File No. _____14126_7_____ Committee Item No. ____/0_____

Board Item No. _____

COMMITTEE/BOARD OF SUPERVISORS
AGENDA PACKET CONTENTS LIST

Committee: Budget & Finance Committee   Date January 7, 2015

Board of Supervisors Meeting   Date _____

Cmte Board

Cmte	Board	
☐	☐	Motion
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☐	☐	Application
☐	☐	Public Correspondence

OTHER   (Use back side if additional space is needed)

☐	☐	_____
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☐	☐	_____
☐	☐	_____

Completed by: Linda Wong   Date January 2, 2015

Completed by: _____   Date _____

1 [Accept and Expend Grant - Bureau of Justice Assistance, Smart Prosecution Initiative:
   Predictive Analytics for Strategic Prosecution - Amendment to the Annual Salary
2 Ordinance - $435,253]

3

4 **Ordinance retroactively authorizing the Office of the District Attorney to accept and**

5 **expend a grant in the amount of $435,253 from the U.S. Department of Justice,**

6 **Bureau of Justice Assistance for the Smart Prosecution Initiative, in support of**

7 **Predictive Analytics for Strategic Prosecution, to enhance data driven prosecution**

8 **and strategies that effectively address and prevent crime and victimization in San**

9 **Francisco, and amending Ordinance No. 147-14 (Annual Salary Ordinance, FYs**

10 **2014-2015 and 2015-2016) to reflect the addition of one grant-funded Class 1822**

11 **Administrative Analyst position (0.5 FTE) for the period of October 1, 2014, through**

12 **September 30, 2016.**

13   Note: Additions are *single-underline italics Times New Roman*.
                              Deletions are *strikethrough italics Times New Roman*.
14   Board amendment additions are double underlined.
                              Board amendment deletions are strikethrough normal.
15

16

17   Be it ordained by the People of the City and County of San Francisco:

18   Section 1. Findings

19   (a) The Office of the District Attorney applied for funding from the U.S. Department

20   of Justice, Bureau of Justice Assistance for the "Smart Prosecution Initiative" for

21   a Predictive Analytics for Strategic Prosecution grant and was awarded Four

22   Hundred Thirty-Five Thousand, Two Hundred Fifty-Three dollars ($435,253).

23   (b) The award period is from October 1, 2014 to September 30, 2016.

24   (c) The grant does not include any provision for indirect costs.

25   Section 2. Authorization to Accept and Expend Grant Funds.

1   (a) The Board of Supervisors hereby authorizes the Office of the District Attorney to

2   retroactively accept and expend, on behalf of the City and County of San

3   Francisco, U.S. Department of Justice, Bureau of Justice Assistance grant funds

4   in the amount of $435,253 to establish a Crime Strategies Unit to use data and

5   predictive analytics for strategic prosecution.

6   (b) The grant does not include any provision for indirect costs and indirect costs are

7   hereby waived.

8   Section 3. Grant funded positions; Amendment to Fiscal Years 2014-2015 and

9   2015-2016 Annual Salary Ordinance.

10   The hereinafter designated sections and items of Ordinance No. 147-14 (Annual

11   Salary Ordinance FY 2014-2015 and FY 2015-2016) are hereby amended to add one (1)

12   position (0.5 FTE) in the Office of the District Attorney as follows:

13

14   Department: DAT (04) District Attorney

15   Program: Smart Prosecution Initiative: Predictive Analytics for Strategic Prosecution

16   Subfund: 2S PPF GNC

17   Index Code: 041525

18

19   Amendment: No. of Positions: Class and Item No: Compensation Schedule:

20   Add   0.5 FTE   1822 Administrative $2,752 - $3,346 Biweekly

21   Analyst

22

23

24

25

APPROVED AS TO FORM:

