

Program Evaluation and Justification Review

Florida Department of Law Enforcement

June 1998

Office of Program Policy Analysis and Government Accountability

Report No. 97-76

OPPAGA Mission Statement

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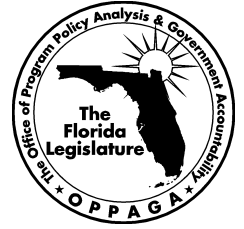
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The Florida Legislature

OFFICE OF PROGRAM POLICY ANALYSIS AND GOVERNMENT ACCOUNTABILITY



John W. Turcotte, Director

June 1998

The President of the Senate,
the Speaker of the House of Representatives,
and the Legislative Auditing Committee

I have directed that a program evaluation and justification review be made of the Florida Department of Law Enforcement. The results of this review are presented to you in this report. This review was made as a part of a series of justification reviews to be conducted by OPPAGA under the Government Performance and Accountability Act of 1994. This review was conducted by Frank Alvarez, Kathryn Bishop, Louise Cobbe, Ron Draa, Marti Harkness, and Bernadette Leyden under the supervision of Kathy McGuire.

We wish to express our appreciation to the staff of the Florida Department of Law Enforcement for their assistance.

Sincerely

John W. Turcotte
Director

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Program Evaluation and Justification Review of the Florida Department of Law Enforcement

Scope

OPPAGA is required to complete a Program Evaluation and Justification Review of each state agency program during the second year it operates under a performance-based program budget. This report presents the conclusions of our review of three programs in the Florida Department of Law Enforcement (FDLE) and identifies alternatives for improving program performance.

Background

FDLE provides assistance to over 500 federal, state, and local criminal justice agencies.¹ FDLE services are provided by three programs.

The **Investigations and Forensic Science Program** provides investigative assistance to other state and local agencies that need additional staff or special equipment to conduct an investigation. Program staff also investigate crimes that are multi-jurisdictional in nature, such as financial fraud. The program also provides laboratory services to state and local agencies for crime evidence analysis and provides protective services to officials such as the Governor.

The **Information Program** maintains a statewide communication system and networked databases that allow criminal justice agencies to access and share criminal history information. The program also provides criminal history record checks to agencies, businesses, and private citizens to ensure that individuals they hire are not convicted criminals.

The **Professionalism Program** regulates the criminal justice profession by overseeing the training, certification, and disciplining of criminal justice officers. Program staff develop curricula for criminal justice training, administer certification exams, certify officers, and discipline officers that violate standards of conduct.

¹ This figure include the state's 67 sheriff's departments and a number of local police departments.

Conclusions

FDLE is the appropriate agency to provide statewide coordination of criminal justice activities. FDLE has used the performance-based budgeting process as an opportunity to increase accountability by restructuring its operations and delivery of program services. Over the past three years, FDLE has developed strategies to address emerging crime problems and enhance the law enforcement community's access to new information technology. The Department has also increased productivity in several areas. For example, with a 1% increase in the number of full-time staff, FDLE has worked an average of 19% more investigative cases per month in Fiscal Year 1997-98 than in the previous fiscal year. Demand for FDLE services continues to increase. As a result, even with increased productivity, staff are unable to meet the demand for some services in a timely manner.

FDLE must decide which of its activities are most critical to public safety and shift existing resources to improve performance in these areas. To do this, FDLE should discontinue services that provide limited return on the resources invested. For example, by discontinuing training school compliance audits, FDLE could redirect the positions to critical areas that require additional resources, such as implementation of AFIS Livescan and updating criminal history records. Another way to identify essential and non-essential services is to use feedback FDLE gets from its survey of the law enforcement community about which FDLE services they did and did not use. Resources freed from nonessential services could be redirected to improve performance in critical areas. Under performance-based program budgeting, FDLE has the spending flexibility to shift resources as needed.

Recommendations

Table 1 summarizes our recommendations to improve program performance.

Table 1
OPPAGA Recommendations for Program Enhancements

Program	OPPAGA Recommendations
Investigations and Forensic Science	<ul style="list-style-type: none"> • Identify best practices that could be shared among the state's crime laboratories to improve efficiency and timeliness and reduce costs. • Data on timeliness, staffing, and unit costs indicate that the Key West crime laboratory should be closed. Shifting the work to another crime laboratory would save the state \$150,000 to \$397,000 annually and would also improve the timeliness of laboratory analyses for Monroe County law enforcement agencies. • Explore whether other forms of redistributing workload or staff, including privatization, are viable. • Establish staffing standards for matching investigative resources to workload throughout the regions. Resource allocation should reflect agency priorities so as to meet the most critical demands first. • Evaluate special activities, such as Investigative Support Centers and DARE to determine whether they are efficient and provide significant public safety benefit.
Information	<ul style="list-style-type: none"> • Expedite the implementation of AFIS Livescan by developing a formal process to assess customers' technological readiness and track the status of implementation. Such a process would allow staff to identify implementation issues earlier and work more closely with local agencies to address these problems. • Direct resources to the Information Program to improve the current data entry process and reduce the backlog of disposition and arrest data. The department should consider shifting resources from less essential FDLE services to the Information Program. The department should also continue to use federal funds to employ a 3:30 p.m. to 12:00 midnight shift of temporary staff to process dispositions. The department should seek additional federal funding to employ temporary staff or contract with a vendor to eliminate the backlog for entering arrest data.
Professionalism	<ul style="list-style-type: none"> • Improve the usefulness of the officer information system by ensuring data quality. Because hundreds of law enforcement agencies will be entering data in the new system, FDLE should develop procedures and guidelines to ensure agencies enter data that are accurate, complete, and timely. As system manager, FDLE should develop audit procedures and establish a schedule to periodically audit agency data entry practices. • Discontinue routine monitoring of training school classes and audits of local agency new hire personnel records. This would enable the department to reduce costs by \$230,000 or to shift these resources to conduct activities within higher public safety impact. • Amend s. 943.13(4), F.S., to expedite the revocation process by requiring officers who are convicted of felonies or misdemeanors involving perjury to automatically relinquish their certifications at the time of conviction rather than go through additional administrative due process. These officers would then be prohibited from being employed in law enforcement about six months sooner, and FDLE staff could more efficiently process other cases.

Agency Response

The Commissioner of the Florida Department of Law Enforcement concurred with much of the report. He shared with OPPAGA staff several areas of the report with which the department was not in total agreement. The Commissioner's entire written response is included in Appendix G, page 75.

Chapter 1: Introduction

Purpose

This report presents the conclusions of our Program Evaluation and Justification Review of the Florida Department of Law Enforcement (FDLE). Three FDLE programs began operating under performance-based program budgets in Fiscal Year 1996-97. Chapter 94-249, Laws of Florida, directs OPPAGA to conduct justification reviews of each program during its second year of operating under a performance-based program budget. Justification reviews assess agency performance measures and standards, evaluate program performance, and identify policy alternatives for improving services and reducing costs. In February 1998 we published a report for each of the three programs describing FDLE performance measures, standards, and preliminary indicators of performance.¹ This report focuses on the department's use of resources and identifies significant accomplishments and opportunities for improving performance.

Background

FDLE's primary mission is to help solve and prevent crime in Florida. As authorized by s. 943.03, F.S., the department provides assistance to over 500 federal, state, and local criminal justice agencies.² FDLE services are provided by three programs.

- **Investigations and Forensic Science Program**

This program provides investigative assistance to other state and local agencies that need additional staff or special equipment to conduct an investigation. Program staff also investigate crimes that are multi-jurisdictional in nature, such as financial fraud and drug trafficking. The program also provides laboratory services to state and local agencies for crime evidence analysis. In addition, staff provide protective services to officials such as the Governor.

¹ See OPPAGA Reports Nos. 97-40 through 97-42, appearing as Appendices D, E, and F.

² This figure include the state's 67 sheriff's departments and a number of local police departments.

- **Information Program**

This program provides criminal justice information to law enforcement agencies to prevent crime, solve cases, recover property, and identify and apprehend criminals. The program maintains a statewide communication system and networked databases that allow criminal justice agencies to access criminal justice records. The program also provides criminal history checks to agencies, businesses, and private citizens to ensure that individuals they hire are not convicted criminals.

- **Professionalism Program**

This program regulates the criminal justice profession by overseeing the training, certification, and disciplining of criminal justice officers. Program staff develop curricula for criminal justice training, administer certification exams, certify officers, and discipline officers that violate standards of conduct.

The programs are funded by general revenue and trust funds. As shown in Exhibit 1, the Legislature appropriates the majority of funding and staff to the Investigations and Forensic Science Program. FDLE's total appropriation for Fiscal Year 1998-99 is \$142.5 million.³

Exhibit 1
The Investigations and Forensic Science Program
Is FDLE's Largest Program

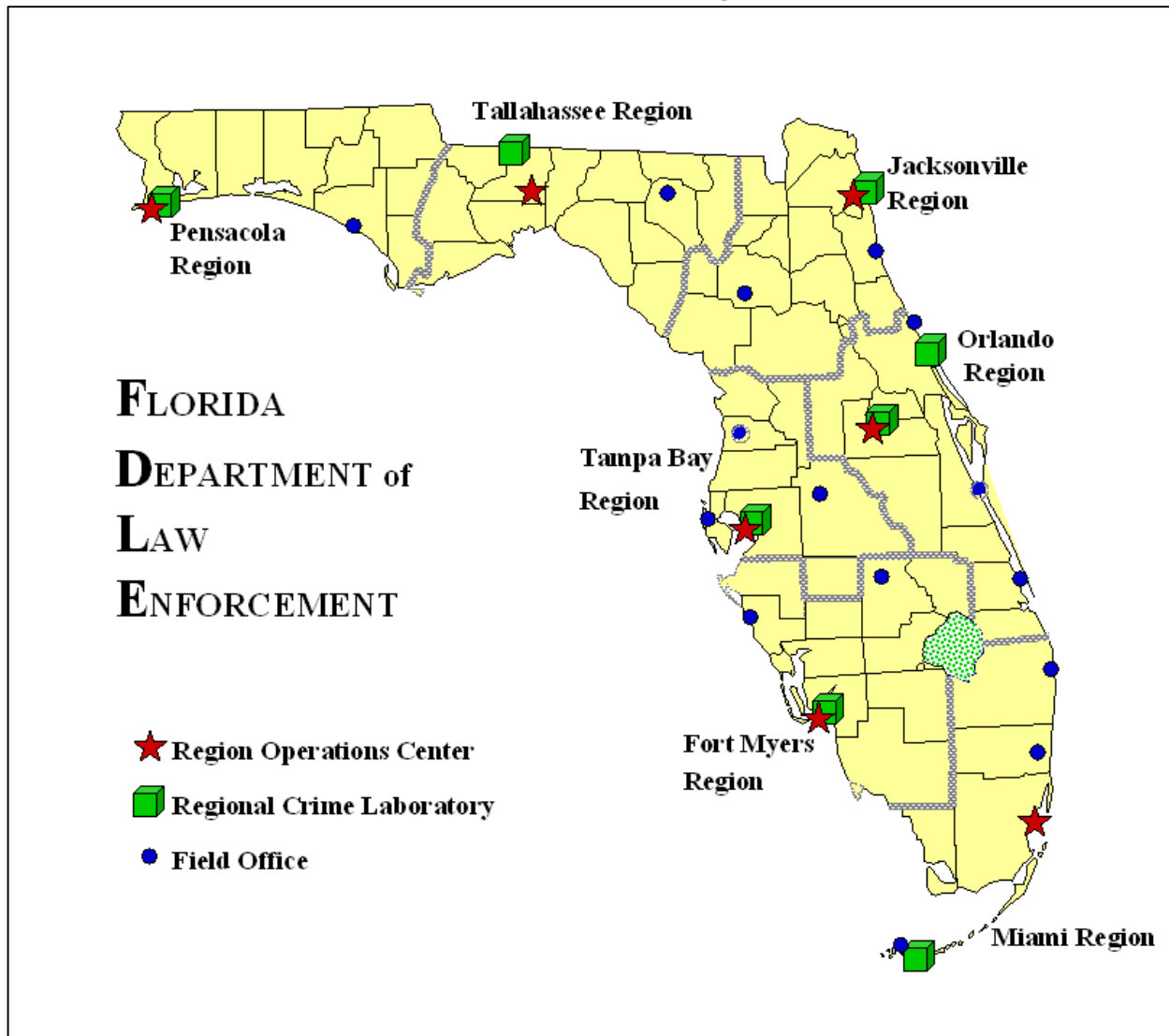
Program	Investigations and Forensic Science	Information	Professionalism
FY 1996-97			
Staff	938	362	98
Funding	\$68.5 million	\$29.7 million	\$10.1 million
FY 1997-98			
Staff	945	359	101
Funding	\$74.6 million	\$39.0 million	\$11.1 million
FY 1998-99			
Staff	962	388	101
Funding	\$76.8 million	\$39.7 million	\$16.3 million

Source: General Appropriations Acts for Fiscal Years 1996-97, 1997-98, and 1998-99

³ This figure includes \$9.7 million appropriated to the Office of Executive Director. It does not include the pay increase that will occur January 1, 1999..

All three programs operate statewide. The Investigations and Forensic Science Program staff are located throughout seven geographical regions. Staff operate from seven regional operations centers, 15 field offices, and eight crime laboratories. (See Exhibit 2 for map and see Appendix B for a list of locations.) The Information Program and the Professionalism Program are based in Tallahassee with some staff located in the regions.

Exhibit 2
FDLE Services Are Provided Throughout the State



Source: Florida Department of Law Enforcement

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Chapter 2: General Conclusions and Recommendations

FDLE Is the Appropriate Agency to Provide Statewide Coordination of Criminal Justice Activities

Through its Investigations and Forensic Sciences, Information, and Professionalism Programs, FDLE helps local law enforcement agencies solve crimes by coordinating and assisting criminal investigations, analyzing and interpreting crime scene evidence, and maintaining and managing a central repository of criminal justice data. In addition, FDLE regulates standards for professional conduct and competency for the state's criminal justice officers. FDLE is the appropriate agency to provide statewide coordination of these criminal justice activities.

FDLE has used the performance-based budgeting process as an opportunity to increase accountability by restructuring its operations and delivery of program services. FDLE reorganized the department's divisions to correspond with its performance-based budgeting programs, restructured the chain of command to provide more accountability at the regional level, and established a performance-based budgeting unit to oversee the development of performance measures.

Over the past three years, FDLE has developed strategies to address emerging crime problems and enhance the law enforcement community's access to new information technology. For example, the department is establishing a Computer Crime Center to assist local law enforcement agencies in solving computer crimes. In addition, FDLE has undertaken a significant effort to upgrade its information systems in response to a rapidly changing technological environment. One illustration of this effort is Automated Fingerprint Identification System (AFIS) Livescan, which anticipates the shift to paperless criminal record processing. Livescan replaces the traditional method of ink rolling fingerprints by electronically scanning and immediately transmitting fingerprint images to the FDLE criminal history database.

FDLE Has Increased Productivity in Several Areas

FDLE has increased productivity in several areas. With a 1% increase in the number of full-time staff, FDLE has worked an average of 19% more investigative cases per month in Fiscal Year 1997-98 than in the previous fiscal year. With no additional staff, the Information Program has significantly increased outputs in all three of its service areas.

Because FDLE is a service agency, customer satisfaction with FDLE services is an important measure of program performance. More than 90% of criminal justice agencies responding to an FDLE survey in March 1996 rated the overall quality of program services to be high. This customer satisfaction and several other factors have led to an increase in demand for FDLE services.

Demand for FDLE services is driven primarily by law enforcement activities outside the department's direct control, such as the number of local arrests, the number of investigations that cross jurisdictional lines, and the need to discipline law enforcement personnel. In addition, FDLE does not charge for its services, so price provides no disincentive for their use or overuse.

Although demand for FDLE services continues to increase, staff at all levels told us they try to accommodate all requests for assistance. As a result, even with increased productivity, staff are unable to meet demand for some services in a timely manner. For example, approximately one-third of the felony records in FDLE's Computerized Criminal History system are incomplete due to a long-standing backlog of dispositions. In addition, FDLE has been delayed in implementing AFIS Livescan, a technology that will allow positive identification of arrestees at booking if they have criminal records or outstanding warrants. As of May 31, 1998, 17% of arrestee fingerprints were being submitted through AFIS Livescan rather than the department's target of 85%.

**FDLE Must Shift
Resources to Meet
Critical Public Safety
Needs**

FDLE must decide which of its activities are most critical to public safety and shift existing resources to improve performance in these areas. To do this, FDLE should discontinue services that provide limited return on the resources invested. For example, in Chapter 5 we recommend that training school compliance audits be discontinued. These positions should be redirected to critical areas that require additional resources, such as implementation of AFIS Livescan and updating criminal history records. Another way to identify essential and non-essential services is to use feedback FDLE gets from its survey of the law enforcement community about which FDLE services they did and did not use. In a March 1996 statewide survey of local law enforcement agencies, 51% of respondents indicated that they were aware of FDLE polygraph services but did not use them. Such services may not be essential. Resources freed from nonessential services could be redirected to improve performance in critical areas. Under performance-based program budgeting, FDLE has the spending flexibility to shift resources as needed.

Exhibit 3
OPPAGA Recommendations for Program Enhancements

Program	OPPAGA Recommendations
Investigations and Forensic Science	<ul style="list-style-type: none"> • Identify best practices that could be shared among the state's crime laboratories to improve efficiency and timeliness and reduce costs. • Data on timeliness, staffing, and unit costs indicate that the Key West crime laboratory should be closed. Shifting the work to another crime laboratory would save the state \$150,000 to \$397,000 annually and would also improve the timeliness of laboratory analyses for Monroe County law enforcement agencies. • Explore whether other forms of redistributing workload or staff, including privatization, are viable. • Establish staffing standards for matching investigative resources to workload throughout the regions. Resource allocation should reflect agency priorities so as to meet the most critical demands first. • Evaluate special activities, such as Investigative Support Centers and DARE to determine whether they are efficient and provide significant public safety benefit.
Information	<ul style="list-style-type: none"> • Expedite the implementation of AFIS Livescan by developing a formal process to assess customers' technological readiness and track the status of implementation. Such a process would allow staff to identify implementation issues earlier and work more closely with local agencies to address these problems. • Direct resources to the Information Program to improve the current data entry process and reduce the backlog of disposition and arrest data. The department should consider shifting resources from less essential FDLE services to the Information Program. The department should also continue to use federal funds to employ a 3:30 p.m. to 12:00 midnight shift of temporary staff to process dispositions. The department should seek additional federal funding to employ temporary staff or contract with a vendor to eliminate the backlog for entering arrest data.
Professionalism	<ul style="list-style-type: none"> • Improve the usefulness of the officer information system by ensuring data quality. Because hundreds of law enforcement agencies will be entering data in the new system, FDLE should develop procedures and guidelines to ensure agencies enter data that are accurate, complete, and timely. As system manager, FDLE should develop audit procedures and establish a schedule to periodically audit agency data entry practices. • Discontinue routine monitoring of training school classes and audits of local agency new hire personnel records. This would enable the department to reduce costs by \$230,000 or to shift these resources to conduct activities within higher public safety impact. • Amend s. 943.13(4), F.S., to expedite the revocation process by requiring officers who are convicted of felonies or misdemeanors involving perjury to automatically relinquish their certifications at the time of conviction rather than go through additional administrative due process. These officers would then be prohibited from being employed in law enforcement about six months sooner, and FDLE staff could more efficiently process other cases.

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Chapter 3: Investigations and Forensic Science Program

Introduction

The purpose of the Investigations and Forensic Science Program is to increase public safety and security. The program provides advanced technical, forensic, and investigative services to prevent, investigate, and solve crime through three major functions.

Service Area	Estimated Fiscal Year 1997-98 Expenditures	Activity
Investigative and Support Services	\$41 million	<ul style="list-style-type: none"> • conduct independent investigations and coordinate multi-jurisdictional and special criminal investigations with local, state, and federal authorities in the areas of violent crime, economic crime, major drug crime, and public integrity • provide specialized investigative assistance to local law enforcement agencies, such as investigative consultation and criminal profiling • coordinate special investigative programs and activities such as the Serious Habitual Offender Comprehensive Action Program
Laboratory Services	\$31 million	<ul style="list-style-type: none"> • maintain a statewide crime laboratory to provide timely, expert, and professional examination of evidence through drug analysis, toxicology, serology, firearms, latent prints, documents, DNA, microanalysis, crime scene processing, and computer evidence recovery • provide testimony in courts of law
Preventative Services	\$3 million	<ul style="list-style-type: none"> • protect the Governor, his family, and visiting dignitaries • provide background investigations for the Governor, Cabinet, Senate, and several state agencies • coordinate emergency responses during natural disasters, riots, and immigration emergencies

Source: Compiled by OPPAGA from Exhibit D-2 in FDLE's 1998-99 Legislative Budget Request.

