) Ethnicity
 - Using CDIS/OBIS ethnic codes, display description of ethnic type.
- d) Location
 - Use CDIS/OBIS primary reporting unit codes to display physical location of offender.
- e) Custody level
- f) Controlling offense
 - Statutory code abbreviation must precede offense code, i.e., P21F, H11378. The code section indicating Attempt (P664) and/or Conspiracy (P182) must precede the offense code. The code sections must be separated by a slash.

Example: P664/P20 (Attempted Robbery)

• Offense name (Description)

Display the name of offense associated with the offense code. If attempt or conspiracy is appropriate, it must be displayed immediately preceding the offense name, i.e., ATT/ROBBERY or CSP/ROBBERY. Whenever the description of the offense including ATT or CSP are longer than 35 characters, the program should truncate the descriptions as necessary.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

- g) Minimum release date (MM/DD/YYYY)
- h) Maximum release date (MM/DD/YYYY)

3. Academic/skill level at entry to CDC

The following data will be displayed as recorded on the description history file using data recorded at the time the offender was received by CDC for the original term.

- a) GPL
 - Overall grade placement level
- b) Math
 - Arithmetic grade placement level
- c) Reading
 - Reading grade placement level
- d) Job skill level
- e) Prior training

4. Current Academic/Skill level

- a) The following data elements will be displayed as recorded on the description history file using the most current data.
 - GPL
 - Math
 - Reading
- b) Job skill level
 - Using the program history file, display the most current level recorded.
- c) Completed courses
 - Use program history file for data.
 - Using CDIS/OBIS vocational education program/course codes display complete description of each course offender has completed for current vocational education program.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

5. Current Vocational Education Program

- a) Current vocational education program
 - If blank, display 'none'.
 - If present, use CDIS/OBIS vocational education program/course and location codes to complete program/course description.
- b) Date entered (MM/DD/YYYY)
 - Use program entry date to display the date entered.
- c) Apprenticeship program
 - Display 'yes' or 'no'
 - Y = yes
 - Blank = no
- d) Number of courses completed
 - Display number recorded in "NO. COURSES COMPLETED" data field.
- e) Hours completed
- f) Current course
 - Using CDIS/OBIS vocational education program/course and location codes, display complete course description.
- g) Course entry date (MM/DD/YYYY)
- h) Date terminated (MM/DD/YYYY)
- i) Termination reason
 - Using CDIS/OBIS termination reason codes, display complete reason description.
- j) Employable as
 - Display DOT code(s) as recorded employability data field.
- k) Comments
 - Display data as recorded in comments data field.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

6. On waiting list for
 - a) Display only if offender has not entered specified program/course(s).
 - b) Maximum of three (3) program/courses.
 - c) Using CDIS/OBIS vocational education program/course codes, display complete program/course description.
7. Date entered on waiting list (MM/DD/YYYY)
 - Use approval date for display.

Special Processing Instructions

1. No vocational education record
 - If an offender has not been in vocational training, no data will be found. Therefore, if a profile is requested, display the offender's descriptive information, academic/skill level at entry to CDC, current vocational education program with the word 'none' displayed and when applicable the waiting list information. All other data fields should be suppressed.
2. Participation in multiple courses
 - If an offender is enrolled in more than one course, all data are to be displayed as usual with the exception of the following two (2) data elements, which must be displayed for each course: current course and course entry date. The course with the most recent date is to be displayed first, then the others chronologically with the oldest course entry date last.
3. Additional data elements for batch reports
 - The bottom line information appears on batch reports only. Display the following: CDC number, name, current location, and report date.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

Sequence of Data

See Special Processing Instructions

Sequence of report

- Batch
 - Sort profiles by institution
- On-line
 - None specified

Distribution:

Hard copy to be mailed to institution of current location.

Response Time:

- Queries
 - Immediately
- Batch reports
 - Overnight

Frequency:

- Daily
- On demand

Volume:

Approximately 150 - 200 per day.

Number of copies:

One

Special forms:

8½"x11" unruled paper

Special Paging Requirements:

Page break for each offender's profile. Number pages consecutively.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

4. Hours required to complete course
 - To be defined later
5. Program/course custody level
 - To be defined later
6. CDC number
7. Name
8. Date entered list
 - Display using course approval date
 - Order list by course approval date with earliest date listed first.
9. Ethnicity
 - Using CDIS/OBIS ethnic codes, display description of ethnic type.
10. Minimum release date (MM/DD/YYYY).

Sequence of data:

By date entered on list--earliest date first.

Sequence of report:

None specified

Distribution: Hard copy generated at institution which made request.

Response time: Overnight

Frequency: On demand

Volume: Variable--approximately 10 per day

Number of copies: One

Special Forms:

- Standard computer paper
- Print boundaries to be within 8½"x11"

Special paging requirements

- Number sequentially if more than one page required
- Repeat headings on each page if more than one page required

EXHIBIT 2

Page

CALIFORNIA DEPARTMENT OF CORRECTIONS

DATE:

VOCATIONAL EDUCATION

WAITING LIST: (PROGRAM/COURSE NAME - LOCATION)

Program/course custody level: Hours required to complete program/course:

| CDC Number | Name | Date entered on list | Ethnicity | Minimum release date |
|------------|------|----------------------|-----------|----------------------|
| | | | | |

This is to be output directly by the computer.

Due to technological constraints, vertical and horizontal lines may not be printed (drawn).

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

Title : Class Roster: Vocational Education

Purpose: Provide an automated list of offenders enrolled in a specified vocational course.

Use: Furnish CDC staff with an up-to-date listing of offenders enrolled in specified courses. The data will aid in activities such as:

- Provide information on class capacity, number of offenders currently enrolled and number of vacancies in a specified vocational education program/course and institution.
- Assist the vocational instructor(s) in record keeping, i.e., attendance.

Selection Criteria: Records are chosen to be included in the output either option A or option B, based upon:

- Vocational education program/course name
- Institution
- Course entry date prior to or within reporting period on absence of 'termination date'.

Source: The following CDIS/OBIS subsystems/files will be used to produce the report:

- Program
- Description
- Offender Index

Data Elements and Field Calculations:

1. Date (MM/DD/YYYY)

Date of terminal request

2. Roster for:

- a) Course name and location
 - Using the CDIS/OBIS vocational education program/course codes, display the complete program/course description.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

b) Institution

- Display using the CDIS/OBIS vocational education program/course and location codes.