By: _____
Jana J. Clark
Deputy City Attorney

APPROVED: _____
Edwin M. Lee
for Mayor
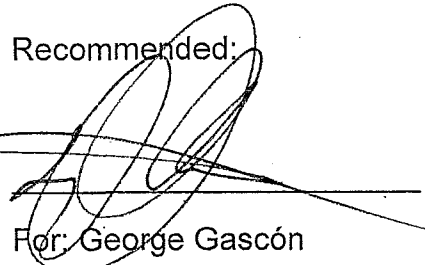
APPROVED: _____
for Ben Rosenfield
Controller, Grant Division

Recommended: _____
For: George Gascón
District Attorney

APPROVED AS TO CLASSIFICATION
DEPARTMENT OF HUMAN RESOURCES

By: _____
Micki Callahan, Director
Department of Human Resources
Director

TO: **Angela Calvillo, Clerk of the Board of Supervisors**

FROM: **Stacey Hoang, Fiscal Division Analyst**

DATE: **November 5, 2014**

SUBJECT: **Accept and Expend Ordinance for Subject Grant**

GRANT TITLE: **Bureau of Justice Assistance, Smart Prosecution Initiative: Predictive Analytics for Strategic Prosecution**

Attached please find the original* and two copies of each of the following:

_X_ Proposed grant ordinance; original* signed by Department, Mayor, Controller, Director of Human Resources

_X_ Grant information form, including disability checklist

_X_ Grant budget

_X_ Grant application

_X_ Letter of Intent or grant award letter from funding agency

_X_ Ethics Form 126 (if applicable)

____ Contracts, Leases/Agreements (if applicable)

____ Other (Explain):

Special Timeline Requirements:
Please schedule for the earliest available date.

Departmental representative to receive a copy of the adopted ordinance:

Name: Sheila Arcelona   Phone: 415-734-3018

Interoffice Mail Address: Hall of Justice, Room 322

Certified copy required   Yes ☐   No ☒

(Note: certified copies have the seal of the City/County affixed and are occasionally required by funding agencies. In most cases ordinary copies without the seal are sufficient).

File Number: 141267

Grant Ordinance Information Form
(Effective May 2011)

Purpose: Accompanies proposed Board of Supervisors ordinances authorizing a Department to accept and expend grant funds.

The following describes the grant referred to in the accompanying ordinance:

1. Grant Title: **Bureau of Justice Assistance, Smart Prosecution Initiative: Predictive Analytics for Strategic Prosecution**

2. Department: **Office of the District Attorney**

3. Contact Person: **Stacey Hoang**   Telephone: **415-553-1861**

4. Grant Approval Status (check one):

   [X] Approved by funding agency   [ ] Not yet approved

5. Amount of Grant Funding Approved or Applied for: **$435,253**

6a. Matching Funds Required: **$0**
   b. Source(s) of matching funds (if applicable): **N/A**

7a. Grant Source Agency: **U.S. Department of Justice, Bureau of Justice Assistance**
   b. Grant Pass-Through Agency (if applicable): **N/A**

8. Proposed Grant Project Summary: **To establish a Crime Strategies Unit to use data and predictive analytics for strategic prosecution.**

9. Grant Project Schedule, as allowed in approval documents, or as proposed:

   Start-Date: **October 1, 2014**   End-Date: **September 30, 2016**

10. Number of new positions created and funded: **1**

11. Explain the disposition of employees once the grant ends? **The positions will be coded G for grant funded positions.**

12a. Amount budgeted for contractual services: **$174,546**

   b. Will contractual services be put out to bid? **$150,000 will be a sole source contract as a subgrantee had to be identified in the grant application. The additional $24,546 will be put out to bid.**

   c. If so, will contract services help to further the goals of the Department's Local Business Enterprise (LBE) requirements? **No**

   d. Is this likely to be a one-time or ongoing request for contracting out? **One-time**