Program Resources

In Fiscal Year 1997-98, the Legislature appropriated the program 945 positions and \$74.6 million. Approximately 54% of the funds are directed to Investigative and Support Services. This program is primarily funded through general revenue funds.

Need for the Investigations and Forensic Science Program

Investigative and Forensic Science Program services are needed at the state level because not all local law enforcement agencies have the jurisdiction, expertise, or resources to investigate and solve certain crimes. The state needs a law enforcement agency that can initiate criminal investigations to address crimes that are multi-jurisdictional, multi-victim, long-term, or focus on large criminal organizations. The state also needs a law enforcement agency that can coordinate law enforcement efforts during state emergencies and provide protection to the Governor and other dignitaries. Finally, the state must ensure that all state and local law enforcement agencies have the ability to have criminal evidence analyzed in a proper laboratory environment.

As the statewide law enforcement agency, FDLE is the appropriate agency to meet these needs. FDLE responds to the variety of needs throughout the state. It provides expertise and staff to assist small law enforcement agencies and also responds to the needs of more populated areas by establishing task forces to coordinate multiple-agency efforts. Furthermore, FDLE maintains eight laboratories across the state that are accredited by the American Society of Crime Laboratory Directors.⁴ Accredited laboratory services assure that evidence will not be contaminated, it will be analyzed properly, and the analysis will stand up in court.

Program Performance

During Fiscal Year 1996-97, the Investigations and Forensic Science Program exceeded the standards set for all 13 performance measures. As noted in our earlier report, *Review of the Performance of the Florida Department of Law Enforcement's Investigations and Forensic Science Program*, February 1998, program efficiency may be improving as the workload increased significantly over the previous three years while staff increased by 10% (see Appendix D). The program has developed strategies to improve the allocation of staff and other resources. Over the first three quarters of Fiscal Year 1997-98, although workload continued to increase, the program surpassed or is on target to surpass a majority of its performance standards for the current year.

Program performance should be improved in three ways. To improve program efficiency, program staff should reassess the allocation of laboratory work and resources and develop staffing standards for matching resources to workload. Staff should also

⁴ Broward, Dade, Indian River, Palm Beach, and Pinellas counties also operate crime laboratories, but fund their own laboratories.

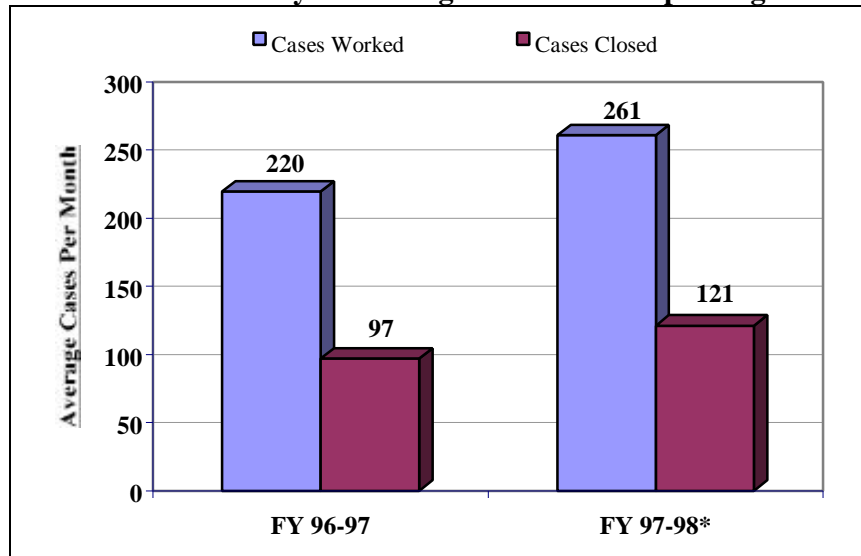
evaluate the effectiveness of special activities such as Drug Abuse Resistance Education. The program's accomplishments and options for improvement are described in more detail below.

Accomplishments

Program Workload Has Increased While the Number of Staff Remained Constant

The average monthly number of cases and laboratory requests worked has steadily increased, while the full-time program staff has increased by 1%. In Fiscal Year 1996-97, FDLE worked 2,636 investigative cases. As shown in Exhibit 4, the productivity of investigative staff has improved. In the first three quarters of Fiscal Year 1997-98, the average number of cases worked per month increased 19% over the prior fiscal year's monthly average, and the average number of cases closed increased by 25%. In the first three quarters of the year, FDLE surpassed its standard for the entire year for cases worked and cases closed.

Exhibit 4
Productivity of Investigative Staff Is Improving



*Fiscal Year 1997-98 through March 31, 1998
Source: OPPAGA analysis of FDLE data

In Fiscal Year 1996-97, FDLE completed 68,551 service requests in the crime laboratories. Performance data demonstrate a consistent increase in the number of cases analyzed each month in the crime laboratories. In Fiscal Year 1996-97 and the first three quarters of Fiscal Year 1997-98, the crime laboratories averaged approximately 500 more lab requests completed per month than in Fiscal Year 1995-96.

As the demand for services continues to increase, the program has developed strategies to enhance the program's ability to provide

quality services in an efficient manner. The investigative and forensic strategies are designed to allocate program resources. The investigative strategy specifies that FDLE agents work cases that require the jurisdiction, expertise, or technical resources of a statewide law enforcement agency. These minimum case criteria focus program resources on cases in which they can make an impact. The forensic strategy ensures that each of the eight FDLE crime laboratories provides an adequate level of service. For example, as a result of staff applying this strategy to review their operations, positions will be reallocated from Tampa to Fort Myers to provide firearm and serology analyses.

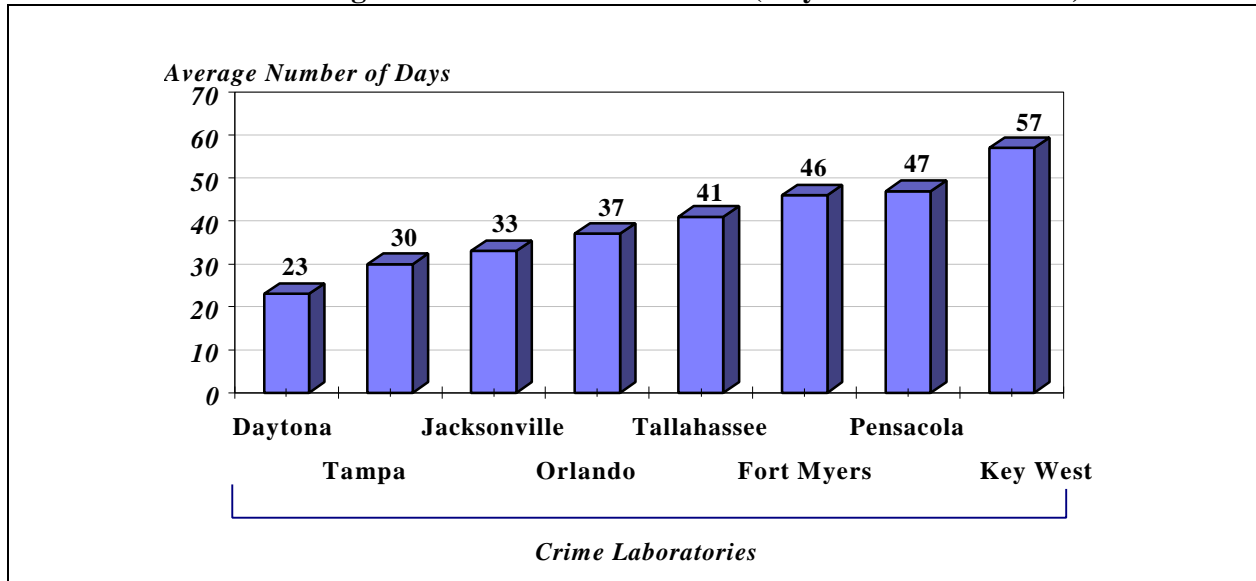
Options for Improvement

To Improve Performance in the Crime Laboratories, Program Staff Should Share Best Practices, Consider Consolidation, and Evaluate Privatization

From both state and local perspectives, improvements are needed in the performance of crime laboratories. A consistent concern for local law enforcement agencies is that the laboratories are not timely in analyzing crime evidence submissions. From a state perspective, efficiency and cost are also important elements of performance. Data indicate that laboratory staff should share best practices to increase overall timeliness. Also, to increase efficiency and reduce costs, some consolidation of laboratory services appears warranted, and further study of privatization is needed.

While the laboratories as a group are meeting performance standards, five of FDLE's eight crime laboratories individually did not meet the performance standard of a 35-day turn-around time for lab analyses (excluding serology and DNA) in the first three quarters of Fiscal Year 1997-98. The average number of days to complete these analyses ranged from 23 days in Daytona to 57 days in Key West (see Exhibit 5). The identification of best practices in the more efficient crime laboratories should be shared among all the state's crime laboratories to improve the timeliness in each.

Exhibit 5
The Average Number of Days to Analyze Evidence (Excluding Serology and DNA)
Varies Among FDLE's Crime Laboratories (July 1997 - March 1998)



Source: FDLE

The timeliness data, when coupled with unit costs and staffing standards, indicates that consolidation of some laboratory services would improve program operation. As discussed above, the Key West laboratory has the longest turn-around time for analyzing evidence. It also does less work and at a higher cost than the other seven state laboratories.⁵ Based on a review of FDLE unit cost data, the cost to analyze evidence at the Key West crime laboratory appears to be substantially higher than the costs in other crime laboratories. For example, from July 1, 1997, to January 31, 1998, the Key West crime laboratory analyzed 451 requests at an average cost of \$425 per request. In contrast, during the same period, the Fort Myers crime laboratory analyzed 2,552 requests at an average cost of \$181 per request.

Inefficiencies and high costs indicate that closing the Key West crime laboratory appears warranted. The closing of the Key West laboratory would eliminate state fixed costs such as overhead and operating costs, estimated at \$150,000 in Fiscal Year 1998-99. Because of staff surpluses in other lab disciplines, the four positions, which cost approximately \$245,000 per year, could also be eliminated or redirected to other high priority work. From July 1, 1997, to January 31, 1998, the laboratory responded to 11 requests for crime scene analysis. Local law enforcement could be

⁵ At the request of Monroe County, the Key West crime laboratory became part of the state system in 1994 when the sheriff's department could no longer afford to operate it.

trained to conduct crime scene processing. The variable costs of analyzing the evidence would shift to another state crime laboratory. When deciding where to shift the workload, FDLE should weigh available staff, timeliness, and costs of the other crime laboratories. For example, FDLE analysis indicates that there are sufficient latent and chemistry staff at Fort Myers, the closest crime laboratory, to handle the extra requests from Key West; however, the Fort Myers laboratory is less timely than the crime laboratory in Tampa. On the other hand, the Tampa laboratory's analysis costs are higher than Fort Myers laboratory's costs. Although the total cost savings of closing the Key West laboratory cannot be calculated without knowing where FDLE would send the work, eliminating the fixed costs would save the state from \$150,000 to \$397,000 annually and would also improve the timeliness of laboratory analyses for Monroe County law enforcement agencies.

Program staff should also explore whether other forms of redistribution of workload or staff are viable. Currently, laboratories with backlogs send their surplus work to laboratories that do not have backlogs. This type of redistribution of workload makes good use of staff resources. Another option for workload distribution would be to send all evidence, or all requiring a particular kind of analysis, to a single location. The forensic strategy recommended that FDLE could effectively offer document analysis at two locations (reducing the service from the current four locations). Although consolidating document analysis will not reduce the number of staff, it should improve efficiency. However, in response to staff concerns about relocating, FDLE decided not to consolidate the service until the positions become vacant. The program should also assess the redistribution of program staff. For example, it may be possible to limit future costs by implementing work shifts so as to make the best use of space and equipment. The Orlando laboratory is planning to begin a second shift in the 1998-99 fiscal year.

Another option is privatization. Since there is no fee for laboratory services, directing local law enforcement agencies to private laboratories would require a change in their budget allocations. However, FDLE could subcontract for some or all of the work if an appropriate private contractor could do comparable work for the same price or less. For example, due to the low number of requests for microanalysis services (such as analysis of plastics and metals), the program will eliminate the service by July 1, 1998, and refer local law enforcement agencies to the FBI crime laboratory or other crime laboratories. FDLE could continue to identify those types of laboratory analyses that are requested infrequently and have the potential to be eliminated. FDLE could also subcontract

backlog cases. In weighing the merits of privatization, the program should research the availability of these services in the private sector, the accreditation of private laboratories, the quality and timeliness of their work, the chain of custody requirements for evidence, and the private contractors' independence and ability to testify in court. Staff have not yet determined if comparable private laboratory services are available for disciplines besides microanalysis.

FDLE Should Establish Standards for Matching Resources to Workload

The program has not established staffing ratios or standards for matching resources to workload throughout the regions. Without such standards, program staff cannot determine whether resource allocations are appropriate. For example, the criminal profiling program, which currently includes two profilers, is training four additional profilers.⁶ However, program staff have not analyzed requests for profiler assistance to determine how many new profilers are needed and where they should be assigned.

To address staff allocations, the department created a Resource Assessment Board as part of its recent reorganization. While the board has made some staff adjustments, two key steps are needed. First, staff need to identify levels of staffing, including sworn and non-sworn officers, required to handle varying levels of workload. Such standards would distinguish regions and regional operations centers with resource needs from those with surpluses. This methodology should be similar to the forensic strategy, which specifies both the current and appropriate levels of personnel for each laboratory discipline. Staffing information should be included as part of the process for evaluating each region's operational plan. Currently, these plans estimate how resources will be spent for the upcoming fiscal year based on previous years' expenditures.

Second, workload and resources need to be reassessed each year. Resource allocation should reflect agency priorities so as to meet the most critical demands first. For example, the Crimes Against Children Program has seven investigators assigned statewide. According to law enforcement officials, crimes against children constitute an area of growing need throughout the state. A strategic assessment would allow FDLE to direct resources to ensure that the highest priority activities are appropriately staffed.

⁶ Criminal profilers assist law enforcement agencies by identifying behavioral or personality characteristics of unknown criminal offenders based on a detailed analysis of the crimes committed or threats made. Their analyses can help eliminate possible suspects and focus on reasonable targets of a crime.

Special Programs Should Be Periodically Evaluated to Ensure That They Are Efficient and Provide Significant Public Safety Benefit

As a statewide law enforcement agency, FDLE provides assistance to local law enforcement agencies to address common problems. To ensure that these activities provide significant public safety benefit, the programs must be periodically evaluated.

For example, FDLE currently operates two Investigative Support Centers, in the Jacksonville and Miami regions, and is considering adding one in each of the other five regions. FDLE's Inspector General released a preliminary audit report on the Northeast Florida Investigative Support Center on June 15, 1998. The objective of the audit was to evaluate all functions relative to the present operation of the center, such as staffing, budgeting, and expenditures. However, according to program staff, the centers have never been evaluated to assess the benefit they provide to the state. The centers house analysts from a number of law enforcement agencies. FDLE provides a director for each center and allocates three additional positions and \$346,943 to the Jacksonville Investigative Support Center and eight additional positions and \$365,999 to the South Florida Investigative Support Center.⁷ While the centers provide a useful service, an evaluation could determine whether there are less expensive ways to share such information.

Another program that has not been evaluated to ensure that it is providing a benefit to the state is the Drug Abuse Resistance Education Program (DARE). DARE is a national drug prevention program for youth that is conducted in schools.⁸ A board of directors composed of heads of state agencies and associations provides oversight for the program. FDLE allocates five positions and \$432,000 to coordinate DARE statewide, train law enforcement officers to be DARE officers, and monitor the activities of these officers. Presently, 58 of the state's 67 counties have DARE programs in their school systems.

Studies in other states have brought into question the impact of DARE. According to DARE's Fiscal Year 1996-97 annual report, the program has been studied extensively but the studies disagree about the program's effect on reducing drug use. The annual report indicates that Seattle, Washington discontinued DARE based on a study that showed no difference in drug use between students who participated in DARE and those who did not. Some law enforcement professionals disagree with the conclusion that DARE does not make a difference because they believe that prevention programs play an important role in deterring youth from

⁷ In addition to FDLE allocations, both centers receive technological and personnel allocations from other law enforcement agencies located in each respective region. The South Florida center receives a large portion of its funding through a federal drug enforcement grant.

⁸ The Florida Legislature has authorized the implementation and funding for DARE since 1989.

certain behavior such as drug abuse. However, as documented by the Florida Commission on Government Accountability to the People, prevention activities such as DARE are currently offered by a myriad of state and local programs.

The effectiveness of the DARE program in Florida has never been assessed to determine whether it prevents adolescent drug abuse. Recently FDLE received a federal grant to evaluate the training FDLE provides the officers who teach DARE in the classrooms throughout the state. The review will also evaluate the effectiveness of DARE through interviews of students, parents, and school staff about student behavior and attitudes towards drugs and violence. The review will not measure DARE's impact on the arrest rate of Florida students for drug-related crimes or explore how long any deterrent effect may last. Such statistical and longitudinal studies are more expensive and take longer to conduct; however, they would provide better information about whether the dollars invested in DARE are actually reducing adolescent drug abuse. The department should request additional federal funding to conduct such a longitudinal review. Unless the effectiveness of DARE can be demonstrated, FDLE should assess whether staff resources should be reallocated to activities of higher impact. Changes in FDLE's participation in DARE would effect the school districts and local law enforcement agencies that provide the program in the schools.

Conclusions and Recommendations

The Investigations and Forensic Science Program is exceeding its performance goals and criminal justice agencies indicate a high level of satisfaction with a majority of program services. However, FDLE should continue to identify processes, such as investigative and forensic strategies, to increase program efficiency and effectiveness. The department should also take several steps to further improve the program.

- Identify best practices that could be shared among the state's crime laboratories to improve efficiency and timeliness and reduce costs.
- Data on timeliness, staffing, and unit costs indicate that the Key West crime laboratory should be closed. Eliminating the Key West laboratory would save the state from \$150,000 to \$397,000 annually and would also improve the timeliness of laboratory analyses for Monroe County law enforcement agencies.

- Explore whether other forms of redistributing workload or staff, including privatization, are viable.
- Establish staffing standards for matching resources to workload throughout the regions. Resource allocation should reflect agency priorities so as to meet the most critical demands first.
- Evaluate special activities, such as the Investigative Support Centers and the Drug Abuse Resistance Education Program, to determine whether they are efficient and provide significant public benefit.

Chapter 4: Information Program

Introduction

The purpose of FDLE's Information Program is to manage and provide accurate and timely criminal justice information to law enforcement, state and federal agencies, and the public to prevent crime, solve cases, recover property, and identify and apprehend criminals. To accomplish this purpose, the Information Program is organized into three service areas.

Service Area	Estimated Fiscal Year 1997-98 Expenditures	Activity
Central Records Service	\$9 million	<ul style="list-style-type: none"> • maintains a repository of over 5.7 million criminal justice records for law enforcement agencies • manages and updates computerized criminal history (CCH) and the automated fingerprint identification system (AFIS) databases
Information Network Services	\$26 million	<ul style="list-style-type: none"> • provides the computer hardware, software programming, and communications technology necessary to maintain and share criminal justice information across a communications network known as FCIC, the Florida Crime Information Center
Identification Screening and Statistical Analysis Service	\$4 million	<ul style="list-style-type: none"> • provides over a million criminal history record checks for persons applying for professional licenses or sensitive employment, or persons attempting to purchase firearms • collects and disseminates statistical information about the volume, rates and trends of reported criminal incidents and arrests in Florida

Source: FDLE Legislative Budget Request, Fiscal Year 1998-99, Exhibit D-2

Program Resources

In Fiscal Year 1997-98, the Legislature appropriated the Information Program 359 positions and \$39 million. The program has spent a considerable portion of its resources to enhance its information systems for the past four fiscal years. For example, the program was appropriated approximately \$10 million, or over 25% of its total budget in Fiscal Year 1997-98, to enhance the Florida Crime Information Center and the Automated Fingerprint Identification System technologies. The program has estimated that it will commit approximately \$40 million over the next six years to complete its technology enhancements.

