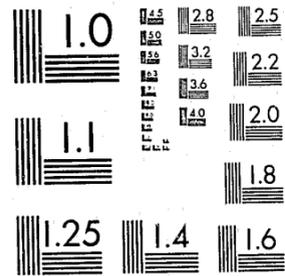


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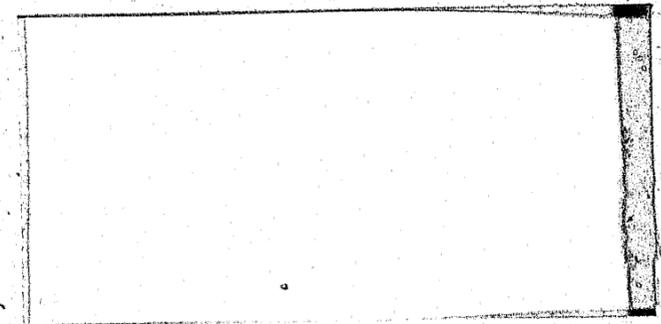
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January 29, 1979

Managing Criminal Investigations in  
Rochester, New York:  
A Case Study

by

Paul G. Nalley

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THE URBAN INSTITUTE  
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MANAGING CRIMINAL INVESTIGATIONS IN ROCHESTER, NEW YORK:  
A CASE STUDY

I. INTRODUCTION

- A. SUMMARY OF PROGRAM
- B. SUMMARY OF OUTCOMES

II. BACKGROUND AND SETTING

- A. SETTING
- B. ROCHESTER POLICE DEPARTMENT
- C. PROGRAM BACKGROUND
- D. PLANNING THE CURRENT MCI PROGRAM
- E. DATA AVAILABILITY

III. IMPLEMENTATION

- A. OVERVIEW
- B. IMPLEMENTATION OF PROGRAM ACTIVITIES

IV. OUTCOMES

- A. OVERVIEW
- B. IMPROVE CLEARANCE RATES
- C. IMPROVE CONVICTIONS
- D. INCREASE PRODUCTIVITY

V. AFTER THE MCI GRANT PERIOD

SYNOPSIS OF APPENDICES

APPENDICES

LIST OF TABLES

TABLE NUMBER	PAGE	TITLE
II-1	II-2	Police Department Staffing
II-2	II-19	Chronology of MCI in Rochester, New York
II-3	II-25	Detailed Findings of Eight Areas Before and During the Introduction of Teams
II-4	II-27	Detailed Findings of Team and Non-Team Patrols
II-5	II-31	Summary of the RPD/MCI Programs Primary Data Sources
III-1	III-2	RPD/MCI Program Implementation Activities
III-2	III-8	Comparison of Test Case Screening Prior MCI (10/76) and During MCI (1/78 - 4/78)
IV-1	IV-2	Rochester MCI Program Outcomes
IV-2	IV-6	Disposition Data Used to Analyze the Improved Convictions Outcome
IV-3	IV-9	Changes in UCR Part I Actual Offenses Known to the Police
IV-4	IV-12	Changes in UCR Part I Persons Charged
IV-5	IV-13	Comparison of Combined Robbery/Burglary/Larceny Clearance Rates Per Person of RPD Personnel
IV-6	IV-16	Charges for UCR Part I Offenses by Total RPD Sworn Personnel

LIST OF EXHIBITS

EXHIBIT NUMBER	PAGE	TITLE
II-1	II-3	Organization of the Police Department
II-2	II-15	Police Department Operations
II-3	II-17	Section Boundaries
II-4	II-24	Rochester Police Department Crime Investigation Report
IV-1	IV-4	Ratio of Clearances to Offenses for Robbery, Burglary and Larceny
IV-2	IV-10	Ratio of Robbery, Burglary, Larceny and Total Part I Charges to Offenses from Uniform Crime Reports
IV-3	IV-11	Ratio of Arrests to Offenses for Robbery, Burglary and Larceny
IV-4	IV-13	Rochester, New York Compared to 99 Cities and Montgomery County, Maryland: Percentage Change in Ratio of Arrest to Offenses from 1975 to 1976, Part I Crime Only
IV-5	IV-14	Rochester, New York Compared to 99 Cities and Montgomery County, Maryland. Ratio of Arrest to Part I Offenses for 1975 and 1976

APPENDICES

ALPHABETICALLY

TITLE

- A Computer Tape Chronology and Problems
- Tables: A-1 A Chronology of the RPD Arrest/Offense  
Computer Tapes  
A-2 Sample Size That Represents Rochester's  
Percent Part I Offenses  
A-3 Dispositions Obtained of Sample Cases to  
Analyze Improved Convictions Outcome  
A-4 Additional Presentation and Interpretation  
of Quantitative Data from Table IV-2  
A-5 Standard Deviation and Error Calculation  
From Table A-4 Convicted or Warrant Data
- Figure: Percent Favorable Outcomes (Convicted or Warrant)  
Calculated For  $\pm$  Two Standard Deviations
- B Offense Monitoring System
- C Investigative Action Report G.O. 77-12.3
- D Investigative Case Management System G.O. 78-5
- E Section Investigative Coordinator G.O. 78-6
- F Police/Prosecutor Liaison System S 78-17
- G Police/Prosecutor Coordination S-77-121
- H District Attorney Case Dismissal Feedback Report S.O. 77-69
- I Crime Investigation Report G.O. 77-12
- J Preliminary Investigations Manual G.O. 76-11.1
- K Detailed Analysis of Robbery, Burglary and Larceny
- Exhibits:
- K-1 Robbery, Arrest, Offense & Ratio Time Series Plots  
K-2 Robbery Clearances, Offenses & Ratio Time Series Plots  
K-3 Burglary, Arrest, Offense & Ratio Time Series Plots  
K-4 Burglary Clearances, Offenses & Ratio Time Series Plots  
K-5 Larceny, Arrest, Offense & Ratio Time Series Plots  
K-6 Larceny Clearances, Offenses & Ratio Time Series Plots

PREFACE

In 1976 the Office of Technology Transfer, part of the National Institute of Law Enforcement and Criminal Justice in the United States Law Enforcement Assistance Administration, awarded grants to five police departments to test a process for managing criminal investigations. Generally speaking, this concept involves augmentation of patrol role; reassignment/decentralization of detectives; case screening; police/prosecutor relations and monitoring investigations.

The sites chosen for this test were Birmingham, Alabama; Montgomery County, Maryland; Rochester, New York; St. Paul, Minnesota; and Santa Monica, California.

In late 1976, The Urban Institute received a grant to evaluate this project. During 1977 and 1978, Urban Institute staff visited the sites numerous times and evaluated their managing criminal investigations programs.

An individual case study has been prepared describing the background setting, planning, implementation and results of the managing criminal investigations program at each site.

## I. INTRODUCTION

The Rochester Police Department's (RPD) Managing Criminal Investigations program (MCI) actually began in 1971. The Department designed an experimental model for decentralizing the detective function to work closely together with patrol officers.

The major objectives of the RPD/MCI program begun in 1971 were:

- Improve case clearance rates;
- Improve conviction rate; and
- Increase productivity.

The current funded program has the same objectives.

In May 1975, the RPD had already tested and fully or partially implemented the following MCI components:

- Managing the Continuing Investigation
- Police/Prosecutor Relations
- Preliminary Investigation
- Case Screening

The RPD monitoring system planned under the Police Foundation grant during 1975 and through May 1976 was also used as an MCI component.

In 1976, after six years of planning, experimenting, implementing and revising, the Department had an investigative system consisting of the following:

- a decentralized investigative structure, with most investigators assigned to police sections in the patrol division;
- a preliminary investigation system aimed at the identification of solvability factors;

- an early case closure system based upon the existence of specific solvability factors;
- a centralized office of investigative coordination to facilitate the exchange of investigative information within the Department;
- a case management information system to provide an overview of investigative performance; and
- a selection system for investigators based upon a task analysis in utilizing modern personnel selection techniques.

Early in 1976 the Department responded to a Law Enforcement Assistance Administration (LEAA) Request for Proposal (RFP) to participate in the MCI Program. In September 1976, the Department was selected as a participant and awarded \$117,000 for improvement of the RPD/MCI Program.

A limited process evaluation of several recently implemented components of the RPD/MCI program is being performed by the RPD local evaluator. The local evaluation parallels The Urban Institute evaluation of the RPD and the four other police department MCI grantees.<sup>1</sup>

### A. SUMMARY OF THE PROGRAM

This case study is designed to accomplish two major purposes. First, it presents a capsule description of the police department and the city of Rochester, New York, and a chronological description of the Managing Criminal Investigations (MCI) Program there. The earliest component involved the design of the decentralized investigative function in 1971 while the latest components were scheduled for implementation during the MCI demonstration in 1977-78. Second, the report describes The Urban Institute's (UI) evaluation of Rochester's MCI Program. The case study tracks the implementation and impact of the entire

1. The Urban Institute is evaluating the MCI program in Rochester; Santa Monica, California; St. Paul, Minnesota; Montgomery County, Maryland; and Birmingham, Alabama.

Rochester MCI system since the inception of each component and describes what data analyses were used to assess the MCI program.

The report, in part, is based on examination of the following documents:

- Thomas F. Hastings. "Team Policing in Rochester, New York: From Design of an Experiment to City-wide Institutionalization," October 1975;
- Thomas F. Hastings. "Criminal Investigation" in Local Government Police Management, International City Management Association, March 1977, Chapter 10, pp. 211-231;
- Paul J. Flynn. "The Coordinated Team Patrol: An Innovation in the Management of Criminal Investigation," Syracuse Research Corporation, 1977 (draft);
- Peter B. Bloch and James Bell. "Managing Investigations: The Rochester System," Police Foundation/The Urban Institute, 1976;
- Peter B. Bloch and Cyrus Ulberg. Auditing Clearance Rates, The Police Foundation/The Urban Institute, 1974;
- Jeffrey O. Smith and Pluma W. Kluess. "Rochester Police Department's Managing Criminal Investigations: A Process Evaluation of Selected Components," August 1978;
- Rochester Police Department, "Managing Criminal Investigations Manual," Rochester, New York, 1978.

Major sources for departmental data include:

- The RPD plan for MCI;
- The RPD monthly statistical reports on crime and arrests;
- Interim reports on the MCI Program;
- RPD general orders;
- RPD monitoring system reports;
- Annual budgets for the city;
- RPD computer tapes for offenses and arrests.

This report is also based on interviews with the following personnel:

- Chief of Police, Thomas Hastings;
- Deputy Chief, Delmar Leach;
- Director, Research and Evaluation, Captain Thomas Conroy;

- Project Director, MCI/Research and Evaluation, Lieutenant Terrence Rickard;
- Records and Communications, Lieutenant Edgar Bastain;
- Records and Communications, Sergeant Roland Marchetti;
- Information System Section, Sergeant John Connor;
- Local MCI Evaluator, Jeffrey Smith; and
- Computer Programmer, Tony Dano.

#### B. SUMMARY OF OUTCOMES

Five major components of the RPD/MCI program were initially scheduled to be evaluated. Four of the five were implemented:<sup>1</sup>

- Managing the Criminal Investigation;
- Police/Prosecutor Relations;
- Preliminary Investigation; and
- Case Screening.

The Monitoring System component cannot be considered fully implemented because it is currently underutilized.

The three outcomes that the RPD wished to achieve through its MCI program were:<sup>2</sup>

- Improve clearance rates;
- Improve convictions; and
- Increase productivity.

RPD and Urban Institute agreed on how specific measures of these outcomes would be obtained and used in the evaluation. Significantly little change is shown for the outcome measures when examined prior to and during

1. See pp. III-5 through III-13.

2. See pp. IV-3 through IV-16.

the MCI grant period. The trend of the outcomes is consistent when examined in a time series format from the time team policing was implemented citywide (April 1975) and during the MCI grant period (October 1976 through August 1978). It should be noted that the Department was able to maintain this consistency while the Department's staffing levels were decreasing.

## II. SETTING AND BACKGROUND

### A. SETTING

Rochester is located on the shore of Lake Ontario in western New York, midway between Buffalo and Syracuse. In 1970, Rochester had a population of approximately 296,000 people. It is an area of high and stable employment resulting from highly skilled labor employed by industries including Xerox and Eastman Kodak. The median family income in 1970 was slightly over \$10,000. The black population has increased from less than 5 percent in 1950, to about 17 percent in 1970.

Between 1970 and 1977 Rochester has exhibited about a 10% population decline from the 1970 approximate value of 296,000. For 1977 the Community Analysis Model of Rochester estimates the population at 265,000, and the City of Rochester's Department of Planning estimates the population at 260,000.

### B. ROCHESTER POLICE DEPARTMENT

Presently the department has about 625 sworn personnel. The sworn personnel staffing has decreased slightly from 1970. Table II-1 shows the number of sworn personnel, police officers and detectives over the last ten years. The department is currently divided into three sections and two bureaus that report directly to the Chief of Police. The sections are the Special Criminal Investigation, Internal Investigation, Research and Evaluation and Community Services. The Operations Bureau and Administration Bureau are comprised of divisions, sections, units, squads, etc. as shown in the Organization Chart in Exhibit II-1.

TABLE II-1: POLICE DEPARTMENT STAFFING

Fiscal Year	Number of Personnel			
	Sworn Personnel	Police Officers & Command	Criminal Investigation Detectives	CTP or Teams
68/69	612	545	67	*
69/70	664	583	81	*
70/71	679	594	85	*
71/72	681	595	86	*
72/73	674	587	87	*
73/74	635	550	85	*
74/75	641	558	83	*
75/76	640	209	38	393
76/77	649	208	31	410
77/78	649	206	40	403
78/79	623	177	43	403

Definitions:

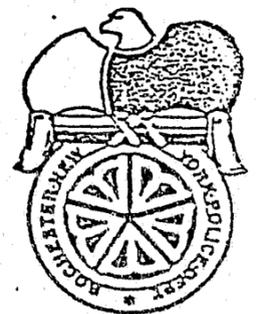
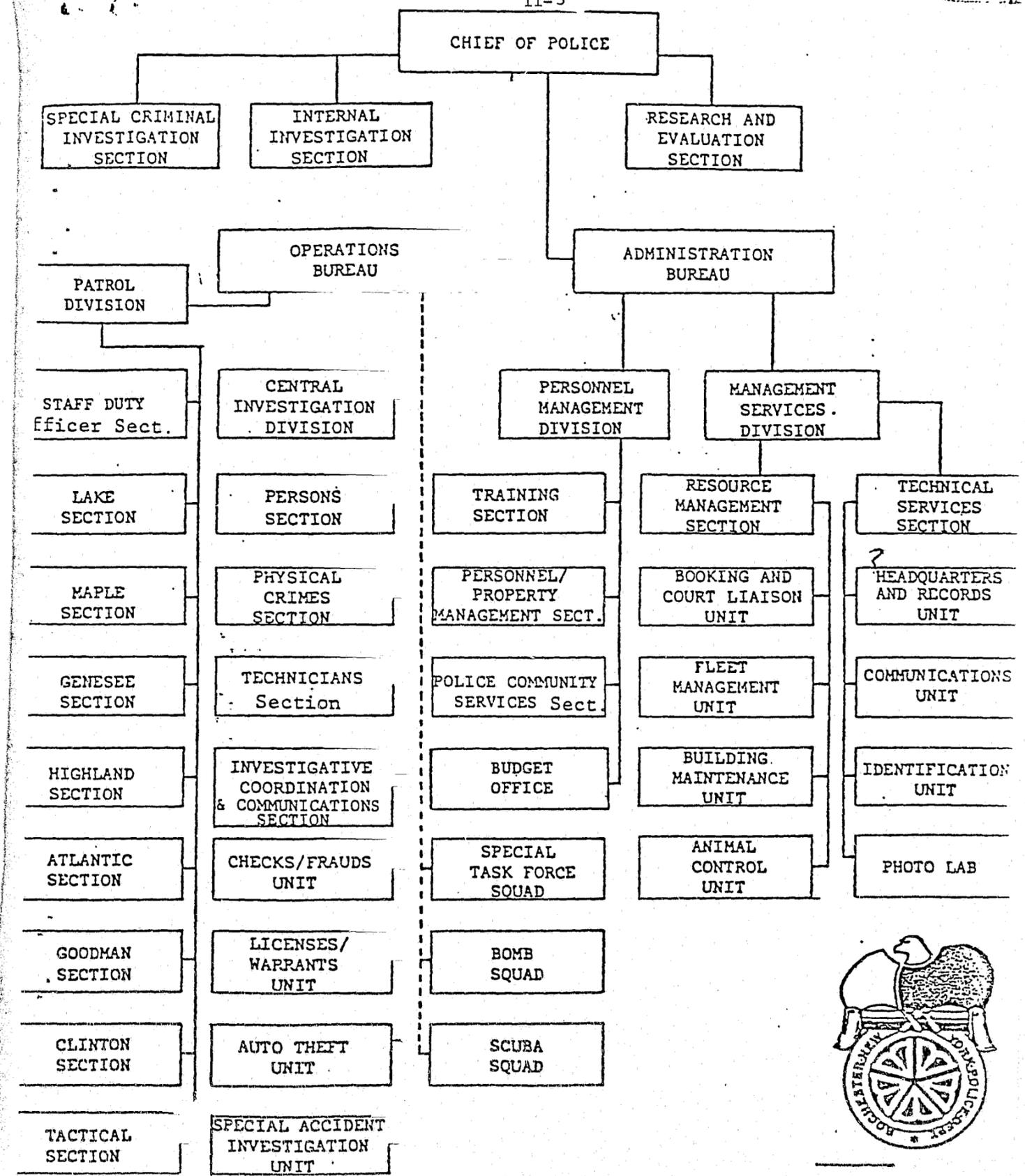
Sworn Personnel - "All" sworn personnel of the RPD.

Police Officers and Command - All sworn personnel "less" detectives and CTP or teams.

Coordinated Team Patrol (CTP or "Teams") - Sworn personnel assigned to "Teams." Includes all ranks of patrol officers and CTP assigned investigators.

SOURCE: City of Rochester Budgets; Interviews

\*NOTE: CTP or teams implemented citywide April 1975.



The Operations Bureau, which is involved in MCI, is comprised of the Patrol Division, Central Investigation Division and the Staff Investigation Section. The general responsibilities of the Patrol Division, which is highly involved with MCI, are described in Exhibit II-2. The budget of the Patrol Division and a summary of its activities are shown in Exhibit II-2.

The Patrol Division is assigned to cover the city and is divided into tactical and traffic sections and seven patrol sections, each of which covers a particular area (see Exhibit II-3). Each section has a headquarters located in their patrol area from which all personnel operate. This allows police officers to be better acquainted with the needs of the neighborhood in their section patrol area. Service calls, preliminary inspections of crimes and incidents within section boundaries, and followup investigations for all offenses except homicide, rape and armed robbery are the responsibility of section patrol personnel.

Each section was designed to have approximately the same number of calls for service in order to improve police efficiency through uniform workload allocation. The RPD has a computer system (called LEMRAS) which permits management to look at all service calls on a 24-hour per day, seven day-a-week basis by location of occurrence. The LEMRAS system data from April 1, 1974 through December 30, 1974 were used to define sections that were about equal in calls, but not in demographic and geographic characteristics. The department reports in the RPD/MCI Interim Report #1 that the redrafted boundaries resulted in all sections having calls for service within 5 percent of overall average.

## Program Analysis

### POLICE DEPARTMENT OPERATIONS

#### OPERATIONS

- The Operations function of the Police Department includes those activities providing direct service to the public. The budget for this function constitutes 73% of the total Police budget and 72% of the uniformed personnel are assigned to Operations activities.

#### PATROL

##### General Responsibilities

The Patrol activity is assigned to cover the City, which is divided into 7 patrol sectors, each area to handle approximately the same number of calls for assistance. Of the 471 uniformed personnel assigned to the patrol activity 403 are assigned to the various sector headquarters, listed below. The others are assigned to the Traffic and Tactical Patrol Sections.

<u>Number</u>	<u>Patrol Section</u>	<u>Headquarters Location</u>
1	Lake	#40 School, LaGrange Ave.
2	Maple	261 Child Street
3	Genesee	#16 School, Post Ave.
4	Highland	615 South Ave.
5	Atlantic	#46 School, Newcastle Road
6	Goodman	Waring Road Shopping Plaza
7	Clinton	#36 School, Bernard Street

Patrol Section personnel are responsible for all calls-for-police service, the preliminary investigations of crimes and incidents within section boundaries, and the follow-up investigation for all offenses except the more serious crimes of homicide, rape, and armed robbery, which are referred to the Central Investigation Division. The cost of the Patrol Sectors for 1977-78 is \$7,423,400 or 86% of the total Patrol activity budget.

In addition to the seven patrol sections, the Patrol activity also includes the Traffic section, which is responsible for traffic direction, enforcement of traffic and parking regulations and investigation of all hit-and-run accidents.

The third component of Patrol is the Tactical Patrol section, which is a specialized police unit trained in crowd control and concentrated patrol techniques. Tactical Patrol provides support to regular police units as required, particularly for events attracting large numbers of people.



## C. PROGRAM BACKGROUND

This section describes the history of the RPD/MCI Program. A chronology of events related to investigative activities in Rochester is contained in Table II-2.

In 1971 the Department designed an experimental model for decentralizing the investigative function by assigning detectives to work closely together with patrol officers. The problem with the old centralized model was thought to be too little communication between the preliminary investigating patrol officer and the case follow-up investigator. The follow-up investigator was not satisfied with the quality of the patrol officer's preliminary inspection. Patrol officers responsible for preliminary investigations felt that they were only report-takers because plainclothes investigators were assigned case follow up.

The decentralized model experiment was undertaken to improve the quality of preliminary investigations done by patrol officers as a result of daily and close contact of patrol officers with detectives performing the follow-up investigation. This experiment was the forerunner of MCI.

Key elements necessary for a successful investigation were identified. Those key elements were called "Solvability Factors." The first use of the Solvability Factors by all sections was in July 1973. Further testing by the department indicated that even though cases had "thorough" preliminary investigations, they would not be solved without the specified Solvability Factors. Solvability Factors are listed on a new incident report (introduce department-wide during 1978) that required patrol officers to record the existence of Solvability Factors (see Exhibit II-4).

TABLE II-2: CHRONOLOGY OF MCI  
IN ROCHESTER, NEW YORK

Date	Activity
1873	Six detectives appointed--first in department which numbered sixty-five officers.
1899	Department decentralized into five precincts due to rapid growth of city. Detectives and patrol officers work under single neighborhood command.
1931	Decentralization ended. Detectives removed from control of precinct captains and report directly to chief.
1946	Detectives no longer have to check in at precinct houses.
1965	Detective division reorganized by type of crime: physical crimes against persons, crimes against property, juvenile crimes and vice.
1966-1970	Rochester's crime index increases 20 percent per year on the average.
1966	Planning and Research Section established.
1967	Department consolidated into three divisions: Administration, Operations and Special Services.
1969	Police Chief sees arrests not keeping pace with crime increases.
1970	About one-fifth of all cases assigned for investigation closed unfounded.
1971	Start plans for Rochester team policing experiment with following basic concepts: <ul style="list-style-type: none"> <li>(1) unit commander responsible for clearance of criminal cases in the unit's area, encouraged to try innovative patrol and investigative techniques; and</li> <li>(2) detectives and patrol officers report to same unit commander and serve same neighborhood.</li> </ul> <p>The experiment was designed to test if clearance rates could be improved.</p>

TABLE II-2: CHRONOLOGY OF MCI  
IN ROCHESTER, NEW YORK (Cont'd.)

Date	Activity
1971	The Law Enforcement Assistance Administration (LEAA) rejects Rochester's grant proposal for block grant funds to support planning and implementation of team policing experiment. Syracuse had earlier been awarded one million dollars for team policing.
March 15, 1971	Two Coordinated Team Patrol (CPT) "Teams" (CTP-B and CTP-C) deployed with no additional funds or legislation or political clearance.
August 1972- December 1973	CTP experiment.
January 9, 1972	CTP-B is deemed a failure and is abolished. CTP-A is created and deployed.
June 1972	Rochester/Monroe County designated "Pilot City" by LEAA and receives \$500,000 annually.
Late 1972	The Police Foundation sends a consultant to visit Rochester. A Request for Funding Proposal is submitted to the Police Foundation for CTP experiment.
1973	Police Foundation contacted to provide outside evaluation of the experiment, and verify department's findings of improved clearance rates.
June 1- November 30, 1973	Period selected for evaluation of cases under CTP concept by The Urban Institute.
July 1973	The Urban Institute conducts survey of team and non-team patrol officers.
July 1973	The Police Foundation awards \$19,000 as first step in evaluation of CTPs. The Urban Institute subsequently selected by the Police Foundation to conduct the evaluation.

TABLE II-2: CHRONOLOGY OF MCI  
IN ROCHESTER, NEW YORK (Cont'd.)

Date	Activity
July 1973	Request of city-wide expansion of CTP program is denied by police commissioner.
July 1973	First use of Solvability Factors by all sections.
November 1973- March 1974	No police chief.
December 1973	The Police Foundation grants \$94,000 to the Rochester Police Department to establish a third CTP unit, primarily for further evaluation, training and establishment of new crime report forms.
April 30, 1974	Chief of Police appointed by City Manager.
October 1974	The Police Foundation grants \$134,000 to the Rochester Police Department to aid in total city-wide implementation of CTP, and to establish a program for the merit appointment of detectives.
December 1974	<u>Auditing Clearance Rates</u> published by the Police Foundation and The Urban Institute. Confirmed RPD report of improved clearance rates.
1974	New crime report adopted department-wide.
December 1974	Reorganization of Rochester Police Department into precinct system.
1975	"Assessment center" established to use merit selection procedures for future investigators.
1975	LEAA publishes Request for Proposal for MCI sites.
January 1975	Formal decision is made to establish CTP city-wide. Planning for decentralization to eight precincts; later reduced to seven.
April 6, 1975	Team policing in effect for whole city. Rochester Police Department starts operations in decentralized mode to seven precincts (or sections). Rank of detective abolished (except those under "grand-father clause").

TABLE 1: CHRONOLOGY OF MCI  
IN ROCHESTER, NEW YORK (Cont'd.)

Date	Activity
Winter 1975	Chief of Police schedules series of meetings in the Department to explain forthcoming changes and to gather input from entire Department.
January 1976	Rochester submits MCI proposal.
Spring 1976	Managing Investigations: The Rochester System published the Police Foundation and The Urban Institute. Confirms that the investigative effectiveness performance in team areas was higher than in non-team areas of the city.
September 1976	Rochester notified by LEAA that it will receive \$117,000 for improvements in the management of criminal investigations.
October 4, 1976	Department officially begins MCI Program.
July 26, 1977	Developed a feedback report that will inform police personnel of the case dismissal results.
November 11, 1977	Preliminary investigation manual developed to explain the preliminary investigation process.
December 3, 1977	Developed a case referral document that presents information obtained from the arresting officer to be used by prosecutor to screen cases.
January 16, 1978	Investigative action reports developed that will be used to limit follow-up activity to solvability factors. Revised the crime investigation report to refine the solvability factors, expand the witness data, and add a victim copy.
February 8, 1978	Police/prosecutor liaison system between patrol operations and the prosecutor's office developed.
March 1978	Managing criminal investigation manual developed that will be used to train the staff.
April 3, 1978	Section coordinator position and duties formally established. Developed a universal support filing system.
April 30, 1978	Original Grant to end but had two extensions.
May 25, 1978	Central coordinator's position formally established and duties/responsibilities defined. Training of staff in investigation process and reporting system completed.
June 30, 1978	First Grant extension completion date.
August 31, 1978	Second and Final Grant extension date.