13a. Does the budget include indirect costs?   [ ] Yes   [X] No

b1. If yes, how much? **N/A**
b2. How was the amount calculated? **N/A**

c. If no, why are indirect costs not included?
   [X] Not allowed by granting agency   [ ] To maximize use of grant funds on direct services
   [ ] Other (please explain):

   c2. If no indirect costs are included, what would have been the indirect costs? **If calculated at 10% of salaries, the indirect cost for this program would have been $16,890.**

14. Any other significant grant requirements or comments:

Disability Access Checklist*
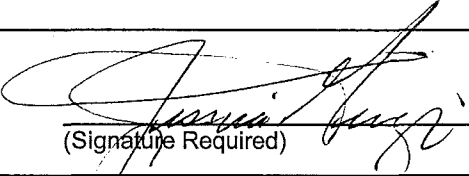
15. This Grant is intended for activities at (check all that apply):

[X] Existing Site(s)   [ ] Existing Structure(s)   [ ] Existing Program(s) or Service(s)
[ ] Rehabilitated Site(s)   [ ] Rehabilitated Structure(s)   [X] New Program(s) or Service(s)
[ ] New Site(s)   [ ] New Structure(s)
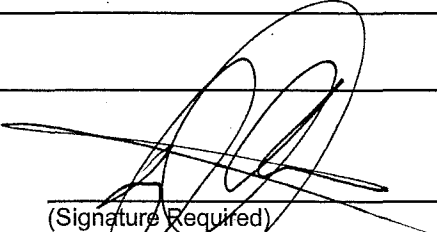
16. The Departmental ADA Coordinator or the Mayor's Office on Disability have reviewed the proposal and concluded that the project as proposed will be in compliance with the Americans with Disabilities Act and all other Federal, State and local access laws and regulations and will allow the full inclusion of persons with disabilities, or will require unreasonable hardship exceptions, as described in the comments section:

Comments:

Departmental ADA Coordinator or Mayor's Office of Disability Reviewer:

Jessica Geiger
(Name)

Fiscal Division Analyst
(Title)

Date Reviewed: 11/5/14   (Signature Required)

Overall Department Head or Designee Approval:

Eugene Clendinen
(Name)

Chief Administrative & Financial Officer
(Title)

Date Reviewed: 11/5/14   (Signature Required)

2

Smart Prosecution Initiative in San Francisco:
Predictive Analytics for Strategic Prosecution

<u>Budget Detail Worksheet</u>

Year 1 & 2 Summary (Full Grant Period)

A. Personnel/Salary Costs	$168,896
B. Fringe Benefits	$72,625
C. Travel	$11,856
D. Equipment	$7,330
E. Supplies	$0
F. Construction	$0
G. Consultants/Contracts	$174,546
H. Other	$0
I. Indirect Costs	$0
TOTAL PROJECT COSTS	$435,253
Federal Request	$435,253
Applicant Funds, if any, to be applied to this project	$0

See following pages for separate itemized budget for each year of grant activity.

Year One

A. Personnel $84,448

Item	Computation	Cost
Strategy Analyst (1822)	$84,448 x 100%	$84,448

B. Fringe Benefits $36,313

Item	Computation	Cost
Strategy Analyst Fringe	$84,448 x 43%	$36,312

C. Travel $5,928

Item	Computation	Cost
Travel to Smart Prosecution Meeting, Washington DC		
Airfare	$500 x 4 people x 1.13 Carbon Offset	$2,260
Lodging	$211 x 4 people x 3 nights	$2,532
Meals & Incidentals	$71 x 4 people x 4 days	$1,136

D. Equipment $7,330

Item	Computation	Cost
Computers suitable for data processing & analysis	$1,500 x 2 computers	$3,000
Color Laserjet Printer	$200 x 1 printer	$200
Color Laserjet Printer Ink	$26 x 5 cartridges	$130
Tablets	$800 x 5 tablets	$4,000