The program is close to self-supporting and has largely funded technology investments and other expenses without general revenue support. Over 70% of program's appropriations over the last three fiscal years have been funded through its Operating Trust Fund. This fund is derived from fees collected from agencies and private citizens for criminal history record check services. For example, when an employer wants to check the criminal background of an applicant, the employer must pay a \$15 fee to the department. Over \$30 million of the program's \$39 million appropriation was derived from its operating trust fund.

As technological improvements are completed, the Legislature will have an opportunity to reduce general revenue funding to support the program. The program projects that budget requirements in Fiscal Year 2003-04 will be 23% lower than Fiscal Year 1998-99. The department estimates that by Fiscal Year 2004-05, system enhancements will be paid for and the program could be supported with operating trust fund revenues.

Need for the Information Program

The collection and maintenance of criminal justice information is an essential state function. Centralizing criminal justice data collection and management at the state level is more efficient than decentralizing these functions throughout the criminal justice community. A single state agency can better ensure data consistency and quality than if the state's criminal justice data were maintained individually by 67 counties and numerous state agencies. A state-level entity is also needed to coordinate criminal justice information policy and implement new technology from a broad perspective that takes into account the needs of the entire state.

FDLE is the appropriate state entity to collect and maintain the state's criminal justice data; no other agency has the criminal justice expertise or relationship with the law enforcement community. The Information Program provides necessary services that are not duplicative of other state agencies. Local law enforcement agencies rate their need for FDLE's information services as very high and FDLE is the only complete source of criminal justice information in the state.

The development of advanced information technology can and should be largely privatized; however, privatization of the Information Program in its entirety is not viable due to restrictions in federal law. Enhancement of the program's technology has been largely privatized. For example, the program has contracted with private sector vendors to upgrade the Florida Crime Information Center network and the Automated Fingerprint Identification System. However, core program functions should remain with FDLE. Federal regulations limit direct access to FBI criminal

history record information to governmental agencies engaged in the administration of criminal justice. Access to these records is routinely required to perform core functions of the department's Information Program, such as criminal history record checks.

Program Performance

The Information Program experienced a substantial increase in outputs from Fiscal Year 1995-96 to 1996-97. To a large extent, this increase was demand-driven and reflected local law enforcement's need for information services. For some measures, however, the increase can also be attributed to increases in staff productivity and the enhancement of program technology. A more detailed discussion of program performance based on Fiscal Year 1996-97 output and outcome measures is provided in our earlier report, *Review of the Performance of the Florida Department of Law Enforcement's Information Program*, February 1998 (see Appendix E).

Over the first three quarters of Fiscal Year 1997-98, outputs have continued to increase for several measures. Increases reflect continued staff productivity and improvements to program technology. The program also has met or exceeded 1997-98 performance standards for key outcome measures, reflecting the quality of some program services.

However, program performance is deficient in two critical areas--the timely updating of criminal history records and the implementation of new AFIS Livescan technology. Significant delays in the updating of criminal history records and in the implementation of AFIS Livescan technology undermine the quality and usefulness of the program's Computerized Criminal History (CCH) database. The program's accomplishments and options for improvement are described in more detail below.

Accomplishments

The Program Has Improved the Delivery of Criminal History Records Checks

The program has improved the delivery of criminal history record checks, which provide essential information to screen individuals purchasing guns, seeking sensitive employment, and applying for licenses. Data for the first three quarters of Fiscal Year 1997-98 indicate that the Information Program is meeting the performance standards for this activity. The program will surpass last year's total for the number of responses to requests for criminal history record checks by 10%. Performance data for the first three-quarters of Fiscal Year 1997-98 also show that the program has met or exceeded the standards set for measures that assess the quality of this program service. For example, the percentage of customers who are satisfied with the program's record check services is 98%, compared to the 85% standard set for Fiscal Year 1997-98. The percentage of criminal history record checks completed within defined time frames was 95%, exceeding the 90% standard.

Data for the first three quarters of Fiscal Year 1997-98 also show that the program has consistently met or exceeded the 99% standard set for the percentage of time that the Florida Crime Information Center (FCIC) is running and accessible to customers. Access to FCIC is a critical measure of program performance because law enforcement personnel rely on FCIC in emergency situations. Data show that the program has consistently exceeded the 95% performance standard for the percentage of customers satisfied with data provided by FCIC.

FCIC II and CJNet Will Provide Customers With Increased Access to Criminal Justice Information

Due to technical limitations of the current FCIC system, the program has been unable to meet the demand for network access to the system over the past few years and has failed to meet the standard for the number of workstations networked. The program is in the process of implementing FCIC II to address these limitations and has installed an interim message switch to upgrade the current system. When operational in July 1998, FCIC II will expand the capacity of the current system, allowing more law enforcement users network access, and a higher volume of data transactions. To implement FCIC II, the program is redesigning its information on wanted and missing persons, known as hot files, preparing the network for linkages between the criminal history and fingerprint databases, and including image data in the system.

In addition to FCIC II, the program is in the process of implementing a criminal justice Intranet system, known as the CJNet, to allow law enforcement and criminal justice agencies with the FCIC II network to communicate and share information. Law enforcement agencies will have access to statewide data, such as

the sexual offender database, a gangs database, and other criminal intelligence data. When fully implemented, the CJNet will also enable the clerks of the courts to submit disposition data to FDLE in a timely manner. While the system applications are not fully implemented, the system is operational in over 500 law enforcement agencies.

Options for Improvement

FDLE Should Expedite the Implementation of AFIS Livescan Technology

One of the program's primary goals is implementation of the Integrated Criminal History Network, a group of new information systems that will allow the "real time" integration of fingerprint images and Computerized Criminal History (CCH) data to provide rapid identification of arrestees and immediate updates of criminal records. An integral part of this effort is the redesign of the Automated Fingerprint Identification System (AFIS). AFIS technology replaces the traditional method of ink rolling arrestee fingerprints and mailing the cards to FDLE. Arresting agencies will use new fingerprint scanning devices, known as AFIS Livescan machines, to capture a digital image of an arrestee's fingerprints. These images, as well as arrest data, are transferred to FDLE and immediately compared to those in the database. The AFIS Livescan devices will also assess the quality of the scanned prints and notify the user if a print is poor quality. The new system should improve the overall quality of prints sent to FDLE. However, as of May 1998, 20 counties were operational with the new AFIS technology.

The department will not meet its Fiscal Year 1997-98 performance measure of having the 40 largest counties on-line and operational with AFIS Livescan. The department's intent was to focus first on the 20 largest counties, which account for almost 85% of arrests in the state. But, the program has been unable to bring the 20 key counties on-line. There are a number of obstacles to FDLE implementation efforts, most of which are out of the direct control of the program. However, the department could have avoided or minimized these problems through communicating better and working more closely on these problems with local law enforcement.

Several sheriffs are delaying AFIS implementation until they develop software to integrate AFIS Livescan into their local information systems. Many law enforcement agencies have developed their own information systems to improve the processing of local criminal justice information, such as automated booking systems that transfer arrest information to local criminal history databases. Although FDLE does not require connectivity between AFIS Livescan and these local systems, local officials

reported that it is important in eliminating the need to input data twice and reducing the opportunity for inconsistent data entry or errors. FDLE underestimated the extent to which the desire to integrate Livescan into local systems would be a problem.

Some agencies are focusing resources on their own AFIS systems. A number of counties, including Broward, Manatee, and Collier, operate local AFIS databases separate from FDLE's system. These counties have delayed their preparation for operating on the state's AFIS Livescan system because the enhancement of their local AFIS systems is a higher priority. These counties reported a number of reasons for focusing resources on their local systems. Some counties do not rely on the state system because their local systems are proven and reliable and most of their arrests are found on their local databases. In many cases, the local AFIS system is also already integrated into their local information systems. Finally, counties can implement their local AFIS systems as they see fit. For example, counties can include lower quality latent prints in their local AFIS databases whereas FDLE will not accept prints unless they meet a certain quality standard. For these reasons, several counties prefer to develop or enhance their own systems rather than connect to FDLE's system. This problem will continue until FDLE can convince these counties to redirect resources from local AFIS systems to the state's system.

System design and implementation problems. The department's vendor, Printrak, has not yet resolved a number of system design problems that have delayed implementation of the new AFIS system. For example, some local law enforcement agencies submit arrest information using different arrest codes than the system software requires, which can cause the system to stop processing arrest information. In addition, the manual entry of fingerprints into the AFIS central processing equipment is creating system instability problems that can cause FDLE's entire AFIS system to shut down. Due to the delays in implementing AFIS in the larger counties, most fingerprint and arrest data arrive at FDLE on fingerprint cards. These fingerprint cards must be manually scanned into the system. However, program staff explained that the new AFIS system is designed to receive prints electronically via Livescan and is not designed to receive large numbers of scanned prints. The volume of fingerprints requiring scanning threatens the stability of the system; these problems will not be adequately resolved until the larger counties are on-line with AFIS Livescan.

Need for multiple AFIS Livescan units in some counties. The Legislature appropriated \$4 million to FDLE to purchase one Livescan machine for each of first 40 counties that implement

AFIS Livescan. For the larger counties, however, a single Livescan unit is not sufficient to ensure that all arrests in the particular county are processed using Livescan. Counties with multiple booking facilities will need a separate Livescan at each facility or will need to centralize their booking processes. In addition, during peak periods of arrests, one Livescan machine is not sufficient to quickly process arrestees. The program has identified units that are compatible with the Livescan system and cost approximately \$15,000, compared to the Printrak's \$55,000 Livescan machines. However, the program continues to receive fingerprint cards from counties that are operational with AFIS Livescan. While this problem will not impact the program's goal of bringing the counties on-line, it may impede the program's goal of receiving 85% of total state arrests on AFIS Livescan.

Although the implementation of AFIS Livescan is essential to the success of the Information Program, the system is behind schedule and has not received vital support from local law enforcement. Some of the problems that impede the implementation of the AFIS Livescan technology are not within the direct control of the program. Nevertheless, these problems could have been avoided or minimized had the program identified them earlier in the implementation process. For example, recognizing and planning for the integration of AFIS into local information systems from the beginning of the project could have facilitated getting the larger counties on-line as originally scheduled. The program needs to address implementation issues more proactively and systematically. The program should develop a formal process to assess customers' technological readiness and to track the status of implementation issues.

The Quality of CCH Data Is Undermined by a Backlog of Arrests and Dispositions

The Computerized Criminal History (CCH) database contains 13.7 million arrest charges and approximately 7.4 million judicial disposition records, as well as records on approximately 105,000 juvenile offenders. While the majority of the information comes from local law enforcement agencies, FDLE is responsible for the quality of the data it maintains and disseminates. The program is meeting performance standards for CCH data accuracy and completeness. However, these standards are relatively low and the quality of CCH data is undermined by a backlog of arrests and dispositions.

An April 1998 audit, based on a sample of 400 CCH records, found an accuracy rate of 82%, comparable to the performance standard set at 82.5%.⁹ The department also reports that the percentage of all felony criminal history records with complete disposition data is 67%, exceeding the 65% standard. This low standard reflects the size of the disposition backlog and the fact that approximately 40,000 dispositions must be entered to increase the completion rate by one percentage point. However, the Bureau of Justice Statistics (BJS) standard for both felony arrest record completeness and accuracy is 95%. The program should raise standards related to the quality of criminal history data to be as ambitious as possible because this information is used to make decisions that impact public safety.

The Program Does Not Receive and Enter Criminal History Data in a Timely Manner

In addition to completeness and accuracy, the timely updating of criminal history information is critical to its usefulness. However, the program does not receive and enter the CCH data in a timely manner. As of April 1, 1998, a backlog of 200,000 arrests and over two million dispositions had not been entered into the system. The program is unable to effectively address these backlogs and keep up with the volume of new arrests and dispositions. The program receives, on average, over 12,000 new arrest cards and over 75,000 dispositions per week. It takes an average of four months from the date of arrest for arrest records to be entered into the CCH system and an average of 21 months for dispositions.¹⁰ Delays in the process are due to a number of factors. Local agencies do not always send arrest and disposition data to FDLE promptly. For example, it takes on average over a month for the program to receive fingerprint arrest cards from local law enforcement. Data entry is further delayed by steps in the process that require time-consuming manual work. (See Appendix C for a description of current process.) Procedures to ensure the accuracy of CCH records are performed manually and program staff spend considerable time tracking down missing data, correcting inconsistencies and documenting information. In addition, as discussed earlier, design limitations of the department's central AFIS system also cause significant delays by creating a bottleneck in the processing of fingerprint arrest cards. The system can process 1,000 to 2,000 cards every 24 hours, but the program receives approximately 2,500 fingerprint arrest cards per day.

The program has taken steps to address delays in entering arrest data and reduce the backlog of dispositions. The program gives priority to felony arrests and domestic violence misdemeanors and

⁹The report is titled *Florida Department of Law Enforcement Computerized Criminal History Baseline Audit*, by Andersen Consulting, April 1998.

¹⁰Both averages are based on Andersen Consulting's 1998 audit of CCH records. The 21-month disposition average may be inflated due to delays associated with the clerks of the courts' implementation of the Offender Based Transaction System in 1988.

enter these data into the system's Temp File within 48 hours. Arrests in the Temp File can be accessed for law enforcement purposes and used to flag individuals being screened for gun purchase, sensitive employment or licenses. However, until the arrest record has been matched with AFIS fingerprints, it may be based on a false or mistaken identity.

In a recent effort to address the disposition backlog, the program has used a federal grant to employ temporary staff to work a 3:30 p.m. to 12:00 midnight shift processing dispositions. While it is too early to measure the impact of this initiative, it is expected to reduce the disposition backlog. The program has also revised its editing program to eliminate non-essential edits, reducing the number of dispositions requiring corrective action. This will decrease staff's manual workload.

Until AFIS Livescan and CJNet Have Been Fully Implemented the Timeliness of CCH Data Will Remain a Problem

New technology will eventually streamline the process for entering arrests and dispositions into the CCH system. However, until AFIS Livescan and CJNet have been fully implemented, the timeliness of CCH data will remain a problem. As discussed earlier, the implementation of AFIS Livescan has been significantly delayed; less than 16% of arrest fingerprints are transmitted and entered into the CCH system with AFIS Livescan. And CJNet is not fully operational. As of April 1, 1998, 29 of the state's 67 county clerk offices are ready to go on-line.

Given delays in implementing AFIS Livescan and CJNet, the department should take steps now to improve the current data entry process and reduce the backlog of dispositions and arrests. The department should identify resources that can be shifted from less crucial FDLE activities and allocated to the Information Program for this purpose. The department's compliance audits of training schools, for example, may provide less benefit to public safety than ensuring that local law enforcement officers have timely access to criminal history information. We recommend in Chapter 5 that training school compliance audits be discontinued; these resources could be redirected to the Information Program to improve the data entry process.

The department should continue to use federal funds to employ a 3:30 p.m. to 12:00 midnight shift of temporary staff to process dispositions. The department should seek additional federal funding to employ temporary staff or contract with a vendor to eliminate the arrest backlog. The department reports that federal funding such as a National Criminal History Improvement Program or Byrne grant may be available for this purpose and estimates that between \$100,000 and \$500,000 will be required.

Conclusions and Recommendations

The Information Program provides an essential state function through its collection and management of state criminal justice information. This information is central to law enforcement's ability to solve crimes and protect the public. The program is in the process of enhancing its information technology to better serve the law enforcement community. However, the usefulness of information in the department's CCH database is diminished by a backlog of dispositions and arrests and the program does not receive and enter criminal history data in a timely manner.

The implementation of AFIS Livescan technology is a key to addressing the data timeliness problem. When fully implemented, AFIS Livescan will automate the arrest data entry process, provide real-time fingerprint identification of arrestees, and update records in the CCH database in minutes, rather than weeks. With this automation, staff will become available to address other program priorities, including elimination of the disposition backlog. However, implementation of AFIS Livescan has been seriously delayed. Six of the 20 larger counties are on-line; 16% of all fingerprint arrest cards are transmitted with Livescan. The program needs to direct its resources to ensure that AFIS Livescan is fully implemented as soon as possible. The program should continue to identify ideas to increase efficiency and effectiveness, such as improving the data entry process by programming revisions to reduce the number of data edits staff must do manually. The program should also take several actions to improve timeliness and reduce the backlog.

- Expedite the implementation of AFIS Livescan by developing a formal process to assess customers' technological readiness and track the status of implementation issues. Such a process would allow staff to identify implementation issues earlier in the process and devote sufficient resources to address the problem. For example, the program should develop an on-going process to assess the system integration needs of local law enforcement agencies in order to better target system programming resources.

- Direct resources to the Information Program to improve the current data entry process and reduce the backlog of dispositions and arrests. The department should consider shifting resources from less essential FDLE services, such as training school compliance audits, to the Information Program. The department should also continue to use federal funds to employ a 3:30 p.m. to 12:00 midnight shift of temporary staff to process dispositions. The department should seek additional federal funding to employ temporary staff or contract with a vendor to eliminate the arrest backlog. The department reports that this will require from \$100,000 to \$500,000 and National Criminal History Improvement Program or Byrne grant funds may be available for this purpose.

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Chapter 5: Professionalism Program

Introduction

The primary purpose of the Professionalism Program is to regulate law enforcement officers, correctional officers, and correctional probation officers to ensure minimum levels of professional knowledge and skills and compliance with standards of conduct. To be certified as a criminal justice officer in Florida, an individual must meet minimum standards established in s. 943.13, F.S., including attending a training school and passing a certification examination.

The personnel assigned to the Professionalism Program serve as staff for the Florida Criminal Justice Standards and Training Commission. In accordance with s. 943.12, F.S., the commission is responsible for certifying and disciplining criminal justice officers. The commission is composed of 19 members, including three state agency heads or their designees, the director of the Division of Florida Highway Patrol, and 15 members appointed by the governor.

The Professionalism Program comprises two service areas: training and certification, and compliance.

Service Area	Estimated Fiscal Year 1997-98 Expenditures	Activities
Training and Certification	\$8 million	<ul style="list-style-type: none"> • develops course curricula and oversee training provided to recruits and to criminal justice officers • administers the Drug Abuse Resistance Education (DARE) Training Center • administers the Florida Criminal Justice Executive Institute • designs and administers the certification examination given to qualifying criminal justice officer applicants • ensures that training schools and instructors meet minimum certification requirements • maintains certification and employment information for all active certified criminal justice officers in Florida
Compliance	\$3 million	<ul style="list-style-type: none"> • reviews and take disciplinary actions against officers who fail to maintain minimum standards of conduct • monitors criminal justice agencies and training schools for compliance with minimum standards

Source: FDLE Legislative Budget Request, Fiscal Year 1998-99, Exhibit D-2

Program Resources

In Fiscal Year 1997-98, the Legislature appropriated the Professionalism Program 101 full-time positions and \$11 million. Of this appropriation, FDLE designated \$4.3 million (39%) to fund advanced and specialized training and specific enhancements to training schools.

The program's primary source of funding is the Criminal Justice Standards and Training Trust Fund, which consists of court assessments imposed on persons convicted of state or county laws. The trust fund also includes fees the department charges applicants to take the certification examination. Section 943.1397, F.S., authorizes this fee, which may not exceed \$150, to recover the costs of administering the examination. As of April 1998, applicants were charged a \$75 fee.

Need for the Professionalism Program

State regulation of the criminal justice profession helps meet citizen needs for quality criminal justice officers. As of April 1998, approximately 74,868 criminal justice officers were actively employed in Florida. Because responsibility for carrying out the state's criminal justice duties rests with 565 state and local government agencies, vesting professionalism responsibilities in a single statewide entity helps to ensure that all criminal justice officers receive standardized training, meet state licensure requirements, and are disciplined in a uniform manner. Centralizing this function in one state entity is more efficient than having each agency conduct these functions.

The Criminal Justice Standards and Training Commission is the appropriate state entity to regulate the criminal justice profession. Although other state entities such as the Department of Business and Professional Regulation regulate other professions, transferring the regulation of criminal justice professionals from the commission to another entity would do little to enhance professional regulation. Commissioners have an essential understanding of the knowledge and skills necessary to ensure that quality criminal justice officers serve the public.