EXHIBIT II-4: ROCHESTER POLICE DEPARTMENT CRIME INVESTIGATION REPORT

1. OFFENSE OR CHARGE (INCLUDE DEGREE & LAW SECTION NO.)		2. CLASSIFICATION OF OFFENSE (SUPERVISORY REVIEW)		3. CR #
4. TIME OF OCCURRENCE M. D. Y. T.	5. WHEN REPORTED M. D. Y. T.	6. LOCATION OF OFFENSE (HOUSE NO. STREET NAME)		
7. VICTIMS NAME (LAST, FIRST, MIDDLE) OR FIRM NAME IF BUSINESS		8. VICTIMS ADDRESS (HOUSE NUMBER, STREET NAME)		9. RESIDENCE PHONE DAY NIGHT
10. VICTIMS PLACE OF EMPLOY, OR SCHOOL NAME	11. BUSINESS PHONE DAY NIGHT	12. VICTIM'S SEX / RACE / AGE	13. REPORTING PERSON'S SIGNATURE DATE	
14. WAS THERE A WITNESS TO THE CRIME? IF NO PLACE AN X IN BOX A				
15. INDICATE WITH PROPER CODE IN BOXES PROVIDED. PERSON'S RELATIONSHIP TO INVESTIGATION. W-1: WITNESS #1, NI: NOT INTERVIEWED #2, R: REPORTING PERSON, PK: PERSON WITH KNOWLEDGE (INCLUDING REPORTING PERSON'S NAME IF DIFFERENT FROM VICTIM'S). IF CITIZEN INFORMATION FORM R.P.D. 1148 IS LEFT WITH ANY OF THESE PERSONS INDICATE BY CIRCULING PERSONS DESIGNATED				
ADDRESS CHECKED	APT.#	PERSON INTERVIEWED	AGE	HOME ADDRESS APT# T L RES. BUS.
				T L RES. BUS.
				T L RES. BUS.
				T L RES. BUS.
				T L RES. BUS.
16. CAN A SUSPECT BE NAMED? IF NO PLACE AN X IN BOX B				
SUSPECT #1 NAME (INCLUDE ANY A-K-A INFO)		SUSPECT #2 (INCLUDE ANY A-K-A INFO)		
17. CAN SUSPECT BE LOCATED? IF NO PLACE AN X IN BOX C				
SUSPECT #1 CAN BE LOCATED AT		SUSPECT #2 CAN BE LOCATED AT		
18. CAN SUSPECT BE DESCRIBED? IF NO PLACE AN X IN BOX D				
SUSPECT #1 DESCRIPTION		SUSPECT #2 DESCRIPTION		
DESCRIBE EACH SUSPECT USING AGE, SEX, RACE, HEIGHT, WEIGHT, ANY IDENTIFYING SCARS, MARKS & CLOTHING DESCRIPTION				
ARRESTED <input type="checkbox"/> YES <input type="checkbox"/> NO		ARRESTED <input type="checkbox"/> YES <input type="checkbox"/> NO		
19. CAN SUSPECT BE IDENTIFIED? USING APPROPRIATE CODES IN THE BOXES PROVIDED, INDICATE WHO CAN IDENTIFY SUSPECT. IF NO PLACE AN X IN BOX E				
21. REGISTRATION INFORMATION		20. TIME SUSPECT INFORMATION BROADCAST 20.		
STATE	YEAR	MAKE	MODEL & TYPE	COLOR TOP/BOTTOM IDENTIFYING CHARACTERISTICS
22. CAN SUSPECT VEHICLE BE IDENTIFIED? IF NO PLACE AN X IN BOX F				
23. TIME SUSPECT VEHICLE INFORMATION BROADCAST. PLACE TIME IN BOX 23				
24. IS STOLEN PROPERTY TRACEABLE? IF NO PLACE AN X IN BOX G				
25. DESCRIBE PROPERTY STOLEN / DAMAGED		26. REMOVED FROM	27. PROPERTY IDENTIFICATION INFORMATION	28. PROP. VALUE
29. NATURE OF INJURY		30. TYPE OF INSTRUMENT, WEAPON OR FORCE USED		TOTAL VALUE
31. WHERE HOSPITALIZED	32. ATTENDING PHYSICIAN	33. PRONOUNCING PHYSICIAN / WHERE	34. DATE / TIME PRONOUNCED	35. NAME OF MEDICAL EXAMINER
36. IS THERE A SIGNIFICANT W.O. PRESENT? IF YES, DESCRIBE IN NARRATIVE. IF NO PLACE AN X IN BOX H				
37. IS THERE SIGNIFICANT PHYSICAL EVIDENCE PRESENT? IF YES, DESCRIBE IN NARRATIVE. IF NO PLACE AN X IN BOX I				
38. HAS EVIDENCE TECH WORK BEEN PERFORMED? (BY: ) REQUESTED? IF NO PLACE AN X IN BOX J				
TECH WORK PERFORMED; REQUESTED: <input type="checkbox"/> PHOTO <input type="checkbox"/> FINGERPRINT <input type="checkbox"/> COMPOSITE <input type="checkbox"/> OTHER				
39. IS THERE REASON TO BELIEVE THAT THE PRELIMINARY INVESTIGATION CANNOT BE COMPLETED AT THIS TIME? IF NO PLACE AN X IN BOX K				
40. CAN CRIME BE SOLVED WITH A REASONABLE AMOUNT OF INVESTIGATIVE EFFORT? IF NO PLACE AN X IN BOX L				
41. WAS THERE A DEFINITE LIMITED OPPORTUNITY FOR ANYONE EXCEPT THE SUSPECT TO COMMIT THE CRIME? IF NO PLACE AN X IN BOX M				
42. POINT OF CRIME	43. PREMISE DESCRIPTION		44. PROP. INV. #	
45. NARRATIVE SUMMARIZE DETAILS OF CRIME INCLUDING PROGRESSION OF EVENTS, NAMES OF OTHER OFFICERS OR UNITS ASSISTING. FOR ANY ADDITIONAL INFORMATION WHICH IS AN EXTENSION OF ANY OF THE ABOVE BLOCKS, INDICATE BLOCK NUMBER AT LEFT.				
BLOCK NO.				
46. IS ONE OF THE SOLVABILITY FACTORS PRESENT IN THIS REPORT? 47. REPORTING OFFICER(S) ASSIGNED BEAT NO. 51.				
<input type="checkbox"/> NO. OFFICE <input type="checkbox"/> YES, FIELD <input type="checkbox"/> YES, CLOSED		REVIEWER		50. CLOSED BY
48. FIELD SUPERVISORY DECISION <input type="checkbox"/> OFFICE <input type="checkbox"/> FIELD <input type="checkbox"/> CLOSED		<input type="checkbox"/> ARREST <input type="checkbox"/> NO ARREST <input type="checkbox"/> NO PROSECUTION		<input type="checkbox"/> WARRANT ADVISED <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> JUVENILE DIVERSION
49. IF FIELD, INVESTIGATOR SHOULD FOLLOW-UP SOLVABILITY FACTORS				

rochester police department crime investigation report

A study<sup>1</sup> published by the Police Foundation in December 1974 and written by The Urban Institute, confirmed an RPD report that improved clearance rates had improved. Robbery, burglary, larceny and criminal trespass data were examined. Data sources for the evaluation were:

- Records of offenses and police dispositions;
- Records of arrest;
- Dispatch assignment cards and reports;
- Records of offenses cleared by arrest.

Table II-3 shows the comparison of the areas, i.e., Team A and Comparison A (the rest of Unit A), and Team C and Comparison C1 and C2 (the rest of Unit C). The RPD believes that its increased success is due to improvements in preliminary and follow-through investigations.

The Urban Institute was selected by the Police Foundation in July 1973 to conduct an evaluation of the RPD's decentralized investigative structure. The results of that study<sup>2</sup> were published by the Police Foundation and The Urban Institute in 1976. Table II-4 contains the key findings which in general showed that performance in team areas was higher than in non-team areas of the city. These results confirmed the internal departmental belief that investigative effectiveness had improved. Based on this evaluation, most of the investigative function was assigned to the seven newly formed sections (April 1975).

Each section established the position of investigative coordinator as a communication link between the sections and centralized investigations (homicide, serious robbery, rape, juvenile offenses). The section coordinator position existed prior to the MCI program but was not formally established until April 1978. This position was expected to:

1. Peter B. Bloch and Cyrus Ulberg, "Auditing Clearance Rates," Washington, D. C.: The Urban Institute, 1974.
2. Peter B. Bloch and James Bell, "Managing Investigations: The Rochester System," Washington, D. C., The Police Foundation, 1976.

TABLE II-3

Detailed Findings of Eight Areas Before and During the Introduction of Teams

Group	Time Period						Percent Change (Arrests Per Man-Year)
	Before			During			
	Number of Arrests	Man-Years	Arrests Per Man-Year	Number of Arrests	Man-Years	Arrests Per Man-Year	
Team A Officers	138	28.33	4.87	245	31	7.90	+ 52
Comparison A Officers	174	29.33	5.93	259	31	8.35	+ 41
Team A Investigators	104	9	11.56	146	9	16.22	+ 40
Comparison A Investigators	75	9	8.33	113	9	12.56	+ 51
*Total Team A	242	37.33	6.48	391	40	9.78*	+ 51
*Total Comparison A	249	38.33	6.50	372	40	9.30*	+ 43
Team C Officers	103	30.67	3.36	293	34	8.62	+157
Comparison C Officers	82	30.33	2.70	140	32	4.38	+ 62
Team C Investigators	39	4	9.75	101	4	25.25	+159
Comparison C Investigators	26	5	5.20	45	5	9.00	+ 73
*Total Team C	142	34.67	4.10	394	38	10.37	+153
*Total Comparison C	108	35.33	3.06	185	37	5.00	+ 63

\*Twenty-eight percent of Team A's arrests and 75 percent of Comparison A's arrests were for larceny. Many larceny arrests are for shoplifting (included in this data because arrest data excluding shoplifting were not available), and these arrests often occur because a store detective already has the suspect in custody. From Before to During, larceny arrests declined 9 percent in Team A and increased 65 percent in Comparison A (see Table 6).

Source: Peter B. Bloch and Cyrus Ulberg. "Auditing Clearance Rates," Washington, D.C. The Urban Institute, 1974.

TABLE II-4  
Detailed Findings of Team and  
Non-Team Patrols

	On-Scene Arrest	Follow-Up Arrest	All Arrests	Secondary Arrest Clearance <sup>c</sup>	Exceptional Disposition <sup>d</sup>	No Action	Number Reported
<b>BURGLARY</b>							
Teams	4.9%	6.1%	11.0%	28.0%	11.0%	50.0%	854
Nonteam	3.5	4.2	7.7	11.7	29.5	51.0	1,579
<b>ROBBERY</b>							
Teams	11.6	16.3	27.9	14.0	7.8	50.4	129
Nonteam	4.6	4.6	9.2	2.3	32.8	55.7	174
<b>LARCENY (excluding turnover arrests)</b>							
Teams	2.3	0.5	2.8	10.4	13.8	73.0	993
Nonteam	0.9	0.6	1.4	0.4	9.7	88.5	3,853

<sup>a</sup>Statistically significant difference.

<sup>b</sup>Based on classification in the central records section.

<sup>c</sup>Percentages are rounded to the nearest tenth of a percent. Because of rounding, percentages may not add precisely.

<sup>d</sup>A "secondary arrest clearance" is the disposition of a crime that was considered cleared because a person arrested for another crime was found to have committed this one and perhaps others.

<sup>e</sup>Includes cases that were unfounded, re-arrested, or resolved by arrest because the subject left the jurisdiction.

Source: Peter B. Bloch and James Bell. "Managing Investigations: The Rochester System," Washington, D.C. the Police Foundation, 1976.

- (1) provide tighter control over investigations;
- (2) increase the number of arrests and clearances through coordination;
- (3) reallocate investigation time;
- (4) increase communication and cooperation between police, prosecutor and court; and
- (5) increase communication among sectors. Also, the coordinator is a link between the sector and remaining centralized investigations (homicide, serious robbery, rape, juvenile offenses).

A new office of coordination in the central detective division assumed responsibility for the flow of investigative information between the sections and crime analysis.

A monitoring system was planned under a Police Foundation grant during 1975 and through 1976 to evaluate the new concept of investigative management. Task forces determined management needs which resulted in a series of reports providing a regular overview of case status, investigative process and activity. The system is described in "Offense Monitoring System" by Thomas F. Hastings in Appendix B.

In October 1974, the RPD received from the Police Foundation a \$134,000 grant to aid in total citywide implementation of CTP and establish a program for the merit appointment of detectives. In 1975 an "assessment center" was established to use merit procedures for selection of future investigators.

The assessment center attempts to find a more reliable means of predicting future performance of individuals or groups. It uses a variety of tests and measures that relate directly to either a specific position or the general occupational level of the candidate.

After six years of planning, experimenting, implementing, and revising, the Department believed that clearance rates needed improvement. The department believed the basis of an effective investigative system had been found, but much work was still required in the refinement of the system. Future work would concentrate on improving effectiveness, rather than reducing the number of detective personnel.

Early in 1976 the department responded to a Law Enforcement Assistance Administration (LEAA) Request for Proposal (RFP) to participate in the MCI Program. In September 1976 the Department was selected as a participant and awarded \$117,000 for improvement of the Rochester MCI Program.

#### D. PLANNING THE CURRENT MCI PROGRAM

The components and activities described in this section were defined in the RPD Status Report presented at the Santa Monica, California MCI Conference, April 6, 1978. The RPD, as described in the Background section had, as of May 1975, already either planned, tested, revised and fully or partially implemented activities in five areas:

- Managing the Continuing Investigation;
- Police/Prosecutor Relations;
- Preliminary Investigation;
- Case Screening; and
- The Monitoring System.

Below is an outline of the activities for the five areas and their expected impacts.

1. Managing the Continuing Investigation
  - a. Develop an Investigative Action Report that will be used to limit follow-up activity to those cases with the presence of Solvability Factors. The report will record additional information or follow-up activity relating to a Crime Investigation Report.
  - b. Clearly define the "section coordinator" position. The expected impact is: (1) tighter control over investigations because the "section coordinator" is a full-time position; (2) greater number of arrests and clearances; (3) reallocation of "investigator's" time; (4) increased communication and cooperation among police, prosecutors and court; and (5) increased information flow among sections.
  - c. Develop a "central coordinator" position in the central detective division. The central coordinator will assume responsibility for the flow of investigative information between the districts and crime analysis.
  - d. Develop a "universal" support filing system in each of the sections. The system is expected to allow access to current information in the investigative filing system by personnel from any departmental section or unit.
  - e. Develop a liaison system between patrol operations and the prosecutor's office. The system would involve the arresting officer and supervisor with the trial district attorney.
  - f. Develop reporting documents that are expected to assist in the evaluation of individual investigator's performance.
  - g. Document and direct all MCI activities by departmental policy direction.
2. Police/Prosecutor Relations
  - a. Establish closer liaison between: (1) the Chief of Police and the Monroe County District Attorney's office; (2) the MCI Project Director and major bureau chiefs; and (3) at the "line level" the arresting officer and supervisor with the trial assistant district attorney. It is expected that an efficient liaison system at all levels of the criminal justice system will increase future cooperation. The increased cooperation is expected to rectify or eliminate the types of problem now encountered.
  - b. Develop a case referral document that will present information obtained from the arresting officer. The document will then be used as an instrument by the District Attorney to screen cases for prosecution decisions. It will be used for case preparation of selected prosecution cases.

- c. A feedback report will be developed that informs police personnel (i.e., arresting officer, supervisor and command staff) of case results. The feedback is expected to show increased convictions in cases prosecuted.

### 3. Preliminary Investigation

- a. Revise structured report form used prior to October 1976 to refine Solvability Factors, expand witness data, and add a victim's copy. It is expected that the report will aid in obtaining more exact data, reduce follow-up necessity, and provide a better quality of data for case screening decisions.
- b. Develop manual (a non-policy document) to explain the preliminary investigation process to field personnel. It is expected the manual will promote a better understanding of specialized tactics of investigation.
- c. Develop video tape scenario on the preliminary investigation process which is based on the preliminary investigation manual. The video tape is expected to supplement the preliminary investigation manual. The combination of the visual and manual approaches is expected to improve the quality and thoroughness of preliminary investigations.
- d. Provide a management control of the preliminary investigation process by developing a policy on the preliminary investigation process and completing the crime investigation process.
- e. Train staff in the preliminary investigation and reporting system. The training is expected to provide added assurance for implementation of MCI system.

### 4. Case Screening

- a. Test case screening methodology used prior to October 1976. Prior methodology used unweighted Solvability Factors.
- b. Develop preliminary investigation manual to thoroughly explain and define each Solvability Factor and detail the tactics which could be utilized in the search for the Solvability Factors.
- c. Test the Stanford Research Institute (SRI) burglary case screening methodology against 500 completed RPD cases comparing SRI closure prediction and the RPD closure prediction with case outcome.

### 5. Monitoring System

The RPD monitoring system planned under a Police Foundation grant during 1975 and through May 1976 was used as an MCI component. The system is described in "Offense Monitoring System" by Thomas F. Hastings (Appendix B). The system is expected to provide the staff error-free updated data. The data can be used for daily investigative/administrative decision making, e.g., review investigative statistics and performance of sections, facilitate inter/intra section coordination, etc. The Monitoring System was not given as a component in the Santa Monica Conference, but was discussed as a component in The Urban Institute Rochester site visit, July 14-15, 1977. Therefore, the Monitoring System will be evaluated as a component of the RPD/MCI Program.

#### E. DATA AVAILABILITY

RPD and Urban Institute staff identified and agreed upon the data that would be used to evaluate the MCI program. A list of the primary data sources is given in Table II-5, along with a summary of how the data was used in the evaluation.

A serious data problem in the evaluation concerns the use of the RPD computer arrest/offense tapes to determine the dispositions of cases forwarded for prosecution (to evaluate whether conviction rates improved). A sample was developed from 1972 through October 1978 of the arrest tapes that would link the identification number (ID#) of the person arrested with the crime record number (CR#) given to that offense by the dispatcher. Some dispositions were obtained from the RPD arrest records for 1972 through 1974, and 1977 through October 1978 but could not be obtained for 1975 and 1976. Because the CR# was not required to be coded until the Fall of 1976, the disposition of cases using the arrest tapes is not complete. Appendix A describes in detail the computer tape chronology and problems.

TABLE II-5: SOURCES AND USAGE OF DATA IN THE MCI EVALUATION

DATA SOURCE	DESIRED USE	HOW DATA USED IN EVALUATION
Grant Applications	<ul style="list-style-type: none"> <li>• Program goals</li> </ul>	<ul style="list-style-type: none"> <li>• List plans and goals</li> </ul>
Quarterly Progress Reports	<ul style="list-style-type: none"> <li>• Chronology of program</li> </ul>	<ul style="list-style-type: none"> <li>• Reports provided changes in the RPD activities</li> </ul>
Annual Budgets	<ul style="list-style-type: none"> <li>• Trace personnel shifts</li> <li>• Department budgets</li> </ul>	<ul style="list-style-type: none"> <li>• Trace assignment changes</li> <li>• Budget changes with respect to staffing</li> </ul>
RPD's UCR Statistics	<ul style="list-style-type: none"> <li>• Measure arrest to reported offenses</li> </ul>	<ul style="list-style-type: none"> <li>• Time series data on outcome measures</li> </ul>
CR#s Assigned to Dispatch Calls	<ul style="list-style-type: none"> <li>• Measure calls per year</li> </ul>	<ul style="list-style-type: none"> <li>• Trace number of calls that have reports written</li> </ul>
Arrest/Offense Computer Tapes from 1972 through October 1978	<ul style="list-style-type: none"> <li>• Find ratio of total number arrests to total number offenses</li> </ul>	<ul style="list-style-type: none"> <li>• Time series data to determine the success ratio of total number events to total number of favorable outcomes</li> </ul>
Local Evaluators Report	<ul style="list-style-type: none"> <li>• Measure dispositions of cases forwarded for prosecution</li> <li>• Use interview and questionnaire data obtained by evaluator</li> </ul>	<ul style="list-style-type: none"> <li>• Determine if improved conviction outcome achieved</li> <li>• Attitudinal changes of personnel and duties of new staffing positions</li> </ul>

III. IMPLEMENTATION

A. OVERVIEW

This chapter discusses the LEAA funded MCI program in Rochester. As has already been discussed, MCI was implemented in Rochester between 1971 and 1977. The Rochester Police Department's goal was improved investigative effectiveness; the objectives of concern were increasing personnel productivity, clearance rates and conviction rates. The number of investigative personnel was not reduced, although there were major reallocations of personnel to seven sections in the patrol division.<sup>1</sup>

Table III-1 describes the current MCI program activities. The RPD felt that these activities coupled with previously implemented MCI components would help them improve their overall investigative effectiveness. The specific activities are discussed below.

B. IMPLEMENTATION OF PROGRAM ACTIVITIES

Most of the activities defined by the RPD/MCI program were implemented during the current MCI grant period. Some of these activities were refinements of previous activities or planned prior to the MCI program. The following is a discussion of specific activities associated with the RPD/MCI program.

1. "Pre-Implementation/Implementation Interim Report #1," Rochester Police Department Managing Criminal Investigations, (1977), p. 5.

COMPONENT	ACTIVITY	IMPLEMENTATION DOCUMENTATION SOURCE	POST-GRANT PLANS	COMMENTS
Managing the Continuing Investigation	Develop an investigative action report that will be used to limit follow-up activity to solvability factors	Investigative Action Report G.O.77-12.3 (1/16/78) (Appendix C)	No Changes	Rescinds G.O. 69-2 pages 7, 8, and 9 G.O. 69-2.6
	Clearly define the "Section Coordinator" position and expected impact	Investigative Case Management System G.O. 78-5 (Appendix D) Section Investigative Coordinator G.O. 78-6 (4/3/78) (Appendix E)	No Changes	Rescinds S.O. 75-21
	Develop a "Central Coordinator" position in the <u>Central Detective Division</u> that assumes responsibility for the flow of investigative information between the sections and crime analysis	Organization of the Police Dept. G.O. 78-10 (5/25/78) (Exhibit II-1)	No Changes	Rescinds G.O. 70-3A.2 G.O. 77-15
	Develop a "universal" support filing system in each section to allow access to current information in the investigative filing system by personnel from any departmental section or unit	Investigative Filing System G.O. 78-7 (4/3/78)	No Changes	Rescinds S.O. 75-19
	Develop a liaison system between patrol operations and the prosecutor's office that will involve the arresting officer and supervisor with the trial District Attorney	Police/Prosecutor Liaison System S-78-17 (2/8/78) (Appendix F)	No Changes	
	Develop reporting documents that are expected to assist in the evaluation of individual investigator's performance	Investigator's Daily Activity Report Investigative Activity Analysis		

III-2

TABLE III-1: RPD/MCI PROGRAM IMPLEMENTATION ACTIVITIES

COMPONENT	ACTIVITY	IMPLEMENTATION DOCUMENTATION SOURCE	POST GRANT PLANS	COMMENTS
Police/Prosecutor Relations	Establish closer liaison between: 1) Chief of Police and Monroe Co. D.A. 2) MCI Project Director and Major Bureau Chiefs 3) "Line Level" (arresting officer and supervisor) with Trial Assistant D.A.	Police/Prosecutor Liaison System S 78-17 (2/8/78) (Appendix F)	No Changes	
	Develop a case referral document that presents information obtained from the arresting officer to be used by the D.A. to screen cases for prosecution decisions	Police/Prosecutor Coordination S 77-121 (12/3/77) (Appendix G)	No Changes	
	Develop a feedback report that informs police personnel (arresting officer, supervisor and command staff) of case results	District Attorney Case Dismissal Feedback Report S.O. 77-69 (7/26/77) (Appendix H)	No Changes	
Preliminary Investigation	Revise structured report form used prior to Oct. 1976 to "refine" solvability factors, expand witness data, and add a victim's copy	Crime Investigation Report 77-12 (1/16/78) (Appendix I)	No Changes	Rescinds G.O. 69-2 "General Report" pgs. 3, 4, 5 and 6
	Develop a manual (a non-policy document) to explain the preliminary investigation process and promote a better understanding of specialized tactics of investigation to field personnel.	Preliminary Investigations Manual 76-11.1 (11/11/77) (Appendix J) Managing Criminal Investigations Manual (1978)	No Changes	

Table III-1 (cont.)

COMPONENT	ACTIVITY	IMPLEMENTATION DOCUMENTATION SOURCE	POST GRANT PLANS	COMMENT
Preliminary Investigations	Based on the Managing Criminal Investigations Manual develop a video tape scenario on the preliminary investigation process  Train staff in the preliminary investigation and reporting system to provide added assurance for implementation of the MCI system	Video Tapes	No Changes	
Case Screening	Test case screening methodology used prior to October 1976  Develop preliminary investigation manual (Managing Criminal Investigations Manual) to thoroughly explain and define each solvability factor and detail the tactics which could be utilized in the search for solvability factors  Test Stanford Research Institute (SRI) burglary case screening methodology against 500 completed cases comparing SRI closure prediction and RPD closure prediction with case outcome	Preliminary Investigations Manual 76-11.1 (11/11/77) (Appendix J) Managing Criminal Investigations Manual (1978)	No Changes	
Monitoring System	Establish the use of the RPD computer monitoring reports to carry out crime analysis, monitor level of criminal activity and section responses to this activity	#100 Detailed Crime Report by Section #101 Car Beat Report by Section #102 Investigative Outcome Assessment 1 #103 Investigative Outcome Assessment 2 103A Investigative Outcome Assessment 2 (Appendix B)		This component not given in the Santa Monica, CA. MCI/Conference but the RPD agreed it would be a component of this report The monitoring system is not yet being fully utilized because the information is not timely enough and because section personnel do not yet have adequate training or guidance in the use of the data. The system requires fine tuning.

4-III

Table III-1 (cont.)

1. MANAGING THE CONTINUING INVESTIGATION

There were six major activities associated with this component.

First, the RPD developed an investigative action report that limited the follow-up activity to cases that were rated solvable using solvability factors. This was designed to provide the patrol supervisor a system for review of the investigative process and making further or additional investigative decisions. It also was designed to increase the investigator's accountability through closer supervision.

The second activity deals with the "section coordinator" position. When Rochester implemented citywide team policing in April 1975, an Investigative Coordination and Communication Section within the Central Investigation Division was set up and each of the seven sections established the position of investigative coordinator. At this time the section captain assigned an individual within the section as the coordinator for section investigative activities who was responsible for case management in "addition" to other assigned duties. During the grant period the investigative coordinator's position duties and responsibilities were defined and clarified. The investigator coordinator is a police officer (rank optional) specializing in crime management of the criminal investigation process, strategies of crime prevention and crime deterrence. The section investigative coordinator's responsibilities are:

- supervision and administration of the Investigative Case Management System;
- maintenance of the section's Uniform Filing System;
- enhancing communication of crime information;
- identification of crime pattern and trends;
- assist first and second line supervisors in their evaluation of the performance of section personnel, especially in the criminal investigative process;
- continuous review of the section's total effort in the criminal investigative process or a quality control

- other duties as described by departmental directive or as ordered by the section commander.

Additional details on the background policy, purpose, definition, duties and responsibilities are described in General Order 78-6 (Appendix E).