E. Supplies $0

Item	Computation	Cost
N/A		

F. Construction $0

Item	Computation	Cost
N/A		

G. Consultants/Contracts $99,546

Item	Cost
Justice & Security Strategies, Inc.	$75,000
Data/Software Programming Consultant	$24,546

H. Other $0

Item	Computation	Cost
N/A		

I. Indirect Costs $0

Item	Computation	Cost
N/A		

Year 1 Summary

A. Personnel/Salary Costs	$84,448
B. Fringe Benefits	$36,312
C. Travel	$5,928
D. Equipment	$7,330
E. Supplies	$0
F. Construction	$0
G. Consultants/Contracts	$99,546
H. Other	$0
I. Indirect Costs	$0
TOTAL PROJECT COSTS	$233,564
Federal Request	$233,564
Applicant Funds, if any, to be applied to this project	$0

Year Two

A. Personnel $84,448

Item	Computation	Cost
Strategy Analyst (1822)	$84,448 x 100%	$84,448

B. Fringe Benefits $36,313

Item	Computation	Cost
Strategy Analyst Fringe	$84,448 x 43%	$36,313

C. Travel $5,928

Item	Computation	Cost
Travel to Smart Prosecution Meeting, Washington DC		
Airfare	$500 x 4 people x 1.13 Carbon Offset	$2,260
Lodging	$211 x 4 people x 3 nights	$2,532
Meals & Incidentals	$71 x 4 people x 4 days	$1,136

D. Equipment $0

Item	Computation	Cost
N/A		

E. Supplies $0

Item	Computation	Cost
N/A		

F. Construction $0

Item	Computation	Cost
N/A		

G. Consultants/Contracts $75,000

Item	Cost
Justice & Security Strategies, Inc.	$75,000

H. Other   **$0**

Item	Computation	Cost
N/A		

I. Indirect Costs   **$0**

Item	Computation	Cost
N/A		

Year 2 Summary

J. Personnel/Salary Costs	$84,448
K. Fringe Benefits	$36,313
L. Travel	$5,928
M. Equipment	$0
N. Supplies	$0
O. Construction	$0
P. Consultants/Contracts	$75,000
Q. Other	$0
R. Indirect Costs	$0
TOTAL PROJECT COSTS	**$201,689**
Federal Request	**$201,689**
Applicant Funds, if any, to be applied to this project	$0

Smart Prosecution Initiative in San Francisco:
Predictive Analytics for Strategic Prosecution

Budget Narrative

Year One

A. Personnel   **$84,448**

Under direction, as part of the Crime Strategies and Intelligence Unit, the Strategy Analyst will focus on gathering appropriate and valid data, and using statistical tools (ArcGIS, Stata, predictive analytics) to identify chronic locations and chronic offenders, both nonviolent and violent, in San Francisco. As the first analyst dedicated to crime analysis and mapping in the San Francisco District Attorney's Office, the Strategy Analyst will be essential to achieving the goals of this Smart Prosecution Initiative. For each year of the grant, 100 percent of the analyst's time will be committed to the Smart Prosecution Initiative. The skills required for this position fall under San Francisco's 1822 Administrative Analyst classification (Step 5), which has an annual salary of $84,448: $84,448 x 1 year=$84,448

B. Fringe Benefits   **$36,312**

Fringe benefits include Social Security, Medicare, Flex Benefits, Health Insurance, Dependent Coverage, Long Term Disability, Retirement, Unemployment Insurance and Dental Insurance. The total rate is 43% for the Strategy Analyst (1822, Step 5). Based on the annual salary of $84,448 for the Strategy Analyst, 43 percent for each year is $72,625: $84,448 x .43 x 1 Year=$36,312.

