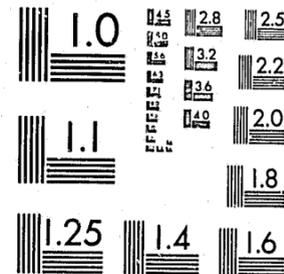


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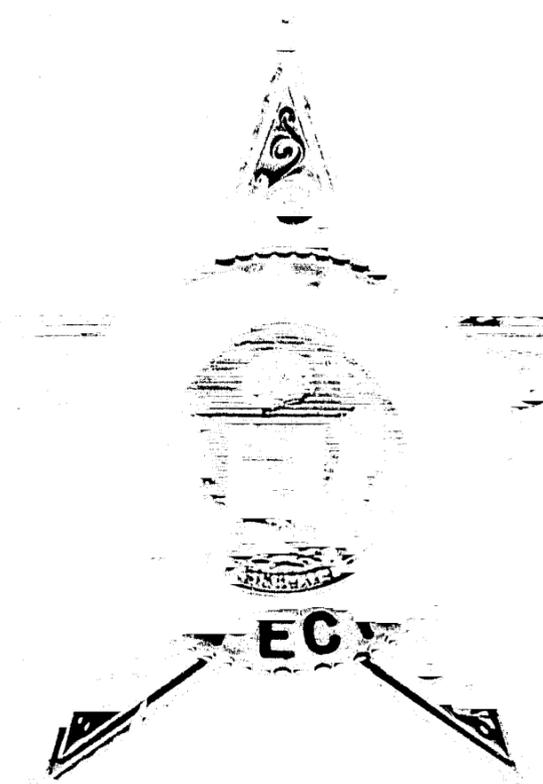
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National Institute of Justice  
United States Department of Justice  
Washington, D. C. 20531

3/26/84

91817

CHICAGO POLICE DEPARTMENT  
BUREAU OF ADMINISTRATIVE SERVICES  
AUDITING AND INTERNAL CONTROL DIVISION



INFORM CRIME REPORTING  
SYSTEMS ANALYSIS  
SEVEN MAJOR CITIES

**SYSTEMS ANALYSIS  
SEVEN MAJOR CITIES  
UNIFORM CRIME  
REPORTING**

U.S. Department of Justice  
National Institute of Justice

91817

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**BUREAU OF ADMINISTRATIVE SERVICES**

14 April 1983

To: Richard J. Brzeczek, Superintendent  
Chicago Police Department

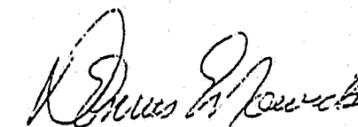
From: Dennis E. Nowicki, Deputy Superintendent  
Bureau of Administrative Services

Subject: Uniform Crime Reporting in Seven Major American Cities

Enclosed for your review and approval is an audit prepared by the Auditing and Internal Control Division using system analysis to describe the processes for uniform Crime Reporting to the Federal Bureau of Investigation by seven major police departments. Included in the report are several recommendations.

A perusal of the report will lead the reader to conclude that the basic Crime Reporting System in place in the Chicago Police Department is well designed. However, the analysis does point to several areas where modifications are needed. These changes should be accomplished to provide the controls necessary to ensure the integrity of the Crime Reporting System.

Submitted for your review and consideration.



Dennis E. Nowicki  
Deputy Superintendent  
Bureau of Administrative Services

BUREAU OF ADMINISTRATIVE SERVICES  
Auditing and Internal Control Division

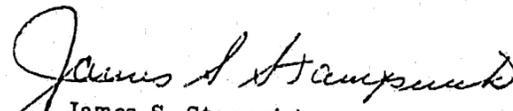
14 April 1983

To: Dennis E. Nowicki, Deputy Superintendent  
Bureau of Administrative Services

From: James S. Stampnick, Commander  
Auditing and Internal Control Division

Subject: Audit Number A-83-9  
Systems Analysis, Uniform Crime Reporting, Seven Major Cities

Enclosed for your review and approval is Audit A-83-9, the systems analysis  
of uniform crime reporting in seven major police departments.

  
James S. Stampnick  
Commander  
Auditing and Internal Control Division

BUREAU OF ADMINISTRATIVE SERVICES  
Auditing and Internal Control Division

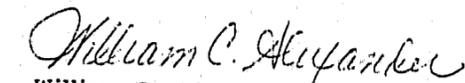
14 April 1983

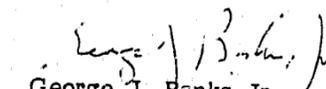
To: Commander James S. Stampnick  
Auditing and Internal Control Division

From: Inspectors William C. Alexander  
George J. Banks Jr.  
Bernard R. Stahl  
Robert E. Voight  
Auditing and Internal Control Division

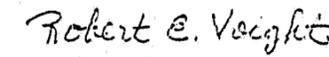
Subject: Audit #A-83-9 - Systems Analysis  
Seven Major Cities Uniform Crime Reporting

Enclosed for your review and approval is Audit A-83-9, a systems analysis  
of uniform crime reporting in seven major police departments.

  
William C. Alexander

  
George J. Banks Jr.

  
Bernard R. Stahl

  
Robert E. Voight  
Auditing and Internal Control Division

Approved:

  
James S. Stampnick  
Commander  
Auditing and Internal Control Division

T A B L E O F C O N T E N T S

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2. - Cover letter to Deputy Superintendent  
Bureau of Administrative Services
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6. - Executive Summary With Recommendations
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NCJRS

OCT 31 1983

ACQUISITIONS

- ACKNOWLEDGEMENT -

This report is primarily a compilation of information provided by fellow police agencies in the United States. Without their cooperation and candor no meaningful analysis could have been accomplished. We wish to acknowledge their assistance in the development of this report.

No specific reference to any city examined has been made in this report. The auditors intended to assure the anonymity of the cities studied to preclude any unfair comparisons.

**BUREAU OF ADMINISTRATIVE SERVICES**  
**Auditing and Internal Control Division**

**UNIFORM CRIME REPORTING**

Introduction

The Chicago Police Department has recently been the subject of criticism regarding the accuracy of crime data reported to the Federal Bureau of Investigation which are subsequently published in the United States of America's Uniform Crime Report. The F.B.I. form "Return A Data", i.e., Part I offenses known to police, offenses which have been unfounded and those which have been cleared by arrest and by exception, was the ultimate focus of the criticism.

A separate report entitled, "Audit - A-82-35 Detective Division Reporting Practices," initiated on December 13, 1982 addresses reporting practices of the Detective Division. An understanding of what was determined in that report is basic to the study of this report. The preliminary results of Audit A-82-35 caused the Superintendent of Police to initiate further inquiries into crime reporting.

On March 1, 1983, Dennis E. Nowicki, Deputy Superintendent Bureau of Administrative Services directed the Auditing and Internal Control Division to conduct a systems analysis of crime reporting by major cities police departments. The purpose of this study is threefold; 1) to determine what basic procedures are utilized by major metropolitan police departments in reporting crime to the FBI, 2) to identify common and disparate techniques; assess and compare them with the International Association of Chiefs of Police standards proposed in their publication, THE IACP,

AUDIT A-83-9 Introduction

UCR AUDIT/EVALUATION MANUAL,<sup>1</sup> and 3) to compare and contrast these systems with the system currently employed by the Chicago Police Department.

Seven major police departments were selected as comparative units for the basic analysis. Since no simple analysis of each departments directives, policy and procedure manuals would be adequate for a valid research effort, four Chicago Police lieutenants currently assigned as inspectors in the Auditing and Internal and Control Division were assigned to visit the selected Departments on-site and conduct their research.

The departments selected were:

	Population (1980)	Total EMPLOYEES <del>Sworn Members</del> (1981)
New York, New York	7,070,429	27,831
Los Angeles, California	3,031,090	9,501
Chicago, Illinois	3,012,703	14,667
Philadelphia, Pennsylvania	1,686,834	8,349
Houston, Texas	1,594,086	4,035
Detroit, Michigan	1,193,805	4,686
Milwaukee, Wisconsin	700,000	2,400

The police inspectors developed a questionnaire utilizing a series of basic questions regarding the systems, techniques and methods employed in crime reporting by the police agency to the FBI. On-site interviews were conducted with department representatives ranging in rank from senior police officials, through middle management supervisors to line personnel. Directives and manuals were reviewed and any unresolved questions which arose were answered. Returning to Chicago, the police inspectors compiled their collective data and developed supporting graphs and charts reflecting the systems they had studied.

1. The IACP-UCR Audit/Evaluation Manual, Technical Research Services Divisions, International Association of Chiefs of Police., Gaithersburg, Maryland 1976.

AUDIT A-83-9 Introduction

This report reflects their individual and collective understanding of the systems as portrayed by their contemporaries across the nation. It abstracts the central features of the varied crime reporting systems utilized by the seven selected metropolitan police agencies.

Bureau of Administrative Services  
Audit and Internal Control Division

UNIFORM CRIME REPORTING

Executive Summary

Audit A-83-9

All crime reporting systems are vulnerable to acts of commission in the capture of basic data and in its review, verification, aggregation and return to the FBI. What is ultimately reported can be distorted by those individuals who work within the system. The analysis of Chicago's system, six major metropolitan police department systems and the IACP "model" system revealed many areas of commonality as well as significant differences.

System analysis identified at least twelve "decision points" where reported crime could be attenuated. This report details where and how these decision points impact on reported crime. The methods employed by the various systems to minimize and manage reductions are discussed in detail. Ultimately, they can be defined as supervision, bookkeeping techniques and audit processes. Without such controls, accurate reporting of crime experience can not be assured.