The third activity was the development of the "central coordinator" position in the Central Detective Division during the first part of 1978. The central coordinator is mainly responsible for insuring the information flow between all sections and the quality and the completeness of the information.

Other responsibilities of the central coordinator are:

- review "all" crime reports to determine crime patterns;
- transmit needed information to all sections;
- conduct weekly coordinator meetings with section coordinator to disseminate arrest information, suspect photographs, information on warrants, indictments and clean-ups by other sections.

Additional details on the central coordinator position can be found in the RPD's General Order 78-10.

The fourth activity was the development of an investigative filing system in each section. The system was designed to allow access of personnel from any department section or unit to current information within the sections. The section coordinator is responsible for maintaining the investigative filing system.

The fifth activity was to develop an operational level liaison system to involve the arresting officer and supervisor with the trial District Attorney. The system is designed to enhance the quality of arrest case preparation and to insure the communication of established case prioritization methods. Further details on the liaison system can be found in Police/Prosecutor Liaison System S-78-17 (Appendix F).

An activity directed at the evaluation of the individual's performance is also planned. In conjunction with the investigative action report which

increased the investigator's accountability, supervisors will use the investigation daily activity report and the investigation activity analysis report. These reports are filled out daily by the officer/investigator. The three reports will allow a supervisor to evaluate the investigator's performance. The evaluation process has not, as yet, been formalized.

## 2. POLICE/PROSECUTOR RELATIONS

This component addresses previously encountered problems between the police department and the prosecutor's office. The three activities associated with this component were initiated the first part of 1977.

The first activity was to improve interagency communication between the Chief of Police and the District Attorney (D.A.). This was accomplished by developing communication channels so that problems can be brought to the attention of the appropriate person. The D.A. On-Call 24-Hour-a-Day program is a result of the effort to improve interagency communications. Police/Prosecutor Liaison System S-78-17 is a documentation of this activity.

Another activity was the development of a document that would provide the D.A.'s staff with the necessary arrest case information prior to the defendant's arraignment in City Court. The information obtained from the arresting officer is used by the D.A. to screen cases to decide which ones to prosecute. The duties and responsibilities of the RPD personnel established by this document are described in the document Police/Prosecutor Coordination S-77-121 (Appendix G).

The final activity was the development of the District Attorney Case Dismissal Feedback Report S.O. 77-69 (Appendix H). The report is to provide for the communication of case "dismissal" data from the D.A.'s office to the RPD. The report will inform the arresting officer, supervisor and command staff of the reason(s) for the case dismissal.

## 3. THE PRELIMINARY INVESTIGATION

This component is based on the existence of solvability factors. Four activities are related to this component.

The first activity was to revise the structural report used prior to October 1976. The revised report expanded the witness data, added a victim's copy and refined the solvability factors.

The second activity was to develop a Preliminary Investigations Manual to promote a better understanding of the preliminary investigative process to field personnel. The manual was designed to explain the "specialized" tactics of investigation. General Order 76-11.1 (Appendix J) indicates that the Preliminary Investigation Manual is to be used as a basis for personnel procedure and training.

Another activity was to develop a video tape scenario on the preliminary investigation process. The scenario was based on the Managing Criminal Investigation Manual (1978). This manual is a complete training manual comprised of the Preliminary Investigations Manual, all General Orders related to MCI, information on crime analysis, monitoring, handling of juveniles, police/prosecutor relations, etc.

The final activity was to train the staff in the preliminary investigation and reporting system. The training was accomplished in two phases. The first phase was attended by 12-13 command staff (section and unit commanders). The second phase was attended by the full staff including those who attended the first phase. The second phase was completed May 1978. The first and second phase training consisted of 3 and 40 hours respectively. The training is expected to help assure the implementation of the system.

4. CASE SCREENING

The first activity associated with case screening was completed prior to the MCI program. A system was developed by the Stanford Research Institute (SRI) to quantitatively evaluate leads discovered through the preliminary investigation. The patrol officer would, at the time of the investigation, assign weights to a series of leads or factors. By totaling the weights, a determination could be made whether the probability of eventual case solution warranted further investigation.

The RPD designed and implemented a modified system that used unweighted leads or factors. The following is a description of the RPD's system:

A sample of 500 solved criminal cases was analyzed to determine what factors had led to their solution. From this analysis, twelve factors were identified, one or more of which was present in every case cleared through investigation. These solvability factors were as follows:

1. The suspect could be named
2. The suspect could be identified
3. The address of the suspect was known
4. The suspect could be located
5. The vehicle plate number used in the crime was known
6. The vehicle could be identified
7. There was traceable property
8. There were identifiable latent fingerprints
9. A significant modus operandi could be developed
10. It was reasonably suspected that there was a limited opportunity to commit the crime
11. There was reason to believe that the crime would arouse such public interest that public assistance would lead to crime solution
12. There were reasons to believe that further investigative effort would lead to the solving of the crime

Rochester then redefined its preliminary investigation objectives from data gathering for a crime report to the search for and identification of solvability factors. If none of the above solvability factors was found, no follow-up investigation was conducted.

In the Rochester system, cases not expected to be resolved through arrest were not assigned to a follow-up investigator; thus the plan of early case closure was developed. The evaluation of the Rochester system has shown an increase in clearance rates.<sup>1</sup>

1. Managing Criminal Investigations Manual, op. cit., p. 10.

Another activity was the participation in a research experiment conducted by the Police Executive Research Forum (PERF). The RPD's part of the experiment was to test the SRI burglary case screening methodology against 500 of Rochester's cases comparing SRI closure prediction and the RPD's closure prediction with actual case outcome. The PERF experiment involved 14 other cities. The RPD has given PERF the results of their test but, as yet, has not received feedback on the experiment.

The final activity was to test the RPD case screening process used prior to October 1976. Table III-2 compares the results comparing a sample of cases screened prior to October 1976 with a sample screened from January 1978 through April 1978. The percentage of robbery and burglary cases that were immediately cleared showed little change. Examination shows the greatest difference between the two time periods is in the percentage of cases that were office assigned. Cases that were office assigned decreased 16 percent for robbery and 38 percent for burglary. Conversely, cases that were assigned to the field increased 13 percent for robbery and 8 percent for burglary. The percent of robbery cases that were cleared once assigned to the field or office showed about a 2 percent decrease, while similarly assigned burglary cases showed a decrease of about 8 percent from the earlier to the later period.

5. THE MONITORING SYSTEM

The RPD has not fully implemented the Monitoring System Component. The monitoring system was not given as an RPD/MCI component in the Santa Monica Conference, but was discussed as a component during The Urban Institute site visit July 14-15, 1977. The RPD monitoring system was planned during 1975 through May 1976 under a Police Foundation grant. The system is described in "Offense Monitoring System" by Thomas F. Hastings (Appendix B).

TABLE III-2: COMPARISON OF TEST CASE SCREENING PRIOR MCI (10/76)  
AND DURING MCI (1/78-4/78)

	Immediately Cleared	Assigned Field	Field Assigned % Field Cleared	Office Assigned	Office Assigned % Office Cleared	Total Clearances All Offenses
<u>Robbery</u>						
Prior 10/76	8%	36%	38%	56%	18%	
1/78 - 4/78	11%	49%	36%	40%	16%	
<u>Burglary</u>						
Prior 10/76	5%	17%	35%	78%	22%	
1/78 - 4/78	6%	25%	27%	40%	13%	
<u>All Offenses</u>						
Prior 10/76						42%
1/78 - 4/78						45%

Source: Santa Monica, California MCI Conference, April 6, 1978; and  
RPD #103 Investigative Outcome Assessment 2 for period 1/78  
through 4/78.

The RPD developed a computerized monitoring and evaluation information system that generates the following series of reports:

Report Number	Title	Intended Use
100	Detailed Crime Report by Section	Provides a complete crime picture by offense type over a period of time, including modus operandi data and the status of the case. Indicates crime rates, overall section effectiveness in clearing crimes, and MO data that might assist in dealing with ongoing crime.
101	Car Beat Report by Section	Provides information similar to Report #100, except organized by Car Beat and by street so that geographic crime patterns within a section can be more specifically identified.
102	Investigative Outcome Assessment 1	Breaks down crime clearance information by section and by type of crime or crime category. Clearances are presented by type (on scene arrest, follow-up arrest, multi-clearance, other clearance). Intended to facilitate evaluating section investigative effectiveness.
103	Investigative Outcome Assessment 2	Expands on Report #102 by further breaking down clearance by category (immediate, field, office). Allows evaluation of the appropriateness of case screening.
103A	Investigative Outcome Assessment 2 (Not currently operational)	Expands on Report #103 by providing information on disposition of case after arrest. Intended to allow an evaluation of the effectiveness of case preparation as measured by convictions obtained in court.

The reports are based on offense and follow-up data. The reports can be used to carry out crime analysis and monitoring criminal activity and section level response.

In March 1978, The Urban Institute interviewed section personnel about the utility of and problems with the monitoring reports. They indicated opinions that reports would be useful for crime analysis in their sections, i.e., detecting crime patterns, identifying MOs, assigning personnel to specific geographical areas, etc. The major problems indicated were errors in the reports and that reports are at least two weeks old when issued. The section personnel felt these problems made the reports almost useless for current crime analysis. The MCI Program Director indicated that the RPD is aware of data input and report update problems and has been making a concerted supervisory effort to insure the input of quality data.

The local evaluator's report<sup>1</sup> addressed several issues related to crime analysis and monitoring. The following is the local evaluator's report summary of Chapter IV, Monitoring and Crime Analysis:

In summary, it was our impression from interview and questionnaire results that although the availability of current monitoring and evaluation data represents a very valuable departmental resource, it is not yet being fully utilized--partly because the information is not timely enough and partly because section personnel do not yet have adequate training or guidance in the use of the data. Also, as we have pointed out earlier, coordinators may be spending less time than they should on job tasks such as monitoring, evaluation, and crime analysis which, though critical to MCI effectiveness, are less well defined by General Orders and the MCI Manual and for which they have received less training.

1. Smith and Kluess, *op. cit.*

## IV. OUTCOMES

## A. OVERVIEW

The planning, implementation and revision of the RPD's investigation system had been fully or partially accomplished prior to the MCI program. The Department believed the MCI grant would allow refinement of the investigative system and concentrate on improving effectiveness.

The RPD expected three major outcomes as a result of the LEAA funded MCI program. They were:

- Improved clearance rates;
- Improved conviction rates; and
- Increased productivity.

Table IV-1 presents the measures and data sources used in assessing these outcomes. Data which could be used to assess outcomes were collected by the RPD from 1972 through October 1978. The Urban Institute requested data tapes back to 1972. However, after examination of the data, RPD and Institute staff agreed that the earlier tape data were not suitable for this analyses. Prior to 1975, the arrest and offense tapes updating was not reliable and no formal updating instructions were available. April 1975 to October 1976 was established as a suitable "pre" MCI comparison period for the ratio of arrests to offenses and the ratio of clearances to offenses. Data collected from 1972 on conviction rates were found to be unusable, however. A sampling methodology was developed that linked offenses to actual arrests.

Little change was apparent in the outcome measures when examined prior to and during the MCI grant period. In interpreting these results the reader should bear in mind that team policing was implemented citywide in April 1975. Team policing introduced decentralization of detectives, coordinator positions, etc., which could have affected the outcome measures during the MCI comparison periods.

TABLE IV-1: MEASURES AND DATA SOURCES USED IN EVALUATING MCI PROGRAM OUTCOMES

Desired Outcome	Measure	Data Source
Improve Clearance Rates	Ratio Part I clearances to actual Part I offenses by month from 1975 - 1978	Offense and arrest data from 1972 through 1978  Coordinators Report Rochester UCR crime and arrest reports
Improve Convictions	Dispositions of cases forwarded for prosecution  Section Coordinator report	Sample of cases for each month from 1972 through 1978 for disposition  Monthly reports of case dispositions
Increase Productivity	Ratio Part I arrest to actual Part I offenses by month from 1975 - 1978	RPD offense and arrest data on computer tapes; central records

B. IMPROVE CLEARANCE RATES

Clearance rates<sup>1</sup> are important because they reflect how well the RPD is addressing the problem of continuously increasing offenses. The ratio of clearances to offenses by crime type (robbery, burglary, larceny) was used in the MCI evaluation to examine changes in clearance rates. The ratios obtained from 1972 through July 1978 are presented in a time series format in Exhibit IV-1. Appendix K gives a more detailed analysis of the ratio of clearances to offenses by crime type.

While some variation does exist in the ratios of clearances to offenses for each crime type, the ratios remain fairly constant overall during the evaluation period. Further analysis showed that total offenses and arrests were increasing for the most part at approximately the same rate.

C. IMPROVE CONVICTIONS

Changes in conviction rates were to be determined from the dispositions of cases forwarded for prosecution. The Urban Institute tried to look at random samples of offenses associated with an arrest. The sample was randomly generated from the RPD arrest/offense computer tapes for years 1972-1974 and 1976-October 1978. However, the methodology employed was only partly successful because of coding and other problems (see Appendix A, Computer Tape Chronology and Problems).

Table IV-2 shows the sample data that were used to analyze conviction rates. The dispositions that were obtained were lumped as favorable outcomes

1. Clearance rate refers to cleared arrest/cleared no arrest/cleared warrant advised/cleared no prosecution.  
The clearance rates of robbery, burglary and larceny were used for the evaluation.

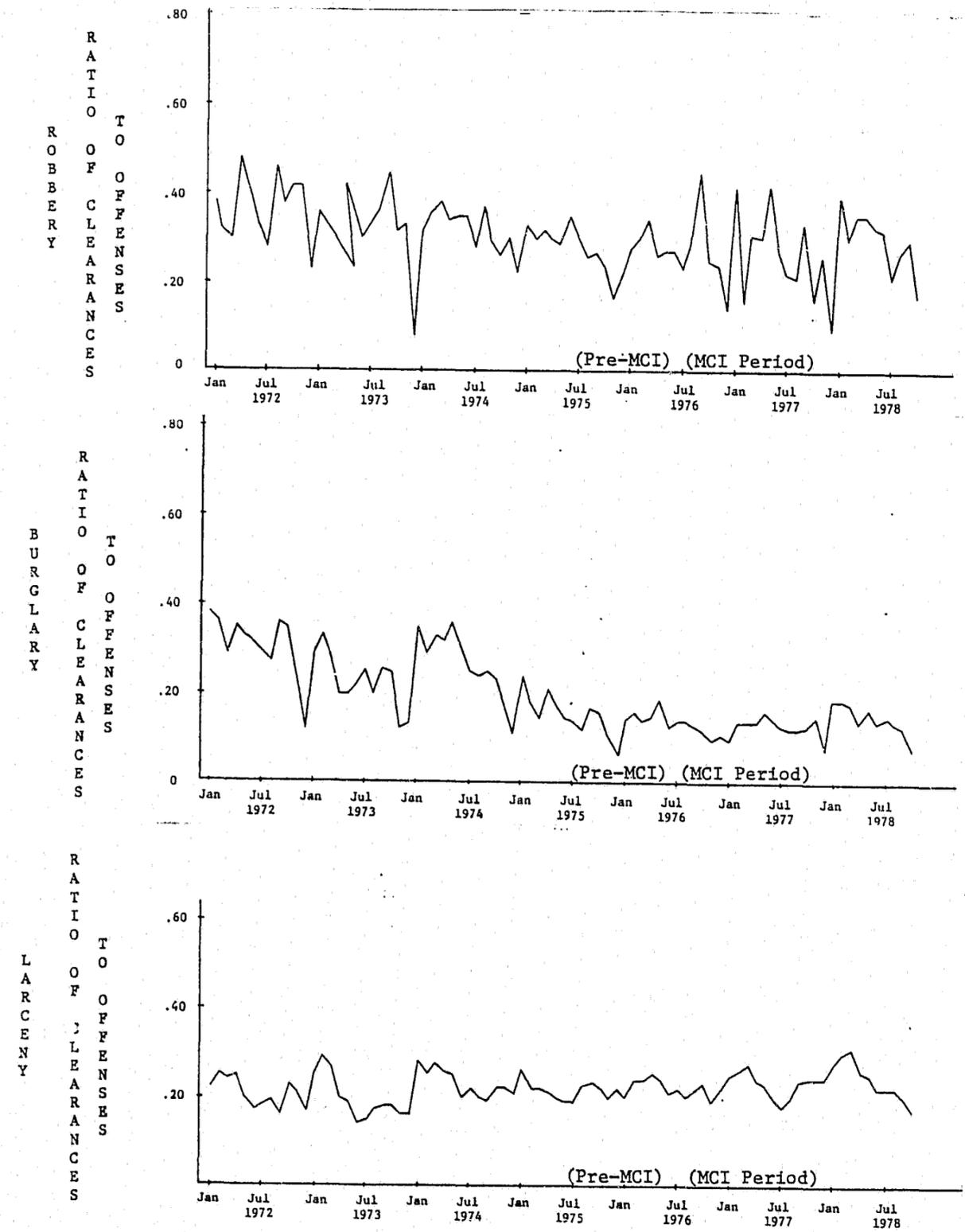


EXHIBIT IV-1: RATIO OF CLEARANCES TO OFFENSES FOR ROBBERY, BURGLARY AND LARCENY

(convicted, warrant issued), unfavorable outcomes (not guilty, dismissed, withdrawn by DA) and unknown outcomes (sealed record, youth offense, pending).

Examination of the table shows favorable outcomes from a high in 1977 of 62 percent to a low of 35 percent in 1973. Even with these extremes, there was no apparent overall trend in the data with about 50 percent of the dispositions showing favorable outcomes over the years analyzed. Additional presentation and interpretation of the quantitative data is discussed in Computer Tape Chronology and Problems (Appendix A).

The data necessary to measure conviction rates were to be obtained from the section coordinator's monthly reports of case dispositions. No formal section level report is maintained. The RPD, at this time, does not have a formal structured court disposition reporting and analysis system. The only formal reporting mechanism is the District Attorney Case Dismissal Feedback Report (Appendix H). This report does not give case dispositions forwarded for prosecution but only contains the case dismissal data.

The local evaluator did not sample cases for disposition, but did interview the Assistant District Attorney and administered questionnaires to the police about the police prosecutor program. The following excerpt from the local evaluator's report gives some opinions concerning the cases forwarded for prosecution under the program.<sup>1</sup>

The Assistant District Attorneys (A.D.A.'s) interviewed for the purpose of this review indicated that the police-prosecutor program is considered very beneficial for both police and prosecutors. However, its impact on convictions is not clear. Felony convictions have actually decreased since the program was put into effect but this decrease is attributed to county budget cuts which resulted in a substantial loss of experienced staff in the D.A.'s office. This resulted in larger caseloads and a greater reliance on less experienced trial personnel in county court.

1. Smith and Kleuss, *op. cit.*, pp. 46 and 47.

TABLE IV-2: DISPOSITION DATA USED TO EVALUATE WHETHER CONVICTION RATES IMPROVED

CRIME TYPE	OUTCOMES			SAMPLE SIZE	OBTAINED
	FAVORABLE	UNFAVORABLE	UNKNOWN		
1972					
MURDER	1	1	-	2 (0.9%)	2 (100%)
RAPE	-	2	-	2 (0.9%)	2 (100%)
ROBBERY	5	7	3	17 (8.4%)	15 (88%)
AGGRAVATED ASSAULT	3	12	-	14 (7.1%)	14 (100%)
BURGLARY	13	12	1	43 (21.3%)	26 (60%)
LARCENY	31	26	7	115 (57.6%)	64 (56%)
MTR. VEHICLE THEFT	-	-	2	7 (3.7%)	2 (26%)
TOTAL	53 (47%) (N = 112)	59 (52%) (N = 112)	13	200 (100%)	125 (62%)
1973					
MURDER	2	-	-	2	2 (100%)
RAPE	1	1	-	2	2 (100%)
ROBBERY	5	3	4	17	12 (70%)
AGGRAVATED ASSAULT	5	7	3	14	14 (100%)
BURGLARY	2	20	3	43	25 (58%)
LARCENY	18	31	11	115	60 (52%)
MTR. VEHICLE THEFT	2	3	2	7	7
TOTAL	35 (35%) (N = 100)	65 (65%) (N = 100)	22	200 (100%)	122 (61%)
1974					
MURDER	2	-	-	2	2 (100%)
RAPE	2	-	-	2	2 (100%)
ROBBERY	6	5	-	17	11 (65%)
AGGRAVATED ASSAULT	2	3	-	14	5 (36%)
BURGLARY	25	11	5	43	41 (95%)
LARCENY	13	17	7	115	37 (32%)
MTR. VEHICLE THEFT	2	-	1	7	3 (43%)
TOTAL	52 (59%) (N = 88)	36 (41%) (N = 88)	19	200 (100%)	101 (50%)
1975	DATA NOT OBTAINABLE				
1976	DATA NOT OBTAINABLE				
1977					
MURDER	1	-	-	2	1 (50%)
RAPE	-	-	-	2	(100%)
ROBBERY	5	3	2	17	10 (59%)
AGGRAVATED ASSAULT	6	4	1	14	11 (79%)
BURGLARY	12	5	6	43	23 (53%)
LARCENY	15	11	14	115	40 (35%)
MTR. VEHICLE THEFT	-	-	2	7	2 (29%)
TOTAL	39 (63%) (N = 62)	23 (37%) (N = 62)	25	200 (100%)	87 (44%)
1978					
MURDER	2	-	-	2	2 (100%)
RAPE	1	-	1	2	2 (100%)
ROBBERY	2	3	9	17	14 (82%)
AGGRAVATED ASSAULT	4	3	4	14	11 (76%)
BURGLARY	4	4	20	43	28 (65%)
LARCENY	16	17	56	115	89 (77%)
MTR. VEHICLE THEFT	5	-	2	7	7 (100%)
TOTAL	34 (56%) (N = 61)	27 (44%) (N = 61)	92	200 (100%)	153 (77%)

Nevertheless, A.D.A.'s clearly expressed recognition of the benefits of the program, for the cooperation they are receiving from the police department, and respect for the administrative skill which Lieutenant Rickard has brought to managing this component of the MCI program. Also, they expressed appreciation of the ongoing cooperation they are receiving from the police department.

Those interviewed in the D.A.'s office felt that the Rochester Police Department's quality of arrests and of investigative information provided to the prosecutor are clearly superior to that of other local law enforcement agencies. For example, the level and type of charges placed are more frequently appropriate (there is substantially less overcharging within RPD than there used to be and than still occurs among other local law enforcement agencies) and the Grand Jury Forms are filled out more accurately and completely.

From the police perspective, interviews and questionnaires also were generally very positive about the benefits of the police-prosecutor program. However, the sergeants, investigators, and patrol officers frequently indicated on the questionnaire that this was a component of MCI for which they felt they needed additional training.

#### D. INCREASE PRODUCTIVITY

The term "productivity" has no generally agreed upon definition, but is generally assumed to be a ratio of output to input. Increased productivity, when used in reference to the production of goods and services, can be determined from the output from a given unit of input. Police work can not easily be put into a ratio of products per personhour or per unit of cost.

The increased productivity outcome for this report was assessed by examining staffing constraints and performance. It is important to note the overall performance of a police department is not only determined by clearance rates. The RPD, as other departments, is responsible for non-crime related and non-emergency services. Data required to analyze these services are difficult, time consuming and expensive to obtain.

Among the responsibilities of the RPD are:

- Maintenance of public order;
- Emergency response for fire, accidents, natural disaster, etc.;
- Community relations; and
- Non-emergency general services such as giving directions to registering and inspecting bicycles.

Performance was determined by analyzing the RPD arrest/offense computer tape data from 1972 through October 1978 and the crime data reported in the Federal Bureau of Investigation (FBI) Uniform Crime Reports (UCR) from 1970 through 1977. As indicated earlier, case dispositions were used as a measure but the sample obtained was flawed by coding problems.

Exhibit IV-2 shows the ratio of robbery, burglary, larceny and total Part I charges to offenses calculated from the annual UCR data. The exhibit shows the ratio of "persons charged" to "actual offenses known to the police" from 1970 through 1977 using annual UCR data. The total Part I ratio increases consistently from 10 percent in 1970 to 16 percent in 1972. From 1972 to 1974 the ratio is fairly stable. The increase from 16 percent in 1974 to 22 percent in 1975 appears to be related to an increase in robbery and larceny. The ratio decreased from 1975 to a level of about 15 percent for 1976 and 1977 which was similar to the level from 1972 to 1974.

Robbery, burglary and larceny were the crime types analyzed to determine productivity. The ratio of arrests to offenses is presented in a time series format from 1972 through 1977 by crime type (Exhibit IV-3). Overall the analysis shows that the ratios of the crime types were fairly constant from 1975 through 1977. The RPD implemented citywide team policing in April 1975 and the MCI program in October 1976. Appendix K gives a more detailed analysis of the ratio of arrests to offenses for each crime type.