C. Travel   **$5,928**

As suggested in the Smart Prosecution Grant Announcement, we are requesting a total of $5,928 each year to fund the cost of four-person teams of agency and research partner representatives to attend two 2-day meetings during the 24-month project period. Calculations, based on travel to Washington, DC, are calculated as follows:

Year 1 Total Travel Cost: $5,928
Airfare: $500 (average cost to DC) x 4 people x 13% carbon offset (SF required) - $2,260
Lodging: $211 (average government rate approved for DC) x 4 people x 3 days - $2,532
Incidentals: $71 (approved daily rate) x 4 people x 4 days - $1,136

D. Equipment   **$7,330**

In the first year of the grant, we are requesting two computers for the Strategy Analyst and the Policy Manager with sufficient computing capacity to work with very large datasets, run high level statistical analysis, and conduct comprehensive mapping analyses. A color laserjet printer and ink are requested so that the Crime Strategies and Intelligence Unit may print high quality color maps and data visualizations, which will be used to disseminate findings. Five tablets are requested for the Neighborhood Prosecutors so that they may have crime analysis findings and maps at their fingertips in the community, where they work with police and community members

as liaisons to the District Attorney's Office. The equipment requested will enable the unit to realize crime strategies objectives.

Total Equipment Cost: $7,330
Computers: $1,500 each x 2 computers - $3,000
Color Laserjet Printer: $200
Color Laserjet Printer Ink: $26 per cartridge x 5 cartridges - $130
Tablets: $800 each x 5 Neighborhood Prosecutors - $4,000

E. Supplies $0

F. Construction $0

G. Consultants/Contracts **$99,546**

The Research Partner, Justice & Security Strategies, Inc. (JSS) will play a pivotal role in the project by assisting the Crime Strategies & Intelligence Unit (CSIU) with problem identification, data validation, problem analysis, and chronic locations and chronic offenders identification. The SFDA selected JSS as its research partner because of its proven track record of conducting field research with law enforcement agencies, including prosecutorial offices. The SFDA will enter into a sole source contract with JSS, following local requirements, for $75,000 for each year. Note that the two year total does not exceed the federal non-competitive procurement threshold of $150,000.

To be successful, the Crime Strategies & Intelligence Unit will need to access several sources of data relating to crime and crime drivers. Establishing regular transmission of these data to CSIU, in order to support predictive models will require complex programming. Through a competitive bidding process, SFDA will contract with programming consultants to build the necessary applications to acquire and merge various criminal justice and other predictive data. It is estimated that this work will take up to 300 total hours, at a rate of roughly $81.82 per hour (based on local contracting rates for this type of work).

H. Other $0

I. Indirect Costs $0

YEAR 1 TOTAL PROJECT COSTS	$233,564

Year Two

A. Personnel   **$84,448**

Under direction, as part of the Crime Strategies and Intelligence Unit, the Strategy Analyst will focus on gathering appropriate and valid data, and using statistical tools (ArcGIS, Stata, predictive analytics) to identify chronic locations and chronic offenders, both nonviolent and violent, in San Francisco. As the first analyst dedicated to crime analysis and mapping in the San Francisco District Attorney's Office, the Strategy Analyst will be essential to achieving the goals of this Smart Prosecution Initiative. For each year of the grant, 100 percent of the analyst's time will be committed to the Smart Prosecution Initiative. The skills required for this position fall under San Francisco's 1822 Administrative Analyst classification (Step 5), which has an annual salary of $84,448: $84,448 x 1 year=$84,448

B. Fringe Benefits   **$36,313**

Fringe benefits include Social Security, Medicare, Flex Benefits, Health Insurance, Dependent Coverage, Long Term Disability, Retirement, Unemployment Insurance and Dental Insurance. The total rate is 43% for the Strategy Analyst (1822, Step 5). Based on the annual salary of $84,448 for the Strategy Analyst, 43 percent for each year is $72,625: $84,448 x .43 x 1 Year=$36,313.