The FBI, the Police Executive Research Forum and the International Association of Chiefs of Police are all aware of disparities in the reporting of crime. The Uniform Crime Report has a fixed definition for Part I offenses. Individual state statutes, which also define these offenses, frequently vary from UCR definitions. Consequently, reports must often be adjusted to fit UCR definitions. Internal procedures for classifying crimes vary from agency to agency. Even such basic terms as "cleared," "closed," "filed," "open," "suspended," "unfounded" have different meanings within different agency contexts.

The implications of reported crime vary widely among the departments studied. Some agencies are indifferent to the statistics which they provide. They feel that crime is an effect of economic and social conditions over which they have no control.

Some agencies regard the statistics as management information to be used in budget preparation or in allocating the assets of the department. Others perceive positive value in measuring the quality of life of a city based upon the statistics. All mutually agree that, at best, the UCR is an imperfect measure of a police department's performance.

The directives and manuals reviewed reflected basic differences in the rules for reporting crimes. Some jurisdictions permit crimes to be unfounded if states attorneys decline to prosecute, even when all the elements of a crime are present. Others indicate that if the crime is committed by a minor under the statutory age for prosecution, except as a delinquent, it will not be tallied as a crime. One jurisdiction requires that any incident unfounded by detectives in the same month in which it was initially reported be eliminated from offense tabulation for UCR purposes. Each agency queried indicated that it was content with these differences, knowing that no accurate picture of crime is portrayed in the ultimate report.

The reporting systems within the various police agencies generally reflect the management philosophies of those agencies. Great latitude is granted to line personnel in certain jurisdictions in the classification of crime. In other departments that task is retained as a near final step in the system. Some departments depend heavily on immediate supervision to insure integrity of the system. Other agencies rigorously audit reports using senior police officials or high ranking members out of the normal chain of command. The integrity of supervision is presumed in certain departments. In others, agencies outside the department conduct routine recurring audits of reports, bookkeeping practices, record retention procedures and the like.

The various agencies all subscribe to numbering police reports. Some agencies number all calls for service, others rely on computer assisted record keeping to maintain and retrieve information pertinent to any specific incident. The IACP

recommends that all calls for service that require the dispatch or assignment of a police officer receive a control number. Only one of the agencies studied meets this standard. The majority assign a control number when preliminary investigation confirms that the incident is a Part I or II Crime. Other petty matters are often the subject of an unnumbered informal report or a code appended to a computer record.

Although the Chicago Police Department's system has many positive features, (viz., an early affixing of RD numbers to cases, multiple staff and line reviews of case reports, early tally of Part I and II crimes, and close supervision of major functions within the system) the review revealed certain weaknesses. The system is entirely too dependent upon supervision within a reporting units chain of command. It lacks a rigorous auditing program initiated at various stages in the flow of reporting. The "decision points" are excellent places to examine and test the integrity of the system. These auditing procedures could be accomplished in the Chicago Police Department by the Auditing and Internal Control Division which has the knowledge and expertise to conduct meaningful examinations. The auditors are outside of the reporting chain of command and can perform their function as disinterested and impartial parties.

The imposition of a control number for each and every police incident is unnecessary IF adequate means are available to retrieve basic data concerning every reported incident. Chicago has this capability.

The publication of a Detective Division Standing Operating Procedure with specific rules for reporting crime which are congruent with the rules of the FBI - UCR has been an on-going task for the Detective Division of the Chicago Police Department. Interim guidelines have been published. Organizational changes have delayed publication of a final document. The standing operating procedure should be published without further delay.

AUDIT A-83-9 Executive Summary

In the final analysis, the Chicago Police Department system for Uniform Crime Reporting compares favorably with other systems in place and with the International Association of Chiefs of Police "model" system.

Bureau of Administrative Services  
Auditing and Internal Control Division

UNIFORM CRIME REPORTING

Systems Analysis

Audit A-83-9

The IACP defines three processes that are basic to the operation of all incident reporting systems regardless of agency size, degree of technical sophistication, or method of processing crime data. They are:

Data Capture - the process by which offenses become known to police, through report or discovery and are recorded in the records system.

Data Review and Verification - the quality control procedure intended to insure full and accurate reporting and recording of crime event data previously captured in the incident reporting system.

Data Aggregation - the process of extracting statistical information from police records, compiling these data, preparing appropriate UCR forms and forwarding all data to the state collection agency or directly to the FBI.

The IACP identifies four vulnerable stages in the incident reporting system:

- Telephone Tapes of Incoming Calls for service
- Complaint Control Cards (Dispatch tickets, radio logs, etc.)
- Incident/Offense Reports
- Clearances

The Auditing and Internal Control Division of the Chicago Police Department further identifies twelve "decision points" where reduction of reported crime can occur:

- Emergency Telephone Operator
- Dispatcher
- Communication Supervisor
- Preliminary Investigating Police Officer

AUDIT A-83-9 Systems Analysis

Field Supervising Sergeant  
District Review Officer  
Detective Review Officer  
Follow-up Investigating Detective  
Detective Supervisor  
States Attorney  
External Review  
UCR Statistician

Within the eight "Uniform" crime reporting systems that were subjected to analysis,<sup>2</sup> there were at least twelve decision points where department members could decide not to retain a citizen's report of crime in the system.

Emergency Telephone Operator

The police telephone operator receiving the incoming call from a citizen may decide that the report should not be accepted, e.g., a citizen reports a THEFT, further conversation reveals that the incident is a landlord tenant incident. The operator concludes it is a civil matter not subject to UCR criteria.

Dispatcher

The police dispatcher prior to assignment of a police officer to the preliminary investigation, decides not to assign a police officer to a call for service, e.g., the dispatcher recognizes by the complainants name and address information that the caller is a crank who periodically reports bogus information to the police.

<sup>2</sup>  
2. The eighth system is the IACP "MODEL"

AUDIT A-83-9 Systems Analysis

Communication Supervisor

The communication supervisor reviews assignments pending and makes a decision not to dispatch a police officer. He concludes that the time delay between receipt of a call for service and the first opportunity of dispatch negates any potential for contacting the citizen.

Police Officer

In every system analyzed, the police officer has considerable latitude in deciding whether to record the information on a police report or to otherwise process the assignment he has received. He may record the information in some other fashion or totally disregard the assignment, e.g., the citizen is gone on arrival and preliminary investigation cannot re-establish contact.

Supervising Sergeant

The police officer's immediate supervisor may review the written report and determine that the information contained therein is false, baseless or improperly categorized, e.g., a police officer reports a STRONG ARM ROBBERY and his supervising sergeant directs that it be reported as a THEFT.

Review Officer

The district review officer decides to "void" a police report, e.g., case report review reveals that both a husband and wife have concurrently and separately reported the THEFT of their automobile.

Detective Review

Prior to assignment of the case to a detective, a detective review officer determines that the report is improperly categorized, e.g., the narrative of the police report reveals that the husband of a RAPE victim is the aggressor.

Detective

The detective assigned to the follow-up investigation may determine that the facts do not support the reported crime, e.g., a derelict may report the ROBBERY of large amounts of cash. A thorough follow-up investigation indicates the impossibility of the allegation.

Detective Supervision

The detective's chain-of-command, in routine review of completed supplementary reporting may decide that a crime has been improperly reported, e.g., a detective sergeant's review of a detective's report reveals that the victim had received a scratch on the finger from an assailant with a knife. Initially reported as an AGGRAVATED BATTERY it is recategorized to an ASSAULT.

States Attorney

Prior to charging an offender, a states attorney interviews the witnesses, victim, offender, arresting officers and investigating officers and determines that while the elements of a crime are present, there nevertheless is no probability of conviction. Although this should not affect the classification, the crime may be eliminated from the system.

External Review

State Law Enforcement Department auditors, review panels, records processing agents and similar persons may conduct administrative reviews which may cause the re-classification of reported crimes.

UCR Statistician

Each department analyzed delegates the formal reporting of crime to the FBI to a single person. This person consolidates various hand tallied and automated reports in an FBI form. In the reconciliation, the reporting of crimes may be delayed in an attempt to correct "errors" or anomalies, e.g., while the UCR permits negative numbers, department protocols may permit holding crimes for a month to permit positive figures.

## UNIFORM CRIME REPORTING

### Systems Comparisons

This segment of the report compares and contrasts the Chicago system against the major city systems and the IACP "model." It assumes that those who operate the system do so in accordance with the standards established in their procedure directives.

Chicago depends primarily on an emergency telephone operator to receive the initial report from a citizen. In all systems but the model system, the police telephone operator has certain inherent capabilities to purge this initial report from the system. Multiple reports of natural disasters, for example, are acknowledged without assignment of an RD number.

All systems require the completion of a dispatch card or data entry for each incident where an officer is assigned or dispatched. This permits the intent of the "issue an RD number for every incident" philosophy. The completed dispatch card can be retrieved for any given incident and basic data extracted for review.

All systems, including Chicago's, permit the dispatcher to screen certain incidents from the system. Again, it is the model system philosophy to dispatch to every single call and provide a control number for the incident.

Communication supervisors in Chicago do not have the authority to discard unanswered calls for service. They may, at peak periods when radio assignments are pending, assign cars outside of a district of occurrence to a call. However, realistic assessment indicates that a crime may not be recorded due to inordinate delays. When large numbers of assignments are queued, inordinate time delay may "create gone on arrivals". However, when a victim's address is known, the crime will eventually be recorded.

The ability of a preliminary investigating police officer to unfound a crime varies among the systems analyzed. Chicago and the six departments analyzed give the beat officer latitude to unfound. When preliminary investigation indicates that the report is false or baseless, or when there is no victim or witness present on arrival,

### AUDIT A-83-9 Systems Comparisons

Chicago permits responding with an alpha-numeric code which identifies the incident and action taken. This information is placed on the dispatch card for future reference. Some cities require a report be prepared even when the incident is totally unfounded. Chicago has determined that this policy is cost ineffective.