Program Performance

As addressed in our previous report, *Review of the Performance of the Florida Department of Law Enforcement's Professionalism Program*, February 1998, FDLE had not collected sufficient performance-based budgeting outcome data to assess this program (see Appendix F). We therefore used other indicators, including interviews with local law enforcement officers, to assess program performance. Since FDLE is a service agency, customer

satisfaction is an important performance measure. Our review indicated that local law enforcement officers were generally satisfied with program services. Officers called for improvements in three areas: the content of basic recruit training, the usefulness of the officer information system, and the timeliness of disciplinary actions against officers. FDLE has taken steps to address these concerns.

We identified three additional areas for program improvement. Officer certificate revocations should be expedited, the officer information system should be enhanced, and compliance activities that do not have a significant impact should be discontinued. The program's accomplishments and options for improvement are described in more detail below.

Accomplishments

FDLE Is Providing More Relevant Basic Recruit Training

FDLE has made efforts to provide more relevant basic recruit training, including conducting needs assessments and job task analyses for specific job occupations in order to modify the training curricula. FDLE is revising the training curricula to include more community policing concepts and more emphasis on officer integrity and ethics. In addition, 414 criminal justice officers representing 177 criminal justice agencies have graduated from the Criminal Justice Executive Institute since its inception in 1990. These graduates reported that they learned skills that will help them make positive changes in their respective agencies.

The commission has taken steps to become more timely in taking disciplinary actions against officers who violate statutory and commission standards of conduct. For example, the Legislature authorized the commission to forego taking further disciplinary action in cases where the employing agency follows commission guidelines when taking disciplinary actions. In Fiscal Year 1996-97, 36% of disciplinary cases were resolved in this manner. In addition, the commission initiated more frequent preliminary hearings in order to hear more cases and conduct meetings in more locations throughout the state.

Options for Improving Performance

The Commission Is Taking Too Long to Revoke Certifications of Officers Who Commit Serious Offenses

While the commission has become more timely in taking disciplinary actions against officers who violate less serious standards of conduct, it is taking too long to revoke the certifications of officers who commit the most serious offenses. For cases closed in Fiscal Year 1996-97, the commission took an average of 1.9 years to revoke certifications for 220 officers who committed serious offenses such as driving while intoxicated and smuggling contraband into inmates.¹¹ With revisions to s. 943.13(4), F.S., this time could be reduced by at least six months.

The commission needs to act in a more timely manner to revoke certifications because the public interest is served when these officers are disqualified from employment as quickly as possible. However, the goal of quickly removing "bad" officers may be impeded by the officers' right to administrative due process.

The revocation process would be expedited if officers convicted of serious crimes were required to automatically relinquish their certifications at the time of conviction. Section 943.13(4), F.S., stipulates that individuals convicted of any felony or of a misdemeanor involving perjury or a false statement are prohibited from being certified as criminal justice officers. However, officers convicted of these crimes must still go through the administrative hearing process before the commission can revoke their certification. According to department staff, the process from conviction until final commission action takes an additional six months because FDLE staff must prepare additional written documentation and then schedule and hold preliminary and final hearings. FDLE staff estimate that felony convictions accounted for 25% of all revocations in Fiscal Year 1996-97.

Having officers convicted of felonies automatically relinquish their certifications would result in a more efficient revocation process because it would reduce the case time by the six months required for the hearing, and it would eliminate the work associated with preparing hearing documents, thereby freeing staff time for other cases. In addition, some local law enforcement and FDLE officials told us that officers who are convicted of felonies sometimes remain employed in the field until their certifications are revoked. Automatic relinquishments would eliminate this situation. FDLE legal staff told us that s. 943.13(4), F.S., would need to be revised to implement automatic relinquishments.

¹¹ We calculated the 1.9 years based on 172 cases for which case opened dates and case closed dates were available.

FDLE Should Ensure that Officer Information System Data Are Accurate, Complete, and Timely

Since 1988, FDLE has maintained an officer information system that contains data on officer employment, training, and disciplinary histories.¹² Because criminal justice agencies use data contained in this system to make hiring decisions, the system's usefulness is dependent on the accuracy, completeness, and timeliness of the data. In January 1998, FDLE began implementing a new system that allows criminal justice agencies to directly input and access data. Previously, FDLE entered data submitted by these agencies.¹³

Although these changes should help to reduce FDLE's workload, the new system's effectiveness may be diminished because FDLE does not ensure that data contained in it are accurate, complete, and timely. Users of the information system have identified problems with data accuracy and completeness. FDLE has neither developed procedures or guidelines to ensure that data entered by the employing agencies are accurate, complete, and timely, nor established a process to routinely audit agency data entry practices. To ensure the new system is as useful as possible, FDLE should provide guidance to agencies and develop audit procedures to review agency data entry practices.

Some Compliance Resources Should Be Shifted to Activities Having a Greater Impact

As noted in our *Review of the Performance of the Florida Department of Law Enforcement's Professionalism Program*, February 1998, FDLE staff conducted 57% more compliance visits to training schools and criminal justice agencies in 1996-97 than in the prior fiscal year. However, because these compliance activities have produced limited results, the resources should be shifted to other activities to have a greater impact. For example, as a result of monitoring 68 training school classes from November 1997 to January 1998, staff identified two problems: one incident of starting class late and another in which the instructor/student ratio was not met. These monitoring visits are not needed: they are not sufficient to identify meaningful problems with curriculum delivery and the schools must still be certified by a more rigorous FDLE process every five years.

Auditing records of local law enforcement agencies has also produced limited results.¹⁴ Of the 548 new employee records audited from November 1997 to January 1998, 29 records (5%) were missing required documents, such as birth certificates and results of background investigations and drug tests. However, in

¹²Total costs for implementing and maintaining the system since its inception were \$2.4 million as of June 1997. This amount does not include salaries.

¹³FDLE's goal is to have 80% of agency records input by agency staff rather than FDLE staff by June 30, 1999.

¹⁴FDLE staff review personnel records of new employees to ensure that they contain complete documentation that officers meet minimum certification standards.

almost all cases when FDLE returned to the agency, the missing documents had been found and added to the files.

The department budgeted an estimated \$230,000 and assigned nine staff to conduct training school monitoring and agency record auditing activities for Fiscal Year 1996-97.¹⁵ Rather than monitor training classes and continue auditing agency new hire personnel records for documentation problems, FDLE should pursue more productive activities. One example within the program would be to shift resources to audit agency data entry practices for the officer information system. By auditing this system, staff can check the accuracy of information on all officers. These positions could also be reallocated to meet critical needs in other FDLE programs. Under performance-based program budgeting, the department has the flexibility to shift resources as needed.

Conclusions and Recommendations

The Professionalism Program helps to ensure that the state's criminal justice officers meet minimum competency levels and professional standards of conduct. The program has taken steps to further enhance the caliber of officers by providing more relevant basic recruit training and speeding up the process for disciplining criminal justice officers who have violated minimum standards of conduct. The program has also become more efficient in conducting some compliance activities. Local law enforcement officers are generally satisfied with FDLE professionalism services.

FDLE should continue to identify ideas, such as increasing the timeliness of disciplinary actions, to increase efficiency and effectiveness. The department should further improve the Professionalism Program by taking a number of actions.

- Improve the usefulness of the officer information system by ensuring data quality. Because hundreds of law enforcement agencies will be entering data in the new system, FDLE should develop procedures and guidelines to ensure agencies enter data that are accurate, complete, and timely. We recommend that as system manager, FDLE develop audit procedures and establish a schedule to periodically audit agency data entry practices.

¹⁵The program budgeted \$469,141 for field services in Fiscal Year 1997-98. We estimate that approximately 50% of these services involve visits to agencies and training schools.

- Discontinue routine monitoring of training school classes and audits of local agency new hire personnel records. This could enable the department to reduce costs by \$230,000 or to shift these resources to conduct activities with higher public safety impact. Under performance-based program budgeting, FDLE has the authority to shift resources as needed.

The Legislature should also take action to improve the Professionalism Program.

- Expedite the revocation process by requiring officers who are convicted of felonies and misdemeanors involving perjury to automatically relinquish their certifications at the time of conviction rather than go through an additional administrative due process. These officers would then be prohibited from being employed in law enforcement about six months sooner, and FDLE staff could reallocate staff time to more efficiently process other cases. We recommend the Legislature amend s. 943.13(4), F.S., to specify that officers convicted of a felony or a misdemeanor involving perjury automatically relinquish their certificates at the time of conviction. Amended language should include a reinstatement provision for officers who automatically relinquished their certificates upon conviction and subsequently had their convictions overturned.

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Appendix A

Statutory Requirements for Program Evaluation and Justification Reviews

Section 11.513(3), F.S., specifies that the OPPAGA Program Evaluation and Justification Review shall be conducted on major programs, but may include other programs. As provided by law, our review addresses several issues.

- the identifiable cost of each program
- the specific purpose of each program, as well as the specific public benefit derived therefrom
- progress towards achieving the outputs and outcomes associated with each program
- an explanation of circumstances contributing to the state agency's ability to achieve, not achieve, or exceed its projected outputs and outcomes, as defined in s. 216.011, F.S., associated with each program
- alternative courses of action that would result in administering the program more efficiently or effectively

Exhibit A-1 identifies the issues that the law directs us to consider in our Program Evaluation and Justification Reviews and summarizes our conclusions pertaining to the Florida Department of Law Enforcement. As appropriate, the exhibit makes references to pages in this report and our earlier Performance Reports on FDLE, which appear as Appendices D, E, and F.

Table A-1
Summary of the Program Evaluation and Justification Review of the
Florida Department of Law Enforcement

Issue	OPPAGA Conclusions
The identifiable cost of each program	FDLE is appropriated \$142.5 million for operations for fiscal year 1998-99. The Investigations and Forensic Science Program received \$76.8 million, the Information Program \$39.7 million and the Professionalism Program \$16.3 million.
The specific purpose and public benefit of each program	<p>FDLE's primary mission is to provide services in partnership with local, state, and federal criminal justice agencies to prevent, investigate, and solve crime in Florida. The department provides services in three program areas.</p> <p>The Investigations and Forensic Science Program provides advanced technical, forensic, and investigative services to prevent, investigate, and solve crime.</p> <p>The Information Program manages and provides accurate, timely, and accessible criminal justice information to prevent crime, solve cases, recover property, and identify and apprehend criminals.</p> <p>The Professionalism Program regulates law enforcement officers, correctional officers, and correctional probation officers to ensure minimum levels of professional knowledge and skills, and compliance with standards of conduct.</p>
Progress toward achieving the outputs and outcomes associated with each program	FDLE's performance measures indicate the department has increased workload while the number of full-time personnel allocated has stayed relatively constant. FDLE should enhance the usefulness of its measures and standards. (See Appendices D, E, and F for OPPAGA's February 1998 <i>Review of the Performance of the Florida Department of Law Enforcement's Investigations and Forensic Science Program</i> , <i>Review of the Performance of the Florida Department of Law Enforcement's Information Program</i> , and <i>Review of the Performance of the Florida Department of Law Enforcement's Professionalism Program</i> .)
An explanation of circumstances contributing to the agency's ability to achieve, not achieve, or exceed its projected outputs and outcomes, as defined in s. 216.011, F.S., associated with the program	Generally FDLE has achieved or exceeded its performance standards. (See Appendices D, E, and F for OPPAGA's February 1998 <i>Review of the Performance of the Florida Department of Law Enforcement's Investigations and Forensic Science Program</i> , <i>Review of the Performance of the Florida Department of Law Enforcement's Information Program</i> , and <i>Review of the Performance of the Florida Department of Law Enforcement's Professionalism Program</i> .) One significant exception is FDLE's inability to achieve the implementation of AFIS Livescan (page 23).

(Continued on next page)

Issue	OPPAGA Conclusions
<p>Alternative courses of action that would result in administering the program more efficiently and effectively</p>	<p>To improve program efficiency and effectiveness, FDLE should take the actions discussed below.</p> <ul style="list-style-type: none"> • Identify best practices that could be shared among the state's crime laboratories (page 12). • Close the Key West crime laboratory, which will save the state from \$152,000 to \$397,000 annually and improve the timeliness of laboratory analyses for Monroe County law enforcement agencies (pages 13 and 14). • Explore whether other forms of redistributing crime laboratory workload or staff, including privatization, are viable (pages 14 and 15). • Establish staffing standards for matching investigative resources to workload throughout the regions. Resource allocation should reflect agency priorities so as to meet the most critical demands first (page 15). • Evaluate special activities, such as Investigative Support Centers and DARE, to determine whether they provide significant public safety benefit (pages 16 and 17). • Expedite the implementation of AFIS Livescan by developing a formal process to assess customers' technological readiness and track the status of implementation (page 23). • Direct resources from less essential FDLE services to the Information Program to improve the current data entry process and reduce the backlog of disposition and arrest data. Also, continue to use federal funds to employ a 3:30 p.m. to 12:00 midnight shift of temporary staff to process dispositions and seek additional federal funding to employ temporary staff or contract with a vendor to eliminate the backlog for entering arrest data (pages 27 and 28). • Amend s. 943.13(4), F.S., to expedite the revocation process by requiring officers who are convicted of felonies or misdemeanors involving perjury to automatically relinquish their certifications at the time of conviction rather than go through additional administrative due process. These officers would then be prohibited from being employed in law enforcement about six months sooner, and FDLE staff could more efficiently process other cases (page 34). • Improve the usefulness of the officer information system by ensuring data quality. Because hundreds of law enforcement agencies will be entering data in the new system, FDLE should develop procedures and guidelines to ensure data entered are accurate, complete, and timely. As system manager, FDLE should develop audit procedures and establish a schedule to periodically audit agency data entry practices (page 35). • Discontinue routine monitoring of training school classes and audits of local agency new hire personnel records, thereby reducing department costs by \$230,000 or allowing these resources to be shifted to conduct activities with higher public safety impact. Under performance-based program budgeting, FDLE has the authority to shift resources as needed (pages 35 and 36).

Issue	OPPAGA Conclusions
<p>The consequences of discontinuing the programs</p>	<p>Eliminating the Investigations and Forensic Science Program would reduce the state’s ability to address crimes that are multi-jurisdictional, multi-victim, or long-term. Local law enforcement agencies do not have the resources to investigate these types of crimes. Discontinuation of the crime laboratory system would have impeded the ability of local government to solve crimes and prosecute criminals, as the five county crime laboratories do not have the capability to analyze evidence for the other 62 counties. If the program had not existed in Fiscal Year 1996-97, 1,169 investigative cases may have remained unsolved and 68,551 requests for evidence analysis might still be waiting.</p> <p>Eliminating the Information Program would limit law enforcement’s access to statewide criminal history data. Law enforcement agencies rated the Information Program services as the most important services provided by FDLE. Law enforcement officers rely on the statewide criminal history database to identify dangerous felons and persons with criminal warrants. A single state agency can better ensure data consistency and quality than if the state’s criminal justice data were maintained individually by 67 counties and numerous state agencies.</p> <p>Eliminating the Professionalism Program would reduce the criminal justice community's ability to ensure that over 74,800 criminal justice officers meet minimum competency levels and abide by professional standards of conduct. Without the program, local law enforcement agencies would be individually responsible for developing and administering training and for sanctioning officers who committed unethical or criminal acts.</p>
<p>Determination as to public policy, which may include recommendations as to whether it would be sound public policy to continue or discontinue funding the program, either in whole or in part, in the existing manner</p>	<p>It is sound public policy to continue funding all three programs within this department. The functions of each program are necessary to support local, state, and federal criminal justice agencies.</p>
<p>Whether the information reported pursuant to s. 216.031(5), F.S., has relevance and utility for the evaluation of each program</p>	<p>Some performance measures and standards should be modified. Also, the agency should develop unit costs measures. (See Appendices D, E, and F for OPPAGA’s February 1998 <i>Review of the Performance of the Florida Department of Law Enforcement's Investigations and Forensic Science Program</i>, <i>Review of the Performance of the Florida Department of Law Enforcement's Information Program</i>, and <i>Review of the Performance of the Florida Department of Law Enforcement's Professionalism Program</i>.)</p>

Issue	OPPAGA Conclusions
<p>Whether state agency management has established control systems sufficient to ensure that performance data are maintained and supported by state agency records and accurately presented in state agency performance reports</p>	<p>The FDLE Inspector General conducted audits of all Investigation and Forensic Science Program data systems and found a lack of written procedures for entering, validating, and reviewing data. The Program is implementing new procedures to improve the reliability of data. (See Appendix D for OPPAGA's February 1998 <i>Review of the Performance of the Florida Department of Law Enforcement's Investigations and Forensic Science Program</i>.</p> <p>The Information Program needs to improve verification of the criminal history data compiled; the department estimates the accuracy rate to be 77%. (See Appendix E for OPPAGA's February 1998 <i>Review of the Performance of the Florida Department of Law Enforcement's Information Program</i>.</p> <p>The Professionalism Program should improve the usefulness of the officer information system by ensuring data quality. Because hundreds of law enforcement agencies will be entering data in the new system, FDLE should develop procedures and guidelines to ensure agencies enter data that are accurate, complete, and timely. As system manager, FDLE should develop audit procedures and establish a schedule to periodically audit agency data entry practices (page 35).</p>

Source: Developed by OPPAGA

Appendix B

FDLE Regional Center, Field Office, and Crime Laboratory Locations and Counties Served

Regional Operations Center	Field Offices	Crime Laboratories	Counties Served
Pensacola	Panama City	Pensacola	Bay, Calhoun, Escambia, Gulf, Holmes, Jackson, Okaloosa, Santa Rosa, Walton, Washington
Tallahassee	Live Oak	Tallahassee	Columbia, Dixie, Franklin, Gadsden, Hamilton, Jefferson, Lafayette, Leon, Liberty, Madison, Suwannee, Taylor, Wakulla
Jacksonville	Gainesville and St. Augustine	Jacksonville	Alachua, Baker, Bradford, Clay, Duval, Flagler, Gilchrist, Levy, Marion, Nassau, Putnam, St. Johns, Union
Tampa	Brooksville, Clearwater, Lakeland, and Sebring	Tampa	Citrus, Hardee, Hernando, Highlands, Hillsborough, Pasco, Pinellas, Polk, Sumter
Orlando	Daytona Beach, Fort Pierce, and Palm Bay	Daytona Beach and Orlando	Brevard, Indian River, Lake, Martin, Okeechobee, Orange, Osceola, Seminole, St. Lucie, Volusia
Fort Myers	Sarasota	Fort Myers	Charlotte, Collier, DeSoto, Glades, Hendry, Lee, Manatee, Sarasota
Miami	Key West, Pompano Beach, and West Palm Beach	Key West	Broward, Dade, Monroe, Palm Beach

Source: Compiled by OPPAGA from FDLE documents

Appendix C

Description of Computerized Criminal History Records Updating Process

Entering Arrest Records into the Computerized Criminal History Database

1. Fingerprint arrest cards are mailed from local law enforcement agencies to FDLE.
2. Fingerprint arrest cards received by FDLE are screened for missing or unclear information.
3. Fingerprint arrest cards requiring corrective action are manually corrected and verified.
4. Arrest information is entered into the Computerized Criminal History (CCH) system's Temp File; felonies and domestic violence misdemeanors are entered into Temp File first.
5. AFIS database is searched for matching fingerprints to verify identification of arrestee.
6. Fingerprints are scanned into AFIS database.
7. Arrest information is entered into CCH database to update or create criminal history records.

Entering Dispositions into the Computerized Criminal History Database

1. The Office of the State Court Administrator and clerks of the court send dispositions on magnetic tape to FDLE.
2. Computer program matches dispositions received by FDLE with arrests in CCH database.
3. Matched dispositions update CCH records.
4. Non-matched dispositions are analyzed. Those requiring corrective action are corrected manually by program staff and entered into CCH database to update criminal history records.
5. Non-matched dispositions for arrests not found in CCH database are placed in Hold File.
6. Computer program is run periodically to match dispositions in Hold File with arrests that have been entered into CCH database.