- The institution code should always be displayed immediately following the program/course name, separated by a dash (-) mark.

Note: The program/course name is variable length with a maximum of 28 characters.

3. Class capacity

- To be specified later.

4. Current number enrolled

- Display the total number of offenders currently enrolled in the specified program/course.
- If termination date for subject present, do not count.

5. Vacancies

- Subtract the total number of offenders currently enrolled from the class capacity to obtain number.

6. Number on waiting list

- Display the number of offenders on waiting list for specified program/course.
If none, then display 'none'

7. CDC number

8. Name

- Display full name

9. Hours completed

10. Entry Date (MM/DD/YYYY)

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

Sequence of data

The report will be requested in one of the following sequences:

Option A

1. CDC number

- Order CDC number in ascending order
- If requested in CDC order, then the CDC number is to be displayed first, followed by the offender's name.

Option B

2. Name

- Order names in alphabetical order.
- If requested by name order, then the offender's name is to be displayed first followed by the CDC number.

Sequence of report:

None specified

Distribution: To requestor

Response time: Same day

Frequency: On demand

Volume: Variable

Number of copies: One

Special forms: Standard computer paper

Special paging requirements

- Number sequentially, if more than one required
- If more than one page required, then repeat headings on each page.

EXHIBIT 3

Page

CALIFORNIA DEPARTMENT OF CORRECTIONS

DATE:

VOCATIONAL EDUCATION

ROSTER FOR: (PROGRAM/COURSE NAME - LOCATION)

CLASS CAPACITY:

CURRENT NUMBER ENROLLED:

VACANCIES:

NUMBER ON WAITING LIST:

| CDC Number | Name | Hours completed | Entry date |
|------------|------|-----------------|------------|
| | | | |

This is to be output directly by the computer.
Due to technological constraints, vertical and horizontal lines may not be printed (drawn).

| Name | CDC Number | Hours completed | Entry date |
|------|------------|-----------------|------------|
| | | | |

(OPTION A)

(OPTION B)

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

Title: Waiting Time/Vacancies/Class Capacity: Vocational Education
by Course and Location

Use: Provide CDC staff, both administrators and management, with data on class size, availability and median waiting time. The data will aid in the following activities:

- Provide the classification staff representative and correctional counselor with class availability, need to determine placement and/or transfer needs for an offender.
- To assist management with evaluations of program
 - Utilization rates, i.e., the ratio of vacancies to class size.
 - Does a waiting list exist and if so, how many are waiting for how long.

Selection Criteria: Course entry date and approval dates within the report period.

Source: Data selected for output will be from the following CDIS/OBIS subsystem/files:

- Program
- Description
- Offender Index

Data Elements and Field Calculations:

1. Row Definitions

- a) Course and location
 - Using CDIS/OBIS vocational education program/course name codes, display the complete description of the course.
 - Order alphabetically

2. Column Definitions

- a) Capacity
 - To be specified later

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

- b) Number of vacancies
 - Count the number of offenders entered in the specified class and subtract that number from class capacity to obtain number of vacancies.
- c) Number on waiting list
 - Count the number of offenders on the course waiting list who have not yet entered the course as of report date.
- d) Median waiting time in days
 - Count all offenders who entered a course within the last twelve (12) months and calculate the length of waiting time for each offender, then store answer and compute median value.

Use the following data elements to compute:

- Course entry date
- Minus
- Approval date
- Equals
- Waiting time

Array the waiting time values and select median value following median computation formula.

Sequence of data:

- See each data element.

Sequence of report:

- None specified

Distribution:

- Hard copy to requestor
- Monthly report--hard copy to central office education staff

Response time:

- On line - same day
- Monthly report - overnight

Frequency:

- On demand
- Monthly

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

Volume: Variable according to demand

Number of copies: One

Special Forms:

- Standard computer paper
- Print boundaries to be within 8½"x11"

Special paging requirements:

- Number sequentially if more than one page required,
- If more than one page required, then repeat headings on each page.

EXHIBIT 4

Page

CALIFORNIA DEPARTMENT OF CORRECTIONS

DATE:

VOCATIONAL EDUCATION

CLASS CAPACITY, VACANCIES AND MEDIAN WAITING TIME IN DAYS

BY

COURSE AND LOCATION

(REPORT PERIOD)

| Course and location | Class capacity | Number vacancies | Number on wait list | Median wait time in days |
|---------------------|----------------|------------------|---------------------|--------------------------|
| | | | | |

This is to be output directly by the computer.
Due to technological constraints, vertical and horizontal lines may not be printed (drawn).

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

Title: Characteristics of Program Participants: Vocational Education

Purpose: Provide management and administrative staff with reports on age and ethnic breakdown of vocational education participants.

Use: Furnish data which will aid CDC staff in maintaining ethnic balance and age within the vocational education program.

Selection Criteria: Records to be included within the report are to be based upon the following data elements which have dates that fall within the report period:

- Course entry dates earlier than or within the report period
- Termination dates within report period

Source: Data selected for output will be from the following CDIS/OBIS subsystem/files:

- Program
- Description
- Offender Index

Data Elements and Field Calculations:

1. Row Definition.

- a) Total = the total number of students for all vocational education courses. Note: Offenders enrolled in multiple courses will be counted more than once.
- b) Course
 - Using CDIS/OBIS vocational education program/course and location codes, display the complete program/course description.
 - Order alphabetically.
- c) Location
 - Display location of course using CDIS/OBIS vocational education program/course and location codes
 - Order alphabetically.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

2. Column Definition

a) Total

- The first total equals the total number of students for all vocational courses. Note: Offenders enrolled in multiple courses will be counted more than once.
- The total for each course must equal the number of students enrolled at each institution at which the course is given.

b) Age

- The age categories are as follows:
 - Under 20
 - 20-24
 - 25-29
 - 30-34
 - 35-39
 - Over 39
- Each age column will consist of:
 - Number
 - Percent
 - Percentages should not be calculated for program/course containing fewer than 10 students.

c) Ethnic group

- The ethnic categories are as follows:
 - White
 - Black
 - Mexican-American
 - Other
- Each ethnic column will consist of
 - Number
 - Percent

3. Balancing requirements

All rows and columns must add and cross foot.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

4.2 Output Format (cont.)

Sequence of data:

See each data element.