Chicago requires field supervision at the scene of most Part I or Part II crimes. Field supervisors can and do re-classify a crime when they recognize that it has been improperly classified by the beat officer. They have the capacity to unfound a crime when they recognize that option as appropriate. In two of the cities studied field supervision is not an imperative. In city (B) detectives reclassify or unfound at the incident scene.

In Chicago's system, as well as three other systems, there is a line review at the district station prior to forwarding the report of a crime. Alternatively two cities, require the data entry of case reports without this review step. Others simply distribute copies of the report to detectives, data systems, etc.

Chicago detective units pre-screen incoming case reports prior to assignment to detectives. Cities F & G and the model system do not review the reports, but simply assign them for investigation.

Chicago, and all the systems analyzed permit detectives to reclassify and unfound cases which fit pre-established criteria.

Chicago requires detective supervisors to review and approve all completed supplementary reports. Supervisors are required to indicate, by their signature on case reports, that the investigation was accurately reported, adequate, and in conformance with department procedures. Three departments do not require this review, they simply permit the supplementary reports to enter the system.

In Chicago, a felony review process is implemented prior to charging offenders with a felony (excepting narcotics charges). Approval of charges is vested in assistant states attorneys.

AUDIT A-83-9 Systems Comparisons

This practice is replicated in four of the jurisdictions. However, Chicago allows an offense to be unfounded when the assistant state's attorney declines prosecution. The report would not be unfounded in the other jurisdictions.

Chicago has no external review or audit of the system. It is totally dependent on line and staff review. It shares this weakness with several of the systems. City E has multiple audits and reviews. It has inspectors who periodically test the system to insure system integrity.

Chicago and the other systems place responsibility for preparation of the FBI - UCR report on one person. It is apparent that this person's work product should periodically be subjected to test and examination by an independent internal auditor who can apply standard auditing practices.

<u>Key Requirements/ Critical Elements</u>	<u>Chicago</u>	<u>City B</u>	<u>City C</u>	<u>City D</u>	<u>City E</u>	<u>City F</u>	<u>City G</u>	<u>IACP Model</u>
Issue of RD Number	Midpoint	Late	Early	Late	Midpoint	Early	Midpoint	Early
Initial Tally of Part I & II Crime	Midpoint	Late	Midpoint	Late	Midpoint	Midpoint	Midpoint	Midpoint
Audit of Reports Done Internally	No	No	Once	No	Twice	Once	Once	No
Staff Review	No	Yes	No	No	Yes	Yes	Yes	Yes
Line Review	Yes	No	No	Yes	Yes	Yes	Yes	Yes
Unfounded Report Made	No	Yes	No	No	No	No	No	Yes
Audit of Reports Done Externally	No	No	No	No	Yes	No	No	Yes
Data Retrieval Every Incident	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes

SYSTEMS ANALYSIS BY CITY

CITY A - Chicago

The Chicago Police Department is, in most cases, informed of a criminal offense by a citizen's call to the Department's communications section through the emergency number, "911". The calls are received by either a police officer assigned as a dispatcher or a civilian dispatcher aide. That person must determine if the call is, in fact, an emergency and if it is a police, fire or medical matter.

If the call is not an emergency but merely informational, the information is supplied, if possible. If the information sought is not available the city's non-emergency number is supplied to the caller. With the exception of a recording being made of the conversation and its being tallied for statistical purposes, no other record of informational calls exists. This process of call screening involves calls concerning conditions such as malfunctioning street lights, trees down and poor sanitary practices at eating establishments.

If, on the other hand, the call relates to the commission of a criminal offense or breach of the peace, then it is a legitimate matter of police concern. In those circumstances the dispatcher/dispatcher aide obtains sufficient information from the caller to prepare an assignment card and a police unit is sent to the location. Upon arrival, the police unit determines if a crime or a breach of the peace has occurred. If a breach of the peace has occurred, the police officers attempt to restore order. When order is restored, the unit returns to service by using a code system indicating the action taken. Under these circumstances no written report is required, the assignment card prepared by the dispatcher serves as the Department's record of the incident. Certain data contained in the cards are captured for planning purposes and the cards are forwarded to the district of occurrence. At the district of occurrence they are reviewed by command personnel and filed chronologically according to a published

AUDIT A-83-9 Systems Analysis by City

CITY A - CHICAGO (Cont'd)

retention schedule. These assignment cards are not given any sort of alpha or numeric identifier and they are retrievable only by date, time and location of occurrence.

When the call relates to the commission of a criminal offense, the responding unit is required to conduct a preliminary investigation. The elements of that preliminary investigation include, but are not limited to, rendering assistance to the victim, effecting the arrest of the perpetrator, securing the premises, locating witnesses, interviewing the victim and witnesses, arranging for the collection of evidence, protecting the crime scene and maintaining control of the situation. When it is determined that no additional preliminary investigative measures can be implemented, the unit is required to prepare a written report of the incident and any actions taken. Upon the completion of the written report, the unit secures, from the dispatcher, via radio, an unique, non-repeating alpha-numeric identifier for that report known as the R.D. (Records Division) number. The identifier is used for the life of that case throughout the entire criminal justice system. This report is known as a case report. The R.D. number is given to the complainant/victim along with an abstract copy of the report. The dispatch card containing the R.D. number is forwarded by communications to the Records Division where certain information is extracted for data entry. This card serves as a temporary file copy of the incident pending receipt of the case report.

The case report is presented to the preparing officer's immediate supervisor for his review. If approved, the original copy is forwarded to the Records Division for matching with the corresponding dispatch card. If not approved, it is returned to the preparing officer for correction and re-submission prior to the completion of his tour of duty. The duplicate copy is filed at the district of occurrence following examination by a review officer.

The Records Division matches the case report with the dispatch card and makes a number of photocopies. One copy is sent to the Data Systems Division, where additional information is captured to build the record initially opened by the numbered radio

AUDIT A-83-9 Systems Analysis by City

CITY A - CHICAGO (Cont'd)

dispatch card. The initial tally of Part I and II offenses is established at this point. The original copy of the case report is then filed at the Records Division.

Several photocopies of the report are made and sent to the detective unit having jurisdiction for the area of occurrence. Upon arrival, the cases are separated by clerical personnel according to violent crimes and property crimes. They are given to the case management sergeant assigned to the aforementioned specialties. The case management sergeant reads the reports and determines the type of investigation, if any, each will receive. The reports are marked appropriately and returned to the Data Systems Division. "Summary investigations" are those where telephone or mail contact with the victim/complainant is appropriate. "Field investigations" are those where traditional investigative actions are warranted. "Administrative investigations" include those where a crime has been cleared by district or other unit of arrest and are otherwise complete; are unfounded on their face; are neither felonies nor Part I Offenses; are not amenable to further investigation, or are low in "solvability factors". The decision as to what mode of investigation will occur is made by the case management sergeant based on his experience.

Both summary and field investigations require the completion of a written supplementary report by the assigned investigator documenting the investigative findings within seven calendar days. These supplementary reports are submitted to the investigator's supervisor for review and approval. If deficient they are returned to the investigator for correction. If adequate, the original copy is forwarded to the Records Division for filing. A photocopy is sent to the Data Systems Division where the record of that case is completed by making any status changes or modifications required.

The record then consists of information extracted from the radio dispatch card prepared by the dispatcher, the case report prepared by the beat car and the supplementary report prepared by the follow-up investigator. Management reports and statistical summaries, including the UCR are prepared from this completed record by

AUDIT A-83-9 Systems Analysis by City

CITY A - CHICAGO (Cont'd)

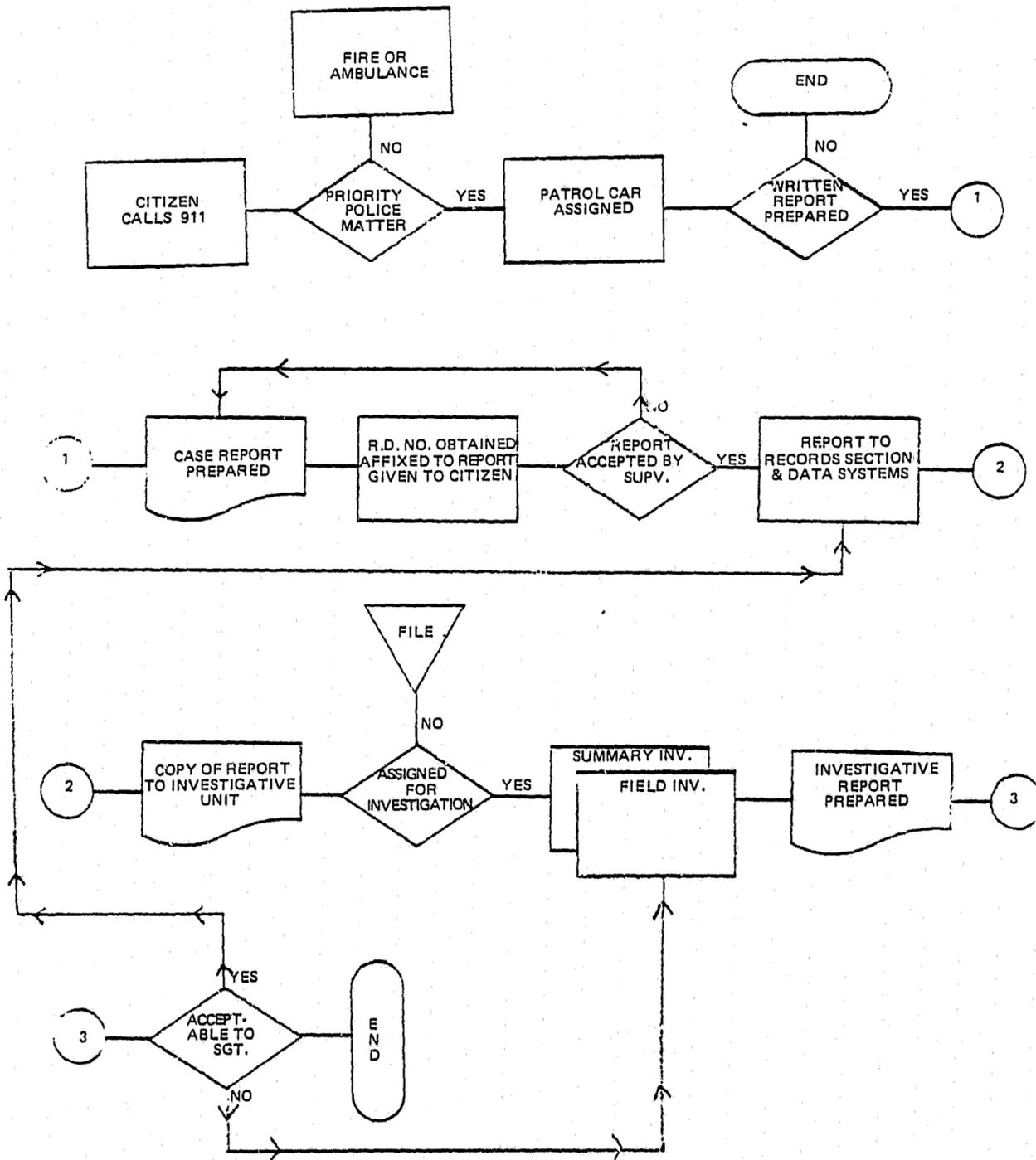
the Data Systems Division. U. C. R. Reports are prepared from the data contained in these summaries by the department statistician.