C. Travel   **$5,928**

As suggested in the Smart Prosecution Grant Announcement, we are requesting a total of $5,928 each year to fund the cost of four-person teams of agency and research partner representatives to attend two 2-day meetings during the 24-month project period. Calculations, based on travel to Washington, DC, are calculated as follows:

Year 2 Total Travel Cost: $5,928
Airfare: $500 (average cost to DC) x 4 people x 13% carbon offset (SF required) - $2,260
Lodging: $211 (average government rate approved for DC) x 4 people x 3 days - $2,532
Incidentals: $71 (approved daily rate) x 4 people x 4 days - $1,136

D. Equipment   **$0**

E. Supplies   **$0**

F. Construction   **$0**

G. Consultants/Contracts   **$75,000**

The Research Partner, Justice & Security Strategies, Inc. (JSS) will play a pivotal role in the project by assisting the Crime Strategies & Intelligence Unit (CSIU) with problem identification, data validation, problem analysis, and chronic locations and chronic offenders identification. The SFDA selected JSS as its research partner because of its proven track record of conducting field research with law enforcement agencies, including prosecutorial offices. The SFDA will enter into a sole source contract with JSS, following local requirements, for $75,000 for each year.

Note that the two year total does not exceed the federal non-competitive procurement threshold of $150,000.

H. Other $0

I. Indirect Costs $0

YEAR 2 TOTAL PROJECT COSTS	$201,689

Project Abstract

Part 1: Please identify the applicant point of contact (POC)

Applicant POC	
Organization Name	San Francisco District Attorney's Office
POC Name	Maria McKee
Phone Number	(415) 553-1189
Email Address	maria.mckee@sfgov.org
Mailing Address	850 Bryant Street, Rm 322 San Francisco, CA 94103

Part 2: Please identify the application

Application Information	
Solicitation Name	Smart Prosecution Initiative
Project Title	Smart Prosecution Initiative in San Francisco: Predictive Analytics for Strategic Prosecution
Proposed Start Date	January 1, 2015
Proposed End Date	December 31, 2016
Funding Amount Requested	$447,598

Part 3: Please identify the project location and applicant type

Project Location and Applicant Type	
Project Location (City, State)	San Francisco, CA
Applicant Type (Tribal Nation, State, County, City, Nonprofit, Other)	City & County of San Francisco, District Attorney

Save Print

Part 4: Please provide a project abstract

Enter additional project abstract information. Unless otherwise specified in the solicitation, this information includes:

- Brief description of the problem to be addressed and target area and population
- Project goals and objectives
- Brief statement of project strategy or overall program
- Description of any significant partnerships
- Anticipated outcomes and major deliverables

Text should be single spaced; do not exceed 400 words.

Project Abstract

The San Francisco District Attorney's Office (SFDA) filed over 7,200 new cases in 2013 and obtained over 4,400 convictions, yet prosecutors know little about current crime trends and hot spots, how many chronic offenders are put away, or how the Office might have assisted in preventing or anticipating these crimes from occurring. To bridge this gap, through the Smart Prosecution Initiative (SPI), the SFDA will use data and predictive analytics for strategic prosecution. Using analytic tools will enable SFDA to make connections between criminal events, defendants, witnesses and victims that could facilitate more effective investigations, charging decisions, and ultimately case dispositions. The primary goal of this effort is to ensure community safety by preventing and reducing crime.

The SFDA's Office will establish a Crime Strategies and Intelligence Unit (CSIU). The newly formed Unit, comprised of a policy manager, assistant district attorney, and strategy analyst will focus on gathering appropriate and valid data, and using statistical tools to identify chronic locations and chronic offenders, both nonviolent and violent, in San Francisco. The Research Partner, Justice & Security Strategies, Inc. (JSS) will play a pivotal role in the project by assisting the CSIU with problem identification, data validation, analysis of the problem, and in identifying chronic locations and chronic offenders.