Sequence of report:

None specified.

Distribution: One hard copy to each institution and one copy to education administrative staff in central office.

Response time: overnight

Frequency: Quarterly or upon request.

Volume: 14 per request

Number of copies: One

Special Forms: Standard computer paper

Special paging requirements

- Number sequentially if more than one page required
- If more than one page required, then repeat headings on each page.

CALIFORNIA DEPARTMENT OF CORRECTIONS

Page

DATE:

VOCATIONAL EDUCATION
CHARACTERISTICS OF PROGRAM PARTICIPANTS: AGE
BY
COURSE AND LOCATION
(REPORT PERIOD)

SECTION 4
OUTPUT
EXHIBIT 5A

| Course and location | Total | Under 20 | | 20 - 24 | | 25 - 29 | | 30 - 34 | | 35 - 39 | | Over 39 | |
|---------------------|-------|----------|----------|---------|----------|---------|----------|---------|----------|---------|----------|---------|----------|
| | | Num-ber | Per-cent | Num-ber | Per-cent | Num-ber | Per-cent | Num-ber | Per-cent | Num-ber | Per-cent | Num-ber | Per-cent |
| Total | | | | | | | | | | | | | |

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Due to technological constraints, vertical and
horizontal lines may not be printed (drawn).

EXHIBIT 5A

VERSION 1
OCTOBER 1979

EXHIBIT 5B

Page

CALIFORNIA DEPARTMENT OF CORRECTIONS

DATE:

VOCATIONAL EDUCATION

CHARACTERISTICS OF PROGRAM PARTICIPANTS: ETHNICITY

BY

COURSE AND LOCATION

(REPORT PERIOD)

| Course and location | Total | White | | Black | | Mexican-American | | Other | |
|---------------------|-------|---------|----------|---------|----------|------------------|----------|---------|----------|
| | | Num-ber | Per-cent | Num-ber | Per-cent | Num-ber | Per-cent | Num-ber | Per-cent |
| | | | | | | | | | |

This is to be output directly by the computer.
 Due to technological constraints, vertical and horizontal lines may not be printed (drawn).

DESIGN REQUIREMENTS

OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

5.1 Limitations

Only authorized CDC personnel may have access to the data base, using criteria specified in the federal and state guidelines for security and privacy, i.e., the right and need to know.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

6.1 Acceptance Criteria

An acceptance test plan will be developed after the data processing analysts have reviewed this document and prepared the system specifications document.

DESIGN REQUIREMENTS
OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

7.1 Source Documents

Exhibit 1 - General Chrono (CDC 128-B)

Exhibit 2 - Vocational Education Progress Report (CDC 128-E)

Exhibit 3 - Vocational Training Evaluation Report

Note: The Department has a form for each program/course but only two (2) examples are included.

EXHIBIT 3-A

California Department of Corrections
VOCATIONAL TRAINING EVALUATION REPORT—DRAFTING Education Program

| | | |
|--|-----------------------|-----------------------|
| INSTITUTION | NAME (Last, First) | NUMBER |
| Terminated, Completion, Pre-Parole (Specify) | Date Entered | Date Terminated |
| | Total Hours of Course | Total Hours Completed |

GRADE CODE: 1 = Skilled; 2 = Semiskilled; 3 = Familiar; 4 = Unskilled

PHASE I: JOB-ENTRY LEVEL SKILLS

| Hours | SHAPE DESCRIPTION/ ORTHOGRAPHS | Hours | PICTORIAL DRAWINGS | Hours |
|---------------------------------|---------------------------------------|-------|--------------------------------|-------|
| FUNDAMENTALS | | | | |
| () Orientation/Survival Skills | () Projections | | () Isometrics | |
| () Care/Use of Equipment | () Sectional Views | | () Oblique | |
| () Lettering | () Auxiliary Views | | () Perspective | |
| () Geometric Construction | () Dimensioning | | | |
| () Materials and Processes | | | | |
| FREE HAND SKETCHING | DEVELOPMENTS AND INTERSECTIONS | | SCREW THREADS/FASTENERS | |
| () Orthographics | () | | () Threads | |
| () Pictorial | | | () Fasteners | |

PHASE II: CAREER PREPARATION

| Hours | MAP DRAFTING | Hours | WELDING DRAFTING | Hours |
|------------------------------|----------------------------------|-------|--------------------------------------|-------|
| ARCHITECTURAL | | | | |
| () Basic Skills/Terminology | () Proper Description | | () Types of Joints/Symbols | |
| () Plans | () Contour Maps | | () Welding Drawing | |
| () Use of References | () Plates of Survey | | | |
| | () Scribing | | | |
| MACHINE DRAFTING | TECHNICAL ILLUSTRATION | | SHEET METAL DEVELOP./DRAFTING | |
| () Engineering Materials | () Exploded Views | | () Intersections | |
| () Manufacturing Process | () Rendering | | () Developments | |
| () Working Process | | | | |
| ELECTRONIC DRAFTING | STRUCTURAL STEEL DRAFTING | | SPECIALIZED DRAWINGS | |
| () Schematics/Diagrams | () Structural Shapes/Symbols | | () | |
| () Component Symbols | () Structural Fasteners | | () | |
| () Printed Circuit Layout | () Structural Drawings | | () | |

Instructor's Evaluation of Employability (Job Spec. Numbers are from U.S. Dept. of Labor Dictionary of Occupational Titles.)

| | | |
|---------------------------------------|-----|-------------------------------------|
| () No Employable Skills | () | () Drafting Clerk.....249.281 |
| () Architectural Draftsman...001.281 | () | () Sheet Metal Draftsman...014.281 |
| () Mechanical Draftsman...007.281 | () | () Topographical Draftsman 017.281 |

ATTITUDE EVALUATION

| | Above Average | Acceptable | Below Average |
|---|---------------|------------|---------------|
| • Ability to accept supervision; accepts fellow employees | () | () | () |
| • Ability to produce | () | () | () |
| • Punctuality and absenteeism | () | () | () |
| • Initiative and ability to improve technical competency | () | () | () |
| • Desire to continue in trade | () | () | () |