SYSTEMS ANALYSIS BY CITY

CITY B

On receiving a request for service in City B, a determination is made as to whether or not the incident is a police matter. All non-police matters are referred to the appropriate agency. If an emergency, a unit is dispatched immediately. Non-emergency cases are transferred to the district desk officer for review and a determination as to whether or not a police unit will respond is made. If a determination is made that no unit will respond, the desk officer will offer the citizen advice or referral to the appropriate agency. Should the desk officer decide that assignment of a motorized beat is necessary, he will so inform the dispatcher, via telephone, who in turn dispatches the beat unit.

Initially, the assigned officer must make a determination as to what type of report should be prepared, if any. If a written report is to be completed, the officer will contact his supervisor and provide him with a verbal status report. The supervisor, after receiving the status report, decides if a follow-up investigation is necessary and subsequently notifies the detectives if required. The assigned detectives respond immediately to the scene and interview the assigned officer and victim. The beat officer prepares an original case report as directed by the follow-up detective. Upon completing the follow-up investigation, the detective phones in his notes to a recording device. Personnel at the recording center complete a supplementary report from the recorded information. The original copy of the supplementary report is then forwarded to Records for match up with the original report. Copies of crime reports as well as supplementary reports are forwarded to the Chief of Detectives for review. Once the original and supplementary reports are matched, the Records Division then issues an R.D. number. Crime reports not requiring follow-up are also issued R.D. numbers.

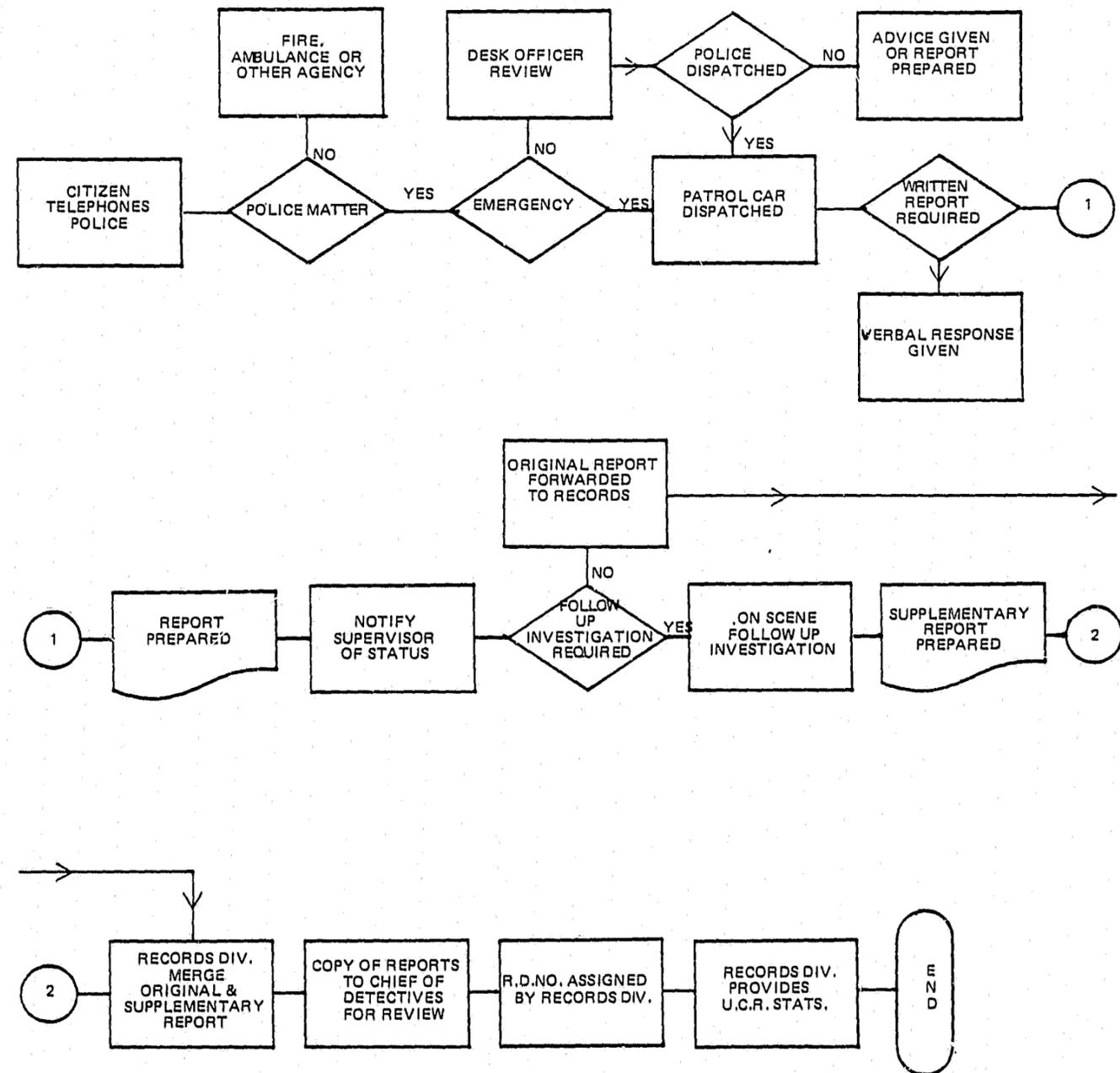


CITY A - CHICAGO

Audit A-83-9 Systems Analysis by City

CITY B (Cont'd)

It is at this point that Part I and Part II offenses are initially tallied in the system. All original and supplementary reports are filed in the Records Division with copies forwarded to the Data Center for the purposes of completing UCR returns.



CITY B

SYSTEMS ANALYSIS BY CITY

CITY C

Police service may be requested in a variety of ways. Different methods of receiving those requests exist. This department receives requests for service by letter, phone or in person.

In City C, it was found that no matter how the request for service is received, it is screened to some degree. If it is determined that the needed service is of a non-police nature, the party is referred to the appropriate agency. All other cases which might be termed police incidents are assigned an incident number and either assigned to a field unit for investigation or handled by letter or as a walk-in complaint.

The unit/person assigned the preliminary investigation makes a determination based on the investigation if a report should be completed. If a report is written, the previously issued incident number is affixed to the report and serves as the records number. If no report is completed, a verbal report is given to the dispatcher indicating the results of the investigation. This information is recorded by the dispatcher along with other dispatch data for later retrieval, when required.

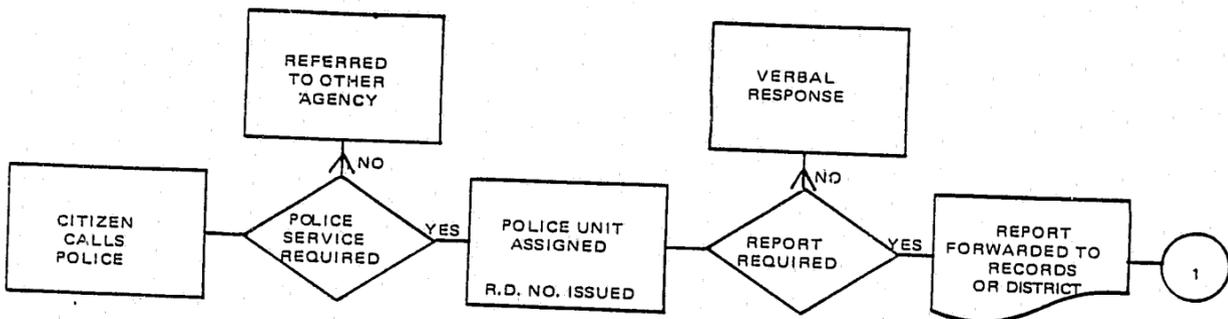
Existing within this department is a computer system that allows for direct entry of all written reports. Upon completion of an investigation the information contained in the written report is entered into the computer system, either by the preliminary investigating officer or the Records Division. Once the initial report is entered into the computer system the written report (hard copy) is destroyed. After initial entry, the report is automatically transmitted to the staff review section of the Records Division, where it is reviewed for accuracy and adequacy. Subsequent to the initial review, staff review classifies and codes the report along UCR guidelines. It is at this point that a Part I or II offense is initially tallied. The report is now locked into the system and is counted for the purposes of UCR.