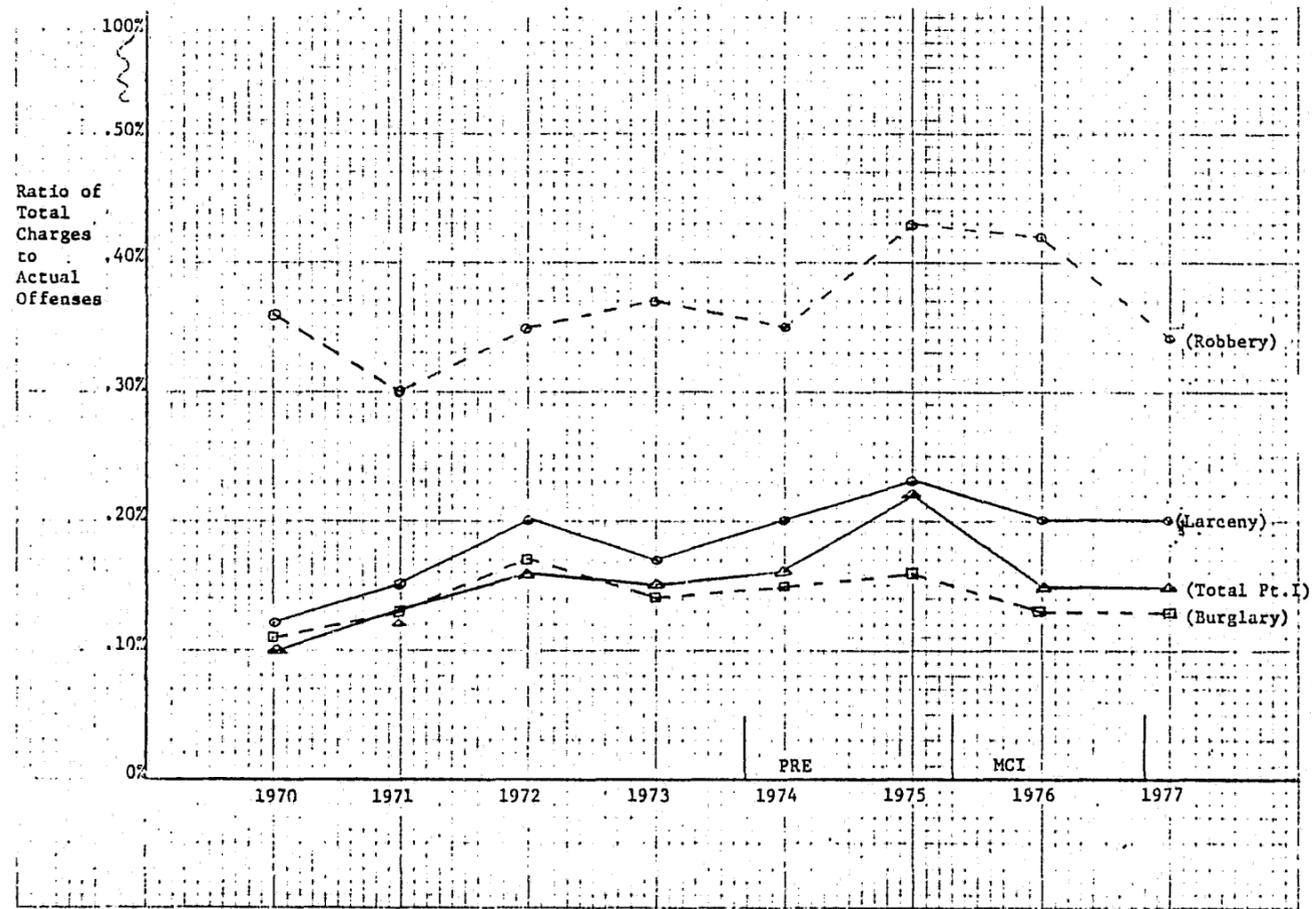


EXHIBIT IV-2: RATIO OF ROBBERY, BURGLARY, LARCENY AND TOTAL PART I CHARGES TO OFFENSES FROM UNIFORM CRIME REPORTS

Data Sources: Annual Offense Known to Police (Return "B");  
RPD Annual Return of Persons Charged (Return "C")

Ratio = Persons Charged to Offenses Known

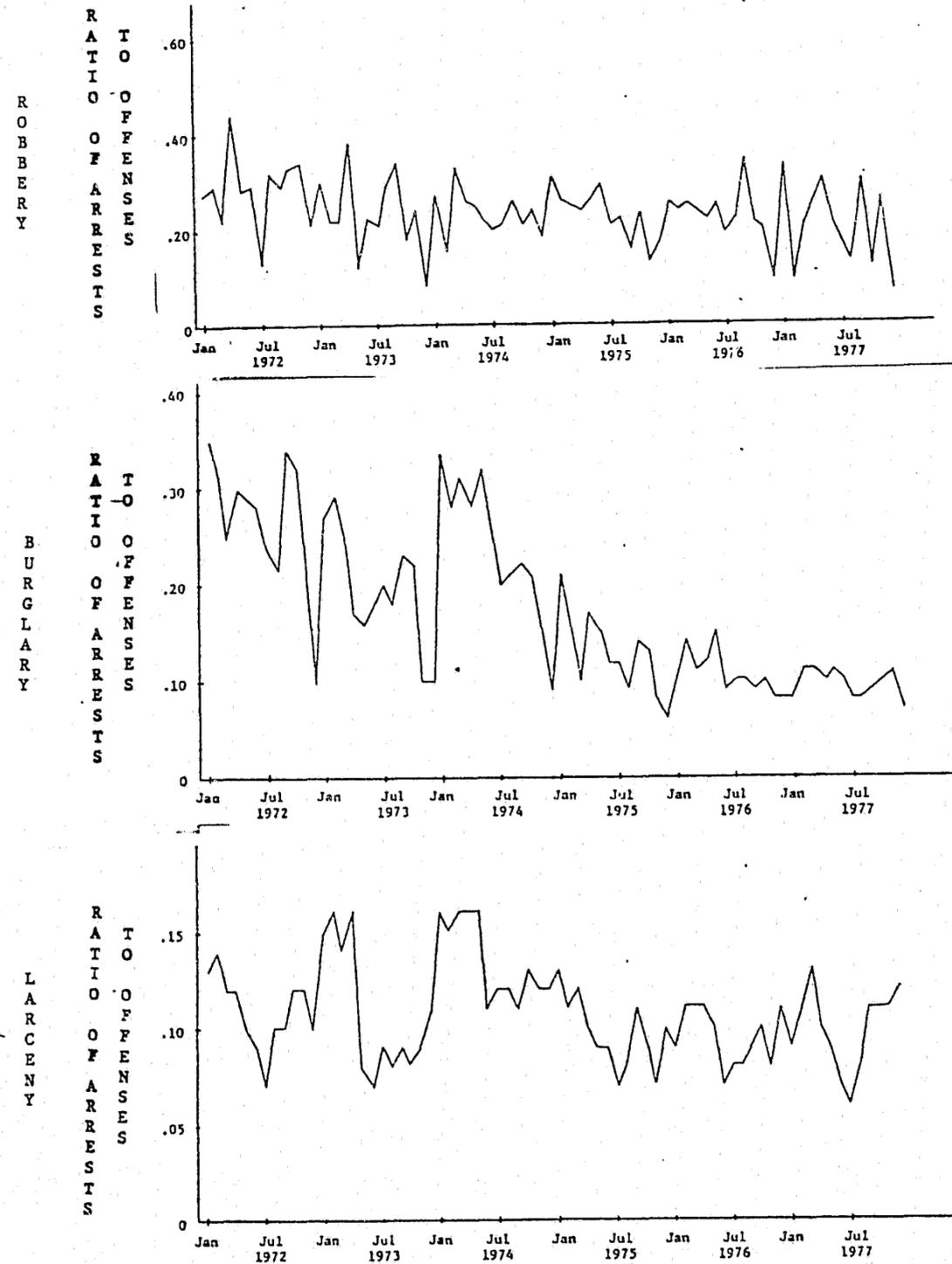


EXHIBIT IV-3: RATIO OF ARRESTS TO OFFENSES FOR ROBBERY, BURGLARY AND LARCENY

Table IV-3 presents the changes in "actual offenses known to the police"<sup>1</sup> in Part I crimes compared to previous years from the annual UCR data. During the grant period the number of offenses known to the police increased 11 percent in 1976 and decreased 1 percent in 1977 from its 1976 level.

TABLE IV-3: CHANGES IN UCR PART I ACTUAL OFFENSES KNOWN TO THE POLICE

Year	Percent Change Compared to Previous Year
1975	+5%
1976	+11%
1977	-1%

Table IV-4 presents the changes in "persons charged"<sup>2</sup> in Part I crimes compared to previous years from the annual UCR data. It is important to note that "persons charged" is not persons arrested but persons formally charged by police for criminal acts. 1975 shows an increase of 16 percent while 1976 and 1977 show a decrease of 6 percent and 0.3 percent, respectively.

TABLE IV-4: CHANGES IN UCR PART I PERSONS CHARGED

Year	Percent Change Compared to Previous Year
1975	+16%
1976	-6%
1977	-.3%

Table IV-5 shows yearly clearance rates per police officer calculated from Table I-1 (Police Department Staffing) and the RPD arrest/offense computer tapes. The clearance data for robbery, burglary and larceny were combined to derive the clearance rates. The ratios were calculated using the total RPD sworn personnel and number of officers in Coordinated Team Patrol and Detectives/Investigators combined with Coordinated Team Patrol.

1. "Uniform Crime Reporting Handbook," Federal Bureau of Investigation, Washington, D. C., January 1974.

2. Ibid.

TABLE IV-5 : COMPARISON OF COMBINED ROBBERY/BURGLARY/LARCENY CLEARANCE RATES PER PERSON OF RPD PERSONNEL

Fiscal Year (July 1 - June 30)	Total RPD Sworn Personnel		Coordinated Team Patrol (CTP)		CTP and Detective/Investigators	
	Cleared Arrest Only	All Type Clearances *	Cleared Arrest Only	All Type Clearances *	Cleared Arrest Only	All Type Clearances *
75/76	3.76	7.06	6.13	11.49	5.59	10.48
76/77	3.71	7.22	5.87	11.43	5.46	10.62
77/78	3.51	6.87	5.65	11.06	5.14	10.07

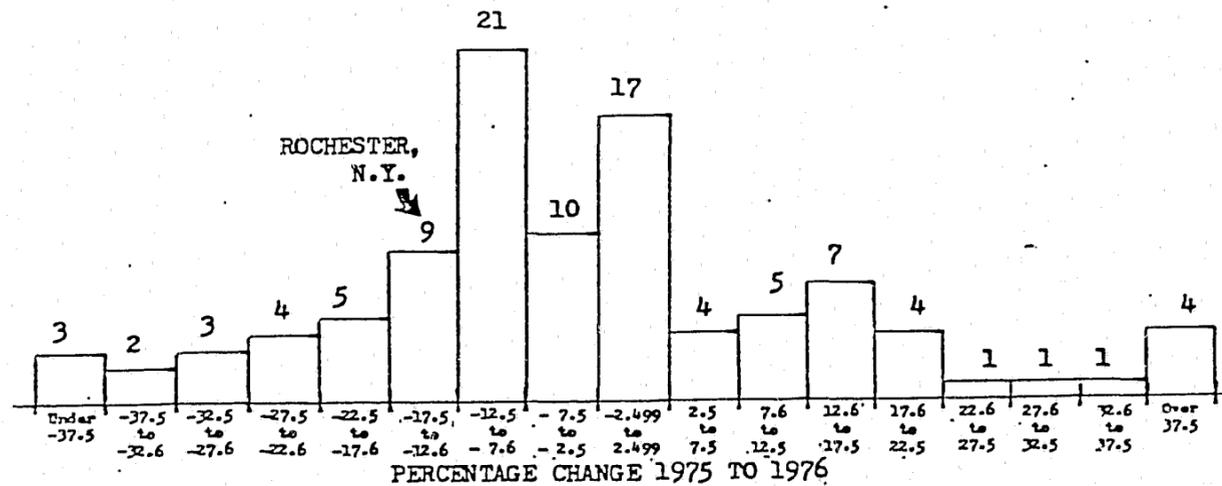
\* Note: Cleared Arrest/Cleared No Arrest/Cleared No Prosecution/Cleared Warrant Advised.

Additional data were requested from the FBI to compare Rochester to 99 cities and Montgomery County, Maryland. Examination of Exhibit IV-4 shows that Rochester had a 14 percent decrease in the ratio of arrests to offenses from 1975 to 1976. Rochester ranked with nine other cities that showed a decrease from 12.6 to 17.6 percent. Seventeen cities had a larger decrease in their ratios from 1975 to 1976. Exhibit IV-5 shows how Rochester ranked with the other cities for the ratio of arrest to crimes for 1975 and 1976.

Table IV-6 shows the charges for total Part I offenses per RPD sworn personnel. Calculations were made from the RPD/UCR annual data and the Department staffing on Table I-1 which is by fiscal year. Staffing that pertained to the first part of the UCR data was used, i.e., fiscal year 1969/1970 staffing was used for 1970 UCR data.

Examination of the table shows that the changes per sworn personnel peaked at 8.2 for 1975 then declined to 7.7 for 1976. 1977 decreased slightly to 7.6.

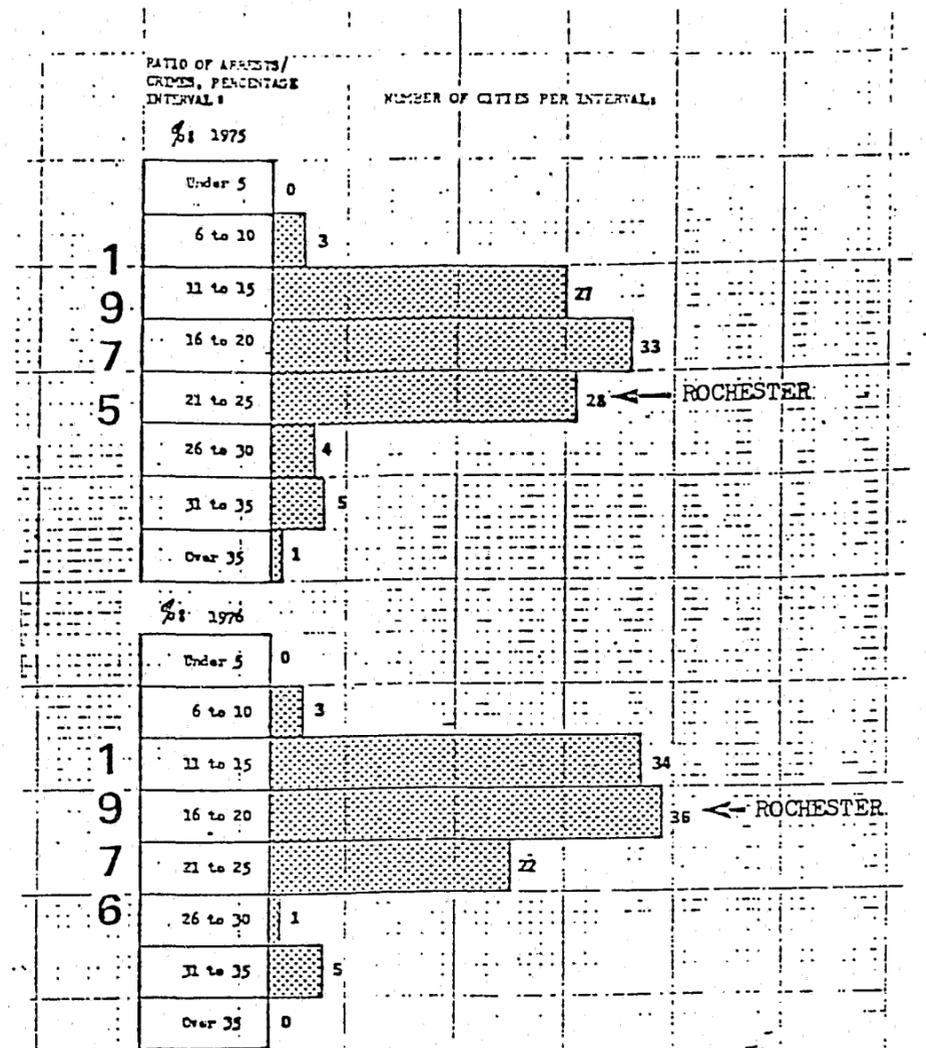
ACTUAL PERCENTAGE CHANGE IN SAMPLE			
%	%	%	%
Duluth, Mn.	-52	Schreveport, La.	-13
Riverside, Ca.	-42	Newport News, Va.	-4
Albany, N.Y.	-41	Irving, Tex.	-5
Boulder, Co.	-35	Freeport, Ca.	-12
Col. Sprngs., Co.	-35	Stockton, Ca.	-12
Lincoln, Neb.	-30	Portsmouth, Va.	-12
Columbia, S.C.	-29	Stamford, Ca.	-12
Woodbridge Twnshp., N.J.	-28	Jackson, Miss.	-12
Bridgeport, Ca.	-24	Canton, Ohio	-12
Fort Wayne, Ind.	-24	Arlington, Tex.	-12
Camden, N.J.	-24	Corpus Crst., Tex.	-12
Lubbock, Tex.	-23	Aurora, Ca.	-11
Warren, Mich.	-22	Lakewood, Co.	-11
Cedar Rapids, Iowa	-21	New Haven, Ca.	-10
Elizabeth, N.J.	-21	Hammond, Ind.	-10
St. Paul, Minn.	-20	Durham, N.C.	-10
Virginia Bch., Va.	-20	Waterbury, Conn.	-9
Macon, Ga.	-17	Rockford, Ill.	-9
Scranton, Pa.	-17	Fresno, Ca.	-8
Huntington Bch., Ca.	-16	Pt. Lauderdale, Fla.	-8
New Bedford, Mass.	-16	Flint, Mich.	-8
Trenton, N.J.	-16	Lansing, Mich.	-8
Pueblo, Co.	-15	Livonia, Mich.	-8
Rochester, N.Y.	-14	Yonkers, N.Y.	-8
Beaumont, Tex.	-14	Puebla, Co.	-7
		Anaheim, Ca.	-7
		Topeta, Ka.	-7
		Sunnyvale, Ca.	-6
		Madison, Va.	5
		Lexington, Ky.	6
		Hollywood, Fla.	7
		Cary, Ind.	8
		Cambridge, Mass.	8
		Torrance, Ca.	9
		Baton Rouge, La.	11
		Erie, Pa.	12
		Salt Lake City, Utah	13
		Winston-Salem, N.C.	14
		Grand Rapids, Mich.	15
		Orlando, Fla.	16
		Spokane, Wa.	16
		Santa Ana, Ca.	17
		Ann Arbor, Mich.	17
		Arlington, Va.	18
		Hialeah, Fla.	21
		Columbus, Ga.	21
		Worcester, Mass.	22
		Dayton, Ohio	23
		Parma, Ohio	29
		Evansville, Ind.	36
		Springfield, Mass.	38
		Amarillo, Tex.	38
		Independence, Mo.	55
		Youngstown, Ohio	83



SOURCE: Percentage Change in Ratio of Arrests to Offenses from 1975 to 1976 in 101 Cities Based on FBI Data. Arrest data received from FBI in response to a special request. Offenses data for Part I Crime compiled from Uniform Crime Reports, FBI, Crime in the United States, 1975 and 1976. Exception: St. Paul arrest/offenses data from 1976 St. Paul Police Annual Report for 1975 ratio only.

EXHIBIT IV-4: ROCHESTER, NEW YORK COMPARED TO 99 CITIES AND MONTGOMERY COUNTY, MARYLAND: PERCENTAGE CHANGE IN RATIO OF ARREST TO OFFENSES FROM 1975 TO 1976, PART I CRIME ONLY

Birmingham, AL	17	15
Albany, NY	15	14
Freeport, CA	24	21
Fresno, CA	25	23
Carson Grove, CA	16	16
Glendale, CA	20	21
Huntington Beach, CA	20	21
Pasadena, CA	25	25
Riverside, CA	12	7
Sacramento, CA	20	20
Santa Ana, CA	18	21
Santa Monica, CA	20	20
Stockton, CA	26	23
Sunnyvale, CA	18	17
Torrance, CA	32	35
Aurora, CO	28	25
Boulder, CO	23	15
Colorado Springs, CO	26	17
Lakewood, CO	33	32
Pueblo, CO	39	33
Bridgeport, CN	17	17
New Haven, CN	21	19
Stamford, CN	25	22
Waterbury, CN	21	17
Pt. Lauderdale, FL	12	11
Hialeah, FL	19	23
Hollywood, FL	14	15
Orlando, FL	19	22
St. Petersburg, FL	22	27
Columbus, GA	14	17
Macon, GA	18	15
Savannah, GA	16	16
Rockford, IL	22	20
Evansville, IN	11	15
Fort Wayne, IN	17	13
Cary, IN	13	14
Hammond, IN	10	9
South Bend, IN	13	13
Cedar Rapids, IA	24	19
Des Moines, IA	14	14
Topeka, KS	14	13
Lexington, KY	18	19
Baton Rouge, LA	19	21
Schreveport, LA	23	20
Cambridge, MA	12	13
New Bedford, MA	25	21
Springfield, MA	13	18
Worcester, MA	9	11
Ann Arbor, MI	12	14
Dearborn, MI	15	15
Flint, MI	13	12
Grand Rapids, MI	13	15
Lansing, MI	12	11
Livonia, MI	25	23
Warren, MI	18	14
Montgomery County, MD	19	19
Duluth, MN	23	11
Jackson, MS	24	21
Independence, MO	11	17
Springfield, MO	16	16
Lincoln, NE	23	16
Las Vegas, NV	20	20
Camden, NJ	21	16
Elizabeth, NJ	19	15
Paterson, NJ	23	22
Trenton, NJ	19	16
Woodbridge Twnshp, NJ	25	18
Albany, NY	34	20
Rochester, NY	21	18
Yonkers, NY	13	12
Durham, NC	21	19
Greensboro, NC	32	31
Raleigh, NC	25	25
Winston-Salem, NC	28	32
Canton, OH	16	14
Dayton, OH	12	12
Parma, OH	14	18
Youngstown, OH	6	11
Allentown, PA	12	12
Erie, PA	17	19
Scranton, PA	12	10
Columbia, SC	24	17
Knorrville, TX	13	13
Amarillo, TX	16	22
Arlington, TX	17	15
Beaumont, TX	21	18
Corpus Christi, TX	16	14
Irving, TX	19	18
Lubbock, TX	30	23
Salt Lake City, UT	16	18
Alexandria, VA	14	14
Arlington, VA	11	13
Hampton, VA	21	20
Newport News, VA	18	17
Portsmouth, VA	19	18
Richmond, VA	23	23
Virginia Beach, VA	20	16
Solana, WA	19	22



SOURCE: Arrest data received from FBI in June 1978 in response to request for a special compilation. Offenses data for Part I Crime compiled from Uniform Crime Reports, FBI, Crime in the United States, 1975 and 1976. Exception: For 1975 data only, St. Paul arrest/offenses figures from the 1976 St. Paul Police Annual Report.

EXHIBIT IV-5: ROCHESTER, N.Y. COMPARED TO 99 CITIES AND MONTGOMERY COUNTY, MARYLAND. RATIO OF ARRESTS TO PART I OFFENSES FOR 1975 AND 1976.

TABLE IV-6 : CHANGES FOR UCR PART I OFFENSES BY  
TOTAL RPD SWORN PERSONNEL

UCR Year	RPD Sworn Personnel	UCR Part I Offenses Persons Charged by Police	Charge Per Sworn Personnel
1970	664	2702	4.07
1971	679	3395	5.0
1972	681	3727	5.5
1973	674	3463	5.1
1974	635	4537	7.1
1975	641	5248	8.2
1976	643	4936	7.7
1977	649	4921	7.6

The tables and exhibits used in this section indicate no significant increase or decrease in productivity in the period covered by this evaluation. The department has been able to maintain a level of productivity with a relatively constant staff size.

## V. AFTER THE MCI GRANT PERIOD

The RPD is not planning major changes in the MCI program, however, revisions will be made that further refine the investigative system. In essence, they describe the revisions as a continuation of the fine tuning of the existing MCI system.

The Monitoring System still requires fine tuning. The RPD is presently involved in activities that they expect will furnish management information on a day-to-day basis. Validity checks, task forces to revise the system needed, are some of the on-going activities.

The department plans to continue the preliminary investigative training. New personnel will be trained in the preliminary investigation and reporting system. They expect to refine the training program by updating or adding video tape scenarios on the investigative function.

SYNOPSIS OF APPENDICES

A COMPUTER TAPE CHRONOLOGY AND PROBLEMS

Reviews the problems developing the program listings, format structure and coding. Detail chronology of efforts to resolve the problems.

B OFFENSE MONITORING SYSTEM

Explains the data needs relevant to police administrators. Describes the reports that were used to monitor investigative management.

C INVESTIGATIVE ACTION REPORT G.O. 77-12.3

Provides the guidelines for the preparation and use of the Investigative Action Report.

D INVESTIGATIVE CASE MANAGEMENT SYSTEM G.O. 78-5

Defines the RPD case management system. Describes the duties of the section investigative coordinator and certain police personnel.

E SECTION INVESTIGATIVE COORDINATOR G.O. 78-6

Defines the duties and responsibilities of the Section Investigative Coordinator.

F POLICE/PROSECUTOR LIAISON SYSTEM S-78-17

Establish an operational level liaison between the Monroe County District Attorney's Office and the RPD patrol operations.

G POLICE/PROSECUTOR COORDINATION S-77-121

To provide the District Attorney's staff with the necessary arrest case information prior to the defendant's arraignment.

H DISTRICT ATTORNEY CASE DISMISSAL FEEDBACK REPORT S.O. 77-69

Provides the case dismissal data from the District Attorney's office to the RPD.

I CRIME INVESTIGATION REPORT G.O. 77-12

Establishes the procedures for the use and completion of the RPD Crime Investigation Report.

J PRELIMINARY INVESTIGATIONS MANUAL G.O. 76-11.1

Further describes the procedures to be used by RPD personnel in the preliminary investigation process.

K DETAILED ANALYSIS OF ROBBERY, BURGLARY AND LARCENY

Describes the analysis of the data from the arrest computer tapes. Analyses made from the data using time series formats of the ratios of arrest and clearances to offenses.

APPENDICES

APPENDIX A

COMPUTER TAPE CHRONOLOGY AND PROBLEMS

APPENDIX A

COMPUTER TAPE CHRONOLOGY AND PROBLEMS

A. Overview

Fourteen computer tapes were furnished to the Rochester Police Department (RPD) to copy arrest and offense data (February 1978). The RPD uses the tape data for crime reports and analysis. The arrest and offense data for years 1972 through October 1978 were copied. An additional tape was used to copy the RPD report programs (July 1978).

The Urban Institute required the arrest/offense data to analyze the arrest and offense data. The data is presented in a time series format from 1972 through October 1978. Appendix K shows the time series plots of robbery, burglary and larceny and describes the analysis.

Many problems with the data were resolved by site visits, interaction between The Urban Institute, the RPD programmer, and the data processing subcontractor. The Behavioral Sciences Laboratory (BSL) of the University of Cincinnati was the subcontractor for data processing. Finally, clearances by crime type per individual were obtained.

The development of a sample that would link the Identification (ID) number of the person arrested with the Crime Record (CR) number given to that offense by the dispatcher could not be obtained. The sample data were to be used to evaluate the dispositions of cases forwarded for prosecution. The data development and problems are discussed below.

B. Format Development Procedure and Problems

The tapes were sent (March 1978) to BSL with the program listings for the arrest and offense tapes. The major problem was the column that coded the FBI arrest data changed. Through 1976 the arrest data was by FBI "month," and

in 1977 and 1978 arrest is by FBI "year." BSL was not told of the change in the beginning and as a result the arrest and offense data printouts were ineffectual for analysis. BSL revised the program to correct for the coding change. The arrest and offense data printouts could then be analyzed when this and another major problem were resolved.

An additional major problem with the printout was that arrest and offense data for Monroe County police departments and agencies was combined with the RPD. This made the analysis of arrest and offense data on the RPD impossible, because the frequency of clearances and arrest did not reflect the crime data for Rochester.

The Urban Institute then requested from BSL, for the analysis, the following changes in data and format:

- Exclude all non-Rochester arrests or events.
- Define offense types and FBI codes.

<u>Offense Type</u>	<u>FBI Year Codes</u>
1. Killing	1, 1A, 1B, 1C
2. Rape	2, 2A, 2B, 2C
3. Robbery	3, 03
4. Assaults	4, 04
5. Burglary	5, 05
6. Larceny	6, 06, 6A, 6B
7. Vehicle Theft	7, 07, 7A
8. <u>All others</u>	All other
9. Total	

- For each year (year when offense was reported or when arrest was made):

Make an offense table, arrest table and a table on race of persons arrested. Table format and additional table instructions are:

MONTH	NUMBER OF OFFENSES (YEAR = )								TOTAL
	OFFENSE TYPE								
	1	2	3	4	5	6	7	8	
JAN									
.									
.									
DEC									
UNK									
TOTAL									

MONTH	NUMBER OF ARRESTED PERSONS (YEAR = )								TOTAL
	OFFENSE TYPE								
	1	2	3	4	5	6	7	8	
JAN									
FEB									
.									
.									
DEC									
UNK									
TOTAL									

1. Exclude all traffic arrests
2. Exclude all records denoted as "additional charges"

TABLES ON RACE OF  
PERSONS ARRESTED

YEAR	NUMBER OF PERSONS ARRESTED															
	OFFENSE TYPE 1 THRU 7 <sup>2</sup>								ALL OTHERS EXCLUDING TRAFFIC							
	RACE								RACE							
	1	2	3	4	5	6	7	TOTAL	1	2	3	4	5	6	7	TOTAL
1972																
1973																
.																
.																
1977																

1. Exclude arrest records denoted as "additional charges."
2. Defined on earlier tables as offense and arrests.

Program listings for the arrest and offense data were developed by BSL. As a result of these changes the RPD arrest and offense data could be analyzed.