INSTRUCTOR'S PERSONAL EVALUATION OF STUDENT:

Supervisor of Vocational Instruction _____ Date _____ Instructor _____

EXHIBIT 3-B

California Department of Corrections
VOCATIONAL TRAINING EVALUATION REPORT—Airframe Education Program

| | | |
|--|-----------------------|-----------------------|
| INSTITUTION | NAME (Last, First) | NUMBER |
| Terminated, Completion, Pre-Parole (Specify) | Date Entered | Date Terminated |
| | Total Hours of Course | Total Hours Completed |

GRADE CODE: 1 = Skilled; 2 = Semiskilled; 3 = Familiar; 4 = Unskilled

| SUBJECT | REQUIRED HOURS | ACTUAL HOURS |
|---|----------------|--------------|
| () Mathematics | 20.0 | |
| () Aircraft Drawings | 88.0 | |
| () Basic Physics | 8.0 | |
| () Basic Electricity | 78.5 | |
| () Fluid Lines and Fittings | 25.0 | |
| () Materials and Processes | 80.5 | |
| () Cleaning and Corrosion Control | 38.0 | |
| () Ground Operation and Servicing | 30.0 | |
| () Maintenance Publications | 19.0 | |
| () Maintenance Forms and Records | 13.0 | |
| () Mechanic Privileges and Limitations | 5.0 | |
| () Weight and Balance | 40.0 | |
| () Wood Structures | 42.5 | |
| () Fabric Covering | 36.5 | |
| () Aircraft Finishes | 30.0 | |
| () Sheet Metal Structures | 146.0 | |
| () Welding | 95.0 | |
| () Assembly and Rigging | 61.0 | |
| () Airframe Inspection | 20.0 | |
| () Aircraft Electrical Systems | 105.0 | |
| () Hydraulic and Pneumatic Power Systems | 72.0 | |
| () Aircraft Landing Gear System | 82.0 | |
| () Position and Warning Systems | 20.0 | |
| () Aircraft Instrument Systems | 20.0 | |
| () Aircraft Fuel Systems | 36.0 | |
| () Communication and Navigation System | 20.0 | |
| () Cabin Atmosphere Control System | 30.0 | |
| () Ice and Rain Control | 12.0 | |
| () Fire Protection Systems | 12.0 | |

Instructor's Evaluation of Employability (Job Spec. Numbers are from U.S. Dept. of Labor Dictionary of Occupational Titles.)

| | |
|---|--|
| () No Employable Skills | () Aircraft Mechanic621.281 |
| () Aircraft Mechanic Helper621.284 | () Apprentice, Aircraft621.281 |
| () Aircraft Metal Worker807.381 | () Aircraft Mechanic, Rigging & Controls801.381 |
| () Aircraft Mechanic Electrical825.381 | |

ATTITUDE EVALUATION

| | Above Average | Acceptable | Below Average |
|---|---------------|------------|---------------|
| • Ability to accept supervision; accepts fellow employees | () | () | () |
| • Ability to produce | () | () | () |
| • Punctuality and absenteeism | () | () | () |
| • Initiative and ability to improve technical competency | () | () | () |
| • Desire to continue in trade | () | () | () |

INSTRUCTOR'S PERSONAL EVALUATION OF STUDENT:

Supervisor of Vocational Instruction _____ Date _____ Instructor _____

SECTION 8
TERMS AND DEFINITIONS

VERSION 1
OCTOBER 1979

DESIGN REQUIREMENTS

OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

8.1 Terms and Definitions

| | |
|-----------------------------|--|
| ICC | Institutional Classification Committee: consists of three or more members having the primary responsibility for all classification actions within the institution. |
| DOT codes | Dictionary of Occupational Titles codes: code numbers which uniquely identify jobs of all types. Developed by the U.S. Department of Labor. |
| Selection Criteria | The basis upon which records are chosen to be included in the output. |
| Sequence | Order in which output is to be produced or order in which output is to be sorted. |
| Special Forms | Size and type of paper on which output is to be printed. |
| Special Paging Requirements | Instructions on pagination, page breaks, etc. |
| Volume | Number of outputs per run or per unit time. |

SECTION 9
REFERENCE CODES

VERSION 1
OCTOBER 1979

DESIGN REQUIREMENTS

OFFENDER PROGRAM REPORTING SUBSYSTEMS: VOCATIONAL EDUCATION

9.1 List of Reference Codes

- Exhibit 1 - Primary Reporting Units
- Exhibit 2 - Removal Reasons
- Exhibit 3 - Termination Reasons
- Exhibit 4 - Vocational Education Program/Course and Location

SECTION 9
 REFERENCE CODES
 EXHIBIT 1

VERSION I
 OCTOBER 1979

PRIMARY REPORTING UNITS

| Code | Unit | Location |
|-------|---|-----------------|
| CCC | California Correctional Center | Susanville |
| CCI | California Correctional Institution | Tehachapi |
| CIM | California Institution for Men | Chino |
| CIM-E | California Institution for Men East Facility | Chino |
| RCC | Reception Center - Central | Chino |
| CIW | California Institution for Women | Frontera |
| CIWRC | Reception Center - Women | Frontera |
| CMC | California Mens Colony | San Luis Obispo |
| CMF | California Medical Facility | Vacaville |
| NRC | Northern Reception Center | Vacaville |
| CRC | California Rehabilitation Center | Corona |
| CRCW | California Rehabilitation Center-Women | Corona |
| | California Training Facility | |
| CTF-C | Central | Soledad |
| CTF-N | North | Soledad |
| CTF-S | South | Soledad |
| DVI | Deuel Vocational Institution | Tracy |
| FOL | Folsom | Represa |
| SQ | San Quentin | San Quentin |
| SCC | Sierra Conservation Center | Jamestown |
| SACCO | Central Office | Sacramento |
| REG1 | Parole Region I | Sacramento |
| REG2 | Parple Region II | San Francisco |
| REG3 | Parole Region III | Los Angeles |
| REG4 | Parole Region IV | Santa Ana |
| ISPU | Interstate Parole | Sacramento |