Audit A-83-9 Systems Analysis by City

CITY C (Cont'd)

On input of the initial written report, a copy is transmitted via computer network to the responsible detective entity. Upon receipt of the initial report, the detective unit makes a determination whether to conduct a follow-up investigation. The basis for a follow-up investigation relies solely on the solvability factors contained in the original report. Cases not requiring follow-up investigation are filed and classified as suspended. Those cases which are assigned for investigation are subsequently closed by entry of a supplementary report into the system by detective personnel.

Supplementary reports are transmitted, via computer, to the staff review section of the Records Division where they are again checked for accuracy and adequacy. Once the reports have been reviewed, they are classified, coded and counted for UCR purposes.



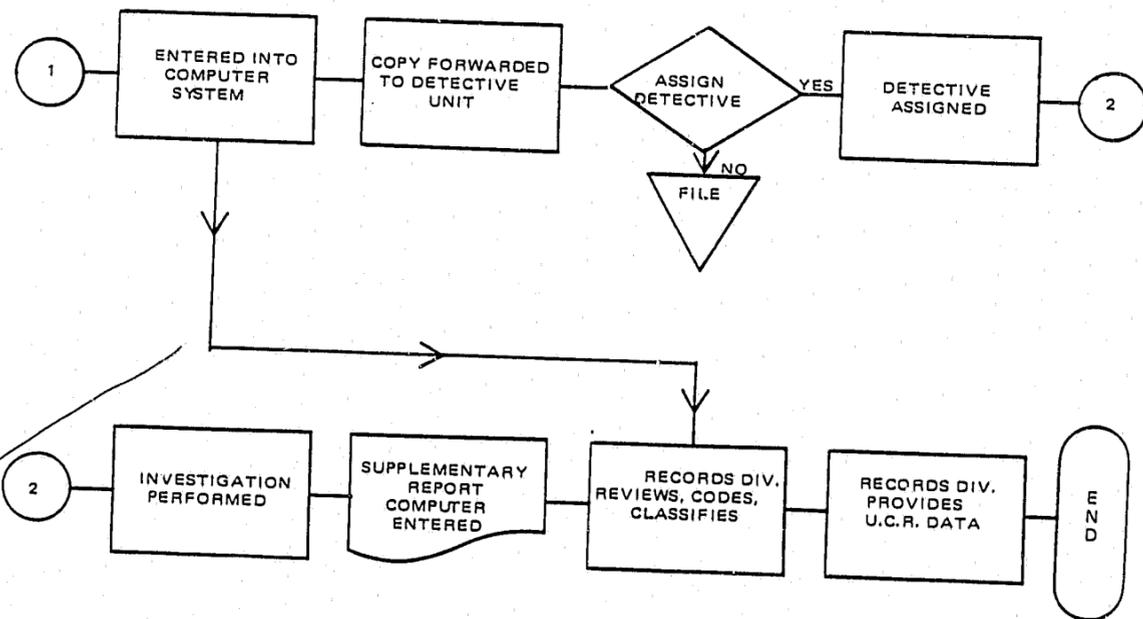
SYSTEMS ANALYSIS BY CITY

CITY D

A citizen dials "911" and reaches a civilian emergency operator. The operator queries the caller to determine if the call is an emergency. Fire and ambulance emergency calls are "fast forwarded" to the fire department's dispatch center. The operator attempts to determine the exact nature of the call for police service. If it is determined that the call requires only the completion of a report, typically for insurance purposes, the citizen is directed to the local police station in the area of occurrence. If the citizen indicates an inability to or a lack of desire to report to the local police station, he is given the phone number of the department's telephone reporting unit.

An emergency call is entered into a computer terminal and routed to a sworn police dispatcher. Based on a published schedule of priorities the call enters a queue or is assigned to a patrol unit.

If the call was made in relation to a criminal matter, a preliminary police report is prepared. If the incident is totally unfounded, the officer responds with an alpha numeric "code" radio message and prepares no written report. A supervisor reviews written reports for accuracy and completeness. If the supervisor approves the report, it is given to a computer clerk for entry into the data banks. It is at this point that a Part I or II offense is initially tallied. The computer assigns a unique identifying number, known as an incident number, to the report. A copy of the report is filed at the police station where the event occurred and a copy is forwarded to the investigative unit having jurisdiction.



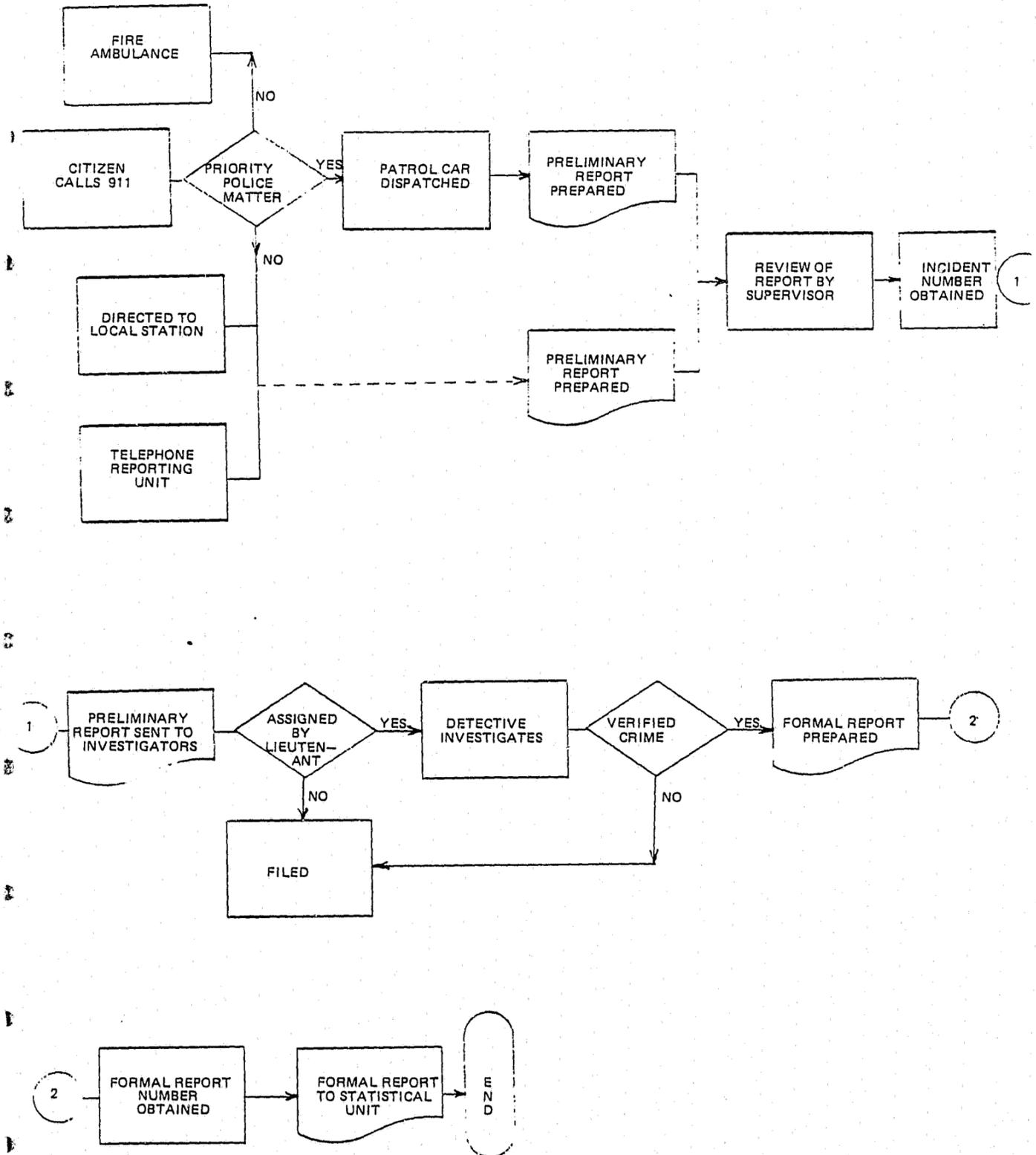
CITY C

CITY D (Cont'd)

Upon arrival at the investigative unit, the preliminary report is given to a lieutenant. The lieutenant reads the preliminary report and determines the follow-up investigation, if any, the incident will receive. The report can simply be filed under the classification not assigned by the lieutenant or filed under the classification information report. If the lieutenant determines that a follow-up investigation will be conducted, he assigns the report to an investigator. The lieutenant has no written guidelines to assist him in determining which cases to assign or file. He relies solely on his experience and there is no model using solvability factors to assist him.

Once the follow-up investigator receives the case, he then conducts his investigation. The result of the investigation may cause him to have the case filed either as a miscellaneous investigation or an information report. Placement in either of these classifications reflects a determination that no criminal act has been substantiated. If, however, the investigation determines that a criminal act has been committed, the follow-up investigator prepares a formal report. A formal report number is obtained and a copy of the formal report is forwarded to the agency's statistical unit. The statistical unit then prepares summary reports for administrative uses and for the state and federal Uniform Crime Reports. It is at this juncture that the department's tally of Part I and II offenses is initiated.

Conversations with involved personnel disclosed that formal complaint numbers usually average around 75% of incident numbers.



CITY D

## SYSTEMS ANALYSIS BY CITY

### CITY E

Calls for police service are normally initiated by a citizen's call to 911. Calls are routed by telephone to a civilian operator. The operator enters basic information from the citizen onto a pre-formatted CRT screen. Fire and ambulance calls are "fast forwarded" to appropriate agencies.

When sufficient data is entered, the operator enters a priority for the call based upon written guidelines. When complete, the data are electronically passed to two terminals, using geo-based switching.