Appendix D

OPPAGA Review of the Performance of the Florida Department of Law Enforcement's Investigations and Forensic Science Program Issued February 1998 (Report No. 97-41)

Abstract

- **The Investigations and Forensic Science Program's workload has increased over the past three fiscal years.**
- **The impact of Program services cannot be accurately measured due to limitations of the Fiscal Year 1996-97 performance measures and standards.**
- **The Legislature revised the 1997-98 and 1998-99 performance measures to address these shortcomings. We recommend that the Legislature make additional modifications to the 1998-99 performance measures and standards.**

Purpose

Chapter 94-249, Laws of Florida, directs state agencies to prepare performance-based program budgeting measures in consultation with the Governor's Office of Planning and Budgeting, staff from the appropriate legislative committees, and the Office of Program Policy Analysis and Government Accountability (OPPAGA). State agencies then submit performance-based program budget requests, which include performance measures and standards, to the Legislature for approval. The Legislature includes the approved performance measures and standards in the annual General Appropriations Act.

State agencies must report on performance against these standards to the Governor and the Legislature in their annual legislative budget requests. The Legislature considers this information in making funding decisions. The Legislature can provide incentives and disincentives for program performance that exceeds or fails to meet the established standards.

Section 11.513, F.S., directs OPPAGA to complete a justification review of each state agency program operating under a performance-based program budget. OPPAGA is to review program measures and standards and identify alternative means for providing program services. The Legislature authorized the Investigations and Forensic Science Program to operate under a performance-based budget in Fiscal Year 1996-97.

This is the first of two reports presenting the results of our program evaluation and justification review of the Florida Department of Law Enforcement (FDLE) Investigations and Forensic Science Program.¹ In this review, we examined the Program's performance compared to the Legislative measures and standards for Fiscal Year 1996-97 and options for improving program measures and standards for 1998-99. Our second report addressing program performance and policy alternatives for reducing costs and improving services will be published before July 1, 1998.

Background

The purpose of the Investigations and Forensic Science Program is to increase public safety and security. The Program provides advanced technical, forensic, and investigative services to prevent, investigate, and solve crime. The Program's three major functions are:

- **Investigative and Support Services** conduct independent investigations and coordinate multi-jurisdictional and special criminal investigations with local, state, and federal authorities.
- **Laboratory Services** collect and analyze evidence for criminal justice agencies.
- **Preventative Services** protect the Governor, his family, and visiting dignitaries.

The Investigations and Forensic Science Program, one of FDLE's three performance-based budgeting

¹ Formerly referred to as the Investigations and Protection Program.

programs, represents 58% of FDLE's total appropriation. In Fiscal Year 1996-97, the Investigations and Forensic Science Program was authorized 938 positions and appropriated \$68.5 million.

Findings

Using the 1996-97 performance-based program budgeting measures and standards, what can be concluded about Program performance?

The 1996-97 performance measures indicate workload has increased the last three fiscal years.² Also, Program efficiency may be improving. We could not draw definitive conclusions about Program performance for three reasons: limited use of outcomes for measuring Program impact, lack of internal controls and procedures, and limited use of standards as benchmarks.

The Investigations and Forensic Science Program Workload Increased. As Exhibit 1 illustrates, data for 1996-97 performance measures show a consistent increase in Program workload. Program staff are opening and closing more cases, processing and completing more lab requests, and protecting more individuals. For example, from 1994-95 to 1996-97, the number of FDLE-initiated cases worked increased 82% and the number of non-FDLE initiated cases increased 59%.

Program efficiency may also be improving. The number of full-time personnel (FTEs) assigned to the Program increased by about 10% in Fiscal Year 1995-96. Since that time, the number of FTEs has remained constant, while Program workload has increased. As recommended in OPPAGA Report No. 96-47, unit cost measures, which FDLE is in the process of developing, will better illustrate the extent of this efficiency. The unit cost measures should be linked to performance measures. For example, unit cost measures should be developed for each type of lab discipline analysis the Program provides.

The 1996-97 outcome measures are of limited use for measuring the impact of the Investigations and Forensic Science Program. The Program's 1996-97 outcome measures addressed cases closed, cases resulting in an arrest, and amount and timeliness of lab requests. However, there are limits to the usefulness of these measures.

- *Number/percent of FDLE-initiated cases closed* does not necessarily indicate a successful resolution of each

² Used data from Fiscal Years 1994-95, 1995-96, and 1996-97 to assess program performance over time.

case. Unsolved cases that are closed are also included in these measures. Additional outcome measures that report resolved cases would provide a more accurate description of Program impact.

- *Number/percent of major FDLE-initiated cases resulting in an arrest* does not provide an accurate description of the impact of the Program. This measure does not consider "non-major" FDLE investigations or investigations not initiated by FDLE. However, a large amount of the investigators' workload is spent on these other types of cases (see Exhibit 1). Often the FDLE investigator's role is just as significant in making an arrest in these other types of cases. Additional outcome measures that gauge arrests in these cases would provide a more accurate description of Program impact.
- *Number/percent of physical evidence analysis requests completed by FDLE* needs further context to determine impact. While the measure for the number of requests completed by FDLE addresses the quantity of lab analyses completed, it does not speak to the quality of the analyses.

Because of these limitations, the impact of the Program cannot be determined using these measures.

Lack of internal controls and procedures diminishes Program data reliability. Concerns about the Program's internal processes for collecting and reporting data also limit our ability to make definitive conclusions about performance. The FDLE Inspector General conducted audits of all Program data systems and found a lack of written procedures for entering, validating, and reviewing data. For example, there was no supervisory review to validate the accuracy of lab analyses data. A lack of formal procedures reduces the reliability of the data.

It is not useful to compare performance to 1996-97 standards because they are so low. The Program exceeded every one of the standards adopted by the Legislature for 1996-97. (See Exhibit 1.) In fact, the Program had already exceeded many of the standards with its performance the year before. For example, in 1995-96, the standard for the *number of background investigations performed* was 3,500; the Program performed 3,821. Standards set this low do not provide reasonable benchmarks for assessing Program performance.

Exhibit 1
Program Workload Has Increased Over the Past Three Years

Fiscal Year 1996-97 Measures	Fiscal Year			GAA Standard 1996-97	Comments
	1994-95	1995-96	1996-97		
OUTPUTS:					
Number of FDLE-initiated cases worked	242	387	441 ¹	295	Increase attributed to a new Fugitive Apprehension Program and participation on task forces. Increase may also be attributed to better data with the new information system in 1995-96.
Number of non-FDLE cases worked	615	722	978 ¹	652	Increase attributed to growth in technical and investigative assistance requested from local law enforcement agencies. Increase may also be attributed to better data with the new information system in 1995-96.
Number of intelligence issues or requests handled	3,298	1,426	9,485	3,298	Decrease in 1995-96 due to decentralization of the Florida Intelligence Center into the seven Regional Operating Centers. Increase in 1996-97 due to a better reporting system, inclusion of Missing Children intelligence, and inclusion of crime intelligence analysts' workload.
Number of laboratory cases processed	46,038	50,730	54,065	51,727	Increase attributed to improvements in technology (e.g. latent fingerprints) and increase in requests for drug analysis.
Number of analysis requests completed	59,748	62,484	68,551	66,944	Increase attributed to improvements in technology.
Number of individuals protected	44 ¹	52	151	52	Data for 1994-95 included only dignitaries protected. Increase in 1995-96 due to inclusion of Governor and family. Increase in 1996-97 due to the Presidential election in 1996. The variation in the number of individuals protected is not in the Program's control.
Number of emergency responses	10	27	25	6	The variation in the number of state emergencies which occur is not in the Program's control.
Number of background investigations performed	3,370	3,821	4,081	3,500	Increase attributed to growth in requests for pre-appointment or pre-employment background investigations due to turnover on state commissions.
OUTCOMES :					
Number/percent of local law enforcement cases assisted by FDLE closed	303 /49% ¹	393 /54%	769 /77% ¹	321 /39%	Increase attributed to growth in cases. Increase may also be attributed to better data with the new information system in 1995-96.
Number/percent of FDLE-initiated cases closed	46 /19%	236 /61%	400 /91% ¹	68 /23%	Increase attributed to growth in cases. Increase may also be attributed to better data with the new information system in 1995-96.
Number/percent of major FDLE-initiated cases resulting in an arrest	55 /23%	119 /50%	174 /44% ¹	78 /26%	Data for 1994-95 was the number of total cases worked resulting in an arrest. Data for 1995-96 and 1996-97 was the number of FDLE-initiated cases closed resulting in an arrest. Data for all three years plagued by confusion about meaning of "major."
Number/percent of physical evidence analysis requests completed by FDLE	59,748 /90%	62,484 /92%	68,551 /93%	66,944 /91%	Increase attributed to improvements in technology.
Average number of days to complete physical evidence analysis requests	92	49	39	50	Data represents the average number of days evidence awaits analysis, not the average number of days to complete analysis. Data for 1994-95 was for one month, rather than the entire year. Decrease in 1995-96 performance attributed to the exclusion of serology analyses.

¹ FDLE reported inaccurate data for this measure in its Legislative Budget Requests and other agency documents. The data presented in this exhibit is correct.

Source: 1996-97 General Appropriations Acts, 1996-97, 1997-98 and 1998-99 Legislative Budget Requests, and FDLE staff

What improvements can be made to the Program's performance-based program budgeting measures and standards for Fiscal Year 1998-99?

The Investigations and Forensic Science Program continues to revise and improve its performance measures. While the continued improvement makes evaluation of Program performance difficult, it is an unavoidable part of the process as FDLE continues to refine its measures and the Legislature continues to adopt these new measures. The Program measures are now beginning to stabilize (see Exhibit 2).

The 1997-98 measures better describe Program activities and provide more useful information. For example, in 1997-98, the Legislature adopted two new measures, *average number of days to complete a serology request* and *average number of days to complete a DNA request* which provide a more accurate picture of Program services. Also in 1997-98, the Program began conducting surveys of various local criminal justice agencies to measure the value of their investigations and lab services to their customers. These measures better report the impact of Program services on the outcome of a case.

**Exhibit 2
The Performance-Based Program Budgeting Measures Have Been Refined to
Provide More Useful Information on Program Activities**

1996-97 Measures	1997-98 Measures	1998-99 Measures Proposed by FDLE
Investigative and Support Services		
Number of FDLE-initiated cases worked Number of non-FDLE cases worked	Combined: Number of criminal investigations worked	Modify: Number of criminal investigations worked (estimate 51% violent crime; 27% economic crime; 21% major drug crime; 2% public integrity case)
	New: Number of criminal investigations commenced	Modify: Number of criminal investigations commenced (estimate 51% violent crime; 27% economic crime; 21% major drug; 2% public integrity case)
Number/percent of local law enforcement cases assisted by FDLE closed Number/percent of FDLE-initiated cases closed	Combined: Number/percentage of criminal investigations closed	Continue
	New: Number/percentage of closed criminal investigations successfully concluded	Modify: Number/percentage of closed criminal investigations resolved
Number/percent of major FDLE-initiated cases resulting in an arrest	Modified: Number/percent of criminal investigations closed resulting in an arrest	Continue
	New: Number/percentage of cases where FDLE investigative assistance aided in obtaining a conviction	Continue
	New: Number/percentage of cases where FDLE investigative assistance was of value to the investigation	Continue
Number of intelligence issues or requests handled	Deleted: No data collection mechanism in place to accurately capture data.	
	New: Percentage of customers who found investigative intelligence valuable and current	Delete: FDLE not satisfied with survey and data. FDLE will develop more meaningful measures to account for intelligence issues or report intelligence issues annually in the Agency Strategic Plan Progress Report.
	New: Number of criminal profiling assists	Delete: Measure no longer a budget issue. This data will be rolled into "number of short-term investigative assists."
	New: Number of new profilers receiving training	Delete: Measure no longer a budget issue. Funding in 1997-98 provided training for up to three additional profilers. FDLE does not anticipate the training of additional profilers in the next two years.
	New: Number of short-term technical assists	Modify: Number of short-term investigative assists (includes criminal profiling assists)
	New: Number of Missing Children's Information Clearinghouse (MCIC) cases worked	Moved to FDLE's Information Program
	New: Number/percentage of missing children found through the assistance of MCIC	Moved to FDLE's Information Program

(Continued on next page)

Exhibit 2 (Continued)

1996-97 Measures	1997-98 Measures	1998-99 Measures Proposed by FDLE
Investigative and Support Services (continued)		
		<i>Proposed:</i> Percentage of population served by Serious Habitual Offender Comprehensive Action Program (SHOCAP)
		<i>Proposed:</i> Number of juveniles monitored through SHOCAP
		<i>Proposed:</i> Recidivism rate of juveniles monitored through SHOCAP
Laboratory Services		
Number of laboratory cases processed	<i>Deleted:</i> measure duplicative of "number/percentage of service requests by lab discipline completed"	
Number of analysis requests completed	<i>Deleted:</i> measure duplicative of "number/percentage of service requests by lab discipline completed"	
Number/percent of physical evidence analysis requests completed by FDLE	<i>Modified:</i> Number/percentage of service requests by lab discipline completed	<i>Continue</i>
Average number of days to complete physical evidence analysis requests	<i>Modified:</i> Average number of days to complete lab service requests (excluding serology and DNA)	<i>Continue</i>
	<i>New:</i> Average number of days to complete lab service requests for serology	<i>Continue</i>
	<i>New:</i> Average number of days to complete lab service requests for DNA	<i>Continue</i>
	<i>New:</i> Number of crime scenes processed	<i>Continue</i>
	<i>New:</i> Number of DNA samples added to DNA database	<i>Continue</i>
	<i>New:</i> Number of matches (hits) as a result of the DNA database	<i>Continue</i>
	<i>New:</i> Number of expert witness appearances in court proceedings	<i>Continue</i>
	<i>New:</i> Number of matches (hits) as a result of the Automated Fingerprint Information System (AFIS) database	<i>Continue</i>
	<i>New:</i> Number/percentage of physical evidence collection and analyses which were of value to customers in their investigation	<i>Continue</i>
	<i>New:</i> Number of inspections of law enforcement agencies utilizing breathtesting instruments	<i>Continue</i>
	<i>New:</i> Number of DUI breathtesting operators certified/recertified	<i>Continue</i>
	<i>New:</i> Percentage of cases in which physical evidence collection and analyses was useful in establishing a DUI offense	<i>Delete:</i> FDLE indicates that data for this measure is difficult to collect.
Preventative Services		
Number of individuals protected	<i>Modified:</i> Number of individuals provided with FDLE protective services	<i>Continue</i>
Number of emergency responses	<i>Modified:</i> Number of times FDLE responded to an emergency, as defined by Ch. 252, F.S.	<i>Continue</i>
	<i>New:</i> Number/percentage of customers who found FDLE's emergency preparedness and response efforts useful	<i>Continue</i>
Number of background investigations performed	<i>Continued</i>	<i>Continue</i>

Source: 1996-97 and 1997-98 General Appropriations Acts, 1998-99 Legislative Budget Request, and FDLE staff

The Legislature should revise the Program's proposed 1998-99 performance measures. Exhibit 3 describes OPPAGA's suggestions for adding, modifying, and eliminating measures to improve performance evaluation. In addition, to assist the Program in more accurately reporting data for these measures, we recommend FDLE develop a "measures manual" which defines the measures and standards and the methods used to collect data. This document should be distributed to Program staff statewide to ensure the consistent application of the 1998-99 measures.

The methodology for establishing performance standards should also be reviewed. As discussed previously, the 1996-97 standards were so low that the Program had already exceeded many of these standards the previous year. To develop these standards, Program staff had used available performance data, annualized it to reflect a full year's performance, and then added 3% to reflect a modest increase in Program performance. The same methodology will be used to develop standards for the proposed 1998-99 measures.

Because the Program exceeded all current year and most previous year standards, this methodology may not result in sufficiently ambitious standards. To improve this methodology, we recommend Program staff take into consideration baseline performance data. A modest 3% increase may not always be reflective of the current baseline data trend. For example, the *number of matches (hits) as a result of the DNA database* have increased at a much higher rate than 3% over the last three fiscal years. However, the Program met its Fiscal Year 1998-99 standard in Fiscal Year 1996-97. The standard does not appear to reflect increases in past years' performance.

Also, FDLE should consider external and internal factors and conditions when establishing the standards. For example, if FDLE has purchased new equipment that will allow them to perform more short-term investigative assists, the standard should be increased accordingly. Exhibit 4 describes OPPAGA's suggestions for improving the individual standards.

Exhibit 3

OPPAGA Recommendations to Improve the Proposed 1998-99 Performance-Based Program Budgeting Measures for the Investigations and Forensic Science Program

Output Measures	Comments	OPPAGA Recommendations
INVESTIGATIVE AND SUPPORT SERVICES		
Number of criminal investigations worked (estimate 51% violent crime; 27% economic crime; 21% major drug crime; 2% public integrity)	The number of investigations opened during the year or continued from a previous year. FDLE conducts independent investigations and investigations in partnership with other law enforcement agencies. According to FDLE's <u>Investigative Strategy</u> , the selected areas present the greatest need for assistance. This measure captures Investigative Services staff workload.	None
Number of criminal investigations commenced (estimate 51% violent crime; 27% economic crime; 21% major drug crime; 2% public integrity)	The number of investigations opened during the year. This measure captures Investigative Services staff workload.	None
Number/percentage of criminal investigations closed	Of those investigations worked, the number of cases closed during the year. This includes both resolved and unresolved cases. Examples of resolved cases include those in which the fugitive was apprehended, the case was presented to a grand jury, or the allegation was determined to be unfounded. Unresolved cases include those in which all leads have been exhausted, there is insufficient evidence to prosecute, or insufficient resources. This measure gauges the effectiveness of Investigative Services.	None
Number/percentage of closed criminal investigations resulting in an arrest	Of those investigations closed, the number of cases that resulted in the arrest of a suspect. The arrest does not have to have been made by FDLE. This measure gauges the effectiveness of Investigative Services.	Modify data collection to include the number of arrests made as well as the number of cases resulting in an arrest to better illustrate the impact of FDLE investigations.
Number of short-term investigative assists (includes criminal profiling assists)	These assists are specialized investigative assistance in technical or unique areas provided to local law enforcement agencies. These assists will be of limited resource commitment and limited duration (generally FDLE will have spent less than 40 man-hours). Examples of assistance include investigative consultation, crime scene assessment, criminal profiling, and polygraph testing. This measure captures Investigative Services staff workload.	Add "worked" to the end of the measure. This would help ensure a consistent definition and the proper collection of data.
Percent of population being served by SHOCAP	Serious Habitual Offender Comprehensive Action Program (SHOCAP) includes a variety of community services aimed at identifying and assisting juveniles who are habitual offenders of the law. FDLE's role is to provide coordination of this program with local	Eliminate this as a performance measure, but retain it as an internal measure.