Problems were resolved through site visits, telephone calls, letter, analysis of printouts and other RPD reports. A chronology of events relevant to the RPD arrest/offense computer tapes is contained in Table A-1.

TABLE A-1: A CHRONOLOGY OF THE RPD ARREST/OFFENSE  
COMPUTER TAPES

<u>January 31, 1978</u>	RPD agrees to copy arrest and offense tapes.
<u>February 28, 1978</u>	12 computer tapes to send to RPD for copies of arrest and offense tapes.
<u>March 6, 1978</u>	Delay in copying tapes required site visit to obtain copies.
<u>March 10, 1978</u>	Tapes sent to BSL by The Urban Institute.
<u>April 26, 1978</u>	BSL returns first request of data by The Urban Institute. Printouts contained Identification numbers and Crime Report numbers.
<u>May 10, 1978</u>	Site visit to Rochester to discuss changes in printout format and data requirements.
<u>June 30, 1978</u>	BSL sends The Urban Institute RPD data for 1975-1978 broken out by whether they were single or multiple events. Single event is the data pertaining to the clearance data per individual by crime type.
<u>August 2, 1978</u>	BSL sends revised tables that excluded '5' (unfounded) for TP-STATUS-CODE and those cases with a value of '200' for TP-RECLASS-PAGE are given a different crime classification. These changes reduce the number of overall crimes reported, with a particular falling off in the more serious crime category.
<u>September 26, 1978</u>	The Urban Institute requests from BSL a sample of 200 crimes per year that have an arrest ID number.
<u>October 6, 1978</u>	BSL sends the sample of crimes with arrest to The Urban Institute.
<u>October 17-20, 1978</u>	Site visit to Rochester to obtain case disposition of the crimes with an arrest ID. Problem matching ID numbers and CR-numbers to cases.
<u>November 6, 1978</u>	BSL sends a revised sample but it, also, proved useless. ID and CR numbers did not match cases.

TABLE A-1 (continued)

November 30, 1978 BSL sent following offense and arrest printout requests for the 1978 RPD data similar to "final" runs from previous years:

The offense printout contains (1) a frequency count for the recoded status variable and the type of crime; (2) a crosstab of the type of crime by the month it occurred and by status; (3) a crosstab of the type of crime by the month it occurred; and (4) a crosstab of type of crime by the month it occurred for only those cases with a status code of 1, 2, 3 or 4.

The arrest printout contains (1) a frequency count for "person arrested"; (2) a crosstab of type of crime by the month it occurred and by "person arrested" for robberies, burglaries, and larcenies, and "all other" types of crimes; (3) a crosstab of type of crime by the month it occurred and by "person arrested."

The third printout contains a listing of ID numbers and CR numbers for the different types of crime (N=200) for the arrest data. If you have any questions on this, or you need any additional information, just give me a call.

December 11, 1978 BSL sends a listing of the program that produces the tables with ID number, CR number, type of offense, and date on each of the different types of crime, for a total of 200 cases per year.

January 2, 1979 1978 case deposition sample returned by the RPD for the time period of January 1978 through October 1978.

### C. Case Disposition Problems

A sample was developed from 1972 through October 1978 of the arrest tapes that would link the ID number of the person arrested with the CR number given to that offense by the dispatcher. BSL developed a program that produced the sample of 200 cases representative of the Part I offenses reported to the FBI by the RPD. The representative sample is shown in Table A-2.

TABLE A-2: SAMPLE SIZE THAT REPRESENTS ROCHESTER'S PERCENT PART I OFFENSES

Type Offense	Representative % Part I	Representative Sample Size
1) Murder	0.9	2
2) Forcible Rape	1.0	2
3) Robbery	8.4	17
4) Aggravated Assault	7.1	14
5) Burglary	21.3	43
6) Larceny	57.6	115
7) Vehicle Theft	3.7	7
Total	100.0	200

The sample cases disposition forwarded for prosecution could not be used for analysis. The problem was that only part of the sample cases disposition could be obtained from the criminal record files. Table A-3 shows the overall results of the cases that disposition could be obtained.

TABLE A-3: CASE DISPOSITIONS OF SAMPLE CASES FORWARDED FOR PROSECUTION

Year	Sample (N)	Disposition Obtained	% Obtained
1972	200	125	62%
1973	200	123	61%
1974	200	101	50%
1975	200		
1976	200		
1977	200	87	43%
1978 (9 mos.)	200	153	76%
TOTAL	1600	589	[36% of sample (N = 1600) obtained]

The results of the case dispositions by crime type per year are shown in Table IV-2 of Chapter IV's Improve Convictions Section.

The RPD programmer was interviewed about the problem of obtaining case dispositions. The programmer said the CR number was not required to be coded until the fall of 1976. Some individuals would informally use the CR number when coding. The arrest data CR number was to be updated with the arrest record but as shown above has not been fully accomplished as yet.

Table A-4 shows favorable outcomes (convicted or warrant) and unfavorable outcomes [not guilty, dismissed, withdrawn by District Attorney (WDDA)]. Calculations for this table are derived from data shown on Table IV-2.

Data was not obtainable for years 1975 and 1976. Examination shows that 50 percent of the cases examined had favorable outcomes.

Table A-5 shows the statistical interpretation of the data. The results are shown in a different format for interpretation in Figure A-1.

Examination of Figure A-1 shows the percent favorable outcomes at  $\pm$  two standard deviations (SD) for each year analyzed. The five years (1972, 1973, 1974, 1977, 1978) when examined at  $\pm$  two SD exceeded mean (1974, 1977) and the mean was within two SD for the year (1972, 1978). The only year of the five that did not meet or exceed the mean of 50 percent favorable outcomes was 1973 (35%  $\pm$  4.8%).

TABLE A-4: ADDITIONAL PRESENTATION AND INTERPRETATION OF QUANTITATIVE DATA FROM TABLE IV-2

Year	Convicted or Warrant (Favorable Outcomes)		Not Guilty, Dismissed or WDDA (Unfavorable Outcomes)		Total
	(N)	(%)	(N)	(%)	(N)
1972	53	47%	59	53%	112
1973	35	35%	65	65%	100
1974	52	59%	36	41%	88
*1975	-	-	-	-	-
*1976	-	-	-	-	-
1977	39	62%	23	38%	62
1978	<u>34</u>	<u>56%</u>	<u>27</u>	<u>44%</u>	<u>51</u>
	213	50%	210	50%	423

Year	Convicted or Warrant (Favorable Outcomes)			
	(No.)	(%)	(%)	(%)
1972	53	<u>+5.2</u>	47%	<u>+</u> 4.8%
1973	35	<u>+4.8</u>	35%	<u>+</u> 4.8%
1974	52	<u>+4.6</u>	59%	<u>+</u> 5.2%
*1975	-	-	-	-
*1976	-	-	-	-
1977	39	<u>+3.8</u>	62%	<u>+</u> 6.1%
1978	34	<u>+3.9</u>	56%	<u>+</u> 6.4%

TABLE A-5: STANDARD DEVIATION AND ERROR CALCULATION FROM TABLE A-4 CONVICTED OR WARRANT DATA

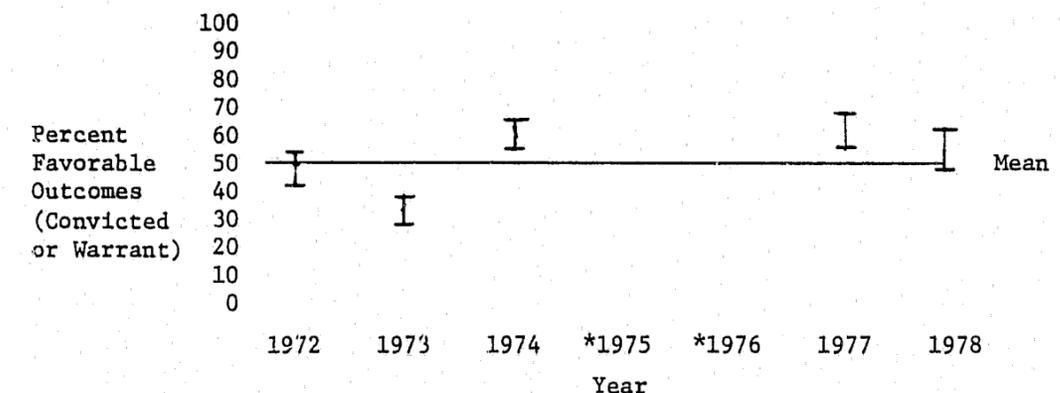


FIGURE: % FAVORABLE OUTCOMES (CONVICTED OR WARRANT) CALCULATED FOR  $\pm$  TWO STANDARD DEVIATIONS

\*1975 and 19

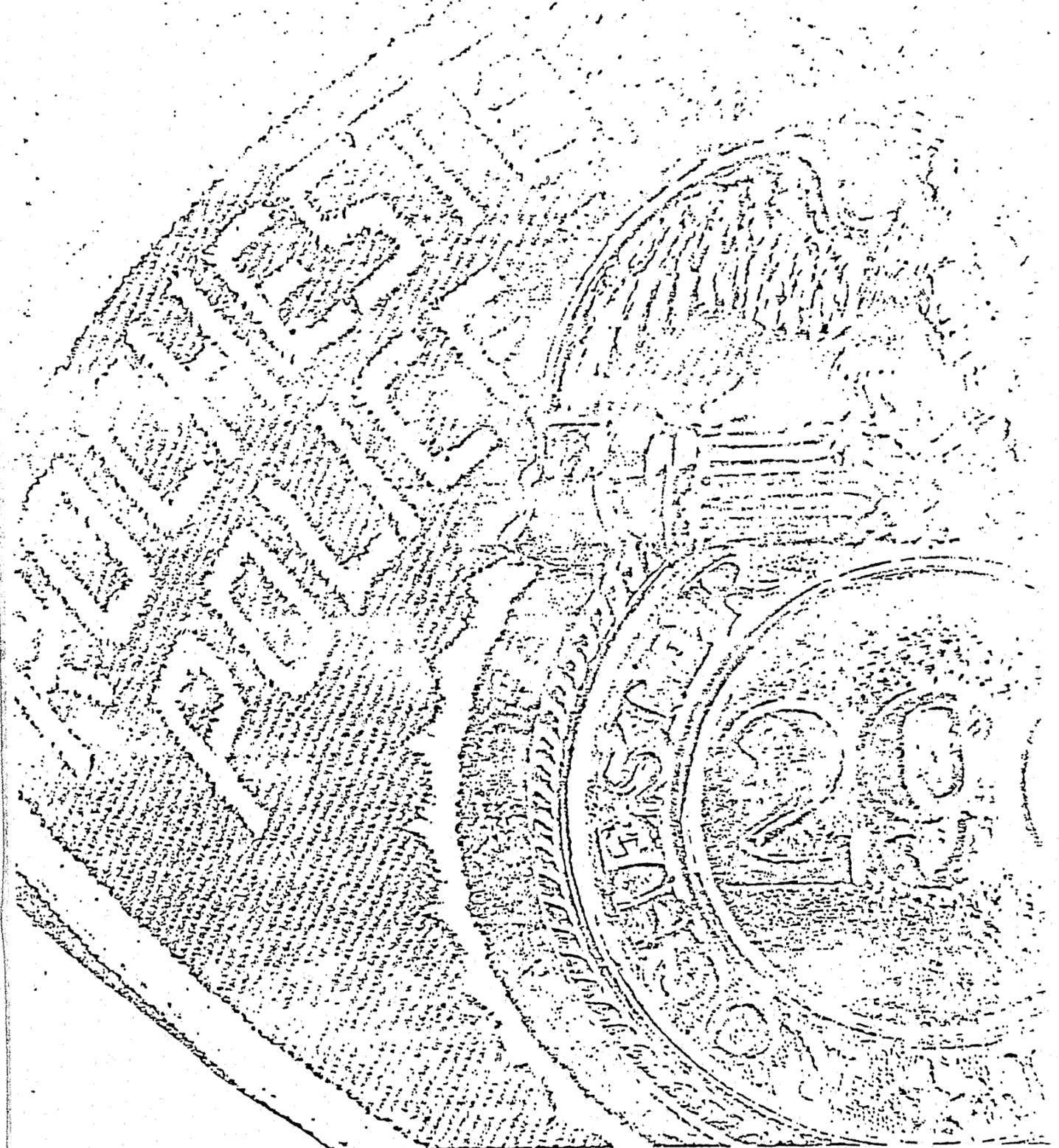
APPENDIX B

OFFENSE MONITORING SYSTEM

A monitoring system is a Management Information System which provides managers with data relevant to needs of their management system. Police administrators and managers require timely and pertinent data concerning the effectiveness of the key components of the total investigative system.

The RPD planned a monitoring system under a Police Foundation grant during 1975 and through 1976 to judge the new concept of investigative management. Task forces determined management needs which resulted in a series of reports providing a regular overview of case status, investigative process and activity. The "Offense Monitoring System" by Thomas F. Hastings is described in this Appendix.

OFFENSE  
MONITORING  
SYSTEM



## I. INTRODUCTION

A MONITORING SYSTEM IS A MANAGEMENT TOOL, A WINDOW OVERLOOKING THE FIELD OF POLICE RESPONSIBILITY AND PERFORMANCE, FROM WHICH FACTS CAN BE DRAWN FOR PROBLEM IDENTIFICATION AND DECISION MAKING.

A MONITORING "SYSTEM" IS REQUIRED (RATHER THAN A SINGULAR REPORT) DUE TO THE LEVELS OF MANAGEMENT INVOLVED IN EVALUATION OF THE CRIME PICTURE AND PERFORMANCE. AS SUCH, THE ROCHESTER POLICE DEPARTMENT DEVELOPED (BY A SYSTEM OF USER TASK FORCES) AND EMPLOYS A FIVE DOCUMENT SERIES AIMED AT ALL LEVELS FROM THE PATROL OFFICER THROUGH THE CHIEF OF POLICE. THE SUCCEEDING PAGES DISCUSS EACH OF THE REPORTS, THEIR ELEMENTS AND SOME OF THE SPECIFIC SYSTEM APPLICATIONS.

## BACKGROUND

The Rochester Police Department patrol and general investigative services are provided by the Operations Bureau Patrol Division, with specialized investigative support from the Criminal Investigation Division and the Special Criminal Investigation Division. (See attachment 1). The responsibility for crime prevention and clearance is placed at the lowest organizational level, within the patrol section.

As such, the monitoring system reports (included) portray collected data by section.

## II. SYSTEM COMPONENTS

### A. DETAILED CRIME REPORT BY SECTION, REPORT NUMBER 100:

Of primary concern to a Section Commander or Section Investigative Supervisor is a document which portrays the complete crime picture by offense type over a specific period of time.

A Section Commander is concerned with the crime rate, his section's effectiveness in case solving, and the "when and where" of the crime's occurrence for personnel deployment. An Investigative Supervisor, charged with case follow up and clearance, looks to a compilation of modus data for leads not otherwise apparent in his task of puzzle solving.

This report then gives the section not only an audit report but a report that adds crime specific data to effect multiplicity in this components usage.

The specific headings of the report are defined as follows:

1. SECT-the geographic section of the crime's occurrence; accountable section;
2. FBI-YR-the major uniform crime report number assigned to the specific offense;
3. CRIME NAME-the offense's common nomenclature;
4. DATE OCCUR-the date of the crime's occurrence;  
(note: not the date of report; if a crime is reported as occurring between two dates, the earlier date will be used);
5. CR NUM-the Rochester Police Department case number;
6. HSE NUM-the house number of the offense's location;
7. STREET NAME-the name of the street where the offense occurred;
8. STATUS-reports the case's current disposition-  
(by F.B.I. Uniform Crime Reporting definition)
  - a. 0-open and unsolved;
  - b. 1-cleared by arrest;
  - c. 2-cleared by "no arrest"(usually the diversion of a juvenile suspect out of the court system or, family court referral in marital related

- d. 3-cleared by "no prosecution", (i.e. the police are ready to arrest an identified and locatable suspect, but the victim declines prosecution);
  - e. 4-cleared, warrant advised; On a misdemeanor case not police witnessed, the victim can obtain a court warrant for police service after the suspect has been identified;
  - f. 5-unfounded, no crime occurred;
  - g. 6-reclassification, the original crime classification was improper, and reclassified properly; NOT a crime clearance, but a subtraction from one category and an addition to another.
9. REC FBI-reports to which crime classification the crime has been moved and added. This information is reported numerically by FBI YR code;
10. CLS INV-the Rochester Police Department's interim case status, i.e.;
- 1. F-field-assigned to investigative personnel for follow-up;
  - 2. O-office-suspended due to a lack of sufficient factors for follow-up;
  - 3. U-unknown (used only if 1 and 2 are illegible to information systems personnel);
11. MODUS WHERE-refers to the type of location of the crime's occurrence;
12. MODUS HOW-reports the method of the crime's occurrence;
13. DOW-reports the day of the week the crime occurred;
14. TIME-reports the first two (2) digits in the military designation of the hour of the crime's occurrence;
15. CAR BT-reports the car beat in which the crime occurred;
16. CAR ASS-reports the car assigned to the offense's preliminary investigation;
17. CAR CLR-reports the unit solving the offense. A patrol car number under this heading indicates that the crime was cleared by a uniformed patrol officer; no number under this heading indicates that the crime is open; if the crime is cleared by investigative personnel, a three (3) digit numerical code preceded by 00 and ending with the section number of the assigned investigator will appear (e.g., 001 would translate to "the crime was solved by an investigator from Lake Section").

Using the above definitions, the first entry on attachment 2 can be interpreted as follows:

In Section I (Lake Section) a crime of rape was reported on 1/1/76, and assigned Rochester Police Department Case Number 600285. The crime occurred at 52 Mason Street on Thursday, between 0300 hours and 0359 hours, and was perpetrated in an automobile by strong arm methods. The crime occurred in Car Beat 231, the preliminary investigation

was conducted by Maple Car 232, and was designated for field follow up investigation by patrol supervisors. After investigation by Lake Section personnel the crime was reclassified to a lesser sex offense and was cleared by the arrest of the perpetrator by Lake Section (1) investigators.

B. CAR BEAT REPORT BY SECTION, REPORT NUMBER 101;

As the Rochester concept places primary responsibility for crime prevention and clearance at the patrol section level, Report Number 100 was slightly altered for the patrol supervisor (and subordinate personnel) to analyze crime patterns and trends for a pro-active deployment (see attachment 3).

Containing all the data displayed by the aforementioned report, 101 "breaks" crime by specific Car Beat within the accountable Section. As a need for crime pattern documentation was identified, crime was listed not by date of occurrence but by street name (alphabetically) so that specific patterns might be more readily identified.

This report gives the patrol supervisor (Sergeant) and the beat patrol officer the total picture of a period of crime within a specific car beat.

(This report, as well as Report Number 100, can be specifically requested on a cumulative basis, or for any specified period, as well as a report limited by crime, modus where, modus how, day of week, or time).

C. INVESTIGATIVE OUTCOME ASSESSMENT 1, REPORT NUMBER 102;

To judge the effectiveness of a section in crime clearance the information contained in Reports 100 and 101 was too cumbersome for an effective review by management personnel. A report was designed, therefore, to report offense totals, subdivided by clearances and open cases.

Report Number 102 (attachment 4) allows management to compare the seven sections in each specific crime category, as well as the categories of Part I offenses, Grand Total (all offenses), and Profit Crimes (burglary, robbery, and larceny excluding shop lifting).

As the report is subdivided by both number and percent in given categories, a specific sections workload and clearance rate can be compared to that of any other section. The majority of the sub-categories are self-explanatory. The following may need clarification:

- 1. "ON SCENE ARREST"-those arrests affected by patrol personnel during the preliminary investigation;
- 2. FOLLOW UP ARREST-those arrests affected by investigative personnel;
- 3. MULTI CLEARANCE-those cases cleared by the admission of a suspect who has been charged with another crime, (suspect has not been arrested for these crimes);
- 4. OTHER CLEARANCE-those clearances reported on the lower portion of Report Number 102; specifically exceptional clearance, no prosecution, warrant advised, unfounded, reclassified.

The "other clearance" category are clearances specifically defined by the Federal Bureau of Investigation Uniform Crime Report standards.

D. INVESTIGATIVE OUTCOME ASSESTMENT 2, REPORT NUMBER 103;

Although Section effectiveness was monitored by Report 102, another document was devised to determine the effectiveness of case screening criteria. This report expands on the Section totals reported by Number 102 by breaking those totals into three categories: (attachment 5)

1. Immediate clearance: those cases cleared by preliminary investigative efforts, usually by patrol officers;
2. Field: those cases assigned for investigator follow-up;
3. Office: those cases lacking sufficient solvability data for field assignment. This category includes cases where information was developed after the preliminary investigation and the case was re-assigned to a "field" status.

These cases are further subdivided by the categories described in the previous reports. As a management tool, this report may offer insight to Sections improper screening cases, or "under performing" Sections.

E. INVESTIGATIVE OUTCOME ASSESTMENT 2, REPORT NUMBER 103A

This report is merely an expansion of Report 103, including information on the disposition of cases following an arrest action. (attachment 6)

(Although totals are represented on this report, a specific case may be tracked by CRT (Cathel Ray Tube) by any officer/superior by entering specific case access data into the computer system).

This report, therefore, explores not only the number of cases cleared but also the department's effectiveness in case presentation/convictions in the court system.

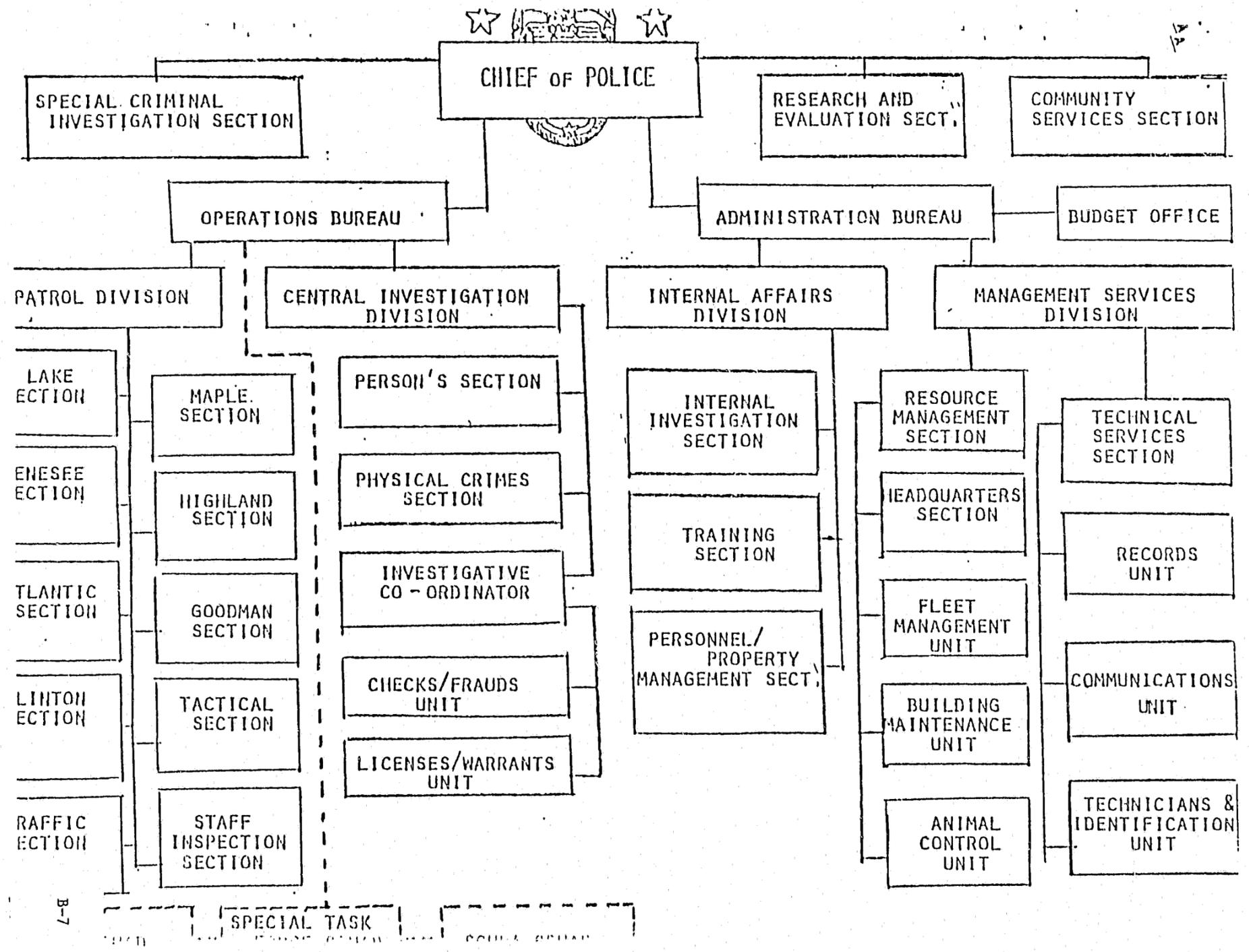
F. SYSTEM FLEXIBILITY

The system's programs are so designed to allow for maximum adaptability.

(As previously mentioned, report 100 can be "ordered" to isolate any of the program elements, as seen in report 101. Report 102's "SECTION" element can be replaced by a specific investigator's name or (tracking) number, as a partial evaluation report). System flexibility is a pre-requisite so as to be highly responsive to user needs.

G. AVAILABILITY

Software documentation has been prepared by this agency (in COBOL language) and is available to any police agency or law enforcement affiliate at a slight transfer fee.



APPENDIX C

INVESTIGATIVE ACTION REPORT G.O. 77-12.3

-165-  
**ROCHESTER POLICE DEPARTMENT**  
 Rochester, New York

INDEX AS: Investigative Action Report

	DATE OF ISSUE	EFFECTIVE DATE	NO.
GENERAL ORDER	January 9, 1978	January 16, 1978	77-12.3
SUBJECT: Investigative Action Report, RPD 1191	DISTRIBUTION All Personnel		AMENDS
REFERENCE General Order 77-12	RESCINDS General Order 69-2 - Pages 7, 8, and 9; General Order 69-2.6		

PURPOSE

To provide guidelines for the preparation and use of the Investigative Action Report.

On the effective date of this order, the Investigative Action Report form (RPD 1191) will replace the Supplement Report (RPD 2.5; Revised 7/70).

GENERAL

A. The Investigative Action Report

The Investigative Action Report will be used to record any follow-up action or additional information relating to a crime or incident previously reported to this Department, reoccupied property and missing persons returned information.

B. Form Preparation Instructions

Page \_\_\_ of \_\_\_: Indicate page number and total pages contained in this reporting.

- Follow-up: Check the box which describes the report content. "Follow-up" refers to a report of investigative action taken. "Added info" refers to additional information, which coupled with already available information, may require a follow-up investigation.
- Added info:

1. VICTIM'S NAME - as indicated on original report.
2. LOCATION OF OFFENSE - as indicated on original report. SECTION - section of original incident.
3. CR# - original CR number ONLY. (Except in reports containing multiple clearances. See #13 below.)
4. TIME OF OCCURRENCE - from original report.
5. OFFENSE/CHARGE/INCIDENT - classification from most recently submitted report.
6. CLASSIFICATION OF OFFENSE/CHARGE/INCIDENT - after investigation; if different from original, the new classification must be supported in the narrative section.
7. SOLVABILITY FACTORS - enter letter code for the solvability factors directed for follow-up from the original crime report.
8. NARRATIVE - record all actions taken and any developments or additional information since the previous report as directed on form. In the shaded margin to the left of the block, enter the solvability factor letter code at the beginning of the discussion of that solvability factor (where applicable). DO NOT REPEAT INFORMATION FROM THE ORIGINAL CRIME REPORT OR PRECEDING INVESTIGATIVE ACTION REPORTS.
9. PERSONS ARRESTED - check "Yes" or "No;" if yes, enter the number of persons arrested.
10. SUSPECT AGE DATA - check appropriate "Yes" or "No" response. "Yes" is checked only if all persons responsible for the time are under 18 years of age.
11. PROPERTY RECOVERED - indicate "Yes" or "No;" if yes, list value of the recovered property. Value will be determined by the entry on the original report.
12. PROPERTY INVENTORY - indicate "Yes" or "No;" if yes, enter the inventory/lot number assigned by the Property Management Section.
13. MULTIPLE CLEAR-UP - if reporting an arrest, did the arrest result in multiple crime clearances?