One terminal is at the dispatcher's position for cars operating in the vicinity of the occurrence. The sworn dispatcher operates from a split screen CRT. The top half lists the status of the cars assigned to the area. The bottom half lists pending assignments. The dispatcher reviews the priority of pending assignments and modifies the priority based upon police experience and cars available. The police dispatcher gives assignments and awaits results. Units dispatched can respond with an alpha numeric code for petty incidents, gone on arrival, etc., or with a police report when a bona fide Part I or Part II offense has occurred. It is at this point that Part I and Part II offenses are initially tallied in the system.

The second terminal is located at the district wherein the incident occurs. This terminal network assigns to district personnel the responsibility to report all incidents received (all district assignments not dispatched by the Communications Section). When preliminary inquiry determines this is inappropriate or when no district units are available, the assignment is returned to the dispatcher "pending assignments" queue.

## Audit A-83-9 Systems Analysis by City

### CITY E (Cont'd)

When a police unit is assigned to a bona fide Part I or Part II crime, the reporting officer fills out a formset complaint report and turns in the report to the district station house officer at the end of his tour of duty. Noteworthy is the reporting officer determines if the case should be closed or referred for investigation.

The station house officer reviews all incoming police reports and assigns a complaint number taken from the district complaint index (a chronological record of incidents numbered - e.g. 83-24-00001 "1983-24th district - number 1). He makes all notifications and distributes copies appropriately.

One copy is directed to the district detective unit. It is reviewed and if necessary subsequently assigned to a detective. Closed cases are retained for information and/or crime pattern analysis. Cases open for investigation but not amenable to investigation after detective review, are filed.

In the main, follow-up investigations are conducted by district detectives. Within seven days of assignment a follow-up report must be submitted indicating the case status. Any change in status is recorded on an information report, i.e., closed, cleared, exceptionally cleared, multiple clear ups, etc..

When a follow-up investigation is conducted, the results are reduced to writing and submitted for review and approval through detective division supervisory channels. Fixed percentages of randomly selected cases are subjected to critical review/audit. Victims, witnesses, etc. are interviewed to determine the veracity/accuracy of the detective report(s).

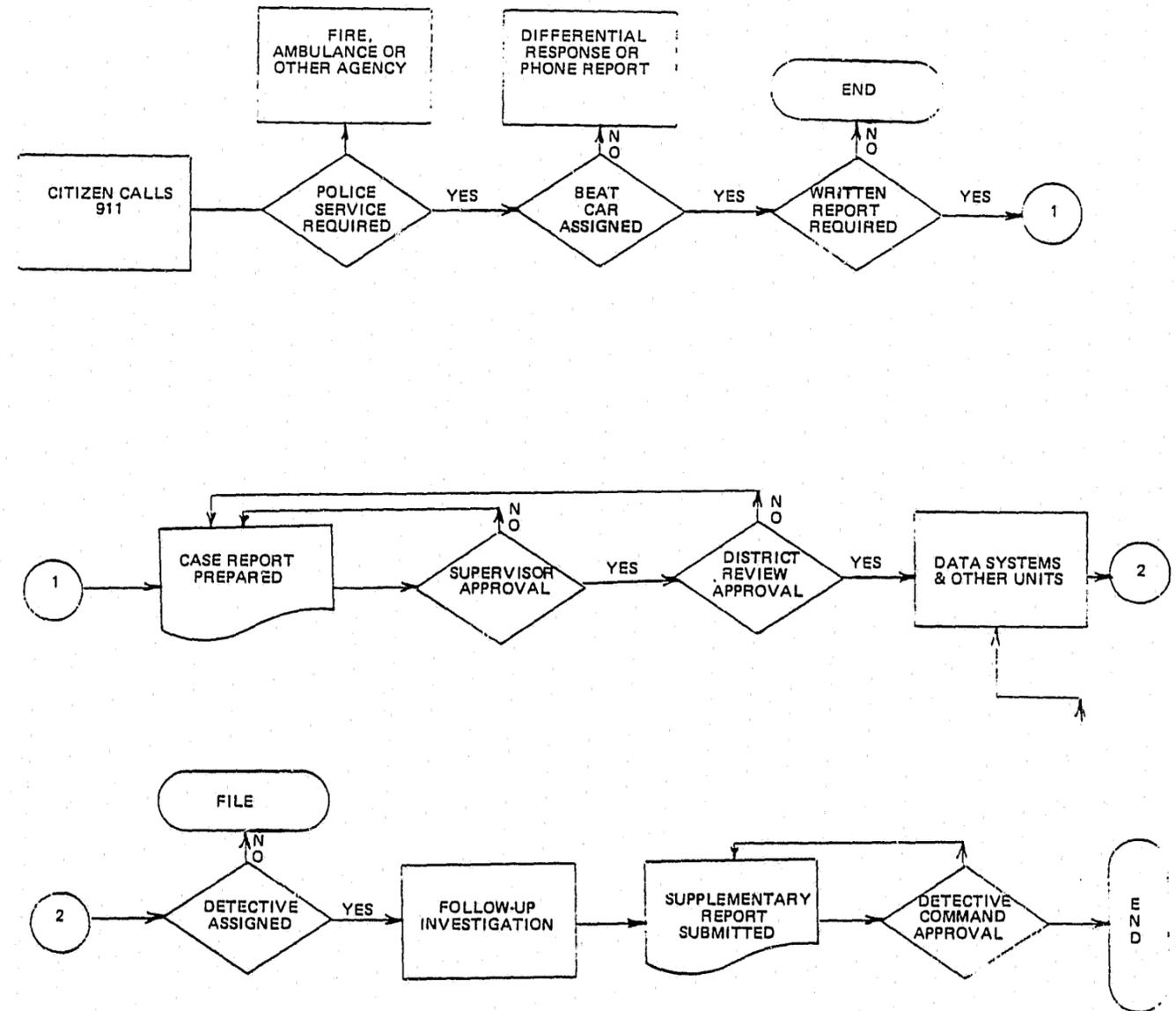
Both announced and unannounced inspections and/or audits are conducted at the district level by the Inspection Division. A significant portion of the audit focuses on the integrity of the crime reporting system.

Audit A-83-9 Systems Analysis by City

CITY E (Cont'd)

Approved case reports are transmitted to a review and analysis unit for final review, data extraction, tabulation and internal statistical analysis. One product is the completion of the FBI - UCR "Return A". This unit is by department policy empowered to re-classification incidents. They routinely return cases for further investigation or re-write.

The state Department of Law Enforcement is obligated by statute to review and audit all state law enforcement agencies. State Department of Law Enforcement auditors select random reports for re-contact, review and auditing.



CITY E

SYSTEMS ANALYSIS BY CITY

CITY F

Calls for police service are normally initiated by a citizen's call to 911. These calls are answered by an operator who may be a civilian or sworn member. The operator determines if the call is a police, fire or medical emergency. Fire or medical emergency calls are "fast forwarded" to the appropriate city agency. Calls for information or administrative messages are also forwarded.

If the operator determines that the call is a police related incident he obtains the caller's name, location and the type of incident. This information is entered into the computer aided dispatch system by the operator. On command of the operator, the call is forwarded by the system to the police dispatcher responsible for the area where the service is requested.

The information forwarded is displayed on a CRT at the dispatcher's position. The call is prioritized and issued a unique identifying number by the system at this point. The dispatcher assigns a police unit to the assignment. The officer responds, renders any police service necessary and prepares a case report. The report contains a brief synopsis of the incident and the police action taken. The officer does not classify the type of crime on this report. At the end of his tour of duty the officer turns in all reports at the district station.

The district review officer reads all case reports generated on the previous tour of duty. He enters the record number which he has received from the Communications Unit via computer print-out on the case report. The review officer enters the initial crime classification based on the information contained in the report.

Audit A-83-9 Systems Analysis by City

CITY F (Cont'd)

If a follow up investigation is required, the review officer notifies the responsible detective unit and forwards a copy of the case report to that unit. Reports which are unfounded or do not require a follow up are not forwarded to a detective unit.

The original copy of each case report is forwarded to the records unit for review. Any corrections are made by the Records Unit and the originating unit is notified to correct their records. The reports are then sent to data entry where an initial count is made for uniform crime reporting. It is at this point when Part I and Part II crimes are initially tallied.

In those cases requiring follow-up investigation, the district review officer has notified the unit responsible and forwarded a copy of the original case report. The case is then assigned to a detective. He conducts the necessary investigation and prepares a report of his findings. The report is reviewed by a detective sergeant and lieutenant. If they approve the report, the original is sent to the Records Unit for review and approval.

Any report which reflects a change in the status of a case, i.e., unfounding, reclassification, arrest or clearing, is reviewed by a review panel. If the panel does not agree with the classification of the crime in the report they make any corrections necessary and notify the unit originating the report to correct their files.

After the panel review, the reports are forwarded to the data unit for Uniform Crime Reporting.

Any requirement of a police report which does not originate from a citizen's call for service by phone is handled in substantially the same manner. The first officer becoming aware of a need to prepare a report would contact the communications unit and initiate the process described above.