CSIU and JSS will work closely with Neighborhood Prosecutors -- five assistant district attorneys assigned to 10 police districts throughout the city. This group will work with the SFDA's Neighborhood Courts, a prosecutor-led, community-based diversion program for low level defendants. Together they will 1) Identify suitable cases for Neighborhood Prosecutor vertical handling based on the location of the crime relative to current neighborhood hot spots; 2) Identify suitable individuals for Neighborhood Courts -- specifically those minor offenders who are unlikely to escalate their offending behavior; 3) Assess the beneficial aspects of Neighborhood Prosecution and Courts relative to decreases in crime hot spots; and 4) Disseminate information to the public about recent successes of Neighborhood Prosecution and Courts.

During the first six months of the project SFDA and JSS will develop a strategic plan based on intensive analyses. JSS will conduct a process and impact evaluation of the interventions implemented by the SFDA.

Products and deliverables include predictive tools for prosecutors, presentations at local and national conferences, written articles for law enforcement and criminal justice practitioners, and journal articles for the research community.
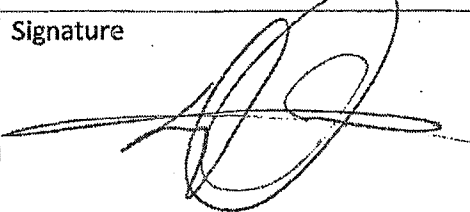
Part 5: Please indicate whether OJP has permission to share the project abstract

If the applicant is willing for the Office of Justice Programs (OJP), in its discretion, to make the information in the project abstract above publicly available, please complete the consent section below. Please note, the applicant's decision whether to grant OJP permission to publicly release this information will not affect OJP's funding decisions. Also, if the application is not funded, granting permission will not guarantee that information will be shared, nor will it guarantee funding from any other source.

◯ **Permission not granted**

◉ **Permission granted (Fill in authorized official consent below.)**

On behalf of the applicant named above, I consent to the information in the project abstract above (including contact information) being made public, at the discretion of OJP consistent with applicable policies. I certify that I have the authority to provide this consent.

Authorized Official (AO) Consent		
Signature		Date 6/4/14
AO Name	Eugene Clendinen	
Title	Chief of Administrative & Financial Services	
Organization Name	San Francisco District Attorney's Office	
Phone Number	(415) 553 1895	
Email Address	eugene.clendinen@sfgov.org	

Note: This document is to be submitted as a separate attachment with a file name that contains the words "Project Abstract."

Smart Prosecution Initiative in San Francisco: Predictive Analytics for Strategic Prosecution

Table of Contents

Smart Prosecution Initiative in San Francisco:
Predictive Analytics for Strategic Prosecution

Under the Smart Prosecution Initiative, the San Francisco District Attorney's Office

(SFDA) seeks $447,598 to address Goal #2 Ensure Safer Communities.

1. Statement of the Problem

Information, in the form of evidence, is essential to the work of the prosecutor. However,

criminal intelligence—information used to anticipate, prevent and/or monitor criminal activity—

has not been a standard focus of prosecutors' offices. In 2013, SFDA filed nearly 7,200 new

felonies and misdemeanors, resolved over 5,700 felony and misdemeanor cases, and achieved

nearly 4,400 convictions. Yet, because we examine these filings on a case-by-case basis, our

prosecutors know little about current crime trends and hot spots, how many chronic offenders we

put away, or how we might have assisted in anticipating or preventing these crimes from

occurring. The SFDA's Office is well positioned to use information from the thousands of cases

that are prosecuted each year to ensure safer communities.

Through the Smart Prosecution Initiative (SPI), SFDA will use data and predictive

analytics for strategic prosecution. Using analytic tools will enable SFDA to make connections

between criminal events, defendants, witnesses and victims that could facilitate more effective

investigations, charging decisions, and ultimately case dispositions. Furthermore, prosecutorial

criminal intelligence can support SFDA goals to *prevent* crime and victimization. By integrating

crime and other data from external sources with internal data, SFDA will identify those

individuals responsible for the majority of crime in our communities, those areas most affected

by crime, and the most vulnerable victims, and direct prosecutorial resources accordingly.