If yes, the Investigative Action Report narrative will report all offenses cleared by the suspect's admission that did not result in arrest action. The following procedure will be followed:

- a. DO NOT enter a CR# in block #3.
- b. Enter the CR# of the offense charged in block #14 (working CR#).
- c. Number the cleared crimes and enter specifics under the following headings:

CR#	PROP. RECOVERED	LOCATION	CRIME	DATE	SECTION
(For Example)					
1. 000001	\$100.00	124 E. Main St.	Burg. 3	9-1-77	2

- d. Property recovered will be specifically described in the narrative with reference to the clearance number and CR#.
- e. DO NOT repeat specific multiple clearance information on other Investigative Action Reports.
- f. Records Unit personnel shall copy this "master" Investigative Action Report and manually insert a CR# in block #3 for each of the listed (multiple) clearances. Copies will then be distributed to the appropriate sections/units/persons and one filed with the original crime report.

COMPANION CR# - indicate the second charge CR# placed against a suspect. If suspect is charged with more than two offenses, indicate CR#'s and charges in narrative. A separate Investigative Action Report is required for each offense cleared by an arrest charge filed.

14. WORKING CR - if a CR# has been assigned for this portion of the follow-up, indicate "yes" in the block and enter CR#. If "no," so indicate.
15. TELETYPE - if a teletype is sent or cancelled, enter the number and whether the teletype is related to property or suspect.
16. ADDITIONAL TECHNICIAN'S WORK - indicate additional technical work performed after original report.  
  
PERFORMED BY - enter the name of the person performing additional tech work.
17. SOLVABILITY FACTORS - when reporting the follow-up investigation of a crime/offense, the investigating officer will indicate which solvability factors have been (1) eliminated by investigation, (2) newly developed, and (3) remain to be investigated, by placing the appropriate letter codes in the boxes.

The supervisor's initials in the box indicates concurrence with the solvability factor information provided by the investigator.

18. INVESTIGATION STATUS - on the basis of the information provided by block 17, the investigator will indicate the case status after this investigatory stage. If case is closed, the following definitions must apply:

- a. ARREST: A suspect has been taken into custody and charged with the offense indicated.
- b. NO ARREST: An offense can be "exceptionally" cleared by a "No Arrest" status when it falls into one of the following categories:
  - 1) Suicide of the offender (the person responsible is dead).
  - 2) Double murder (two persons kill each other).
  - 3) Deathbed confession (the person responsible dies after making the confession).
  - 4) Offender killed by police or citizen.
  - 5) Extradition is denied.
- c. NO PROSECUTION: Applies only to non-felony crimes and the case is prosecutable, but the victim or complainant refuses to cooperate with that prosecution.
- d. WARRANT ADVISED: Applies only to non-felony crimes and is valid only when the perpetrator has been identified (by exact name) and is locatable (at a specific address identified in the report).
- e. UNFOUNDED: No criminal act ever occurred.
- f. JUVENILE DIVERSION: The diversion of a juvenile suspect away from the criminal justice system by a referral to a special social agency. (NOTE: the cases referred to a "youth officer" cannot be cleared by the status until the youth officer affects the referral.)

19. FURTHER INVESTIGATION - indicate, as appropriate, who will continue follow-up if case is to be further investigated by another officer/unit/section.

If the investigating officer (block 21) believes that the investigation should be continued or brought to

the attention of another person, section, or unit, he will so indicate in this block. Included will be an estimate of the time to be spent to complete the indicated investigatory steps, only if the investigator wishes to retain the case or refer it to another investigator.

20. DATE SUBMITTED - date the Investigative Action Report is submitted for supervisory review.
21. REPORTING OFFICER(S) - legibly enter name and assigned car number.
22. SUPERVISOR APPROVING - signature of supervisor concurring with the investigative results and recommendations detailed in the report. Supervisory non-concurrence will result in a conference with the reporting officer to:
  - a. correct any error made in the decision-making process and report entries, or
  - b. obtain further written documentation to support the recommendation.
23. DISTRIBUTION BOX - this block can be used by field supervisors or Distribution Center to direct routing of report copies.

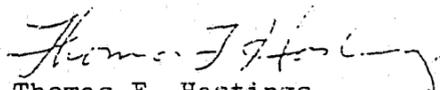
C. Report Submission and Forwarding

1. "Added Info" reports shall be delivered to the reporting officer's immediate supervisor, or (in cases where the offense occurred outside of the reporting officer's section) to an on-duty officer in the section of the offense's occurrence prior to the end of his/her tour of duty.
2. "Follow-up" reports shall be delivered to the assigned officer's/investigator's immediate supervisor for review no later than ten (10) days after the investigation's assignment. The follow-up report shall be delivered by the immediate supervisor (all four copies) immediately after review to the section/unit coordinator for final review and decision on suspension or continuance based on completeness and quality of content.
3. Reports of follow-up investigations or added info conducted for any other section, unit, or division shall be immediately delivered to the section/unit with the responsibility for follow up.

D. Distribution

1. Reporting officers and immediate supervisors shall distribute the Investigative Action Report as indicated in "Report Submission and Forwarding," Section C of this order.
2. Patrol section coordinators, Central Investigation Division section/unit commanders, and the Special Criminal Investigation Division's unit supervisors shall, after concurrence with the report's contents, forward copies 1 and 2 to the Distribution Center, retain copy 3 for section/unit files, and return copy 4 to the reporting officer.
3. The Distribution Center shall make copies as required by current directives and/or as indicated in box #19 or 23, then forward copy 1 to Records Unit for filing and copy 2 to Information Systems Section.
4. Information Systems Section shall enter the required data from the Investigative Action Report into the Department's computer system. After data entry has been verified, Information Systems Section shall return copy 2 to the section responsible for the offense investigation.

By Order Of:

  
Thomas F. Hastings  
Chief of Police

TFH:rnk

**CONTINUED**

**1 OF 2**



ROCHESTER POLICE DEPARTMENT  
Rochester, New York

-171-

INDEX AS: Investigative Case Management System

GENERAL ORDER	DATE OF ISSUE March 29, 1978	EFFECTIVE DATE April 3, 1978	NO. G.O. 78-5
SUBJECT: Investigative Case Management System	DISTRIBUTION Code "A"		AMENDS
REFERENCE G.O.'s 77-15 and 76-11, as amended G.O. 78-6	RESCINDS S.O. 75-21		

I. PURPOSE

A. To enhance the investigative effectiveness of the Rochester Police Department by a systematic selection of cases to be either actively investigated (field investigation), or suspended (office review) based upon established criteria (solvability factors).

B. To define the Rochester Police Department case management system.

C. To describe the options available to section commanders in investigative administration.

D. To describe the duties and responsibilities of the section investigative coordinator and certain police personnel within this system.

II. POLICY

Rochester Police Department section or unit commanders shall be held accountable for the conduct and the results of any investigation assigned to his section or unit by Departmental directive or superior officer.

III. INVESTIGATIVE CASE MANAGEMENT SYSTEM

A. Case Selection Options

1. Field follow-up investigation of all properly completed preliminary investigations in which one or more of the solvability factors is present.
2. Field follow-up of selected preliminary investigations with one or more solvability factors present.

D-1

Page 2  
G.O. 78-5

-172-

3. Field follow-up investigations of selected preliminary investigations without solvability factors. (Criteria for selection to be determined by the section commander).

4. Field follow-up investigation selection decisions may also vary according to crime classification (at the discretion of the section commander) and section caseload.

B. Case Assignment Options

Section commanders are responsible for the investigation and solution of offenses occurring within their territory of assignment. The responsibility for follow-up investigation of selected offenses shall be transferred to specialized units, per current directives.

Section commanders shall assign follow-up investigations within their responsibilities to the section investigative coordinator who may in turn:

1. assign specific tasks associated with the investigation to plainclothes investigators or uniform officers.
2. assign each field follow-up investigation to a plainclothes investigator or team of plainclothes investigators.
3. assign field follow-up investigations to uniformed officers.
4. vary the assignment strategies among personnel and crime by classification.

NOTE: Nothing contained in this directive shall relieve platoon sergeants and lieutenants from the responsibility for the supervision, review and approval of preliminary and follow-up investigations, or from the responsibility for immediately assigning or referring urgent cases requiring prompt police action, pursuant to General Order 76-11.

C. Case Control

The section investigative coordinator shall administer the Investigative Case Management System for the section commander. Investigations selected for field follow-up shall be assigned as indicated herein; and returned to the section coordinator by the assigned officer/investigator through the chain of command no more than ten (10) days after assignment.

D-2

After a review of the investigation, the section coordinator may approve case closure, suspension, or continuance. Cases not approved shall be returned through the chain of command for completion as indicated by the section coordinator.

Continuances shall be granted by the section coordinator for a maximum period of five (5) days, and reviewed at the end of each continuance period until the case is successfully closed or its suspension approved.

D. Case Closure

Section commanders shall be responsible for the integrity of the case closure methodology, as defined by the Departmental directives on the Crime Investigation Report (General Order 77-12, II, 50, 1-6) and Investigative Action Report (General Order 77-12.3, B, a-f).

BY ORDER OF:

Thomas F. Hastings  
Chief of Police

TFH/klh

APPENDIX E

SECTION INVESTIGATIVE COORDINATOR G.O. 78-6

ROCHESTER POLICE DEPARTMENT  
Rochester, New York

-174-

INDEX AS: Section Investigative Coordinator

	DATE OF ISSUE	EFFECTIVE DATE	NO.
GENERAL ORDER	March 29, 1978	April 3, 1978	G.O. 78-6
SUBJECT: Section Investigative Coordinator	DISTRIBUTION Code "A"		AMENDS
REFERENCE	General Order 76-11, 77-15, 78-5, and 78-7.		RESCINDS

I. BACKGROUND

Departmental research, testing, and evaluation has shown that community based decentralized patrol and investigative activities, which emphasize both an immediate and thorough investigation by the patrol officer, and direct contact and inter-action with follow-up investigative personnel, is more effective than centralized functions. The effectiveness of this mode of policing is enhanced when the police anti-crime effort is coordinated both within the section and between sections, and with community agencies and groups.

II. POLICY

The responsibility for the proper conduct of preliminary crime investigations and selected follow-up investigations rests with the Patrol Division. The supervision of that process is the responsibility of the Department's first and second line supervisors. To assist those supervisors in assuring the overall effectiveness of the criminal investigations process, and to coordinate programs and activities determined by the Department and section/unit commanders as beneficial for the accomplishment of the Department's objectives, a formal system of coordination is hereby established.

III. PURPOSE

To define the duties and responsibilities of the Section Investigative Coordinator.

IV. DEFINITION

The Section Investigation Coordinator shall be a police officer (rank optional) specializing in the management of criminal investigation process, strategies of crime prevention, and crime deterrence.

E-1

Page 2  
G.O. 78-6

-175-

The Section Investigative Coordinator shall be:

1. designated by the section/unit commander with the approval of the Chief of Police.
2. a staff assistant to the section commander, reporting to the section commander on his duties.
3. delegated that line authority as deemed appropriate by the section/unit commander to fulfill the duties and responsibilities herein delineated and the goals and objectives of the Rochester Police Department.
4. relieved of those duties determined by the section commander specifically required by his rank (and detailed by departmental directive) to complete the responsibilities of the coordinator's role.

V. DUTIES AND RESPONSIBILITIES

The duties of the section investigative coordinator can be described as those of an investigative manager - - a manager who functions as a communicator, quality control agent, and crime analyst.

To enhance these functions the section investigative coordinator is responsible for:

1. the supervision and administration of the Investigative Case Management System, as described in General Order 78-5.
2. maintenance of the section's Uniform Filing System, as described in General Order 78-7.
3. enhancing communication of crime information by:
  - a) coordinating the efforts of preliminary and follow-up investigators through roll call briefings, bulletins, etc.
  - b) holding periodic meetings with section follow-up personnel to discuss the status of current investigations.
  - c) coordinate the investigative activities with other sections and agencies through an on-going liaison, and attendance at and an active participation in the weekly Central Investigation Division's Co-ordinator's meetings.
  - d) dissemination of information received from the Coordination and Communication Section.

E-2

- e) actively seeking input of section personnel in problem identification and the development and planning of solution or deterrence strategies.
  - f) coordinating on-going investigations with other departmental sections and units as jurisdictional or special conditions (drugs, vice, etc.) become evident.
  - g) liaison with community groups.
4. the identification of crime patterns and trends (as assisted by the Coordination and Communication Section's Crime Analysis Unit), and recommending to the section commander strategies for addressing those crime problems (e.g., patrol strategies, Tactical Unit deployment, stake-out, decoy operations, etc.).
  5. assist first and second line supervisors in their evaluation of the performance of section personnel, especially in the criminal investigation process.
  6. a continuous review of the section's total effort in the criminal investigation process as a quality control, and the communication of identified problems to the section commander.
  7. other duties as described by departmental directive or as ordered by the section commander.

BY ORDER OF:

Thomas F. Hastings  
Chief of Police

TFH/klh

APPENDIX F

POLICE/PROSECUTOR LIAISON SYSTEM S 78-17

-229-  
ROCHESTER POLICE DEPARTMENT  
Rochester, New York

SPECIAL ORDER	DATE OF ISSUE	EFFECTIVE DATE	NO.
	February 8, 1978	Immediately	S-78-17
SUBJECT Police/Prosecutor Liaison System		DISTRIBUTION All Personnel	

I. BACKGROUND

Historically, police and prosecutors have begun arrest case discussions only minutes before court sessions - usually when case weaknesses or errors cannot be corrected. Interaction between an arresting officer and an arrest case prosecutor at the earliest possible time in the case's development has been shown to have a positive impact on the successful outcome of case prosecution.

II. PURPOSE

- A. To establish an operational-level liaison between the Monroe County District Attorney's Office and the Rochester Police Department patrol sections.
- B. To enhance the quality of arrest case preparation and insure the communication of established case prioritization methods by involving a member of the District Attorney's staff early in the investigative/arrest process.
- C. To detail the benefits and describe desired uses of the liaison system.

III. PROCEDURE

A. Monroe County District Attorney's Office

1. The District Attorney of the County of Monroe will:
  - a. continue the present availability of selected assistant district attorneys through the "on-call" system (for homicide, fatal auto accidents involving D.W.I. cases, child abuse, etc.) and the liaison system previously established with the Special Crime Investigation Section, Physical Crimes Section, and the Tactical Section.
  - b. designate one assistant district attorney as liaison to each of the Patrol Division's seven sections, available to section personnel on a 24-hour-a-day basis.

c. provide Patrol Division personnel with adequate contact information (office telephone, paging telephone, and/or home telephone numbers).

B. Rochester Police Department

1. A police officer may, after consulting with his supervisor, directly contact the assistant district attorney assigned as liaison to his section to obtain advice or direction relative to criminal matters assigned to that officer for investigation.

2. Requests for "on-scene" response of either the section liaison assistant district attorney or any of the "on-call" assistants will be made by/or with the approval of the requesting officer's supervisor.

3. Matters of inquiry or requests for assistance may include, but are not limited to:

a. the preparation of legal documents; accusatory instruments, bills of particulars, search warrants, et al.

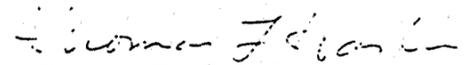
b. securing subpoenas for documents pertinent to investigation, but not freely made available to the police investigator.

c. the selection of the most appropriate crime charge based on an evaluation of the evidence at hand and the policy of the Monroe County District Attorney's Office.

d. communication emphasizing the importance of specific cases prepared against selected serious or recidivist offenders.

e. direction on matters of evidence, search and seizure.

By Order Of:

  
Thomas F. Hastings  
Chief of Police

TFH/klh

APPENDIX G

POLICE/PROSECUTOR COORDINATION S 77-121

-231-  
ROCHESTER POLICE DEPARTMENT  
Rochester, New York

SPECIAL ORDER	DATE OF ISSUE	EFFECTIVE DATE	NO.
	November 29, 1977	December 3, 1977	S-77-121
SUBJECT. Police/Prosecutor Coordination		DISTRIBUTION All Command	

PURPOSE

To provide the District Attorney's staff with the necessary arrest case information prior to the defendant's arraignment in City Court, Part I.

To establish the duties and responsibilities of the Rochester Police Department personnel for this communications system.

DUTIES AND RESPONSIBILITIES

- I. Technical Services Section, Records Unit, shall forward a copy of:
  - a) every crime investigation report which results in an arrest;
  - b) a copy of the DCJS record sheet...to the Criminal Investigation Division (CID) desk as soon as possible after their receipt.
- II. Criminal Investigation Division, Coordination and Communication Section shall:
  - a) receive the aforementioned copies from the Records Unit and deliver the reports to the Assistant District Attorney assigned to City Court at his/her request;
  - b) make a copy of each Grand Jury Report Form (NOTE: not entire package) and deliver to the District Attorney assigned to City Court, Part I at his/her request.
  - c) Crime Analysis Unit shall review known offender files to determine prioritization needs.

S-77-121  
Page 2

III. Operations Bureau

Rochester Police Department personnel effecting any arrest shall communicate arrest prioritization information to the Assistant District Attorney assigned to Part I by:

- a) utilizing space provided on the Grand Jury Referral Form for felony matters;
- b) communicating directly to the Assistant District Attorney by calling 428-7193 or 428-5176;
- c) communicate to the Assistant District Attorney via the section coordinator or his assistant.

BY ORDER OF

Thomas F. Hastings  
Chief of Police

TFH:mct

APPENDIX H

DISTRICT ATTORNEY CASE DISMISSAL FEEDBACK REPORT S.O. 77-69

-227-  
**ROCHESTER POLICE DEPARTMENT**  
 Rochester, New York

SPECIAL ORDER	DATE OF ISSUE	EFFECTIVE DATE	NO.
	7/26/77	7/26/77	S.O. 77-69
SUBJECT District Attorney Case Dismissal Feedback Report		DISTRIBUTION Commanding Officers	

Preparation of prosecutable arrest cases which ultimately lead to offender conviction is a police responsibility. To assess case preparation effectiveness certain information must be available to police management.

**PURPOSE:**

- 1) To provide for the communication of case dismissal data from the District Attorney's office to the Police Department.
- 2) To acquaint Rochester Police Department management and supervisory personnel with the feedback form issued by the Monroe County District Attorney's office after a case dismissal; and,
- 3) to indicate the use and flow of that document.

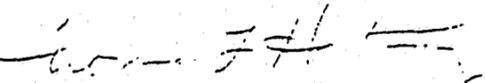
**DISSEMINATION AND USE:**

The dismissal report shall be prepared by the Assistant District Attorney assigned the case and forwarded through the District Attorney to the Chief of Police. The report shall be transmitted through chain of command to the arresting officer who shall initial the form and deliver it to the Section Coordinator for filing with the section arrest file.

Additional clarification on the dismissal shall be requested from the Chief of the Grand Jury Bureau by the Section Captain or Section Coordinator.

It shall be the responsibility of the commanding officer of the Section/Unit to which the arresting officer is assigned to initiate or cause to be initiated necessary training or correctional measures within his command, and to recommend topics for department wide training efforts based on the contents of the dismissal report.

BY ORDER OF:

  
 THOMAS F. HASTINGS  
 CHIEF OF POLICE

TFH/klh

-228-  
 COUNTY OF MONROE  
 DISTRICT ATTORNEY

TO: \_\_\_\_\_  
 SUBJECT: CR# \_\_\_\_\_ SECTION: \_\_\_\_\_  
 DEFENDANT: \_\_\_\_\_  
 CHARGE: \_\_\_\_\_  
 DISPOSITION: \_\_\_\_\_

Sir:

The above case was dismissed for the following reason(s):

- NO PROSECUTION DESIRED BY VICTIM
- WITNESS FAILED/REFUSED TO TESTIFY
- WITNESS UNABLE TO SUPPORT OFFENSE ELEMENT
- ELEMENT OF OFFENSE MISSING OR NOT PROVEN
- EVIDENCE INADMISSIBLE - SEARCH & SEIZURE
- IMPROPER HANDLING OF EVIDENCE
- IMPROPER PREPARATION OF ACCUSATORY INSTRUMENTS, SUPPORTING DEPOSITIONS AND/OR STATEMENTS
- OTHER: \_\_\_\_\_

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Assistant District Attorney

ROCHESTER POLICE DEPARTMENT  
Rochester, New York

-88-

INDEX AS: Crime Investigation Report  
Offense Report  
Preliminary Investigation Report

GENERAL ORDER	DATE OF ISSUE	EFFECTIVE DATE	NO.
	January 9, 1978	January 16, 1978	77-12
SUBJECT: Crime Investigation Report		DISTRIBUTION All Personnel	AMENDS
REFERENCE General Order 76-11; Preliminary Investigation Manual, General Order 77-11.1; F.B.I. Uniform Crime Reporting Manual			RESCINDS General Order 69-2 "General Report" pg. 3, 4, 5 and 6 Special Order 76-96

APPENDIX I

CRIME INVESTIGATION REPORT G.O. 77-12

PURPOSE

To establish the procedures for the use and completion of the Rochester Police Department Crime Investigation Report, (RPD 1188).

I. POLICY

A Crime Investigation Report will be used to record all offenses proscribed by the New York State Penal Law, and violations of any other law or ordinance for which arrest action could be taken (except Unauthorized Use of a Motor Vehicle, Section 165.05, New York State Penal Law, and Vehicle and Traffic Law violations).

A member of the Rochester Police Department receiving information concerning the alleged commission of an offense shall prepare and submit (or cause to be prepared) a Crime Investigation Report.

The conduct of preliminary investigations will be guided by the policy established by General Order 76-11 and the procedures detailed in the Rochester Police Department Preliminary Investigation Manual, General Order 76-11.1.

II. CRIME REPORT FACE COMPLETION

Data recorded on the Crime Investigation Report will include the following information:

BLOCK 1: OFFENSE OR CHARGE (INCLUDE DEGREE AND LAW SECTION NUMBER)

The preliminary investigating officer determines what offense has been committed (or is alleged to have been committed), and must identify that offense exactly, including law name, if other than Penal Law.

The term "investigation" shall not be used in this block (or block #2). A questionable incident shall be classified as a crime, and either founded or unfounded by subsequent investigation.

Law manuals will aid the officer in accurately classifying the incident, and will enumerate the offense elements required to substantiate the classification. When the preliminary investigator has identified the offense, he records the information in this on the Crime Investigation Report. (The word "charge" is included so that when an arrest is made the reporting officer will identify the charge in this block). If two (or more) crimes are associated with one incident, the more serious is listed first. If the two (or more) crimes are equal in category, enter the crime which best indicates the perpetrators overall intent in the incident.

Subsequent report blocks or the narrative MUST support each element of the classified offense.

BLOCK 2: CLASSIFICATION OF OFFENSE (SUPERVISORY REVIEW)

The field supervisor shall review the "offense or charge" in block 1 and either:

1. Concur with the preliminary investigator by signing his/her name and rank in block 2, or
2. Not concur, and enter the correct classification in block 2, initialing that entry and striking out the entry in block 1.

BLOCK 3: CR NUMBER

Each incident must have a separate CR number. CR numbers with alphabetical suffixes (e.g.; 123456-A, 123456-B, etc.) are not acceptable.

(NOTE: A singular robbery incident with multiple victims shall be recorded under one (1) CR number. In cases of assault, with a single suspect, but multiple victims, each victim shall be assigned a separate CR number, and therefore a separate Crime Investigation Report).

BLOCK 4: TIME OF OCCURENCE

If the exact time of the offense's occurrence is known, that information shall be entered in the upper portion of this block, and ordered by: M - Month; D - Day; Y - Year; T - Time. An offense occurring at an unknown time within a specific time frame will be recorded with the earlier limit in the upper portion and the latest limit in the lower portion. (Since only one date can be entered into computer offense files, the earlier date will be used.)

Entries for month/day/year are to be entered in two digit numerical terms (for example: January - 01, November - 11); time is to be indicated by the military designation (for example: 7:00 AM - 0700, etc.).

BLOCK 5: WHEN REPORTED/DISPACHED TO .

Indicate the exact time of the report (month/day/year/time) as well as the exact location to which the preliminary investigator was dispatched.

BLOCK 6: LOCATION OF OFFENSE (HOUSE AND STREET NAME) SECTION

All entries in this block MUST include a house number and a street name (and apartment number, if applicable) as well as the section number in which the offense occurred (regardless of the section of assignment of the preliminary investigator). AN INTER-SECTION ADDRESS (FOR EXAMPLE: MAIN STREET EAST AND CLINTON AVENUE NORTH) IS NOT ACCEPTABLE. The location of offense must indicate one (1) street name preceded by an actual or approximated house/building number.

BLOCK 7: VICTIM'S NAME (LAST, FIRST, MIDDLE) OR FIRM NAME, IF BUSINESS

Enter the victim's name, giving the last name first. If the victim is a business firm, state the legal name of the firm and include the owner's name in block 15. When an offense has more than one victim, enter additional victims' information in the narrative, and identify that additional information (by block #7) in the margin provided at the left. Victim information included in the narrative will list that data required by blocks 8, 9, 10, 11, and 12 of the Crime Report.

BLOCK 8: VICTIM'S ADDRESS (HOUSE NUMBER AND STREET NAME)

Enter the exact address of the victim, including apartment number, State (if other than New York) and Zip Code.

BLOCK 9: RESIDENCE PHONE, DAY/NIGHT

Enter the victim's home telephone number (if none, indicate). Circle the appropriate time(s) of day (i.e.; day/night) that the victim is usually available for any required further interview at this number.

BLOCK 10: VICTIM'S PLACE OR EMPLOYMENT OR SCHOOL NAME

List the victim's place of employment (not the address) or the name of the school the victim attends. (If none, indicate).

BLOCK 11: BUSINESS PHONE, DAY/NIGHT

Enter the business telephone number. Circle the time of day during which the victim could be located at that telephone number, or at the location provided in block 10 (even if no phone is available).

BLOCK 12: VICTIM'S SEX/RACE/AGE

Enter the appropriate information, as known, using the following codes:

SEX: M - Male	RACE: W - White
F - Female	B - Black
	M - Mexican-American
	P - Puerto Rican
	O - Oriental
	X - Other

BLOCK 13: REPORTING PERSON'S SIGNATURE/DATE

IN ALL INSTANCES, AN ENTRY IS TO BE MADE IN THIS BLOCK. The person reporting the crime should be requested to sign his/her name and date in this block to indicate his/her "freely and gratuitously" reporting of the offense. (\*Reference: New York State Penal Law, Section 240.50-3, falsely reporting an incident).

The preliminary investigator should use his discretion in the use of this block. If the reporting person is obviously unwilling to sign, or physically incapable of signing, the indication "refused" or "incapacitated" should be entered. The explanation for the lack of a signature will be reported in block 45, NARRATIVE.