SECTION 9
 REFERENCE CODES
 EXHIBIT 2

VERSION I
 OCTOBER 1979

REMOVAL REASONS

| Code | Removal reason |
|-------|--|
| TRANS | Transferred |
| PAR | Paroled |
| DCH | Discharged |
| MED | Hospitalization/Medical |
| DIED | Deceased |
| IR | Inmate request |
| CLMOD | Custody level modification (minimum qualification to program are no longer met, <u>custody</u> level change) |
| OTHER | Other |

SECTION 9
REFERENCE CODES
EXHIBIT 4

VERSION I
OCTOBER 1979

VOCATIONAL EDUCATION PROGRAM/COURSE AND LOCATION

| Code | Vocational Education Program/Course | MEN | | | | | | | | | | | | WOMEN | |
|------|-------------------------------------|-----|-----|-----|-----|-----|-----|-------|-------|-------|-----|-----|-----|-------|-----|
| | | CCC | CCI | CIM | CMC | CMF | CRC | CTF-C | CTF-N | CTF-S | DVI | FOL | SCC | SQ | CIW |
| 2200 | Fabrics | X | X | | X | | X | X | X | | X | | X | | |
| 2210 | Dry Cleaning | | | | | | | | | | | | | | |
| 2220 | Shoe Repair | | | | | | | | | | | | | | |
| 2230 | Tailoring | | | | | | | | | | | | | | |
| 2240 | Upholstery | | | | | | | | | | | | | | |
| 2300 | Food Services | X | X | X | X | | X | X | | X | | X | X | | X |
| 2310 | Baking | | | | | | | | | | | | | | |
| 2320 | Cooking | | | | | | | | | | | | | | |
| 2330 | Dishwashing | | | | | | | | | | | | | | |
| 2340 | Meat Cutting | | | | | | | | | | | | | | |
| 2350 | Waitress Training | | | | | | | | | | | | | | |
| 2400 | Heating/Air Condition | | X | X | | | X | | X | | | | | | |
| 2500 | Landscape Maintenance | | X | | X | X | | | | X | | | X | | |
| 2600 | Licensed Vocational Nurse | | X | | | | | | | | | | | X | |
| 2700 | Machinist | | X | X | X | | | | X | X | | X | | | |
| 2800 | Masonry | X | | X | | | | | | | X | | | | |
| 2900 | Marine Diver | | | X | | | | | | | | | | | |
| 3000 | Marine Engine Repair | | | | | | X | | | X | | | | | |
| 3100 | Mill/Cabinetry | | X | X | X | X | | | X | | | X | | | |
| 3200 | Office Machine Repair | X | | X | | | | | | | | | X | | |
| 3300 | Ophthalmic Technician | | | | | X | | | | | | | | | |
| 3310 | Lens Grinding | | | | | | | | | | | | | | |
| 3400 | Painter | | | | | | | | X | | | X | | | |
| 3500 | Printer | | X | X | | | | X | | X | | X | X | | |
| 3510 | Compositer | | | | | | | | | | | | | | |
| 3520 | Graphic Arts | | | | | | | | | | | | | | |
| 3530 | Letter Press | | | | | | | | | | | | | | |
| 3540 | Offset | | | | | | | | | | | | | | |
| 3550 | Silk Screen | | | | | | | | | | | | | | |

SECTION 9
REFERENCE CODES
EXHIBIT 4

VERSION I
OCTOBER 1979

VOCATIONAL EDUCATION PROGRAM/COURSE AND LOCATION

| Code | Vocational Education Program/Course | MEN | | | | | | | | | | | | WOMEN | |
|------|-------------------------------------|-----|-----|-----|-----|-----|-----|-------|-------|-------|-----|-----|-----|-------|-----|
| | | CCC | CCI | CIM | CMC | CMF | CRC | CTF-C | CTF-N | CTF-S | DVI | FOL | SCC | SQ | CIW |
| 3600 | Plumber | | | | | | | | | | | | | X | |
| 3700 | Radio/TV Repair | | | X | X | X | | | | | | | X | | |
| 3800 | Sheet Metal | | | X | X | | | | | | | X | | X | |
| 3810 | Sheet Metal Layout | | | | | | | | | | | | | | |
| 3900 | Sew Machine Repair | | | | X | | | | | | | | | | |
| 4000 | Small Engine Repair | | X | | | | | | X | | | | | | |
| 4100 | Watch Repair | | | | | | | | | | X | | | | |
| 4200 | Welding | X | X | X | X | | | | | | X | | X | X | |
| 4210 | Low Hydrogen Weld | | | | | | | | | | | | | | |
| 4220 | MIG & TIG Weld | | | | | | | | | | | | | | |
| 4230 | Oxygen Weld | | | | | | | | | | | | | | |
| 4240 | Stick Arc Weld | | | | | | | | | | X | | | | |
| 4300 | Wood Technology | | | | | | | | | | | | | | |
| 4400 | Word Processing | | | | | | | | | | | | | X | X |
| 4200 | X-Ray Technician | | | | | | | | X | X | | | | | |

APPENDIX A

DESIGN REQUIREMENT METHODOLOGY

Design Requirement Methodology

In developing the Offender Based Information System portion of Corrections Decision Information System in California, communication of concepts, needs, processes, definitions, etc., was a critical element. The Design Requirement Document defined and demonstrated herein has been adopted formally as the primary vehicle for communication between the information specialists (user design staff) and the data processors. This written document conveys needs and expectations. Upon approval, it becomes the standard against which the computer system specifications, programs, and user acceptance testing are measured.

Some general information about:

- A. The Analysis/Design Environment;
- B. An Introduction to the Design Requirement Document; and
- C. Its Application to the Prototype for Vocational Education

are sketched in this description of methodology. California Department of Corrections staff hope this methodology will assist and clarify communications between the user design staff and the data processing staff in other states.

A. The Analysis/Design Environment

Each jurisdiction which develops a computer system(s) will need personnel to be assigned to the design effort. How this staff is organized and who will take lead responsibility will depend upon the organization within each state. The organizational scheme which the California Department of Corrections has chosen and, as stated herein, is to assist the reader to understand the working relationships which are described in the "Introduction to the Design Requirement Document".