SYSTEMS ANALYSIS BY CITY

CITY G

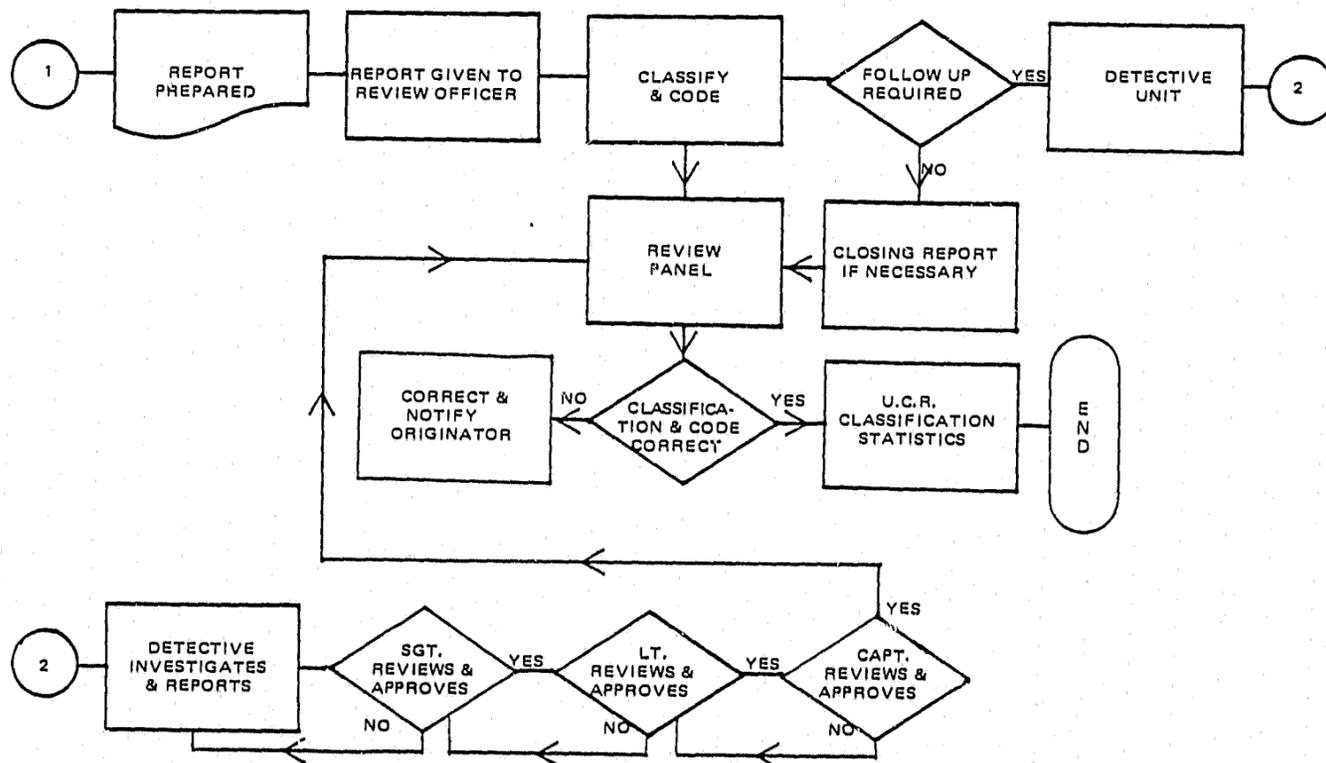
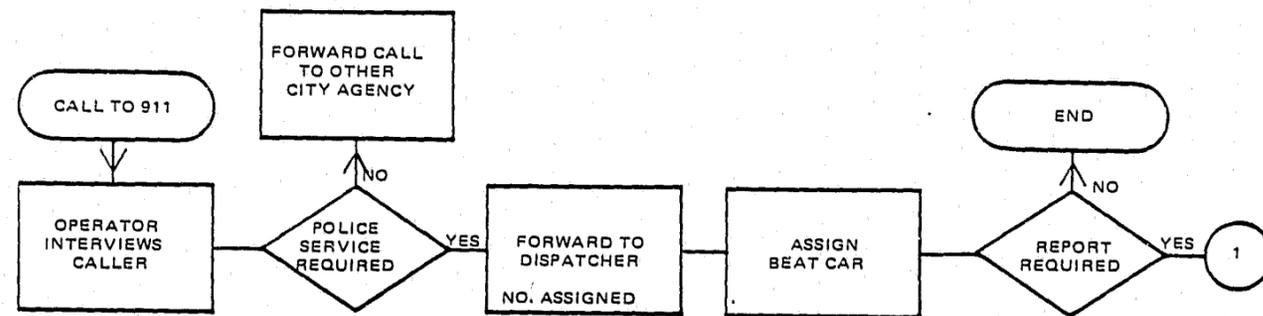
An incident normally comes to the attention of the police as a result of a citizen's telephone call to the police emergency number. The dispatcher, by interviewing the caller, determines the need for police response. Fire, medical emergency or administrative calls are forwarded to the appropriate agency.

In those cases requiring police action, the dispatcher determines the level of police response. In most cases involving the report of a misdemeanor and some felony complaints, the caller is referred or transferred to a teleserve unit. The report is then taken telephonically. In those incidents requiring a field contact, a police unit is dispatched.

Upon arrival, the officer performs the necessary police service, conducts a preliminary investigation and prepares a crime report if required. On this preliminary report, the preparing officer classifies the type of crime being reported. An abstract of the report is entered into a computer system by the preparing officer. The system then assigns a unique identifying number to that report. It is at this point that Part I and II crimes are first tallied.

Normally, after the report is data entered, it is reviewed by the preparing officer's supervisor. Occasionally, the review is made before the report is data entered. If there are any errors, the report is returned to the preparing officer for correction.

The report is then forwarded to a staff review unit which matches each report to the computer generated number to ensure that a report is received for each number. A review is made of each report and any errors found are referred to a review officer who either makes the necessary corrections or returns the report to the originating unit for correction. The initial tally of crimes for uniform crime reporting purposes is made after the review and the correction process.



CITY F

Audit A-83-9 Systems Analysis by City

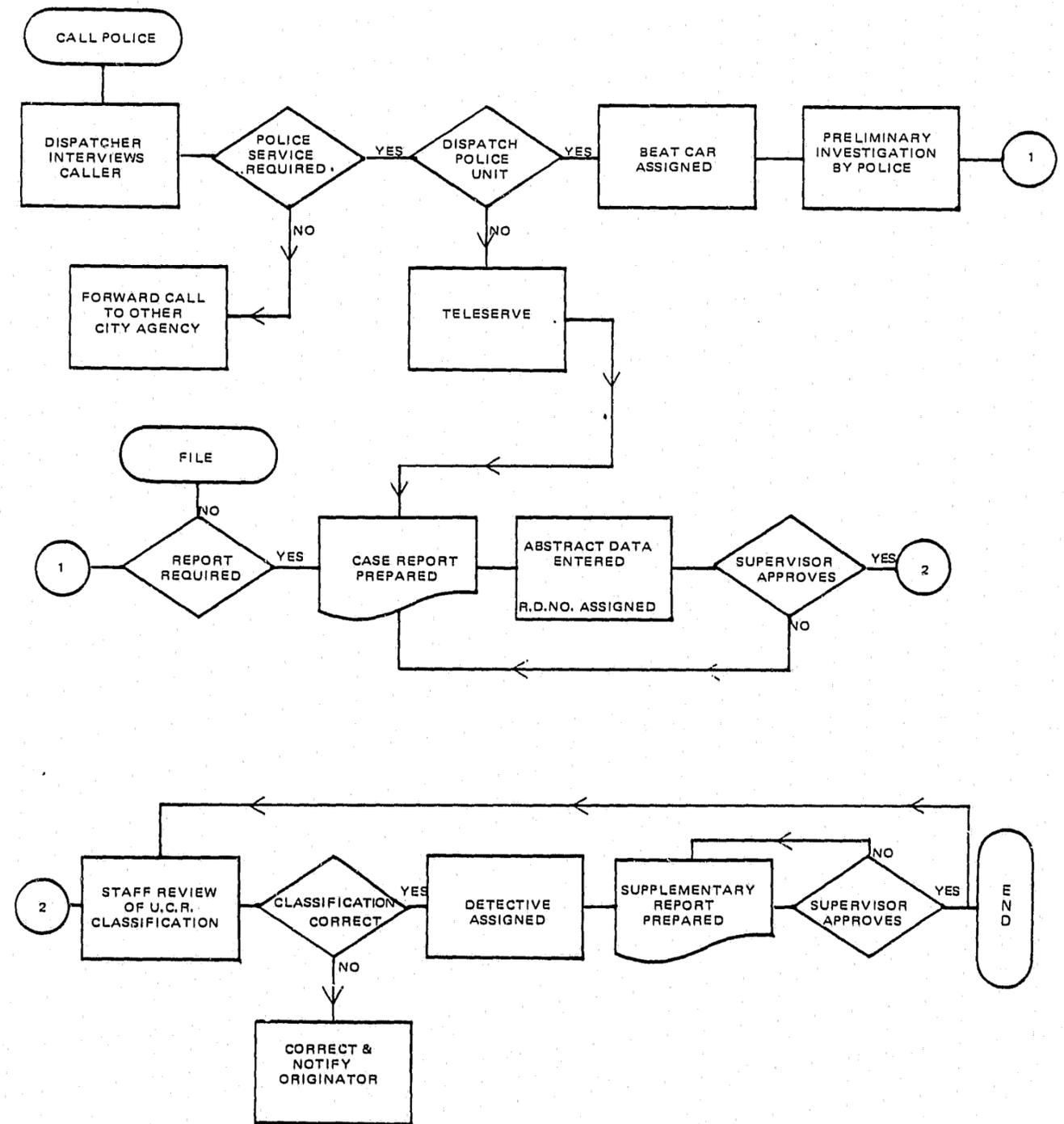
CITY G (Cont'd)

The report is then forwarded to the responsible Detective Unit for follow up. A detective receives the assignment, conducts an investigation and prepares a report detailing the results of that investigation. The report is reviewed by a detective supervisor who either approves the report or returns it to the preparing detective for correction. The detective's report can clear, reclassify, unfound or add information to the original crime report. Approved reports are then forwarded to the staff review unit where they are subjected to the same review and/or correction process as the original crime report. Necessary adjustments for uniform crime reporting are made by the staff review unit.

There are no audit techniques such as random inquiries of victims/complainants or other system tests in the review process.

Note: Any incident which is unfounded by detectives in the same month that is was initially reported is not counted as an offense for UCR purposes.