BLOCK 14: WAS THERE A WITNESS TO THE CRIME? --  
IF NO, PLACE AN X IN BOX A.

This solvability factor will be answered only after a thorough witness search as detailed in block 15. If a witness search has been conducted, and proves negative, place an X in solvability box A.

BLOCK 15: INDICATE WITH PROPER CODE IN BOXES PROVIDED, THE PERSON'S RELATIONSHIP TO INVESTIGATION. W-1= WITNESS #1; NI=NOT INTERVIEWED; R=REPORTING PERSON; PK=PERSON WITH KNOWLEDGE (INCLUDE REPORTING PERSON'S NAME IF NOT VICTIM). IF CITIZEN INFORMATION FORM R.P.D. 1148 IS LEFT WITH ANY OF THESE PERSONS, INDICATE BY CIRCLING PERSONS DESIGNATED.

The greater portion of a preliminary investigation is devoted to identifying and interviewing persons who may possibly have information that will assist in identifying a suspect. IT IS IMPORTANT FOR THE OFFICER TO SEARCH THE AREA FOR WITNESSES AND TO ACCURATELY DESCRIBE WHERE THE WITNESS MAY BE REACHED AND THE TYPE OF INFORMATION THAT EACH OF THE WITNESSES PROVIDES. Any information may be pertinent to the investigation when combined with other details uncovered.

This block shall include the ADDRESS and APARTMENT NUMBER CHECKED, THE PERSON INTERVIEWED AND HIS/HER APPROXIMATE AGE, INTERVIEWED PERSON'S HOME ADDRESS, APARTMENT NUMBER, RESIDENCE AND BUSINESS TELEPHONE NUMBER. In addition, his/her relationship to the crime shall be identified by the appropriate code in the box at the right of block 15. This box shall receive a "X" entry if no pertinent information has been provided by the person interviewed.

A negative determination for block 14 cannot be made without a sufficient witness search having been documented in block 15, or an acceptable explanation for the lack of witnesses provided in block 45. (NARRATIVE). (SEE ALSO BLOCK 40).

BLOCK 16: CAN SUSPECT BE NAMED? -- IF NO, PLACE AN X IN BOX B

Space is provided for the identity of two (2) suspects. The "suspects' name" should include any alias information. If a suspect cannot be named, place an X in solvability box B.

BLOCK 17: CAN SUSPECT BE LOCATED? -- IF NO, PLACE AN X IN BOX C

If a suspect can be located (either by home address, or a location frequented) enter that information. If a suspect has been named, the location information should be displayed under the respective information for the previous block, (i.e., the information for Suspect #1 should fall under previous information on Suspect #1).

If no suspect can be located, place an X in solvability box C.

BLOCK 18: CAN SUSPECT BE DESCRIBED? -- IF NO, PLACE AN X IN BOX D

If a suspect can be described, provide his/her description in the space provided. On the first line, provide the age, sex, race, height, and weight of the suspect. The second line should indicate other identifying information such as scars and clothing description. A complete description will be included if the suspect is arrested.

Indicate, by checking the box "Yes" or "No" to indicate whether the suspect was arrested.

BLOCK 19: CAN A SUSPECT BE IDENTIFIED? -- IF NO, PLACE AN X IN BOX E

Although a suspect may be described by a victim or witness, block 19 asks specifically if the victim or witness could identify the suspect.

If no one can identify the suspect, place an X in solvability box E in the right hand margin. If the suspect can be identified by a victim or witness, indicate who can make the identification by using the appropriate codes (V=victim, W-1=witness number 1, etc.) in the spaces provided.

BLOCK 20: TIME SUSPECT INFORMATION BROADCAST

Since the immediate search of the crime scene area for a suspect, (influenced by the timeliness of that search) is imperative to a successful preliminary investigation, the officer is directed to verify the radio communication of a suspect "pick up" in this box. Police units assisting in the search for a suspect, and responding to the preliminary investigators radio broadcast, should be identified by radio designation number in the space labeled "assist" in the lower right margin. If suspect description is not broadcast, indicate by using the designation "NB."

BLOCK 21: SUSPECT VEHICLE REGISTRATION INFORMATION

The six (6) boxes contained in block 21 allow for the total vehicle description: the license plate number and State of registration, vehicle year, make, model and type, color (listed by top color/bottom color) as well as the vehicle's identifying characteristics.

BLOCK 22: CAN SUSPECT VEHICLE BE IDENTIFIED? -- IF NO, PLACE AN X IN BOX F

If the victim, witness, or other person with knowledge of this incident can identify the vehicle listed in block 22, make no entry in box F, but identify the person in block 45, NARRATIVE. If the suspect vehicle cannot be identified, place an X in solvability box F.

BLOCK 23: TIME SUSPECT INFORMATION WAS GIVEN OUT VIA RADIO COMMUNICATIONS

Indicate the time any recorded information on the vehicle was broadcast to other police units in block 23.

BLOCK 24: IF STOLEN PROPERTY IS TRACEABLE, INDICATE IN SPACE PROVIDED BELOW -- IF NO, PLACE AN X IN BOX G.

This solvability factor is determined by information provided in blocks 25 and 27. If the property stolen is not traceable, place an X in solvability box G.

BLOCK 25: DESCRIBE PROPERTY STOLEN/DAMAGED

The first entry in this block shall be the most descriptive term listed in section A of the Crime Analysis Information Sheet located on the reverse of the Crime Investigation Report's first page.

Block 25 is designed to address the crimes of larceny as well as criminal mischief. A complete description of property taken (i.e. make, model, color, size, identifying characteristics, etc.), or a description of damage caused to property is required. LIST ONLY ONE ITEM PER LINE, use narrative if additional space is needed. CLEARLY LABEL ITEMS DAMAGED BUT NOT TAKEN.

BLOCK 26: REMOVED FROM

Enter the exact location of the property prior to the theft. (eg.: second floor bedroom, kitchen, under dash of vehicle, glove compartment, etc.)

BLOCK 27: PROPERTY IDENTIFICATION INFORMATION

This block solicits information relative to the stolen property serial number or any identificational markings inscribed on the stolen property. Serial numbers should be indicated as such, and other traceable identification markings and/or numbers should be identified, with their location described in block 45 (NARRATIVE).

The officer must obtain a complete description of the property including serial numbers, the make, the model, and any identifying characteristics such as dents, chips, and scratches. Specific information identifying the make, the model, and serial numbers can be entered into state and federal computer files; general information is entered into departmental records systems for possible identification.

If stolen property is not traceable, place an X in solvability box G.

BLOCK 28: PROPERTY VALUE/TOTAL VALUE

This block requests the fair market value of the property stolen, or a cost estimate of the damage repair. At the bottom of block 28 place the total value of the property or an approximate value. (Sentimental value cannot influence a monetary value.)

NOTE: New York State Penal Law Section 155.20 states:

1. Except as otherwise specified in this section, value means the market value of the property at the time and place of the crime, or if such cannot be satisfactorily ascertained, the cost of replacement of the property within a reasonable time after the crime.

3. When the value of the property cannot be satisfactorily ascertained pursuant to the standards set forth in subdivision 1 and 2 of this section, its value shall be deemed to be an amount less than \$250.00.

(NOTE: DO NOT ADD "DAMAGE" COST ESTIMATE TO LOSS ESTIMATE TO DETERMINE THE DEGREE OF A LARCENY, OR VICE VERSA.)

BLOCK 29: NATURE OF INJURY

As the nature of a person's injury will determine the degree of the offense committed, it is important to obtain and record all pertinent information regarding the injury. All injuries should be completely described.

BLOCK 30: TYPE OF INSTRUMENT, WEAPON, OR FORCE USED

This block is applicable to all offenses, and is not limited to offenses involving actual or threatened physical force. (eg.: a burglary "instrument" may be a pry bar, a robbery weapon may be a pistol, and the level of force may be non-physical intimidation).

BLOCK 31: WHERE HOSPITALIZED

Indicate the name of the hospital where the victim was treated (or admitted) for injuries sustained, or the address of the medical facility (doctor's office, clinic, etc.) where the victim was treated.

BLOCK 32: ATTENDING PHYSICIAN

Enter full name of the doctor or medical personnel attending the victim's injuries.

BLOCK 33: PRONOUNCING PHYSICIAN/WHERE

If the injuries sustained by the victim result in death, enter the name of the licensed physician or qualified medical examiner staff person making the pronouncement, as well as the location of the pronouncement. If further space is required, use block 45 (NARRATIVE).

BLOCK 34: DATE/TIME PRONOUNCED

Enter time and date of the death pronouncement as recorded by the pronouncing physician or the medical examiner's staff.

BLOCK 35: NAME OF MEDICAL EXAMINER

If the preliminary investigating officer notifies the medical examiner's office of a death, indicate the name of the medical examiner staff person so advised.

BLOCK 36: IS THERE A SIGNIFICANT M.O. PRESENT? IF YES, DESCRIBE IN NARRATIVE -- IF NO, PLACE AN X IN BOX H

If a uniquely identifiable method of operation is apparent, leave box H blank and enter that information in block 45 (NARRATIVE).

BLOCK 37: IS THERE SIGNIFICANT PHYSICAL EVIDENCE PRESENT? IF YES, DESCRIBE IN NARRATIVE -- IF NO, PLACE AN X IN BOX I

The officer must search the scene for the presence of any significant physical evidence. (eg.: during a burglary investigation, he/she should try to locate the point of entry/egress and determine if a weapon or force was used and, if so, the type). In searching the area (NOTE: not just the immediate scene), the officer may find footprints, stolen property that was dropped, or personal affects of the suspect. The preliminary investigating officer shall direct the evidence technician's activities; and the evidence technician shall complete the work requested by the preliminary investigator. Conflicts unresolvable by the preliminary investigator and technician as to work to be performed shall be resolved by the preliminary investigator's supervisor.

If significant evidence is found, leave box I blank and describe that evidence in block 45 (NARRATIVE).

BLOCK 38: HAS EVIDENCE TECHNICIAN WORK BEEN PERFORMED (By: )/REQUESTED? IF NO, PLACE AN X IN BOX J

Block 38 asks if any type of technical work has been done at the crime scene, or whether the preliminary investigator has requested that evidence technician work be performed. If a technician is to be later assigned to process the scene, enter T.B.A. (to be assigned) in the "By" block. If no technical work has been performed or requested, place an X in box J.

Indicate by placing an X in the appropriate box what technician work was performed/requested.

BLOCK 39: IS THERE REASON TO BELIEVE THAT THE PRELIMINARY INVESTIGATION CANNOT BE COMPLETED AT THIS TIME

The officer will review the investigation at this time and determine whether or not this particular offense requires further investigative effort.

In certain instances the preliminary investigator cannot conduct a complete investigation at the time of the incident report. (For example: a residential burglary, which occurred in an unknown time over a several day period, is reported at 0400 hours when the resident returns from a vacation. Due to the hour of the report, a thorough neighborhood canvas cannot be conducted at the time of the preliminary investigation.)

If the preliminary investigation has not or cannot be completed at the time of the original report, the preliminary investigator will leave box K blank and offer the reason in the NARRATIVE.

BLOCK 40: CAN THE CRIME BE SOLVED WITH A REASONABLE AMOUNT OF INVESTIGATIVE EFFORT? IF NO, PLACE AN X IN BOX L

If the nature of the incident is such that the case will arouse significant public interest and further information may be generated by this interest, or if any other valid reason exists for continuance of the investigation, leave solvability box L blank and explain the reason(s) in the NARRATIVE.

BLOCK 41: WAS THERE A DEFINITE LIMITED OPPORTUNITY FOR ANYONE EXCEPT THE SUSPECT TO COMMIT THE CRIME? -- IF NO, PLACE AN X IN BOX M

The reporting officer must determine at the scene of persons other than the indicated suspects may have had the opportunity to commit the crime. Numerous crime scenes offer a ready-made suspect, yet the officer must approach the available facts with an open mind and identify any other probable suspects.

BLOCK 42: POINT OF CRIME

The point of entry (in a burglary), or the exact place in/at an area where the crime occurred.

BLOCK 43: PREMISE DESCRIPTION

The exact description of the premise taken from section B of the Crime Analysis information list printed on the reverse of the Crime Investigation Report's first page.

BLOCK 44: PROPERTY INVOICE NUMBER

Record in this block the invoice number of any property recovered or secured as evidence.

BLOCK 45: NARRATIVE

Summarize the details of the offense including the progression of events, the names of other officers playing an integral role in the investigation, and any additional information which is an extension of blocks 1 through 44.

Located at the left of the narrative portion is a shaded area titled "Block Number". Enter here the block number or solvability letter code which shall be further described in the adjacent portion of the narrative.

BLOCK 46: IS ONE OR MORE OF THE SOLVABILITY FACTORS PRESENT IN THIS REPORT?

Based on the result of the preliminary investigation, the officer will check the appropriate box:

- No, Office: no solvability factors have been located;
- Yes, Field: one or more solvability factor(s) have been located and additional work is required for case completion; (Case can be designated as field even if closed when additional work is required to totally complete investigation.)
- Yes, Closed: one or more solvability factor(s) have been located and the case has been closed in the preliminary investigation stage;

THIS CASE REQUIRES NO FURTHER FOLLOW-UP.  
(See case closure criteria described under "Block 50", infra).

BLOCK 47: REPORTING OFFICER(S)/ASSIGNED BEAT NUMBER

The reporting officer(s) will clearly sign, (or print), his/her name(s) in this space. Immediately following that entry the officer(s) will enter his/her assigned beat number (i.e. the radio call number). IBM numbers will not be entered in this block.

BLOCK 48: FIELD SUPERVISORY DECISION

After a review of the preliminary investigation, a field supervisor shall either concur the preliminary investigator's recommendation as offered in block 47 relative to the interim status of "field" or "office" or with the closure recommendation. If the supervisor does not concur with that recommendation, he/she will enter the decision for follow-up or suspension in the blocks marked FIELD or OFFICE.

BLOCK 49: IF FIELD, INVESTIGATOR SHALL FOLLOW-UP SOLVABILITY FACTORS

If the field supervisor designates investigation passed this preliminary stage, he shall indicate those solvability factors for follow-up by letter code designation in the boxes so provided.

BLOCK 50: CLOSED BY

1. ARREST: A suspect has been taken into custody and charged with the offense indicated.
2. NO ARREST: An offense can be "exceptionally" cleared by a "No Arrest" status, when it falls into one of the following categories:
  - a) Suicide of the offender (the person responsible is dead).
  - b) Double murder (two persons kill each other).
  - c) Deathbed confession (the person responsible dies after making the confession).
  - d) Offender killed by police or citizen.
  - e) Extradition is denied.
3. NO PROSECUTION: The suspect has been identified, and the case is prosecutable, but the victim or complainant refuses to cooperate with that prosecution.
4. WARRANT ADVISED: Applies only to non-felony crimes and is valid only when the perpetrator has been identified (by exact name) and is locatable (at a specific address identified in the crime report).
5. UNFOUNDED: No criminal act ever occurred.
6. JUVENILE DIVERSION: The diversion of a juvenile suspect away from the criminal justice system by a referral to a special social agency. (NOTE: the cases referred to a "Youth Officer" cannot be cleared by this status until the Youth Officer affects the referral).

BLOCK 51: AN ADMINISTRATIVE BOX INDICATING THE REPORT COPY NUMBER FOR DISTRIBUTION PURPOSES

This block can be used by field supervisors to direct routing of report copies by the distribution center.

III. CRIME ANALYSIS INFORMATION

- A. Objective: The Crime Analysis Information Form, printed on the reverse of page #1 of the Crime Investigation Report, provides a means for collecting crime specific information which strictly limits data definition and lends that data to effective analysis by computer.

- B. Completion: Boxes A and B provide a list of property and premise descriptions, arranged in alphabetical order. One of these exact descriptors will be entered in block 25 (property) and block 43 (premise description) on the face of the Crime Investigation Report.

The reporting officer will verify that entry by placing a check (✓) mark in the box provided at the bottom of the list.

Questions C through P require a specific numerical entry be made in the correspondingly lettered box at the right of the page.

The number that most closely corresponds to the information sought is entered in the space provided. An entry must be made in each box; "unknown" shall be entered only if the information cannot be discovered from victims, witnesses or persons with knowledge of the incident.

Supervisory review will include verification of entries in block 26 and 44.

The field supervisor will indicate his review and concurrence with the information entered by placing his initials in the space provided at the bottom of the report.

IV. DISTRIBUTION AND FORWARDING

- A. The Preliminary Investigator shall give copy #6 of the Crime Investigation Report to the victim (or reporting person, if feasible) upon completion. All remaining copies of the Crime Investigation Reports will be delivered to the reporting officer's immediate supervisor or (in situations where a reporting officer investigates a crime occurring outside of his/her section) to an on-duty officer in the offenses' section of occurrence, prior to the end of his tour of duty.
- B. Supervisory personnel shall review the Crime Investigation Report, and if approved for content, quality, legibility and completeness as detailed by Departmental directives, shall remove copies #3 and #4 for section level use and forward copies #1, #2 and #5 to the Distribution Center.
- C. Distribution Center shall make and forward any report copies required by current directives and/or indicated in block 51. Copy #1 will be forwarded to the Information Systems Section for computer data entry; copy #2 shall be forwarded to the Central Investigation Division's Coordinator and Communications Section; copy #5 shall be made available for the Press.







While portions of this document are illegible, it was micro-filmed from the best copy available. It is being distributed because of the valuable information it contains.

ROCHESTER POLICE DEPARTMENT  
Rochester, New York

-57-

INDEX AS: Preliminary Investigations Manual  
Manual: Preliminary Investigations

GENERAL ORDER	DATE OF ISSUE	EFFECTIVE DATE	NO.
	November 2, 1977	November 11, 1977	76-11.1
SUBJECT: Preliminary Investigations Manual		DISTRIBUTION All Personnel	AMENDS
REFERENCE G.O.76-10, 76-11 and 77-12			RESCINDS

I. BACKGROUND

The Preliminary Investigations Manual is the product of the experiences and research of Rochester Police Department personnel. Its aim is to familiarize all personnel with proven investigative techniques.

II. PURPOSE

1. To further describe the procedures to be used by Rochester Police Department personnel in the preliminary investigation process.
2. To direct the study and retention of the Preliminary Investigations Manual.

III. DUTIES AND RESPONSIBILITIES

Rochester Police Department personnel shall employ the procedures recommended in the Preliminary Investigations Manual, as applicable.

Supervisors shall assure the proper conduct of every preliminary investigation and shall train or request training for their subordinates as training needs are identified.

BY ORDER OF:

THOMAS F. HASTINGS  
CHIEF OF POLICE

TFH/klh

APPENDIX K

DETAILED ANALYSIS OF ROBBERY, BURGLARY AND LARCENY

APPENDIX K

DETAILED ANALYSIS OF ROBBERY, BURGLARY AND LARCENY

A. OVERVIEW

The RPD arrest and offense computer tapes were copied for the years 1972 through October 1978. The RPD uses the tapes for crime reports and analyses. Analyses were made from the data using a time series format of the ratio of arrests to offenses and clearances<sup>1</sup> to offenses. The analysis for each crime type will cover the period from April 1975 through December 1977. The time period started in April of 1975 because team policing was implemented citywide at that time. The ratio of arrest to offenses and the ratio of clearances to offenses for robbery, burglary and larceny are discussed below. Examination of the time series formats reveals the variations and trends.

B. ROBBERY

Examination of the cleared by arrest plots (Exhibit K-1) shows that offenses during October 1976 and December 1977, part of the grant period October 1976 through August 1978, vary more than the prior period of April 1975 through September 1976. Team policing went citywide April 1975. Examination shows the overall trend to be rather consistent from April 1975 through December 1977.

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1. Cleared by arrest, cleared no arrest, cleared no prosecution, and cleared warrant advised.

Arrests during October 1976 through December 1977 show more variations in this time frame than for the period of April 1975 through September 1976. The arrest trend line from April 1975 to the start of the grant is also fairly consistent but at a higher level than October 1976 through December 1977.

Examination of the ratio of arrest to offenses during part of the grant period vary more than from April 1975 through September 1976. The overall ratio witnessed in this time frame (April 1975 - September 1976) is fairly consistent at approximately 20 percent.

Examination of the clearance plots (Exhibit K-2) shows the variation of offenses and clearances to be somewhat the same from April 1975 through December 1977. The offenses have been described above in the cleared by arrest analysis.

Examination of the ratios show that the trend is consistent. The trend from the periods being analyzed is about 23%

#### C. BURGLARY

Examination of the cleared by arrest plots (Exhibit K-3) shows that offenses consistently increase from April 1975 through December 1976. The offense trend for the period prior to the beginning of the grant period is higher than the previous time frame being examined.

The arrest trend for the two periods can be considered stable. Two extremes of approximately the same magnitude do exist for December 1975 and May 1976. The decrease in December 1975 and the increase in May 1976 offset each other.

Examination of the ratios from April 1975 through September 1976 shows a trend of approximately 11% and 10% from October 1976 through December 1977. The ratios for the former period show more variation than the latter period.

Examination of the clearance plots (Exhibit K-4) shows that offenses consistently increase from April 1975 through December 1977. The same offense data was used above to analyze the cleared by arrest plots.

The clearances are linear in perspective with offsetting variations. As before the largest variations are for December 1975 and May 1976.

Examination of the ratio plot is fairly flat. The trend over the period being analyzed is approximately 12%.

#### D. LARCENY

Examination of the cleared by arrest plots (Exhibit K-5) show offenses increasing with large seasonal variations. The trend is consistent.

The trend for arrest is flat for both time periods being examined. The arrest trend during that part of the MCI program being examined is slightly higher than the previous period starting from April 1975.

Examination of the ratio trends during the two time periods show both to be fairly similar. The earlier period ratio is approximately 9% and the latter period about 10%.

Examination of the clearance plots (Exhibit K-6) show offenses also to be affected by seasonal variations. This has been described above in the cleared by arrest plots analysis.

Clearances when examined show variations that are similar to the offenses and increase proportionately.

Examination of the ratios show a steady trend line because the clearances and offenses increase at approximately the same rate. Ratios are consistent at about 24% for both time periods.

EXHIBITS K-1 - K-6

- K-1 Robbery, Arrest, Offense & Ratio Time Series Plots
- K-2 Robbery Clearances, Offenses & Ratio Time Series Plots
- K-3 Burglary, Arrest, Offense & Ratio Time Series Plots
- K-4 Burglary Clearances, Offenses & Ratio Time Series Plots
- K-5 Larceny, Arrest, Offense & Ratio Time Series Plots
- K-6 Larceny, Clearances, Offenses & Ratio Time Series Plots

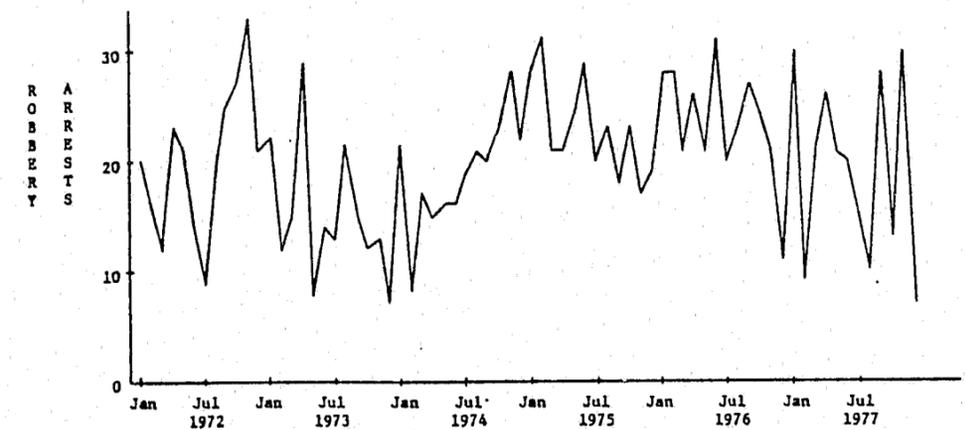
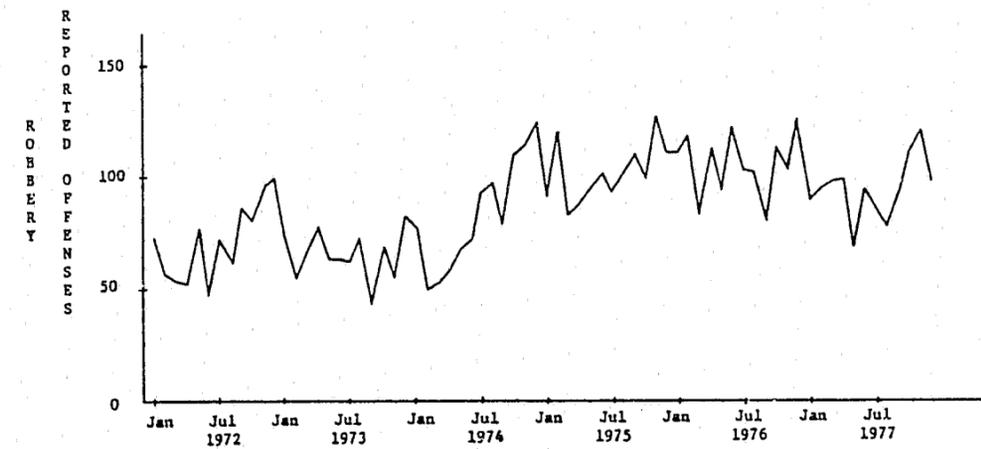
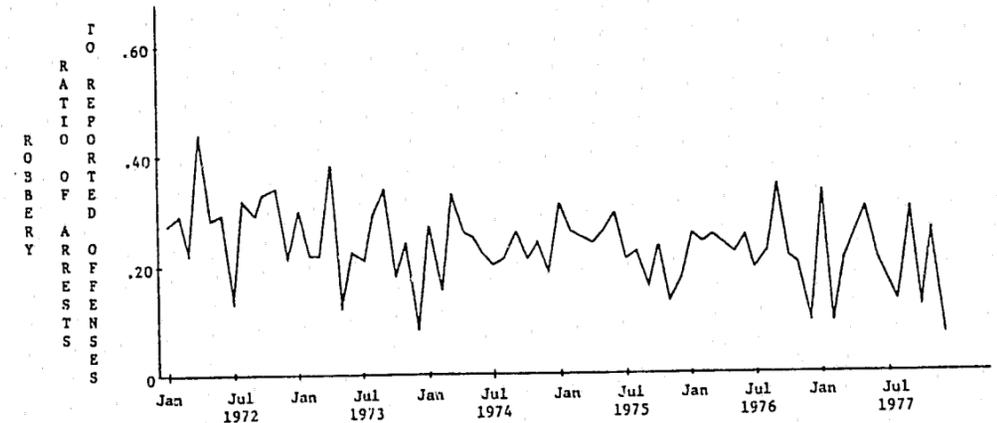