The staff devoted to the design and development of the California Offender Based Information System consist of:

- Information Specialists;
- Operations Technicians; and
- Computer Systems Staff.

Information Specialists

The CDC information specialists are comprised of staff trained in statistics, data management, data and information analyses, and information preparation/retrieval procedures. These staff take primary responsibility for the analysis of a function or process and the preparation of the design requirement document.

The information specialists are the liaison between the operating/management and data processing staffs.

Operations Technicians

The operations technicians are selected from a specific function and/or management segment of the Department for assignments on task forces or advisory teams. They assist in the definition of output requirements and act as consultants to the information specialist in their respective areas of expertise. These staff provide the insights into information/output needs of the Department. The task force members of five or less are relieved of their normal duties for the number of weeks necessary to complete the project. The task force sessions are clustered into 1-3 week periods, part of which is used for training in the limitations and the constraints which the computer places on the developing system. The remaining time is used to exchange ideas in order to incorporate functional knowledge into the subsystem.

Computer Systems Staff

The computer systems staff are the third member of this triumvirate. This staff provide the knowledge, expertise, and skill needed for computer systems, including analysis, programming, and hardware.

These three groups working together form interdisciplinary team(s); the goal is to develop a system which provides the maximum value for the whole organization within reasonable time and fiscal guidelines.

B. Introduction to the Design Requirement Document

The design requirement document performs the intrinsically important functions of communication and documentation. This tool forces the user and the data processor to define and to share definitions and needs. To maximize the benefit of this design document, the information specialists and the computer systems staff must work closely with one another. The basic outline for the Design Requirement Document as developed by the California Department of Justice, Bureau of Criminal Statistics, is included in Appendix B.

The preparation of a design requirement document is an exacting and sometimes lengthy process, but the experience of California Department of Corrections has been that this process meets the needs of the user and actually reduces the amount of time necessary for achieving the required output.

Another benefit gained is detailed documentation which is necessary for any system if it is to be properly maintained.

The steps of the design requirement process from identification of the problem to the acceptance of the operating computer system are stated briefly. While each step is mentioned only once, there will be need to recycle through selected steps as some part(s) of the effort needs modification or more development.

Step 1:

Management or the user identifies an information problem and/or need which is then given to the user design staff.

Step 2:

The initial analysis task is assigned to the appropriate information specialist staff.

Step 3:

The first draft of the design document is then written.

Step 4:

The operations technician task force and the lead data processing analyst are identified. The first training sessions and meet-and-confer sessions are held. The design requirement is modified and clarified based upon the outcome of these meetings.

Step 5:

The modified draft of the design document is then reviewed with other line, operation, management, and data processing personnel. The review is done in three parts:

- submission of the design documents to reviewers.
- "walk thru" - A formal presentation by the information specialists and project task force members to key operations and management staffs. This provides a forum for staff to ask questions about the document and to suggest revisions or modifications.
- Meet and confer sessions.

Step 6:

After the review process, the design document is revised to incorporate the necessary modifications.

Step 7:

The processes in steps 4, 5, and 6 are repeated until consensus regarding the design document is reached.

Step 8:

From the completed design document:

- a. the computer systems staff then writes the system specifications document.
- b. the information specialist staff begins preparing the procedural manuals which are used for training of line and operations staff prior to implementation.
- c. specific training materials are developed, i.e., code forms, special practice problem sets, etc. Some of the information specialists and the task force members begin preparing the training materials and study plans.
- d. train line and operations staff.

Step 9:

When complete, the system specification document is shared with the information specialists staff for final review to ensure that the design requirements document communicates the needs of the Department.

Step 10:

The computer systems staff is assigned to perform the necessary data processing functions based upon the system specifications.

Step 11:

When the computer systems staff are satisfied that the computer is programmed to meet the requirements of the design document and system specification, a users acceptance test is performed. This testing must be completed prior to the implementation of the system.

Step 12:

- Implementation of input, processing and output programs.
- Parallel operations--If an old system exists, parallel operations should be maintained to allow comparison of outputs from both old and new systems. This should be done through as many reporting cycles as required to assure information reliability and continuity.
- Total reliance upon the new system.

Step 13:

Modifications to the operational system are handled by the submission of subsequent version(s) to the original document. The subsequent version(s) are processed as outlined in steps 1-12.

- - - - -

As the following flow chart indicate, formal and informal communication continues throughout the entire design process. This communication allows staffs to define and solve problems as they occur. Free flow of information provides for a working relationship which results in a good product.

- Chart #1, System Development Process, shows the flow as it occurs within and between the information specialists (Data Resource Management) and the computer systems staff (Data Processing).
- Chart #2, Data Resource Management, presents the flow of activities required to complete the functions for which the information specialists are responsible.
- Chart #3, Data Processing, gives a brief schematic of the functions for which data processing staff are responsible once the design requirements document has been formally submitted to them by the information specialists and operations technicians.