(continued on next page)

Exhibit 3 (Continued)

Output Measures	Comments	OPPAGA Recommendations
INVESTIGATIVE AND SUPPORT SERVICES (Continued)		
Percent of population being served by SHOCAP <i>(continued)</i>	authorities. This measure gauges what portion of Florida's population is served by SHOCAP. Through Fiscal Year 1996-97, 31 Florida counties had a local SHOCAP program. While this is an important program in Florida's attempts to monitor dangerous juveniles, the resources and tasks FDLE dedicates to SHOCAP are rather modest and is not a core duty of this program.	
Number of juveniles monitored through SHOCAP	Local law enforcement agencies monitor juveniles through their local SHOCAP. FDLE collects and reports this information. While this is an important program in Florida's attempts to monitor dangerous juveniles, the resources and tasks FDLE dedicates to SHOCAP are rather modest and is not a core duty of this program.	Eliminate this as a measure, but retain it as an internal measure.
LABORATORY SERVICES		
Number/percentage of service requests by lab discipline completed	The service requests completed during the year. Examples of service requests include drug analysis, toxicology, serology, firearms, microanalysis, documents, latent prints, DNA, crime scene processing, and computer evidence recovery. More than one analysis may be conducted on a piece of evidence. This measure gauges the efficiency of Lab Services.	Eliminate the "by lab discipline" language. In its present form, this measure specifies that data be presented by lab discipline. However, for practical reasons, the information is presented as a total of all completed requests.
Number of crime scenes processed	If requested, FDLE technicians process the scene of a crime for any local, state, or federal law enforcement agency. Processing includes recording, collecting, and preserving physical evidence for examination. This measure captures Lab Services staff workload.	None
Number of DNA samples added to DNA database	The number of samples that have been profiled and entered into the DNA database. The DNA database is a collection of all DNA analyses done by FDLE. Suspect DNA housed in the database may provide a means of identification and connecting them to crimes. A recently enacted law requires certain offenders to provide FDLE a sample of their DNA to enter into the database. This measure captures Lab Services staff workload. In 1998-99, this measure was added to the program's list because FDLE was requesting a one-year increase in funding to alleviate sample backlog. This is not an issue for 1998-99. In addition, the resources FDLE dedicates to the DNA database in comparison to other areas are rather modest.	Eliminate this as a performance measure, but retain it as an internal workload measure. Replace "added" with "maintained" to more accurately reflect their workload.
Number of expert witness appearances in court proceedings	Lab personnel are often required to provide testimony to the court to explain laboratory analyses. This measure includes instances when staff are subpoenaed, yet never required to testify. Also, an appearance in court may range from one hour to a couple of days. Because of the large amount of variance in how an appearance is defined, this is not an effective measure of staff duties.	Eliminate this as a performance measure, but retain it as an internal workload measure. Improve the methodology to clearly define and count appearances for court proceedings.
Number of inspections of law enforcement agencies utilizing breath-testing instruments	As required by statute, this program is assigned the state's responsibility of inspecting all breath testing instruments once a year. Because these inspections are required by statute, FDLE will achieve this standard every year. In addition, the resources FDLE dedicates to testing instruments are modest.	Eliminate this as a performance measure, but retain it as an internal workload measure.
Number of DUI breath testing operators certified/recertified	The number of people employed by local law enforcement agencies that were either certified or recertified this year.	Eliminate this as a performance measure, but retain it as an internal measure.
PREVENTATIVE SERVICES		
Number of times FDLE responded to an emergency, as defined by Chapter 252, F.S.	FDLE provides the leadership role in implementing the Florida Mutual Aid Plan during emergencies and disasters. Examples of these emergencies include riots, immigration emergencies, and hurricanes. The measure also captures the preparatory and monitoring actions of program staff. This measure captures Preventative Services staff workload.	None
Number of background investigations performed	FDLE provides pre-appointment or pre-employment background investigations for the Governor, Cabinet members, the Senate, the Public Service Commission, the Department of Lottery, and FDLE. This measure captures Preventative Services staff workload.	None

Exhibit 3 (Continued)

Output Measures	Comments	OPPAGA Recommendations
<i>PREVENTATIVE SERVICES (Continued)</i>		
Number of individuals provided with FDLE protective services	FDLE provides full-time security for the Governor, first family, Governor's Mansion and Office, visiting dignitaries, and other individuals as identified in law. This measure captures Protective Services staff workload. The amount and type of protective services the Governor and his family receive compared to other dignitaries differs. Also, the services provided to the Governor and his family do not fluctuate from year to year. However, both are categorized as "protective services" to calculate this measure.	Replace "individuals" with "dignitaries." Exclude the Governor and his family in the collection of data for this measure. This measure would then only report the number of other dignitaries receiving protective services.
Outcome Measures		
<i>INVESTIGATIVE AND SUPPORT SERVICES</i>		
Number/percentage of closed criminal investigations resolved	Of those investigations closed, the number of cases resolved during the year. Examples of resolved cases include those in which the fugitive was apprehended, the case was presented to a grand jury, or the allegation was determined to be unfounded. This measure gauges the efficiency and effectiveness of Investigative Services.	None
Number/percentage of cases where FDLE investigative assistance aided in obtaining a conviction	Of those investigations closed, in how many did FDLE's investigative assistance aid in the conviction of a suspect? Requires FDLE to survey prosecutors concerning recently completed cases. This measure gauges the efficiency and effectiveness of Investigative Services.	None
Number/percentage of cases where FDLE investigative assistance was of value to the investigation	Of those investigations closed, in how many was FDLE's investigative assistance of value to the investigation? Requires FDLE to survey law enforcement agencies concerning recently completed cases. This measure gauges the efficiency and effectiveness of Investigative Services	None
Recidivism rate of juveniles monitored through SHOCAP	The rate in which those juveniles who were previously served by SHOCAP have been re-arrested.	Eliminate this as a performance measure, but retain it as an internal measure.
<i>LABORATORY SERVICES</i>		
Average number of days to complete lab service requests (excluding serology and DNA)	The average total number of days taken to complete all service requests (excluding DNA and serology). Examples of service requests include drug analysis, toxicology, firearms, and microanalysis. This measure gauges the efficiency of Lab Services.	None
Average number of days to complete lab service requests for serology	The average total number of days taken to complete all service requests for serology. This type of analysis involves using a variety of chemical and techniques to identify body fluids and determine their origin. This measure gauges the efficiency of Lab Services.	None
Average number of days to complete lab service requests for DNA	The average total number of days taken to complete all service requests for DNA. This type of analysis also involves identifying body fluids and determining their origin by detecting variations in a person's DNA sequence. This measure gauges the efficiency of Lab Services.	None
<i>Number/percentage of lab service requests completed within acceptable "average number of days" standard. (Should include all lab disciplines)</i>	<i>According to local criminal justice agencies, the timeliness of lab analyses was one of their key concerns. Using the "average number of days" standard set in the three measures above, this measure would gauge the number of service requests completed within that time period. This measure gauges the efficiency of Lab Services.</i>	Add this measure.
Number of matches (hits) as a result of the DNA database	The DNA database is a collection of DNA analyses. A hit occurs when a suspect's sample is matched with a sample in the database.	Move this measure to the Program's list of outputs in connection with the creation of the next measure (which provides a more accurate description of an outcome for the DNA database).
<i>Number of cases resolved as a result of DNA database hits</i>	<i>In recent years, the DNA database has received a large amount of funding to improve its use as a tool for identifying repeat offenders. This measure would identify the number of resolved cases linked to database hits to gauge the effectiveness of this service.</i>	Add this measure.
Number of matches (hits) as a result of the AFIS database	The AFIS database (Automated Fingerprint Identification System) is a collection of fingerprints from arrested individuals and those prints collected from crime scenes. A hit occurs when a fingerprint from a crime scene is matched to the database. This database is a component of the Florida Crime Information Center (FCIC) housed within the FDLE Information Program.	Move this measure to the Program's list of outputs in connection with the creation of the next measure (which provides a more accurate description of an outcome for the AFIS database).

Exhibit 3 (Continued)

Outcome Measures	Comments	OPPAGA Recommendations
LABORATORY SERVICES		
<i>Number of cases resolved as a result of AFIS database hits</i>	<i>This measure would identify the number of cases linked to database hits, thereby helping to capture the state's return on its recent investments. This measure would gauge the effectiveness of this service.</i>	Add this measure.
Number/percentage of physical evidence collection and analyses which were of value to customers in their investigation	Of the lab services completed, in how many instances was this assistance of value to the investigation? Requires FDLE to survey laboratory users concerning recently completed services (evidence collection and lab analyses). This measure gauges the efficiency and effectiveness of Lab Services.	None
PREVENTATIVE SERVICES		
Number/percentage of customers who found FDLE's emergency preparedness and response efforts useful	Of those incidents in which FDLE provided Mutual Aid efforts, in how many instances was their assistance useful? Requires FDLE to survey users of Mutual Aid efforts concerning recent emergencies. This measure gauges the efficiency and effectiveness of Preventative Services.	None

Source: Office of Program Policy Analysis and Government Accountability, interviews with FDLE staff, and 1998-99 Legislative Budget Request

Exhibit 4
The Legislature Should Consider Adjusting Some of the Proposed
1998-99 Performance Standards

Output Measures	1998-99 Standard	OPPAGA's Comments and Recommendations
Investigative and Support Services		
Number of criminal investigations worked	2,636	Increase standard. Requested standard is the same as actual Fiscal Year 1996-97 performance and does not reflect an increase in the number of investigations worked in recent years.
Number of criminal investigations commenced	1,419	Increase standard. Requested standard is the same as actual Fiscal Year 1996-97 performance.
Number/percentage of criminal investigations closed	1,204 (46%)	Increase number of investigations closed standard. Requested standard is less than the number closed in Fiscal Year 1996-97 and does not reflect an increase in the number of investigations closed in recent years.
Number/percentage of closed criminal investigations closed resulting in an arrest	672 (56%)	Increase number of investigations closed resulting in an arrest standard. Performance on this standard for the first six months of Fiscal Year 1997-98 was 400.
Number of short-term investigative assists (includes criminal profiling assists)	566	Increase standard. FDLE expects more short-term assists to be performed because of recently purchased equipment. Performance on this standard for the first six months of Fiscal Year 1997-98 was 550.
Percent of population being served by SHOCAP	90%	None
Number of juveniles monitored through SHOCAP	1,000*	None
Laboratory Services		
Number/percentage of service requests by lab discipline completed	70,000 (95%)	None
Number of crime scenes processed	500	Increase standard. Requested standard is less than the number processed in Fiscal Year 1996-97 and does not reflect an increase in crime scenes processed in recent years. Performance on this standard for the first six months of Fiscal Year 1997-98 was 281.
Number of DNA samples added to the DNA database	7,000	None
Number of expert witness appearances in court proceedings	2,100	None
Number of inspections of law enforcement agencies utilizing breath-testing instruments	900	None
Number of DUI breath testing operators certified/recertified	2,750	None

Exhibit 4 (Continued)

Output Measures	1998-99 Standard	OPPAGA's Comments and Recommendations
Preventative Services		
Number of times FDLE responded to an emergency, as defined by Chapter 252, F.S.	20	Increase standard. Requested standard is less than the number responded to in Fiscal Year 1996-97 and does not reflect an increase in emergencies responded to in recent years.
Number of background investigations performed	3,500	Increase standard. FDLE should expect an increase in background investigations because Fiscal Year 1998-99 is an election year. Requested standard is less than the number performed in Fiscal Year 1996-97 and performance on this standard for the first six months of Fiscal Year 1997-98 was 2,619.
Number of individuals provided with FDLE protective services	52	Increase standard. FDLE should expect an increase in individuals protected because Fiscal Year 1998-99 is an election year. Requested standard is less than the number protected in Fiscal Year 1996-97 and performance on this standard for the first six months of Fiscal Year 1997-98 was 66.
Outcome Measures	1998-99 Standard	OPPAGA's Comments and Recommendations
Investigative and Support Services		
Number/percentage of closed criminal investigations resolved	951 (79%)	Increase <i>number</i> of closed investigations resolved standard. Performance on this standard for the first six months of Fiscal Year 1997-98 was 574.
Number/percentage of cases where FDLE investigative assistance aided in obtaining a conviction	97%	None
Number/percentage of cases where FDLE investigative assistance was of value to the investigation	95%	None
Recidivism rate of juveniles monitored through SHOCAP	Data not available	Because of the difficulties in collecting data, FDLE is working with local authorities to revise this measure.
Laboratory Services		
Average number of days to complete lab service requests (excluding serology and DNA)	30	None
Average number of days to complete lab service requests for serology	50	None
Average number of days to complete lab service requests for DNA	120	None
Number of matches (hits) as a result of the DNA database	30	Increase standard. Requested standard is less than the number of hits in Fiscal Year 1996-97 and does not reflect an increase in hits in recent years.
Number of matches (hits) as a result of the AFIS database	2,800	None
Number/percentage of physical evidence collection and analyses which were of value to customers in their investigation	59,500 (85%)	None
Preventative Services		
Number/percentage of customers who found FDLE's emergency preparedness and response efforts useful	95%	None

* While data was not available when the Legislative Budget Request was submitted, FDLE now has this information and recommends a standard of 1,000.

Source: OPPAGA, interviews with FDLE staff, and 1998-99 Legislative Budget Request

Conclusions and Recommendations

The Investigations and Forensic Science Program's 1996-97 measures indicate workload has generally increased each of the last three fiscal years. Also, Program efficiency may be improving. More definitive conclusions about Program performance cannot be drawn for three reasons: limited use of outcomes for measuring Program impact, lack of internal controls and procedures, and limited use of standards as benchmarks.

The Program continues to revise and improve its proposed measures to provide more useful information to the Legislature. To facilitate this process, we recommend that the Legislature:

- revise the 1998-99 performance measures as specified in Exhibit 3; and
- revise the 1998-99 performance standards as specified in Exhibit 4.

To facilitate this process, we recommend that FDLE:

- improve its methodology for establishing performance standards;
- develop unit-cost measures which are linked to the performance measures. OPPAGA recommended that the Program develop unit-cost measures in Report No. 96-47. Unit cost measures would enable the Legislature to determine the efficiency with which the Program performs its basic functions; and
- continue efforts to ensure data reliability. For example, develop an internal "measures manual" which defines the measures and specifies internal procedures for collecting and reporting data.

Agency Response

The Executive Director of the Florida Department of Law Enforcement agreed with our recommendations and described actions the Department is taking to address our concerns. A copy of his full response is available upon request.

OPPAGA provides objective, independent, professional analyses of state policies and services to assist the Florida Legislature in decision-making, to ensure government accountability, and to recommend the best use of public resources. Copies of this report in print or alternate accessible format may be obtained by telephone (850/488-0021 or 800/531-2477), by FAX (850/487-3804), in person (Claude Pepper Building, Room 312, 111 W. Madison St.), or by mail (OPPAGA Report Production, P.O. Box 1735, Tallahassee, FL 32302). Web site: <http://www.oppaga.state.fl.us/>

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Appendix E

OPPAGA Review of the Performance of the Florida Department of Law Enforcement's Information Program Issued February 1998 (Report No. 97-40)

Abstract

- Use of the Criminal Justice Information Program's services and technology increased substantially during Fiscal Year 1996-97.
- However, the 1996-97 performance-based program budgeting measures provide inadequate information for evaluating the quality of the Program's services and technology.
- The Legislature should modify the 1998-99 performance measures to better assess the Program's performance.
- The Department should improve its methodology for developing standards that better reflect the impact of technological change.

Purpose

Chapter 94-249, Laws of Florida, directs state agencies to prepare performance-based program budgeting measures in consultation with the Governor's Office of Planning and Budgeting, staff from the appropriate legislative committees, and the Office of Program Policy Analysis and Government Accountability (OPPAGA). State agencies are then required to submit a performance-based program budget request, with performance measures and standards, to the Legislature for approval. The Legislature includes the performance measures and standards it has approved in the annual General Appropriations Act.

State agencies must report annually on performance against these standards to the Governor and the Legislature in subsequent legislative budget requests. The Legislature considers this information in making funding decisions. The Legislature can also award incentives and disincentives for program performance that exceeds or fails to meet the established standards.

Section 11.513, F.S., directs OPPAGA to complete a program evaluation and justification review of each state agency program operating under a performance-based program budget. The Legislature authorized the Florida Department of Law Enforcement's Criminal Justice Information Program to operate under a performance-based budget in Fiscal Year 1996-97.

This is the first of two reports presenting the results of our program evaluation and justification review of the Department of Law Enforcement's Criminal Justice Information Program. In this review, we examined the Program's performance compared to the standards for Fiscal Year 1996-97 and options for improving the Program's measures and standards for Fiscal Year 1998-99. Our second report, addressing Program performance and policy alternatives for reducing costs and improving services, will be published before July 1, 1998.

Background

The purpose of the Criminal Justice Information Program is to provide criminal justice data and information services to criminal justice and law enforcement agencies. The Program operates a telecommunications network, known as the Florida Crime Information Center (FCIC), to provide agency-to-agency communication and access to computerized criminal justice information. For example, FCIC

provides information to help law enforcement officers identify and apprehend criminals and recover stolen property. For this reason, Florida's law enforcement community depends on the Program to ensure that data are accurate, timely and accessible.

The Program's three main service areas are:

- **Central Records Services** which includes the maintenance of criminal history records, such as Florida Crime Information Center hot files.¹ Computerized Criminal History files, juvenile criminal history records, and fingerprint images; and a Help Desk to provide customer support;
- **Information Network Services** which provides criminal justice agency customers with hardware, software programming, and communications technology necessary to maintain and share criminal justice information; and
- **Identification Screening and Statistical Analysis Services** which provides criminal identification and screening to criminal justice and non-criminal justice agencies and private citizens to identify persons with criminal warrants, arrests and convictions, and publishes the annual Uniform Crime Report, which contains statistical and analytical information about crime trends.

The Criminal Justice Information Program, one of the Department's three performance-based budgeting programs, represents 25% of the Department's total budget. In Fiscal Year 1996-97, the Program was authorized 362 positions and appropriated \$29.7 million.

Findings

Using the 1996-97 performance-based budgeting measures and standards, what can be concluded about the Program's performance?

The use of the Criminal Justice Information Program's services and technology increased from Fiscal Year 1995-96 to 1996-97.² That is, the **quantity** of most Program outputs increased. However, the Fiscal Year

¹ FCIC "Hot files" system provides information on wanted and missing persons, stolen vehicles, and other stolen property. This information is entered and removed by local law enforcement agencies, not by FDLE.

² Fiscal Year 1996-97 measures are the Program's first set of performance-based measures and Fiscal Year 1996-97 is the only year for which there is complete data for these measures.

1996-97 measures provide inadequate information to assess the **quality** of these services.

Use of the Program's information services by local law enforcement and other customers increased from Fiscal Years 1995-96 to 1996-97. For example, the number of data transactions on the Florida Crime Information Center network increased 28% from Fiscal Years 1995-96 to 1996-97 (see Exhibit 1). Requests for record checks and crime statistics also increased. For example, the number of requests for crime statistics almost doubled from Fiscal Year 1995-96 to 1996-97. The Program responded to these requests with no additional staff, reflecting the Program's increased efficiency.

The overall increase in Program services (outputs) can be attributed, in part, to better staff performance and enhancement of Program technology. However, to a large extent, these outputs are demand-driven and influenced by factors other than the Program's performance. For example, *the number of records maintained* measures the number of records in the Department's database, but changes in this number are primarily a function of the arrest activities of local law enforcement. Similarly, *the number of responses to requests for record checks* is driven by the number of people purchasing firearms or applying for licenses or sensitive employment. As a result, these measures are not very meaningful for assessing the Department's performance.

Despite these limitations, output measures play an important role in the legislative budgeting process. The number of record checks may not measure the quality or impact of Department performance, but this information does allow policy makers to track the workload of the Program over time. Output measures are also helpful for developing unit cost information.

The usefulness of the Criminal Justice Information Program's Fiscal Year 1996-97 outcome measures for measuring the quality of the Program's technology and services is limited. Three of the Program's performance measures are designed to provide information on the quality of Program performance. These outcome measures address timeliness, accessibility, and data accuracy, all of which are critical to the usefulness of criminal justice information. However, each of these measures has limitations (see Exhibit 1). Given these limitations, the quality of the Program's services cannot be sufficiently gauged.

Exhibit 1
Use of FDLE's Data, Technology and Information Services Increased
From Fiscal Year 1995-96 to 1996-97¹

Fiscal Year 1996-97 Measures	Fiscal Year		GAA Standard 1996-97	Comments
	1995-96	1996-97		
OUTPUTS:				
Number of agencies/workstations networked	686 / 9,380	725 / 10,111	700 / 11,500	Data reflect increased demand for and access to computerized crime data and improvements to Florida Crime Information Center (FCIC) technology. Did not meet standard because Department has reduced local law enforcement access to network until the new message switch is installed in 1998.
Number of data transactions	292,344,911	373,121,545	300,000,000	Data reflect increased use of the FCIC system by local law enforcement and improvements to FCIC technology.
Number of records maintained	5,225,132	5,643,360	5,756,765	Data reflect increased use of FCIC system by local law enforcement, arrest levels, and file updating by FDLE and local law enforcement. Did not meet standard because the Department deleted more poor quality fingerprint records than estimated.
Number of responses to requests for crime statistics	3,356	6,383	3,030	Data reflect increased demand for Uniform Crime Report statistics and FDLE workload. The Department began measuring web site visits in Fiscal Year 1996-97. As a result, the increase may be attributed, in part, to changes in how data were collected.
Number of responses to requests for record checks	1,147,912	1,334,770	1,238,690	Data reflect work by Program staff to respond to increased requests for FDLE's record check services.
OUTCOMES:				
Percent of responses to customer within defined timeframe (FCIC customer - 3 second timeframe)	95.3%	94%	98%	Data reflect performance of FCIC message switch based on a sample of simulated queries, not response time to actual customers. Did not meet standard due to failure of the current message switch.
Percent of time computer systems are running and accessible	99.9%	99%	99%	Data reflect performance of FCIC message switch. Percentages cannot be compared due to inconsistent rounding methods. Small changes in the measure can be significant; one percentage point represents 88 hours of downtime.
Percent of times crime data from FDLE was deemed accurate	88.6%	92%	95%	Data reflect accuracy of computerized crime data (FCIC hot file data) entered and updated by local law enforcement, not FDLE. Measure has been discontinued because the Department determined that the accuracy of the hot file data was not within its control.
Number / % of criminals identified during record checks for sensitive employment, licensing or gun purchase	136,355 / 12%*	152,599 / 11%*	168,189 / 13%	Data reflect how many criminals are in the population screened. Number/percentage is not determined by Department performance. Data for Fiscal Years 1995-96 and 1996-97 based on estimates. A law requiring "grandfathered" certified school personnel to have record checks resulted in a lower percentage.