Exhibit K-1: Robbery, Arrest, Offense & Ratio Time Series Plots

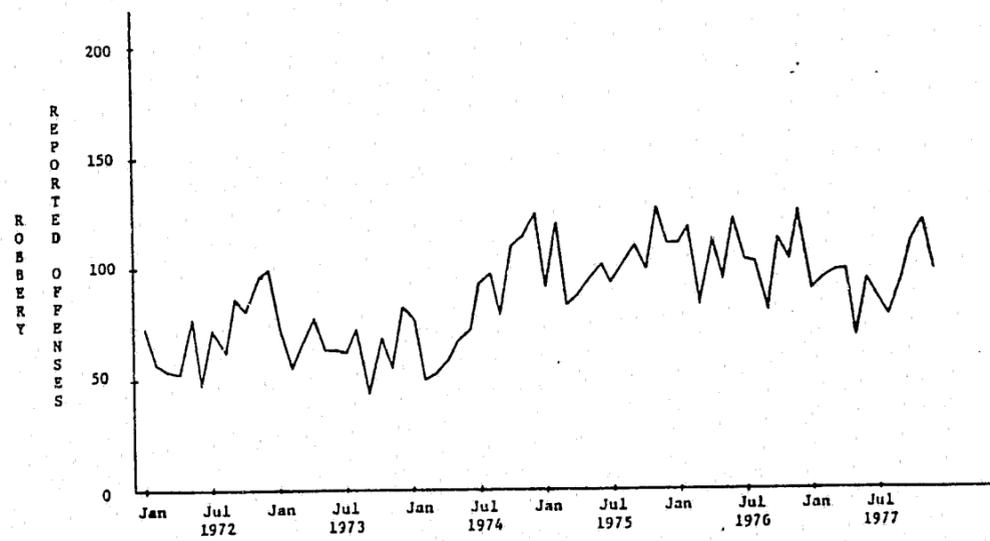
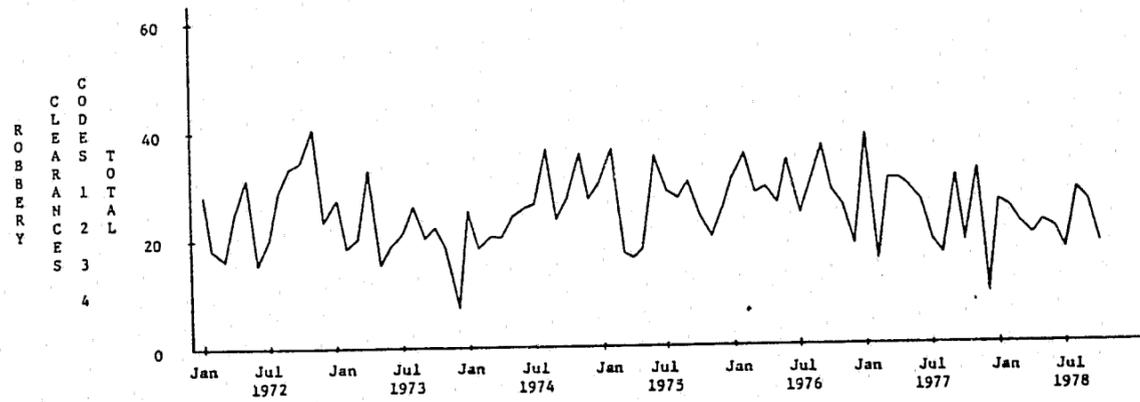
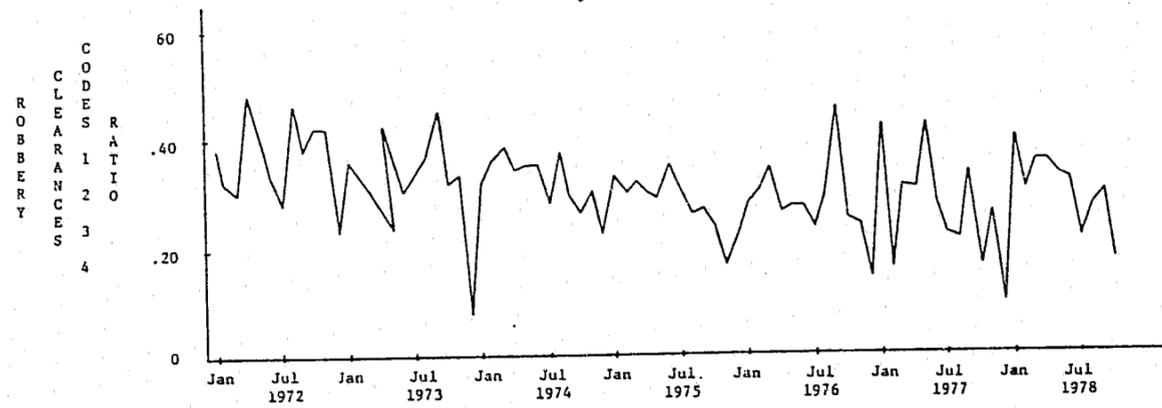


Exhibit K-2: Robbery Clearances, Offenses & Ratio Time Series Plots

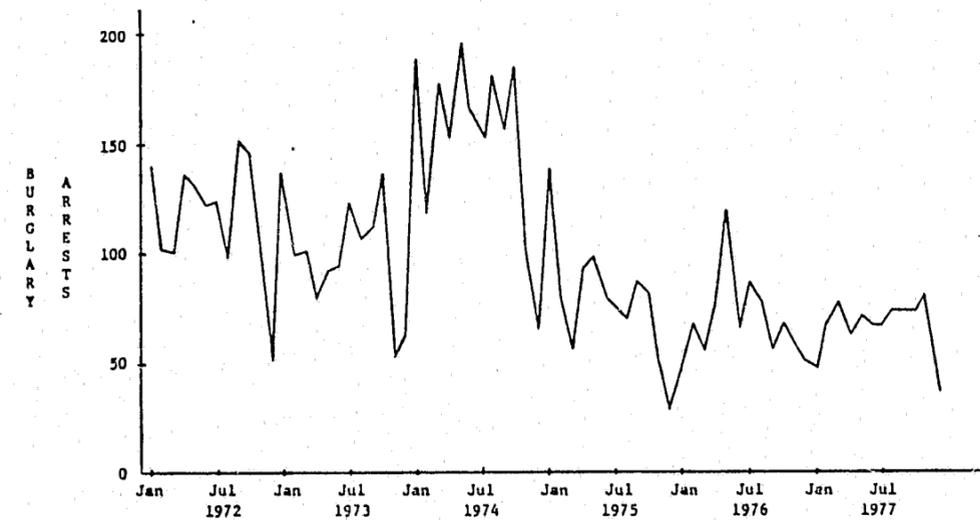
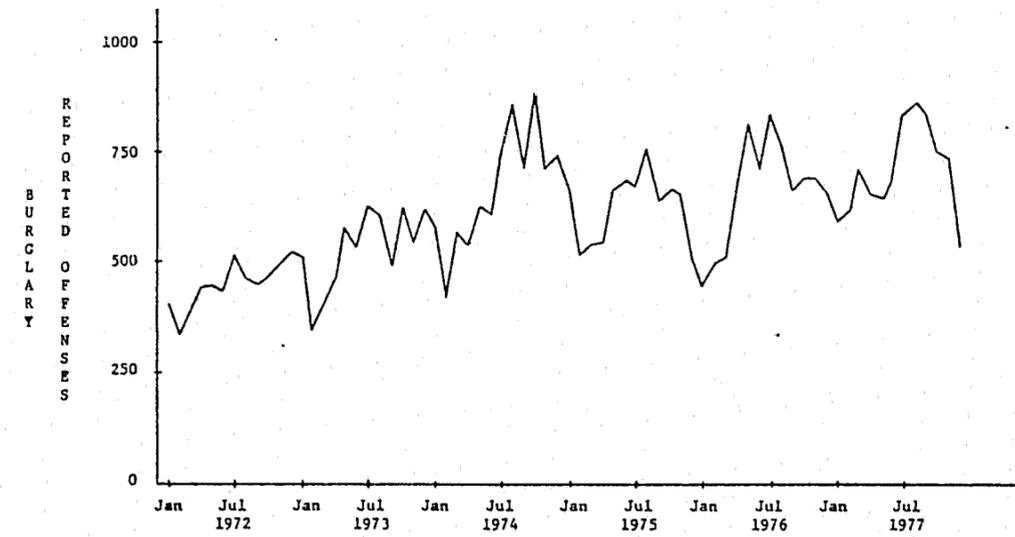
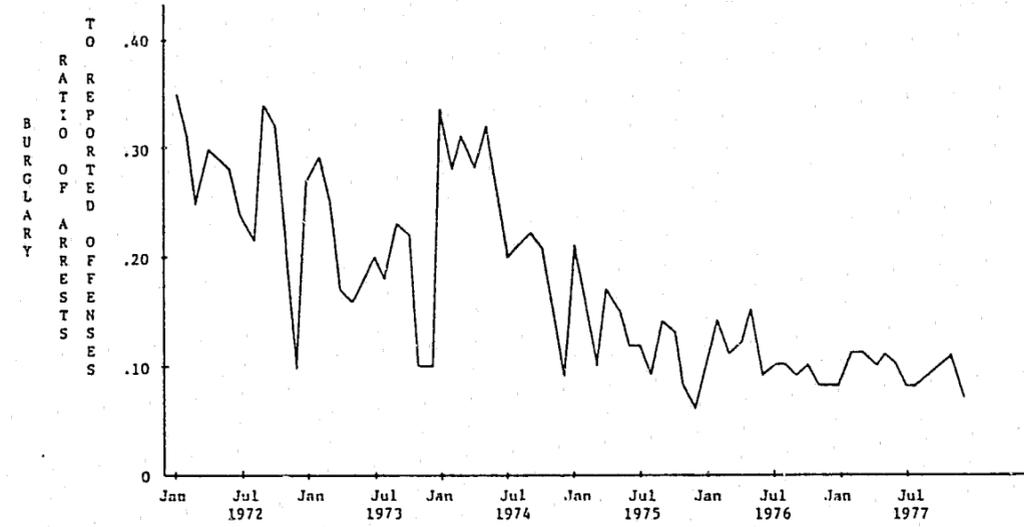


Exhibit K-3: Burglary, Arrest, Offense & Ratio Time Series Plots

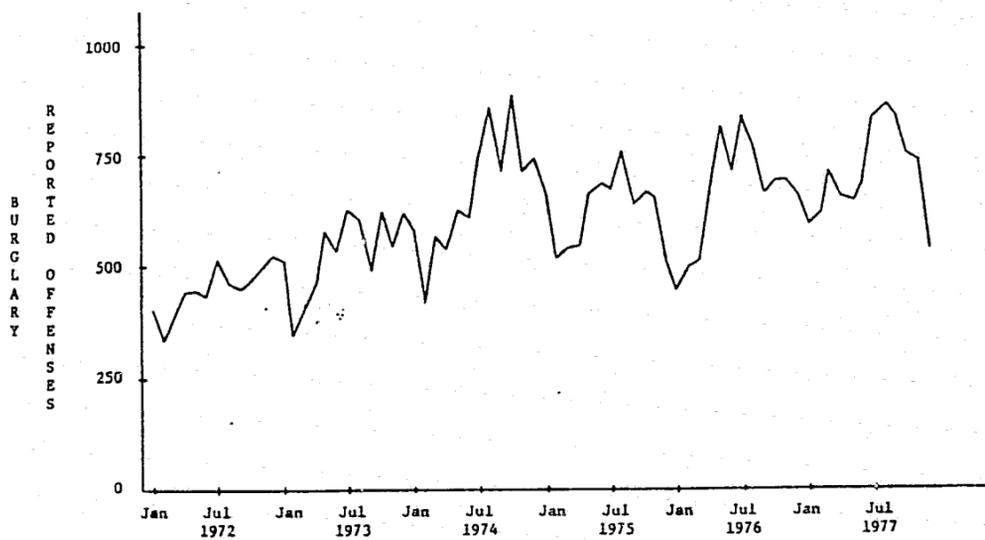
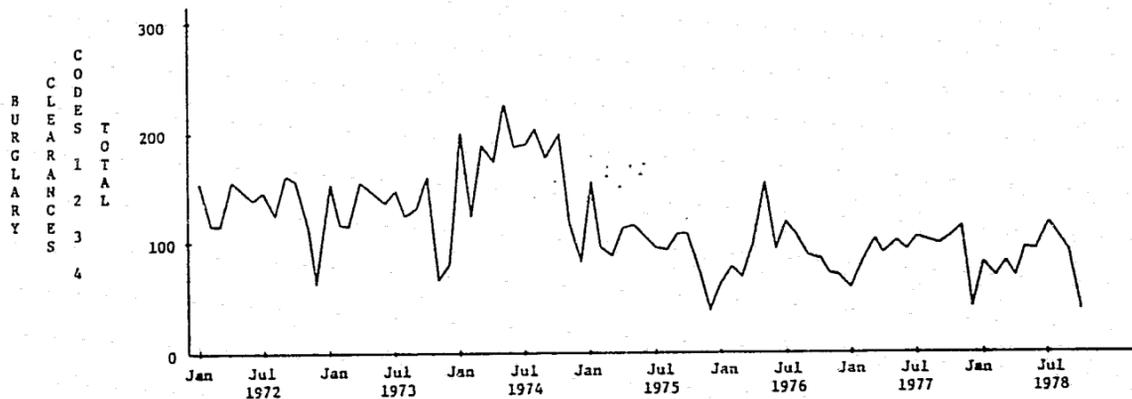
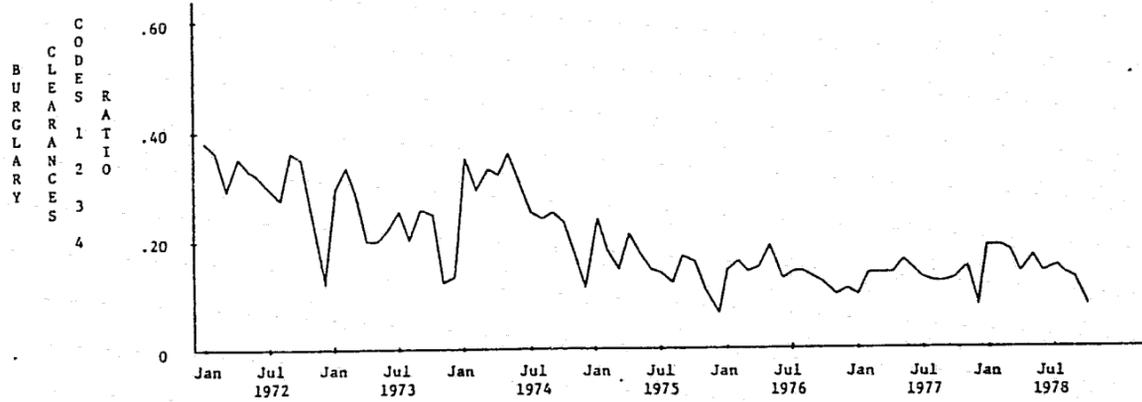


Exhibit K-4: Burglary Clearances, Offenses & Ratio Time Series Plots

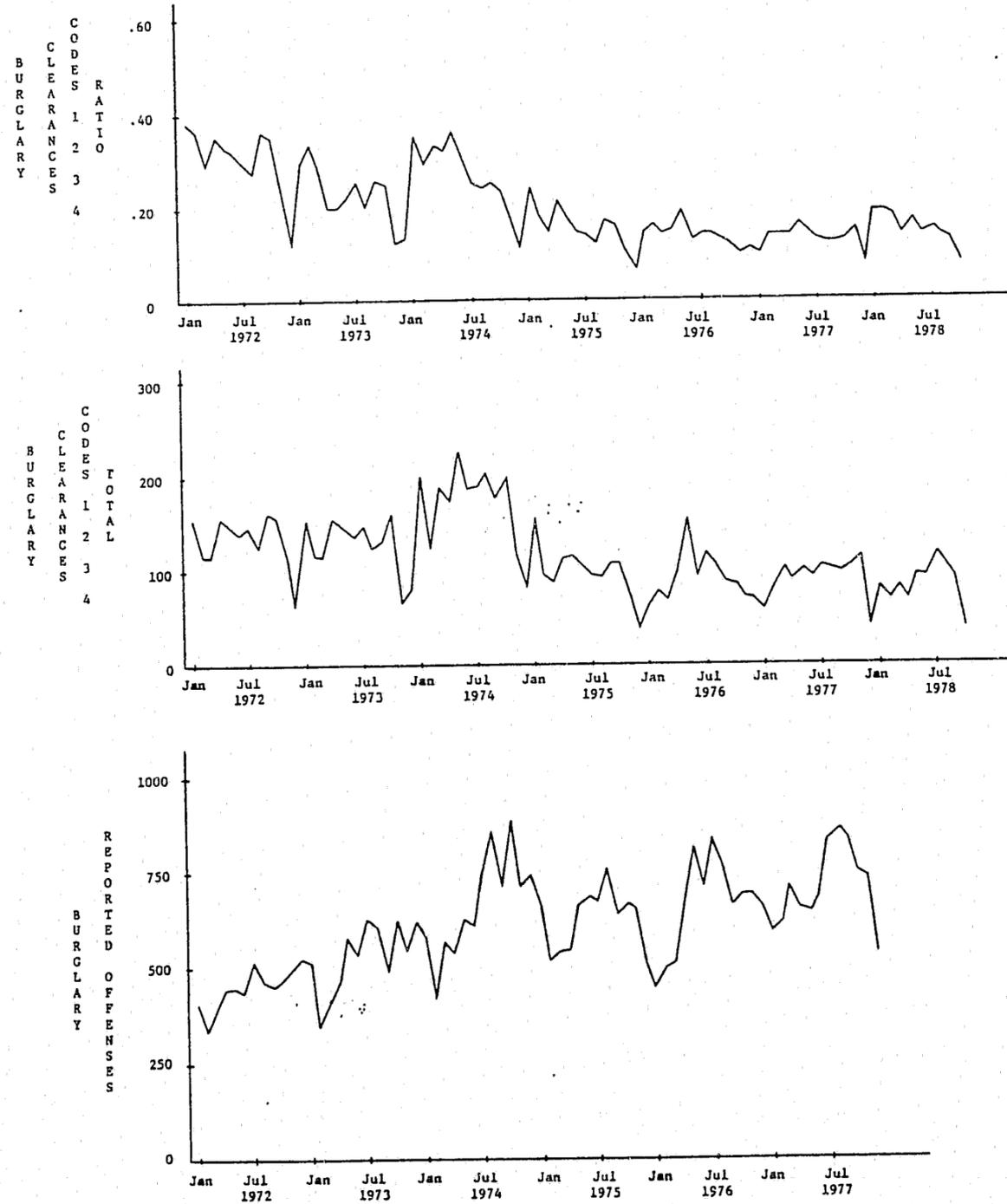


Exhibit K-4: Burglary Clearances, Offenses & Ratio Time Series Plots

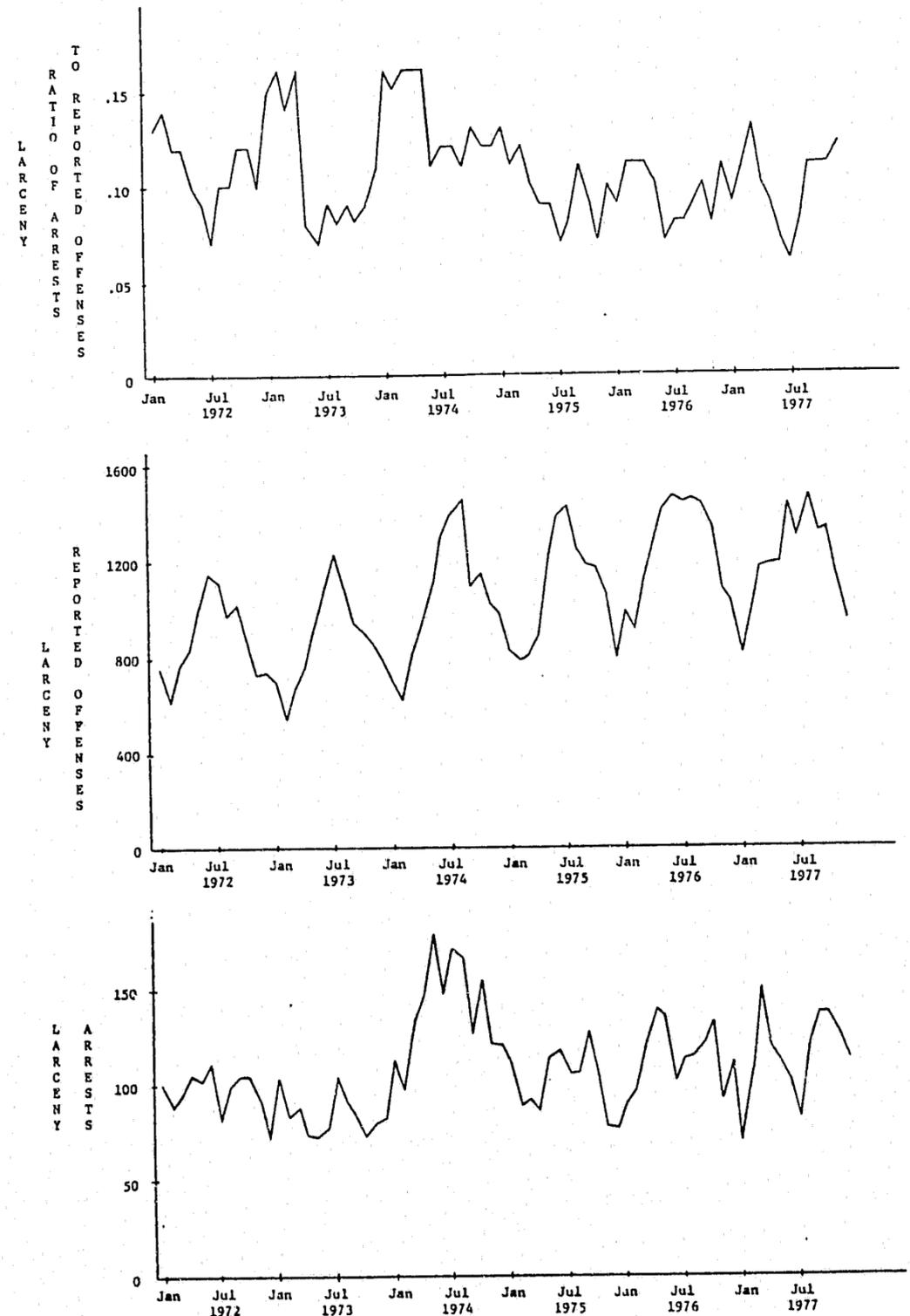


Exhibit K-5: Larceny, Arrest, Offense & Ratio Time Series Plots

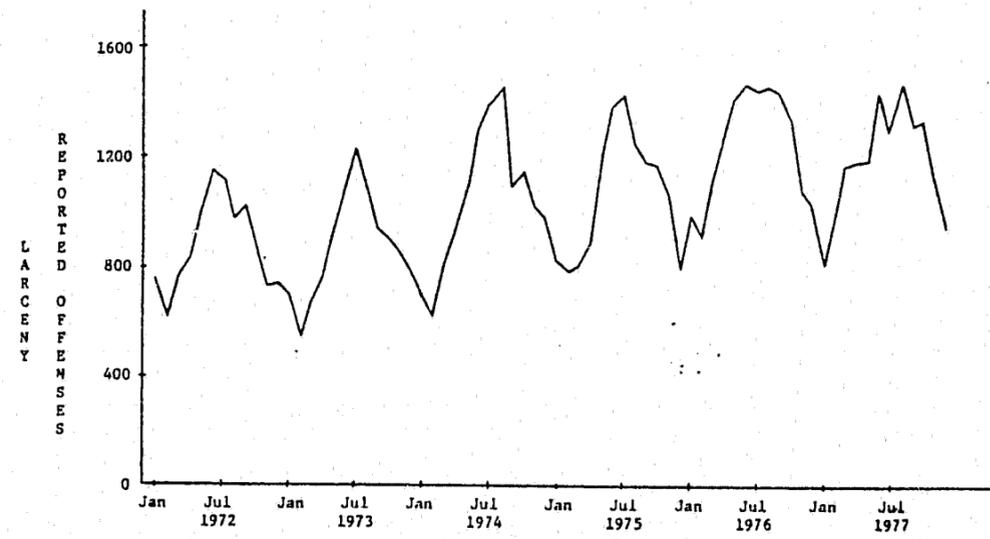
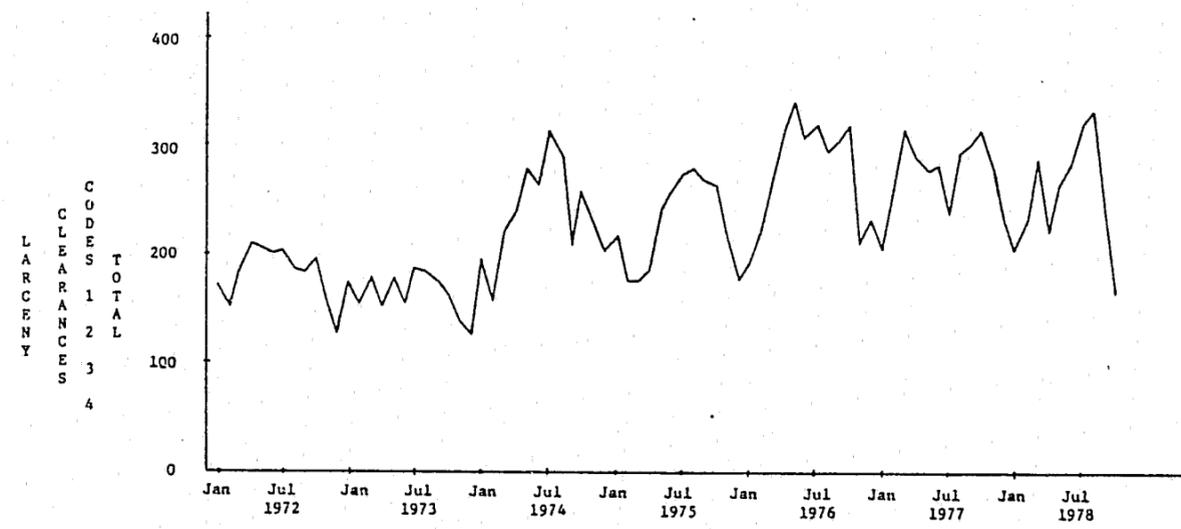
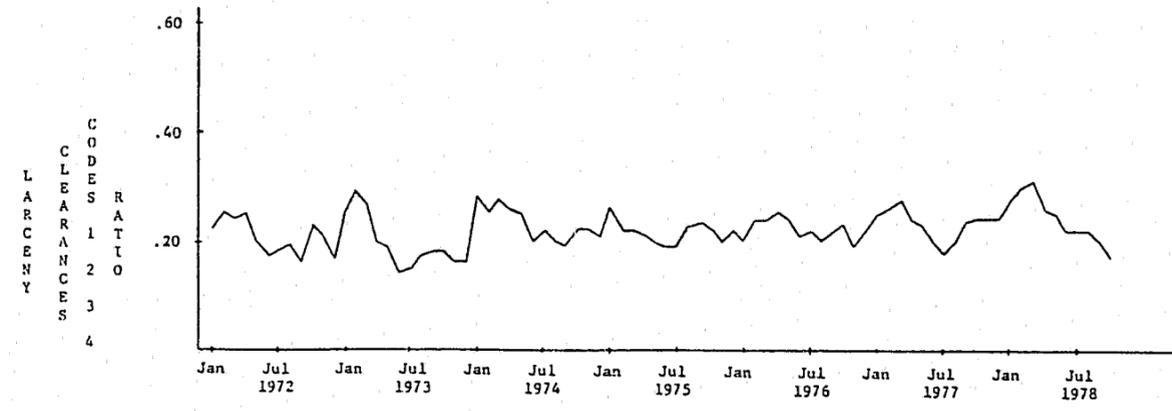


Exhibit K-6: Larceny Clearances, Offenses & Ratio Time Series Plots

**END**