C. Application of Design Requirement to the Prototype for Vocational Education

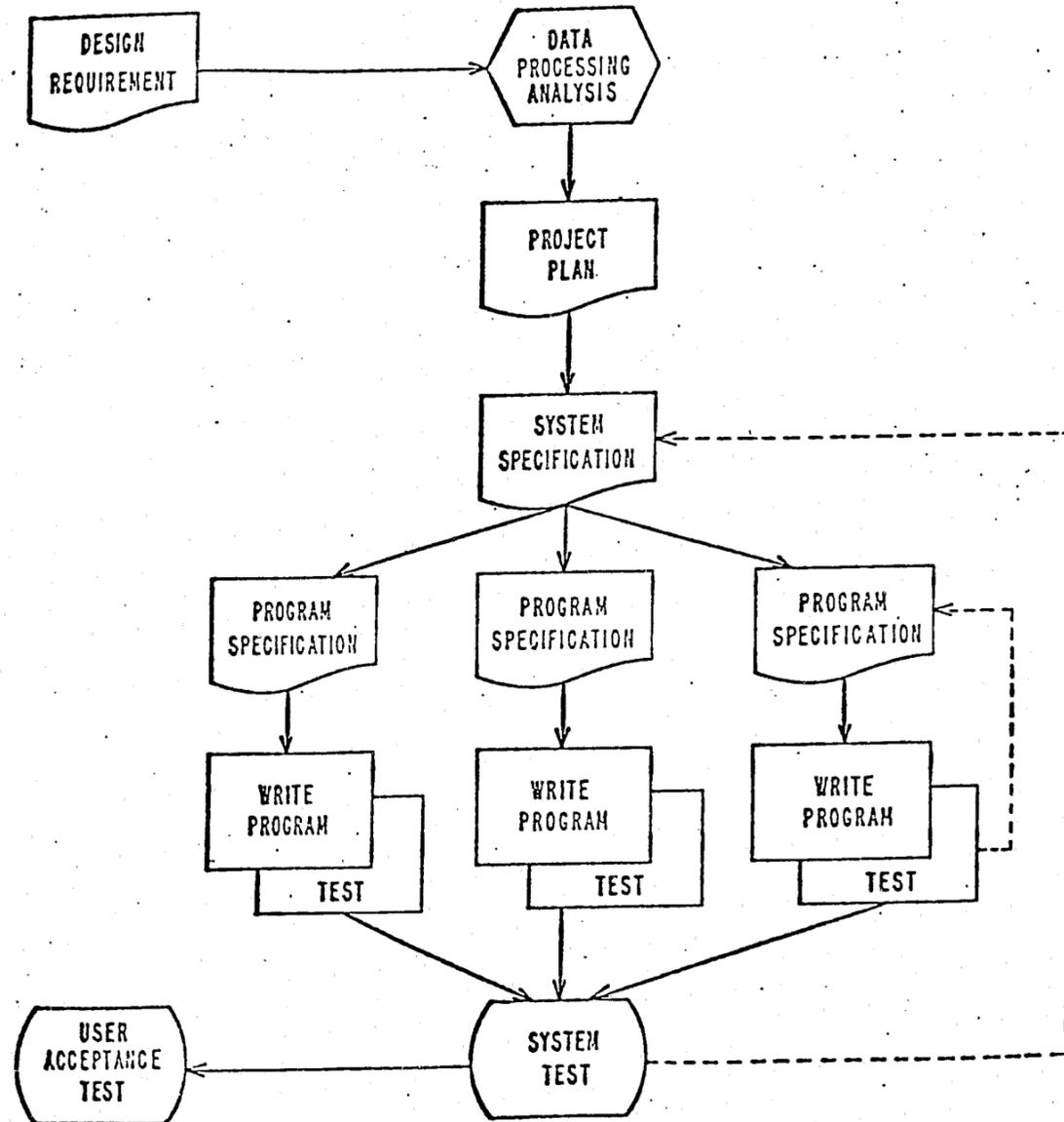
The methodology, as described in this appendix, was used to produce the vocational education design requirement which is the body of this report.

The design requirement document presented is at the step 3 level.

Chart #3

APPENDIX A

DATA PROCESSING



APPENDIX B

DESIGN REQUIREMENTS OUTLINE

State of California

DEPARTMENT OF JUSTICE

EVELLE J. YOUNGER, Attorney General

Prepared by the
DIVISION OF LAW ENFORCEMENT
BUREAU OF CRIMINAL STATISTICS

506013 6/75 200

77 Cadillac Drive
P.O. Box 13427
Sacramento, Ca. 95813

TABLE OF CONTENTS

| | Page |
|--|------|
| Introduction | |
| Examples | |
| Cover page | |
| Signature page | |
| Historical change log | |
| Distribution of master copies | |
| Table of contents | |
| Page heading sample | |
| Section 1, System Overview | |
| Section 2, Input | |
| Section 3, System Processing | |
| Section 4, Output | |
| Section 5, System Considerations | |
| Section 6, Acceptance Criteria | |
| Section 7, Applicable Documents | |
| Appendix | |

CONTINUED

1 OF 2

INTRODUCTION

Design Requirements are used to transmit your needs, as a user, to the Law Enforcement Consolidated Data Center (LECDC). When LECDC receives the Design Requirements, they will schedule the necessary resources to design your system. The LECDC staff will prepare the System Specifications for approval by the user, describing in detail how the Design Requirements will be met. Upon acceptance of the System Specifications, LECDC will begin implementation of the system.

Design Requirements must be submitted to LECDC for every ongoing or continuous project that utilizes LECDC resources. Further information regarding the use of Design Requirements can be found in Project Implementation Plan (PIP) Guidelines. It is recommended that the author of the Design Requirements be familiar with PIP before proceeding.

The examples in this report will assist the user in completing the Design Requirements according to standard BCS format. The sections described are minimum requirements. Additional sections may be added as deemed necessary by the Program Administrator.

DESIGN REQUIREMENTS

NAME OF SYSTEM
(ACRONYM)

Prepared by:
Author
Date

Instruction:
Use this format as a cover sheet for the Design Requirements.

DESIGN REQUIREMENTS

PREPARED FOR
LAW ENFORCEMENT CONSOLIDATED DATA CENTER

Reviewed and Approved by:

| | |
|---|------|
| Bureau Chief* | Date |
| Program Administrator | Date |
| Program Administrator Technical Assistance | Date |

Accepted by:

| | |
|---|------|
| Manager,* Program Support Unit, LECDC | Date |
|---|------|

Instructions:

Obtain all indicated signatures in BCS before transmitting to LECDC for approval. If outside BCS, only signatures of starred persons need to be obtained before transmittal.

Transmit this page with original Design Requirements and each time there is a change to the Historical Change Log. (Example on page 5.)

DESIGN REQUIREMENTS
(Name of System)
Historical Change Log

| Date | Section | Version | Change Made By | Reason For Change |
|------|---------|---------|----------------|-------------------|
| | | | | |

Distribution of Master Copies

User Library
User Program Administrator
LECDC Program Manager

Indicate name of librarian
Indicate name of administrator
Indicate name of manager

Instruction:

Make an entry on this log every time a page is changed, added, or deleted. An updated copy of this page, the revised page, and a new approval page must be transmitted every time a change is made to the Design Requirements.