*Department estimate

¹ Adequate documentation for Fiscal Year 1994-95 data was not available.

Source: 1996-97 General Appropriations Act and 1996-97, 1997-98, and 1998-99 Legislative Budget Requests

For Fiscal Year 1996-97, the Department did not have adequate procedures in place for data collection and reporting. The Department's Inspector General identified a number of deficiencies associated with the collection of Fiscal Year 1996-97 performance measure data. For example, the Department had no quality control process in place to verify the accuracy of data Program staff collected and compiled. In addition, the Department did not have a formal process for aggregating Program data to report to the Legislature. Lack of formal procedures for compiling and verifying data may lead to errors that reduce data reliability.

We identified other problems with Program data, including inconsistent methods of rounding and reporting data. These data reporting and reliability concerns limit the conclusions we can make about the Program's Fiscal Year 1996-97 performance and limit the Legislature's ability to compare performance data across fiscal years (see Exhibit 1).

What improvements can be made to the Program's performance-based program budgeting measures and standards for Fiscal Year 1998-99?

The Program's performance-based program budgeting measures have improved over time. In Fiscal Year 1997-98 the Legislature added more appropriate and useful measures for data quality and timeliness, as well as a number of customer satisfaction measures. For example, the measure for the timeliness of responses to requests for record checks relates directly to the efficiency of Program procedures and the performance of Program staff and management. The Legislature also clarified the meaning of several Fiscal Year 1997-98 measures (see Exhibit 2).

In general, the Fiscal Year 1998-99 measures provide better information on Program performance than the measures for the previous fiscal years. For example, the Program has proposed a new measure for the number of missing children found through the Department's Missing Children's Information Clearinghouse. This measure directly relates to the Program's impact on public safety.

The measures for Fiscal Year 1998-99 can be further improved. A number of measures should be modified to clarify their meaning and improve their usefulness for assessing the performance of the Program. In addition, the Department should develop unit cost measures for the Program's key activities. Exhibit 3 describes our recommendations for making these improvements.

Also, there is no measure for an important Program function—technical assistance and customer support. While there are a number of general customer

satisfaction measures related to the usefulness of crime data provided by the Program, there is no measure to assess the quality of the services and technical assistance provided to customers through the Program's Help Desk.

The Department has requested several realistic, yet ambitious, standards. However, we recommend that some standards be adjusted to better reflect the impact of external and internal factors (see Exhibit 4).

The Department has requested appropriately ambitious standards for Program measures related to customer satisfaction, response timeliness, and accessibility to the Florida Crime Information Center network. The Department has also raised its requested standard for *the percentage of felony criminal history records with complete disposition data* from 65% to 77%. In Fiscal Year 1996-97, the percentage of felony records with complete disposition data was 64%, and it has increased only slightly since then. Given this starting point, a standard of 77% is an ambitious goal. Standards related to the quality of criminal justice data, however, should be ambitious because law enforcement agencies make decisions based on this information that have a direct impact on public safety.

The requested standard for data accuracy is not based on reliable baseline data. The Department has requested a standard of 80% for *the percentage of criminal history data on file compiled accurately*. While there is no reliable baseline for the accuracy of criminal history data, the Department estimates the accuracy rate to be 77%. The Department plans to contract with consultants to perform an audit of criminal history data. Until these data have been audited, there is no basis to determine if the requested standard for data accuracy is realistic or appropriate. Given how crucial accuracy is to the usefulness of criminal history data, the standard should be based on sound, reliable data and set as ambitiously as possible.

Some standards may not adequately reflect the impact of technological change. The level at which some standards are set may not adequately take into account the impact of technological changes. Access to information on the Department's web site, for example, has dramatically increased the number of requests for crime statistics. As a result, the standard for this measure for Fiscal Year 1997-98 was exceeded in the first six months of that year (see Exhibit 4).

Exhibit 2
The Performance-Based Program Budgeting Measures Have Been Refined
to Provide More Useful Information on Program Activities

1996-97 Measures	1997-98 Measures	1998-99 Measures Proposed by FDLE
Number of agencies/workstations networked	Modified: Number of agencies/Florida Crime Information Center (FCIC) workstations networked	Continue
Number of data transactions	Modified: Number of FCIC data transactions	Continue
Number of records maintained	Modified: Number of hot files, Computerized Criminal History (CCH), and Automated Fingerprint Identification System (AFIS) records maintained	Continue
Number of responses to requests for crime statistics	Continued	Modify: Number of requests for crime statistics
Number of responses to requests for record checks	Modified: Number of responses to requests for criminal history record checks	Continue
	New: Number of counties on-line with AFIS Livescan	Modify: Number of counties/agencies on-line with AFIS Livescan
Percent response to customer within defined timeframe	Modified: Percentage of on-line responses to FCIC customer within defined timeframe (3 seconds)	Continue
	Modified: Percentage response to criminal history record check customers within defined timeframes	Continue
Percent of time computer systems are running and accessible	Modified: Percentage of time FCIC is running and accessible	Continue
Percent of times crime data from FDLE was deemed accurate (accuracy of FCIC hot files)	New: Percentage of criminal history data on file compiled accurately (accuracy of CCH files)	Continue
Number/percent of criminals identified during record checks for sensitive employment, licensing, or gun purchase	Modified: Number/percentage of criminals identified during criminal history record checks for sensitive employment, licensing or gun purchase	Continue
	New: Percentage of time felony criminal history records were deemed complete	Modify: Percentage of felony criminal history records with complete disposition data
	New: Percentage of customers satisfied with on-line crime data provided by the FCIC	Continue
	New: Percentage of customers satisfied with available crime statistics	Continue
	New: Percentage of customers satisfied with criminal history record check services	Continue
	New: Average turnaround time for AFIS Livescan	Continue
		Proposed: Number of Missing Children cases worked through Missing Children Information Clearinghouse (MCIC)*
		Proposed: Number of registered sexual predators / offenders identified to the public
		Proposed: Number of responses to requests for sexual predator/offender information
		Proposed: Number of missing children found through MCIC*

*Measures related to the Missing Children Information Clearinghouse (MCIC) were under the Investigations/Protection PB² Program in Fiscal Year 1997-98 and were transferred to the Information Program in Fiscal Year 1998-99.

Source: 1996-97 and 1997-98 General Appropriations Act and 1998-99 Legislative Budget Request

Exhibit 3
OPPAGA Recommendations to Improve the Proposed 1998-99 Performance-Based Program
Budgeting Measures for the Information Program

Output Measures	Comments	OPPAGA Recommendations
Number of Missing Children cases worked through Missing Children Information Clearinghouse (MCIC)	This is an appropriate measure of Program staff's workload.	None
Number of agencies/ Florida Crime Information Center (FCIC) workstations networked	This is an appropriate measure to show the number of agencies/workstations that have access to FCIC. Increases in this number reflect enhancements to the technical capacity of the FCIC message switch, but the measure does not show how well FDLE is meeting the demand for access to FCIC.	Add outcome measure to assess the extent to which FDLE meets requests by criminal justice agencies for network access to FCIC
Number of FCIC data transactions	This is an informational measure. While it is an indicator of the volume of transactions the FCIC system can handle, it is driven primarily by local law enforcement's use of the system.	None
Number of hot files, Computerized Criminal History (CCH), and Automated Fingerprint Identification System (AFIS) records maintained	This is an informational measure. The number is influenced primarily by local law enforcement activity, rather than Program performance.	Delete
Number of requests for crime statistics	This is a measure of the demand for Uniform Crime Report (UCR) information and a workload indicator for Program staff who respond to the requests.	None
Number of responses to requests for criminal history record checks	This is an appropriate measure of Program staff's workload.	Add unit cost measure to identify the cost per response
Number of registered sexual predators / offenders identified to the public	This is an informational measure. It is influenced primarily by factors outside the Program's control, but it is also an indicator of Program workload. The meaning of measure should be clarified.	Change to <i>Number of sexual predators / offenders identified on the Department's web site</i>
Number of responses to requests for sexual predator/offender information	This measure is primarily driven by the public's demand for information, which is influenced by media events, and visits to the Department website. It is also an indicator of Program staff's workload.	None
Number of counties/agencies on-line with AFIS Livescan	Agencies with AFIS Livescan equipment may be "on-line" but not "fully operational."	Change to <i>Number of counties /agencies fully operational with AFIS Livescan</i>
Outcome Measures	Comments	OPPAGA Recommendations
Percentage of on-line responses to FCIC customer within defined timeframe (3 seconds)	The wording for this measure is somewhat misleading. It is a measure of the performance of the FCIC message switch, not the response time to actual customers.	Change wording to show <i>% of responses to simulated FCIC queries within defined timeframe</i>
Percentage of responses to criminal history record check to customers within defined timeframes	This is an appropriate measure of the timeliness of the criminal record checking process.	None
Percentage of time FCIC is running and accessible	The FCIC system is in operation 24-hours a day. Differences in performance of one percentage point can mean 88 hours of down time. Actual hours of system downtime is a more meaningful way of reporting this data.	Include number of hours the system is down as well as percentage of time system is running and accessible
Percentage of criminal history data on file compiled accurately	The Department is in the process of contracting for an audit of the data to assess its accuracy. This audit will provide information necessary to assess the appropriateness of this measure.	Audit criminal history data as soon as possible
Number/ percent of criminals identified during criminal history record checks for sensitive employment, licensing or gun purchase	The measure shows how many individuals with felony records are trying to purchase firearms, and how many with criminal records are applying for sensitive employment and licenses. Results for this measure are not within the Department's control, so it is not a useful performance measure.	Use measure for informational purposes only
Percentage of customers satisfied with on-line crime data provided by FCIC	This is an appropriate measure of customer satisfaction.	None
Percentage of customers satisfied with available crimes statistics	This is an appropriate measure of customer satisfaction.	None
Percentage of customers satisfied with criminal history record check service	This is an appropriate measure of customer satisfaction.	None
Average turnaround time for AFIS Livescan	This is an appropriate measure of the response time of the new AFIS technology, but until AFIS Livescan is widely implemented, the turnaround time may be based on relatively few fingerprint transactions.	Show number of fingerprint transactions upon which turnaround is based
Number/percentage of missing children found through MCIC	This is an appropriate measure of impact of MCIC.	None
Percentage of felony criminal history records with complete disposition data.	This is an appropriate measure of the completeness of criminal history records.	None

Source: Office of Program Policy Analysis and Government Accountability, interviews with FDLE staff, and 1998-99 Legislative Budget Request

The demand for network access to the Florida Crime Information Center (FCIC) system has also been affected by changes in information technology. Mobile digital technology will enable law enforcement agencies to equip every patrol car with computers capable of network access to the Florida Crime Information Center system. As more agencies move towards this new technology, the demand for network access will increase dramatically. With installation of a new message switch scheduled for mid-1998, the Florida Crime Information Center system's network capacity will no longer be limited. While the requested Fiscal Year 1998-99 standard for *number of FCIC agencies/workstations networked* has been increased, it may not reflect the increased demand for access resulting from the advent of the new mobile terminal technology. In Exhibit 4, we recommend that the Legislature consider raising the standards for three output measures that are impacted by changes in information technology.

Conclusions and Recommendations

Local law enforcement's use of the Criminal Justice Information Program's services and technology increased substantially from Fiscal Year 1995-96 to 1996-97. The Fiscal Year 1996-97 measures, however, provide limited information about the quality of the Program's services and technology.

The Legislature has improved the Fiscal Year 1997-98 and 1998-99 measures to address the shortcomings of the Fiscal Year 1996-97 measures. For example, the Legislature added measures that better assess the quality of the Program's services, such as data accuracy and customer satisfaction measures.

We provide a number of recommendations for further improving the Fiscal Year 1998-99 measures. We recommend that the Legislature clarify the meaning of several measures and further improve the Program's outcome measures, especially those related to data quality, timeliness and accessibility. As we recommended in OPPAGA Report 96-47, *Status Report on FDLE's Initial Efforts in Performance-based Program Budgeting*, the Department should develop unit cost measures for Fiscal Year 1998-99. Unit cost measures would enable the Legislature to determine the efficiency with which the Department performs its basic functions. These and other recommendations are described in Exhibit 3.

We also recommend that the Department improve its methodology for developing standards by incorporating the impact of technological changes. The Department should also ensure that reliable baseline data are used to develop standards, particularly the standard for the accuracy of criminal history data. These and other recommendations are described in Exhibit 4.

Agency Response

The Executive Director of the Florida Department of Law Enforcement agreed with our recommendations and described actions the Department is taking to address our concerns. A copy of his full response is available upon request.

Exhibit 4

The Legislature Should Consider Adjusting Some of the Proposed 1998-99 Performance Standards

Output Measures	1998-99 Standard	OPPAGA Comments and Recommendations
Number of Missing Children cases worked through Missing Children Information Clearinghouse (MCIC)*	561	Increase standard. Requested standard is the same as actual Fiscal Year 1996-97 performance and does not reflect expected increases in cases for Fiscal Years 1997-98 and 1998-99.
Number of agencies/ Florida Crime Information Center (FCIC) workstations networked	800 / 13,000	Increase standard to reflect technological changes (new message switch, mobile digital technology).
Number of FCIC data transactions	400 million	Increase standard to reflect technological changes (new message switch, mobile digital technology).
Number of hot files, Computerized Criminal History (CCH), and Automated Fingerprint Identification System (AFIS) records maintained	6.22 million	Reasonable standard, but measure reflects arrest activities of local law enforcement, rather than Program performance.
Number of requests for crime statistics	7,725	Increase standard to adequately account for requests made through the Department's web site. Performance on this measure for the first six months of Fiscal Year 1997-98 was 14,485.
Number of responses to requests for criminal history record checks	1,708,486	None
Number of registered sexual predators / offenders identified to the public	21,608	Decrease standard to exclude offenders still incarcerated at the end of Fiscal Year 1998-99. FDLE is required to identify all sexual offenders / predators within 60 days of their release from prison, not offenders / predators still incarcerated.
Number of responses to requests for sexual predator/offender information	76,627	None
Number of counties/agencies on-line with AFIS Livescan	40	Reasonable standard; 40 counties represent 98% of fingerprint submissions.
Outcome Measures	1998-99 Standard	OPPAGA Comments and Recommendations
Percentage of on-line responses to FCIC customer within defined timeframe (3 seconds)	96%	None
Percentage of responses to criminal history record check to customers within defined timeframes	90%	None
Percentage of time FCIC is running and accessible	99%	None
Percentage of criminal history data on file compiled accurately (CCH files)	80%	Until accurate baseline data is available, the appropriateness of the standard cannot be determined.
Number/ percent of criminals identified during criminal history record checks for sensitive employment, licensing, or gun purchase	205,018 / 12%	Reasonable standard, but standard reflects #/% of criminals in population screened, not the Program's performance. External factors may change #/% up or down.
Percentage of customers satisfied with on-line crime data provided by FCIC	98%	None
Percentage of customers satisfied with available crimes statistics	97%	None
Percentage of customers satisfied with criminal history record check service	94%	None
Average turnaround time for AFIS Livescan	10 minutes	None
Number of missing children found through MCIC*	40	Adjust standard to reflect the expected increase in the number of MCIC cases worked.
Percentage of felony criminal history records with complete disposition data	77%	None

*Measures related to the Missing Children Information Clearinghouse (MCIC) were under the Investigations/Protection PB² Program in Fiscal Year 1997-98 and were transferred to the Information Program in Fiscal Year 1998-99.

Source: Office of Program Policy Analysis and Government Accountability, interviews with FDLE staff, and 1998-99 Legislative Budget Request

OPPAGA provides objective, independent, professional analyses of state policies and services to assist the Florida Legislature in decision-making, to ensure government accountability, and to recommend the best use of public resources. Copies of this report in print or alternate accessible format may be obtained by telephone (850/488-0021 or 800/531-2477), by FAX (850/487-3804), in person (Claude Pepper Building, Room 312, 111 W. Madison St.), or by mail (OPPAGA Report Production, P.O. Box 1735, Tallahassee, FL 32302).
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Appendix F

OPPAGA Review of the Performance of the Florida Department of Law Enforcement's Professionalism Program Issued February 1998 (Report No. 97-42)

Abstract

- **The Professionalism Program has gained some efficiency in performing audits of criminal justice agencies and training schools and has improved the passing rate of its professional certification examination.**
- **Additional conclusions about Program performance cannot yet be made because the 1996-97 measures do not sufficiently address the impact of Program activities.**
- **Changes to the Program's measures and standards have enhanced their usefulness. However, some additional modifications are needed to provide the Legislature with more meaningful information.**

Purpose

Chapter 94-249, Laws of Florida, directs state agencies to prepare performance-based program budgeting measures in consultation with the Governor's Office of Planning and Budgeting, staff from the appropriate legislative committees, and the Office of Program Policy Analysis and Government Accountability (OPPAGA). State agencies are then required to submit performance-based program budget requests, which include performance measures and standards to the Legislature for approval. The Legislature includes the approved performance measures and standards in the annual General Appropriations Act.

State agencies must report annually on performance against these standards to the Governor and the Legislature in their legislative budget requests. The Legislature considers this information in making funding decisions. The Legislature can also award incentives and disincentives for program performance that exceeds or fails to meet the established standards.

Section 11.513, F.S., directs OPPAGA to complete a justification review of each state agency program that is operating under a performance-based program budget. OPPAGA is to review each program's performance-based program budgeting measures and standards and identify alternative means for providing program services. The Legislature authorized the Professionalism Program to operate under a performance-based program budget in Fiscal Year 1996-97.

This is the first of two reports presenting the results of our program evaluation and justification review of the Department of Law Enforcement's Professionalism Program. In this report, we discuss the Program's performance compared to the legislative measures and standards for Fiscal Year 1996-97 and options for improving the Program's Fiscal Year 1998-99 performance-based program budgeting measures and standards. Our second report addressing Program performance and policy alternatives for reducing costs and improving services will be published before July 1, 1998.

Background

The Florida Department of Law Enforcement's Professionalism Program regulates criminal justice professionals (law enforcement officers, correctional

officers, and correctional probation officers) to ensure that citizens are served by qualified, well-trained, competent, and ethical officers. These officers must meet and maintain a minimum standard of knowledge and skills related to their professional occupations. To be certified as a criminal justice officer in Florida, an individual must meet minimum standards established in s. 943.13, F.S., including attending a training school and passing a certification examination. As of June 30, 1997, there were 74,310 criminal justice officers actively employed in Florida.

In accordance with s. 943.12, F.S., the Florida Criminal Justice Standards and Training Commission is responsible for certifying and disciplining criminal justice officers. The Commission is composed of 19 members, including 3 state agency heads or their designees, the Director of the Division of Florida Highway Patrol, and 15 members appointed by the Governor. The positions assigned to the Department's Professionalism Program serve as staff for the Commission.

The Professionalism Program comprises two functions:

- **Training and Certification.** The Program develops course curricula and oversees training provided to criminal justice officers. Certified training schools provide basic recruit training for individuals seeking employment as officers in Florida, and post-basic training for officers to meet minimum requirements established by the Commission and the Legislature. The Program administers the Drug Abuse Resistance Education (DARE) Training Center where law enforcement officers learn how to teach school children about illegal drugs. The Program also administers the Florida Criminal Justice Executive Institute where experienced criminal justice officials receive training on complex issues such as interpersonal skills related to race and ethnicity. In addition, the Program designs and administers the certification examination given to qualifying criminal justice officer applicants. The Program ensures that training schools and instructors meet minimum requirements to be certified. Further, the Program maintains certification and employment information for all active certified criminal justice officers in Florida.
- **Compliance.** The Criminal Justice Standards and Training Commission reviews and takes disciplinary actions against criminal justice

officers who fail to maintain minimum standards of conduct. The Commission has the authority to revoke an officer's certificate, which would prohibit that officer from being employed as a criminal justice officer in Florida, or suspend the certification for a definite period. The Program also monitors criminal justice agencies and training schools for compliance with minimum requirements. For example, Program staff audit agency records of newly hired officers to determine whether they meet minimum statutory and Commission requirements. Program staff also audit training school records to determine compliance with requirements such as hiring certified instructors and maintaining classroom attendance rosters.