Any report which originates from a source other than a citizen's telephone call is handled in substantially the same manner as the process described above.



CITY G

SYSTEMS ANALYSIS BY CITY

CITY H - I.A.C.P. MODEL

The I.A.C.P. model begins with the occurrence of an incident. At the time of its being brought to the attention of the police, a numbered complaint control document identifies it to the system. The incident may or may not be bonafide. In either case, a police report is prepared by a police officer.

The report is then subjected to supervisory review to determine its completeness, legibility and adherence to Department policy. After supervisory review, the report is subjected to staff review. At staff review, the report is matched with its corresponding complaint control document and tested for correct classification. A staff review component is the register of incidents, a list of all incidents reported to the police. The register is responsible for preparing monthly and annual reports for submission to the state and national collection agencies.

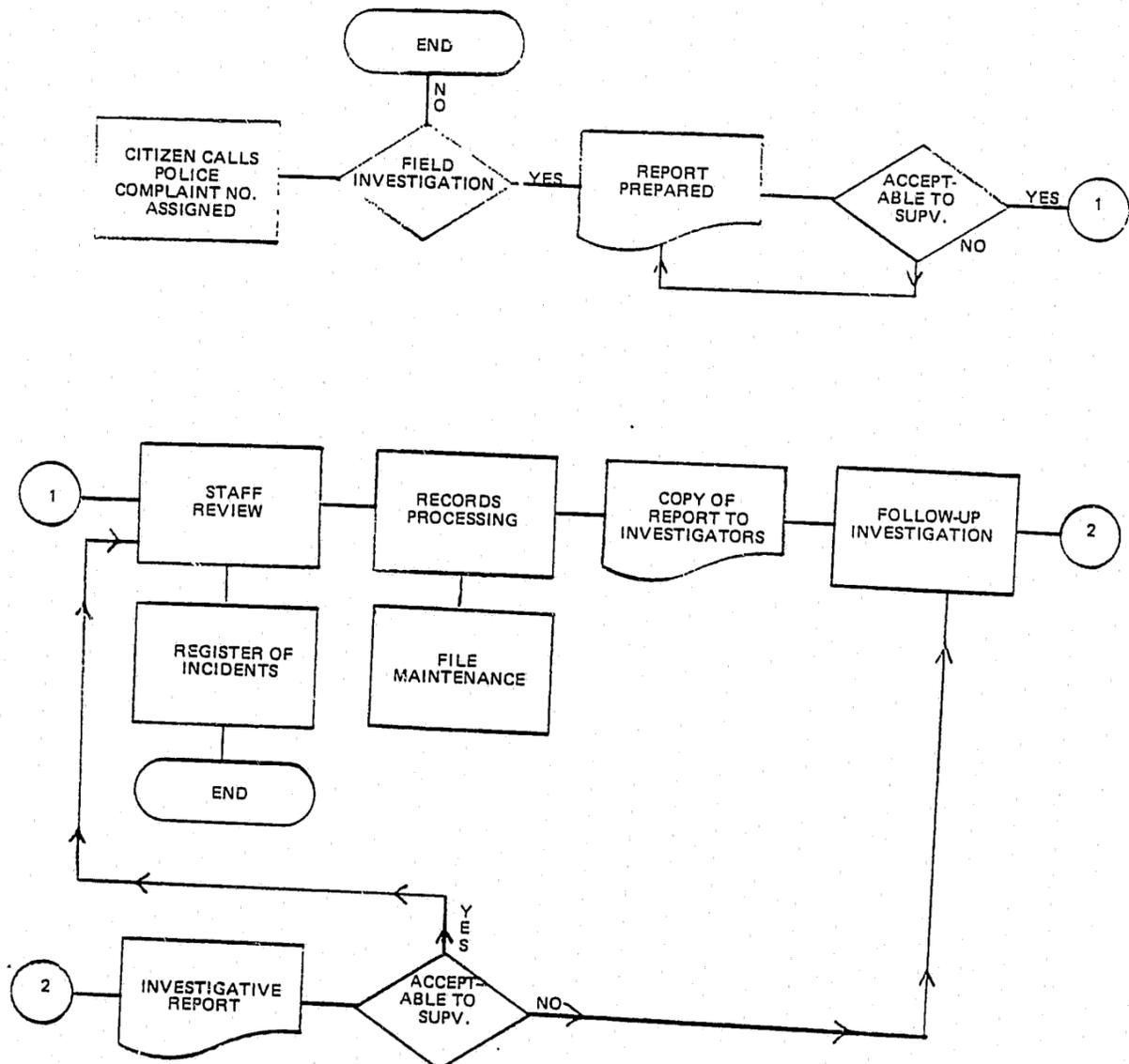
Once the report clears staff review, it is sent to Records Processing where it filed. The compilation of statistical data for internal use is performed by Records Processing. The initial tally of Part I and II offenses is entered into the system at this point. Copies of reports are prepared by Records Processing and forwarded to the investigative units for follow-up investigation.

The follow-up reports submitted by detectives follow the same two step process as original case reports. A supervisor must approve and staff review must clear the report. Clearance rates, arrest rates, case load computations, verifications of unfoundings and monitoring of exceptional clear-ups are all performed by the staff review unit. When the report clears staff review, it proceeds to Records Processing where it is eventually filed with its complaint control document, original report and arrest information. The aggregated data becomes the basis for completion of the FBI-UCR report.

Audit A-83-9 Systems Analysis by City

CITY H - I.A.C.P. MODEL (Cont'd)

The I.A.C.P. "model" is a proposed reporting system designed for police departments adoption. The "model" system, once operationalized, would be the subject of subsequent audits by the I.A.C.P.



CITY H - I.A.C.P

**LEGEND**

**YELLOW**

That point in the decision where an R. D. Number is generated and affixed to the case report.

**PINK**

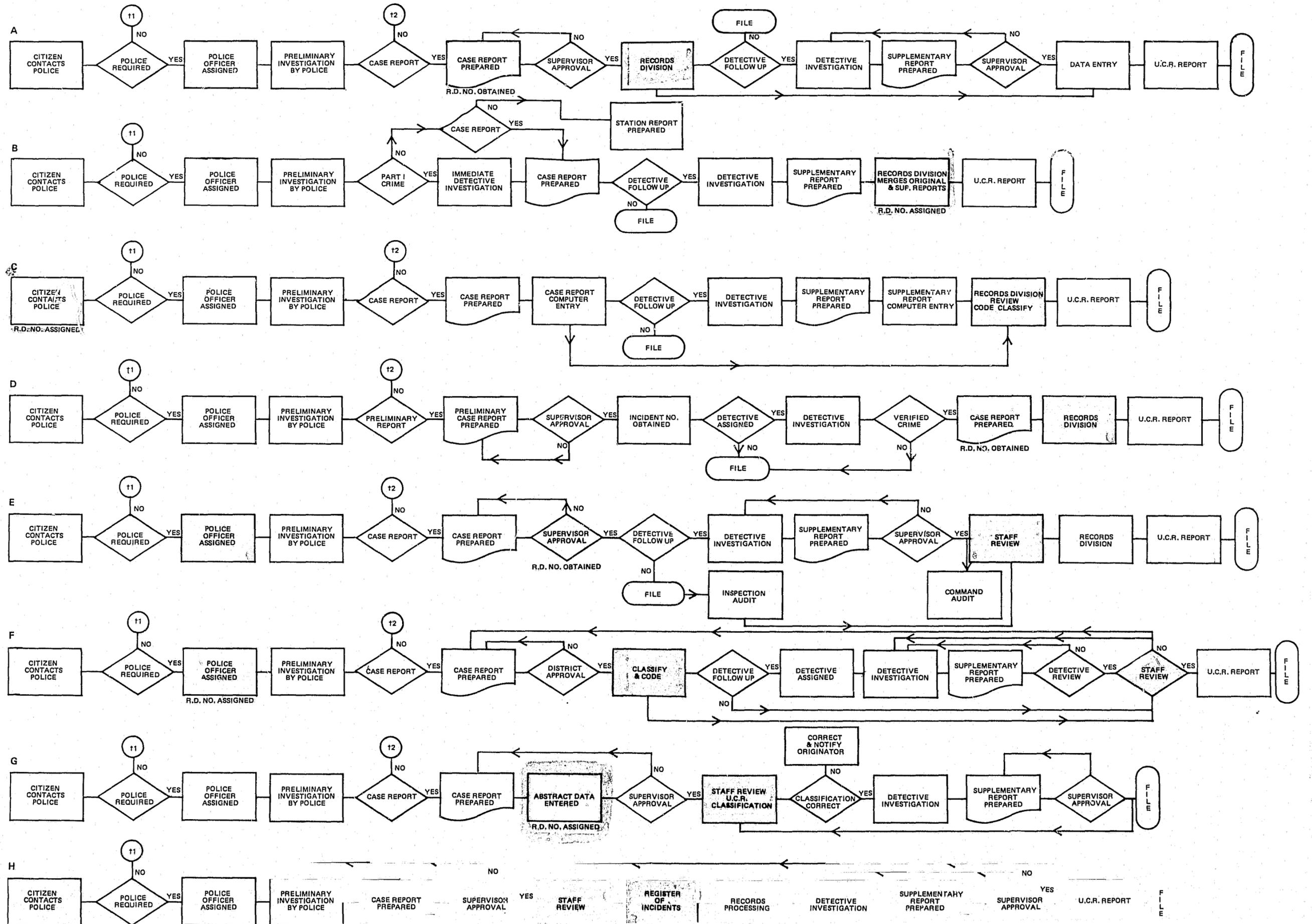
That point in the system where review of the report is accomplished from outside the reporting chain of command.

**BLUE**

That point in the system where an incident is first tallied by the department.

Cities B through G are not identified.

City I = Chicago  
 City H = I. A. C. P. "Model"



**END**