DESIGN REQUIREMENTS

TABLE OF CONTENTS

| | | | Page |
|------------------|-----|-----------------------------------|------|
| SECTION | 1 | SYSTEM OVERVIEW | |
| | 1.1 | Introduction | |
| | 1.2 | Authorization | |
| | 1.3 | Objectives and Benefits | |
| | 1.4 | Current System Description | |
| | 1.5 | Proposed System Description | |
| | 1.6 | Developmental Priorities | |
| SECTION | 2 | INPUT | |
| | 2.1 | Input Description | |
| | 2.2 | Data Elements | |
| | 2.3 | Data Codes | |
| | 2.4 | Validation and Conditional Checks | |
| SECTION | 3 | SYSTEM PROCESSING | |
| | 3.1 | File Processing | |
| | 3.2 | Error Processing | |
| | 3.3 | File Control | |
| SECTION | 4 | OUTPUT | |
| | 4.1 | Output Description | |
| | 4.2 | Reports | |
| | 4.3 | Files | |
| SECTION | 5 | SYSTEM CONSIDERATIONS | |
| SECTION | 6 | SYSTEM PERFORMANCE CRITERIA | |
| SECTION | 7 | APPLICABLE DOCUMENTS | |
| LIST OF EXHIBITS | | | |
| APPENDICES | | | |

DESIGN REQUIREMENTS
(Name of System)Section Number
DescriptionVersion:
Date: MM/DD/YY*Instructions:*

This is an example of the page headings to be used. Version number and date are to be changed as alterations are made to the document.

The following pages serve as a guide to the contents of particular sections. These sections are the required minimum; more can be added as the Program Administrator sees fit.

DESIGN REQUIREMENTS
(Name of System)

SECTION 1
SYSTEM OVERVIEW

Version:
Date: MM/DD/YY

- 1.1 Introduction
Describe the reason for the system and the scope of those persons and/or agencies affected by implementation of the system.
- 1.2 Authorization
Cite legal, Division, and Bureau authorizations already established, e.g. penal code, operational plan, project plan.
- 1.3 Objectives and Benefits
Briefly state what is to be done by the proposed system and the benefits derived from these objectives.
- 1.4 Current System Description
Describe the system currently in use. If an automated system exists, cite procedure numbers, programs, and system specifications, if any. If a manual system is currently used, briefly describe how it operates.
- 1.5 Proposed System Description
Include the type of system you expect. An example would be edits, updates, reports.
- 1.6 Developmental Priorities
List in order of importance your needs as the user in the development of the proposed system. Example:
- rapid implementation
 - flexibility
 - expandability (growth potential)
 - which phases have priority
 - edits
 - updates
 - reports

Instruction:

Each section should begin on a new page. Subdivisions within each Section (1.1, 1.2, 1.3 etc.) do not require a separate page.

DESIGN REQUIREMENTS
(Name of System)

SECTION 2
INPUT

Version:
Date: MM/DD/YY

- 2.1 Input Description
Describe the input document or source of input data. If data being received are currently on punched cards or tape, state it here. Also state any clerical coding taking place.
- 2.2 Data Elements
List all data elements to be used. Indicate item, mnemonic, size, and type. Define the data element or elements that can be used to uniquely identify a record to be updated or corrected.
- 2.3 Data Codes
List all data elements of code type and itemize valid codes for each of these elements. When available, utilize standard Bureau or Division codes.
- 2.4 Validation and Conditional Checks
Identify each data element that needs validation and/or conditional checks. Here are some considerations:
- Data elements may be validated individually or as a part of conditional checking. All elements validated will be checked for format, limit, and correctness.
 - Errors will be flagged and displayed as they are found and the validation and conditional checking process continued until the entire record has been processed.
 - Validation will require that alpha fields contain A-Z or space, numeric fields contain numeric characters, data fields contain valid data, and coded fields contain valid codes.
 - Conditional checks will assure completeness and consistency. Detailed descriptions for all validations and conditional checks are to follow.

DESIGN REQUIREMENTS
(Name of System)

SECTION 3
SYSTEM PROCESSING

Version:
Date: MM/DD/YY

3.1 File Processing

Indicate what kind of processing is required. If a master file update is required, indicate how often, how many records in transaction batches, etc. Give estimated volume of records and growth potential. Will you need master file updates, deletes, changes? Will data elements be changed during the life of the system, etc?

3.2 Error Processing

Describe the requirements for error processing. For instance, do you want error records flagged and displayed? Do you want updates to take place and then validate the master record?

3.3 File Control

Define all audit trails, document counts and continuous balancing that must take place. In addition, file security must be defined here. A suggested narrative follows:

Provisions must be made to allow for the re-creation of the SYSTEM master file from three separate and distinct sources. In addition to this, at least one of these sources must be stored in such a way as to be protected from fire, water, and other potential hazards.

DESIGN REQUIREMENTS
(Name of System)

SECTION 4
OUTPUT

Version:
Date: MM/DD/YY

4.1 Output Description

A general description of reports and files to be generated by the system.

4.2 Reports

Describe the purpose, source, selection criteria, sequence, volume, title, frequency, number of copies, special forms, routing, format, counts, and elements used to arrive at counts of each report generated.

4.3 Files

Describe the purpose, source, selection criteria, sequence, volume, and data elements included in each file. An example of this type of file would be a tape sent to the FBI or a report tape generated for interrogation by SYNTAX or other user programs.

DESIGN REQUIREMENTS
(Name of System)

SECTION 5
SYSTEM CONSIDERATIONS

Version:
Date: MM/DD/YY

Describe any limitations affecting the system. Some examples are: legal requirements, security, and privacy of data, and any financial restrictions applicable.

DESIGN REQUIREMENTS
(Name of System)

SECTION 6
SYSTEM ACCEPTANCE CRITERIA

Version:
Date: MM/DD/YY

State the minimum requirements for acceptance of the system by the user. This will include supplying test data by the user, evaluating test results, and formal user sign-off prior to implementation.

The test data supplied should be of such a nature that it will validate each edit criteria, update, delete, and change function.

DESIGN REQUIREMENTS
(Name of System)

SECTION 7
APPLICABLE DOCUMENTS

Version:
Date: MM/DD/YY

This section will contain samples of source documents, agency reporting forms, and/or any coding forms used in this system.

DESIGN REQUIREMENTS
(Name of System)

APPENDIX NUMBER
APPENDICES

Version:
Date: MM/DD/YY

The following examples might be included as Appendices: offense codes; county codes; and charts and graphs.

END