The Professionalism Program, one of FDLE's three performance-based budgeting programs, represents 8.5% of FDLE's total appropriated budget. In 1996-97, the Professionalism Program was authorized 98 full-time positions and appropriated \$10.3 million.

Findings

Using the 1996-97 performance-based budgeting measures and standards, what can be concluded about Program performance?

Based on the 1996-97 measures, the Professionalism Program has gained some efficiency in its compliance function and has improved the passing rate of its professional certification examination.¹ However, limitations with the 1996-97 measures impeded our ability to further assess program performance because the measures do not sufficiently address the impact of the Professionalism Program.

Changes to the 1997-98 measures will provide more information to evaluate the Program. For example, the 1997-98 measures added nine outcome measures for the training and certification function. However, we could not use these measures to assess Program performance because in most cases not enough data have been collected to assess performance over time.

¹ Fiscal Year 1996-97 measures are the Program's first set of performance-based budgeting measures; and Fiscal Year 1996-97 is the only year for which there is complete data for these measures.

Limited Conclusions About Professionalism Program Performance. A comparison of data for the past two years indicates that the Program has gained some efficiency in its compliance function and improved the passing rate of its professional certification examination. (See Exhibit 1.) As discussed below, limitations with the measures impeded our ability to make further conclusions about Program performance.

Improved efficiency of compliance function. With the same number of full-time equivalent staff positions for both years, the Department conducted 57% more compliance visits in Fiscal Year 1996-97 than it did in the prior fiscal year. For example, the Program increased the number of criminal justice agency and training school records audited from 4,103 in Fiscal Year 1995-96 to 6,430 in Fiscal Year 1996-97.² These audits are important because identifying and rectifying instances of noncompliance with statutory and Commission requirements helps to reduce the state's and local governments' potential liability in lawsuits.

Improved passing rate for certification examination. The passing rate of the professional certification examination has improved. For example, the percent of individuals receiving a passing grade on the certification examination went from 70.3% in Fiscal Year 1995-96 to 75.2% in Fiscal Year 1996-97. Although factors outside the Program's control may influence whether an individual will pass the examination, the higher passing rate indicates to some extent that individuals were better prepared to take and pass the examination.

² Program staff audit agency records of newly hired officers to ensure compliance with statutory and Commission requirements and training school records to ensure compliance with requirements such as whether instructors are certified and classroom attendance rosters are kept.

**Exhibit 1
Program Has Gained Efficiency in
Its Compliance Function and Has Increased the
Passing Rate of Its Professional Certification Examination¹**

Fiscal Year 1996-97 Measures	Fiscal Year		GAA Standards	Comments
	1995-96	1996-97	1996-97	
OUTPUTS:				
Number of compliance visits	4,103	6,430	8,572	FDLE staff conducted 57% more compliance visits from the prior year. FDLE overestimated its projected standard for this measure.
Number of certifications processed	19,067	17,768	24,828	Demand for FDLE services declined somewhat from the prior year. FDLE overestimated its projected standard for this measure.
Number of course curricula and examinations developed, administered, or revised	10,420	8,992	12,500	Demand for FDLE services declined somewhat from the prior year. FDLE overestimated its projected standard for this measure.
Number of discipline cases processed	1,017	1,022	1,283	Demand for FDLE services declined somewhat from the prior year. FDLE overestimated its projected standard for this measure.
Number of individuals trained	31,859	34,476	35,535	Not a good measure of FDLE workload because basic recruit training is not conducted by FDLE staff but by training school personnel.
OUTCOMES:				
Number and percent of criminal justice applicants passing their professional examination	7,225 70.3%	6,735 75.2%	10,500 84%	Examination pass rate improved by 4.9% from the prior year. FDLE overestimated its projected standard for this measure.

¹Fiscal Year 1994-95 data for these measures were either not available or inaccurate.
Source: General Appropriations Acts and Office of Program Policy Analysis and Government Accountability

Problems With 1996-97 Performance Measures. Although the 1996-97 measures provided some information about Program performance, their usefulness for assessing program performance is limited because the measures do not allow the Legislature to determine the impact of several aspects the

Professionalism Program. Five of the six measures provide information about the Department's workload relative to its training and certification and compliance activities, but do not provide information about the impact of these activities. The other measure, *number and percent of criminal justice applicants passing their professional examination*, provides information about the impact of only one of several training and certification activities. The 1996-97 measures do not include any outcome measures for the Program's compliance function. Therefore, the Legislature is limited in assessing performance in these areas because there is not enough data yet on Fiscal Year 1997-98 measures.

What improvements can be made to the Program's performance-based program budgeting measures and standards for Fiscal Year 1998-99?

Since the initial set of performance measures were adopted for the 1996-97 fiscal year, changes were proposed by the Department and made by the Legislature that have improved the measures and increased their usefulness. (See Exhibit 2.) However, further improvements could be made to the proposed 1998-99 measures to provide the Legislature with more meaningful information.

**Exhibit 2
The Performance-Based Program Budgeting Measures Have Been Refined
to Provide More Information on Program Activities**

1996-97 Measures	1997-98 Measures	1998-99 Measures Proposed by FDLE
Number of individuals trained	<i>Modified:</i> Number of individuals trained in basic recruit	<i>Continue</i>
Number of certifications processed	<i>Modified:</i> Number of certifications issued (for successful completion of basic training and employment requirements)	<i>Continue</i>
Number of course curricula and examinations developed, administered, or revised	<i>Continued</i>	<i>Modify:</i> Number of course curricula developed or revised
Number/percent of criminal justice applicants passing their professionalism exam	<i>Modified:</i> Number/percentage of individuals who pass the initial administration of the basic professionalism certification examination	<i>Modify:</i> Number of individuals who pass the basic professional examination for law enforcement officers, correctional officers and correctional probation officers
	<i>Modified:</i> Number/percentage of individuals who pass the basic professionalism certification examination on the second attempt	<i>Delete:</i> FDLE prefers to report the total pass rate by discipline rather than breakdown of the overall pass rate by number of attempts.
	<i>Modified:</i> Number/percentage of individuals who pass the basic professionalism certification examination on the third attempt	<i>Delete:</i> FDLE prefers to report the total pass rate by discipline rather than breakdown of the overall pass rate by number of attempts.
	<i>New:</i> Number of Florida Criminal Justice Executive Institute (FCJEI) hours of instruction	<i>Delete:</i> FDLE prefers to keep this measure internally rather than report it in the LBR.
	<i>New:</i> Number of individuals trained by FCJEI	<i>Continue</i>
	<i>New:</i> Number of DARE hours of instruction	<i>Delete:</i> FDLE prefers to keep this measure internally rather than report it in the LBR.
	<i>New:</i> Number of law enforcement officers trained by DARE	<i>Continue</i>
	<i>New:</i> Number/percentage of target population (K-4,5,7) completing DARE programs	<i>Continue</i>
	<i>New:</i> Number/percentage of DARE graduates who were arrested for drug or alcohol offenses	<i>Delete:</i> FDLE cannot collect reliable data for this measure.
	<i>New:</i> Number/percentage of criminal justice officers obtaining initial employment who complete their probationary period	<i>Delete:</i> FDLE cannot collect reliable data for this measure.

(Continued on next page)

Exhibit 2 (Continued)

1996-97 Measures	1997-98 Measures	1998-99 Measures Proposed by FDLE
	New: Number/percentage of basic recruit graduates obtaining initial employment in same discipline in one year	Continue
	New: Percentage of officers competing Advanced or Specialized training course offered by a certified training facility who rate training effective in improving their ability to perform their duties	Continue
	New: Percentage of officers rated as demonstrating improved performance by their supervisors after completing an Advanced or Specialized training course offered by a certified training facility	Continue
	New: Number/percentage of customers satisfied with officer information provided through Automated Training Management System (ATMS)	Continue
Number of discipline cases processed	Modified: Number of discipline referrals processed (for state and local LEOs and COs and CPOs pursuant to Ch. 120, F.S.)	Continue
	Modified: Number of criminal justice officer disciplinary actions	Continue
Number of compliance visits	Modified: Number of compliance audits conducted for maintenance of training and employment standards for state and local LEOs and COs and CPOs pursuant to s. 943.13, F.S.	Continue
	New: Number of technical assists provided	Continue
	New: Number of CJ officer mandatory retraining completions	Continue
	New: Number/percentage of criminal justice officer disciplinary actions disposed of within time frames	Delete: FDLE must meet the statutory timeframes for disposing of cases, therefore this measure does not provide useful information

Source: 1996-97 and 1997-98 General Appropriations Acts, 1998-99 Legislative Budget Request and interviews with FDLE staff

As shown in Exhibit 3, the Department should modify or delete five of the proposed measures to provide more complete information for assessing Program performance. For example, the measure, *number of individuals who pass the basic professional examination for law enforcement officers, correctional officers, and correctional probation officers*, should be modified to provide a passing rate by including the percentage of all individuals who pass the examination. The percentage of individuals receiving a passing grade provides the Legislature with more complete information than the number of individuals passing the examination because there could be an increase in the number of individuals passing the examination but not in the percentage of individuals passing the examination. The Department should also delete the measure, *number of individuals trained in basic*

recruit, because basic recruit training is conducted by training school personnel, not Department staff.¹

In addition, the Department should develop outcome measures for the compliance function. For example, the Department could address the results of compliance audits, such as the number and percentage of criminal justice agencies and training schools audited by Department staff where problems were identified. The Department could also address the results of officer discipline cases, such as the number and percentage of officers who had their certifications revoked. In this way, the Legislature would have more information on the effects or results of the Program's activities rather

³ Training schools are generally located at Vo-Tech Schools or Community Colleges.

than just having information on the Department's workload.

As we recommended in Report No. 96-47, the Department should also develop unit cost measures in its 1998-99 measures. At a minimum, the Department should report the costs associated with providing major activities, such as conducting compliance audits and administering the certification examination. Unit cost measures would enable the Legislature to determine the efficiency with which the Department performs its basic functions and to make funding decisions that would be based on return-on-investment information.

Standards for two of the proposed 1998-99 measures should be adjusted upward to better reflect baseline data. The standards for *number and percent of basic recruit graduates obtaining initial employment in same discipline in one year* and *number of criminal justice officer mandatory retraining completions* appear low compared to actual performance for Fiscal Year 1996-97. For example, the proposed 1998-99 standard for *number and percent of basic recruit graduates obtaining initial employment in same discipline in one year* is 2,520, or 34%, whereas actual performance for fiscal year 1996-97 was 4,740, or 60%. Adjusting the standard upward would provide the Legislature with a more reasonable benchmark for assessing performance.

The standard for one other measure, *number of individuals who pass the basic professional examination for law enforcement officers, correctional officers, and correctional probation officers*, should reflect the breakdown for each of the three disciplines rather than the aggregate number of individuals who receive a passing grade on the examination. Information on the passing rate for each of the disciplines would provide the Legislature with more information about the relative performance on the certification examination of each of the disciplines.

Conclusions and Recommendations

Based on the 1996-97 measures, the Professionalism Program has gained some efficiency in its compliance function and has improved the passing rate of its professional certification examination. Limitations with the 1996-97 measures impeded our ability to further assess Program performance because the measures do not sufficiently address the impact of the Program.

Changes to the measures have enhanced their usefulness. For example, the 1997-98 measures added nine outcome measures for the training and certification function. However, we could not use these measures to assess Program performance because in most cases not enough data have been collected to assess performance over time.

Further improvements could be made to the proposed 1998-99 measures and standards to provide the Legislature with more meaningful information. The Department should modify or delete 5 of the 17 proposed measures. (See Exhibit 3.) The Department should also include outcome measures for the compliance function. For example, the Department could address the results of compliance audits, such as the number and percentage of criminal justice agencies and training schools audited by Program staff where problems were identified.

In addition, the Department should include unit cost measures in its 1998-99 measures. The Department should report the cost associated with its major Program activities, such as conducting compliance audits and administering the certification examination. Unit cost measures would enable the Legislature to determine the efficiency with which the Department performs its basic functions.

Standards for two of the proposed measures (*number and percent of basic recruit graduates obtaining initial employment in same discipline in one year* and *number of criminal justice officer mandatory retraining completions*) should be adjusted upward to better reflect baseline data. The standard for one other measure, *number of individuals who pass the basic professional examination for law enforcement officers, correctional officers, and correctional probation officers*, should include a breakdown for each of the disciplines rather than the aggregate number for all disciplines.

Agency Response

The Executive Director of the Florida Department of Law Enforcement agreed with our recommendations and described actions the Department is taking to address our concerns. A copy of his full response is available upon request.

Exhibit 3

**OPPAGA Recommendations to Improve the Proposed 1998-99 Performance-Based Program
Budgeting Measures for the Professionalism Program**

Output Measures	Comments	OPPAGA Recommendations
Number of individuals trained in basic recruit	Total number of persons who complete basic recruit training requirements at certified Criminal Justice Training schools	Delete—Basic recruit training not conducted by FDLE staff but by training school personnel
Number of certifications issued (for successful completion of basic training and employment requirements)	Workload indicator for certificates issued to individuals upon completing training requirements at certified Criminal Justice training schools	Use generic title to include all appropriate training
Number of course curricula developed or revised	Workload indicator for the development or modification of training course curricula	None
Number of examinations developed, administered, or revised	Workload indicator for the development of examinations and the number administered to applicants	None
Number of discipline referrals processed (for state and local LEOs and COs and CPOs pursuant to Ch. 120, F.S.)	Workload indicator for complaints received by FDLE where officers may have violated professional standards	None
Number of criminal justice officer disciplinary actions	Workload indicator for cases involving officers who have violated professionalism standards that are brought before the Commission or a hearing panel for resolution	None
Number of individuals trained by FCJEI	Total number of persons who graduate from the Florida Criminal Justice Executive Institute	None
Number of compliance audits conducted for maintenance of training and employment standards for state and local LEOs and COs and CPOs pursuant to s. 943.13, F.S.	Workload indicator for compliance activities related to certified Criminal Justice training schools and hiring agencies	None
Number of technical assists provided	Workload indicator for technical assistance provided to certified Criminal Justice training schools and hiring agencies	None
Number of CJ officer mandatory retraining completions	The total number of officers who complete mandatory post-basic training requirements (40 hours every 4 years)	None
Number of law enforcement officers trained by DARE	Total number of local law enforcement officers who are trained to teach the DARE program to school children	None
Outcome Measures	Comments	OPPAGA Recommendations
Number of individuals who pass the basic professional examination for law enforcement officers, correctional officers and correctional probation officers	Indicates effectiveness of basic recruit training in preparing officers to take and pass the certification examination	Add “percentage of individuals that pass the exam” to provide a passing rate
Number/percentage of target population (K-4,5,7) completing DARE programs	Portion of eligible school children who complete the DARE program	None
Number/% of basic recruit graduates obtaining initial employment in same discipline in one year	Indicates effectiveness of basic recruit training in preparing individuals for careers in law enforcement	None
Percentage of officers completing Advanced or Specialized training course offered by a certified training facility who rate training effective in improving their ability to perform their duties	Indicates effectiveness of post-basic training from the perspective of the officer completing the course	After “Advanced or Specialized training course” add “for salary incentive credit” to better reflect data collected by FDLE
Percentage of officers rated as demonstrating improved performance by their supervisors after completing an Advanced or Specialized training course offered by a certified training facility	Indicates effectiveness of post-basic training from the perspective of the supervisor of officer completing a course	After “Advanced or Specialized training course” add “for salary incentive credit” to better reflect data collected by FDLE
Number/percentage of customers satisfied with officer information provided through Automated Training Management System (ATMS)	Indicates effectiveness indicator of Automated Training Management System in meeting user needs	None

Source: 1998-99 Legislative Budget Request, Office of Program Policy Analysis and Government Accountability, and interviews with FDLE staff

Exhibit 4
The Legislature Should Consider Adjusting Some of the 1998-99 Standards

Output Measures	1998-99 Standard	OPPAGA Comments and Recommendations
Number of individuals trained in basic recruit	7,500	Measure and standard should be deleted since basic recruit training is not conducted by FDLE staff but by training school personnel.
Number of certificates issued (for successful completion of basic training and employment requirements)	20,000	None
Number of course curricula developed or revised	49	None
Number of examinations developed, administered, or revised	10,426	None
Number of discipline referrals processed (for state and local LEOs and COs and CPOs pursuant to Ch. 120, F.S.)	2,181	None
Number of criminal justice officer disciplinary actions	452	None
Number of individuals trained by FCJEI	309	None
Number of compliance audits conducted for maintenance of training and employment standards for state and local LEOs and COs and CPOs pursuant to s. 943.13, F.S.	6,059	None
Number of technical assists provided	89,320	None
Number of criminal justice officer mandatory retraining completions	6,500	Standard should be adjusted upward to better reflect baseline data.
Number of law enforcement officers trained by DARE	155	None
Outcome Measures	1998-99 Standard	OPPAGA Comments and Recommendations
Number of individuals who pass the basic professional examination for law enforcement officers, correctional officers, and correctional probation officers	10,230	Standard should reflect the breakdown for each of the three disciplines rather than the aggregate number of individuals who receive a passing grade on the examination.
Number/percentage of target population (K-4,5,7) completing DARE programs	470,000 / 37%	None
Number/percentage of basic recruit graduates obtaining initial employment in same discipline within one year	2,520 / 34%	Standard should be adjusted upward to better reflect baseline data.
Percentage of officers completing Advanced or Specialized training course offered by a certified training facility who rate training effective in improving their ability to perform their duties	91%	None
Percentage of officers rated as demonstrating improved performance by their supervisors after completing an Advanced or Specialized training course offered by a certified training facility	70%	None
Number/percentage of customers satisfied with officer information provided through Automated Training Management System (ATMS)	422 / 90%	None

Source: 1998-99 Legislative Budget Request, Office of Program Policy Analysis and Government Accountability, and interviews with FDLE staff

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Appendix G

Response From the Florida Department of Law Enforcement

In accordance with the provisions of s. 11.45(7)(d), F.S., a list of preliminary and tentative review findings was submitted to the Executive Director of the Florida Department of Law Enforcement for his review and response.

The division's written response is reprinted herein beginning on page 76.



Florida Department of
Law Enforcement

James T. "Tim" Moore
Commissioner

June 29, 1998

Mr. John W. Turcotte, Director
Office of Program Policy Analysis
and Government Accountability
Room 312 Claude Pepper Building
Tallahassee, Florida 32301

Dear Mr. Turcotte:

We have received the preliminary and tentative recommendations from your program evaluation and justification review of the:

Florida Department of Law Enforcement

Your staff has made some excellent observations of our Programs. We, too, are proud of the fact that we worked more than 19% more investigative cases a month with only a 1% increase in staff and that FDLE has been successful in providing more relevant basic recruit training and taking more timely disciplinary actions in officer discipline cases. FDLE is proud to have improved the delivery of criminal history record checks and the access to criminal justice information by the customer, as noted in the report. We also realize that there is still room for improvement.

We concur with much of the preliminary report. However, as we shared with your staff in a meeting on Wednesday, June 24, 1998, there are several areas of the report with which we are not in total agreement. However, we will take into consideration all recommendations made by your office. In our evaluation of these recommendations, our primary concern will continue to be the impact (if any) on the customer, on the ability to effectively detect and reduce criminal activity, and on providing accurate and timely criminal justice information.

We appreciate the dedication of your staff in conducting this review over the past year and their attitude and interest in familiarizing themselves with the many complex issues of FDLE. We will keep you apprised of our progress toward continued efforts to improve service delivery. If you require further information about our response, please call me or Inspector General M. Michael McHargue at 488-1497.

Sincerely,


James T. Moore
Commissioner

JTM/MMM/br/dkk

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