Background: Using Research and Information

Using research findings and data as the basis for decision-making are relatively new concepts to prosecutors. In a recent survey, the Center for Court Innovation found that prosecutors' offices lag behind all other criminal justice agencies in their use of innovative practices, research and evidence (Labriola, 2013). SFDA is well aware of this, and strives to advance the new field of data-driven prosecution. Just as data, research and evidence-based practices have augmented policing and probation, the prosecutorial field also stands to benefit and promote public safety from the effective use of data. Thus, we base our SPI efforts on research findings that are directly related to our efforts.

Research has established that a small percentage of offenders are responsible for a high rate of offenses. Wolfgang et al.'s classic study in 1972 concluded that six percent of delinquents committed more than 50 percent of all delinquent acts. More recent studies have shown similar tendencies. For example, in Boston, about 1,300 gang members in 61 gangs accounted for sixty percent of all youth homicides (Braga, et al., 2001). Furthermore, the chronic offending pattern of a few individuals is a robust finding that has important implications for organizing and implementing criminal justice interventions (see Wellford, Pepper and Petrie 2005).

Research has also demonstrated that specific hot spots of crime account for a higher proportion of crime than other areas. Uchida and Swatt (2013) found in Los Angeles that 70 of 1,135 (six percent) of reporting districts or police beats accounted for 30 percent of the gun-related crimes in the city. In Boston, Braga and Schnell (2013) found that from 1980-2008 about one percent of street segments and eight percent of intersections were responsible for nearly 50 percent of all commercial robberies and 66 percent of all street robberies.

Police agencies have recently adopted predictive analytics to assist with their crime fighting and crime prevention methods. A number of new software applications are available for police (PredPol, Bair, IBM Modeler, geospatial analytics, and others). While these have not been rigorously evaluated, they are now part of 'best practices' among police. In addition, 'big data' and predictive analytics have become integral to business practices worldwide.

Prosecutors have yet to determine how these findings and new paradigms can assist them on a daily basis. Under this initiative, the SFDA's Office will link chronic offenders, chronic locations, big data, and predictive analytics to demonstrate how data and technology can result in more effective investigations, prosecutions and dispositions. This does not replace the crime fighting work of police agencies; rather, it will supplement and enhance our efforts to control crime and promote justice.

2. Project Design and Implementation

Data, analytics, technology, and people are the key components that will lead to a better understanding and definition of the problems. As routinely demonstrated with the Scanning, Analysis, Response, and Assessment (SARA) model in problem-solving policing, Geographic Information Systems (GIS) and hot spot detection techniques are very effective at delineating current problem areas across an agency's jurisdiction. These methods of data visualization provide a simple but effective strategy for identifying the key problem areas responsible for the bulk of crime incidents. Linking GIS with the locations of arrests of chronic offenders provides prosecutors with a powerful mechanism for effecting significant crime reductions. Although the deterrence logic for increasing police presence in hotspots is well articulated, it is also important to produce 'smart sentencing' effects for offenders arrested in these hot spot areas. Smart sentencing – i.e., sentencing guided by research and data analysis – will generate case

dispositions that most effectively reduce recidivism, whether by incapacitation, probation or diversion, and should result in similar tangible crime reduction benefits.

In addition to identifying key locations and offenders to optimally direct prosecutorial resources, a number of predictive analytics can be leveraged to understand and improve the decision to prosecute and the collection of evidence. Predictive models can evaluate the strength of evidence used to obtain a conviction and help prosecutors identify the types of evidence most likely to yield successful convictions. This information can be used to create evidence-based best practices for assessing the strength of the case against a suspect and deciding which cases to prosecute. Further, this information can be communicated with police departments to assist in evidence collection. Finally, predictive analytics can link people, places, and things together and facilitate stronger cases by identifying previously unknown offending patterns that may allow linkages between arrestees and seemingly unrelated crimes.

Description of the evidence-based strategy

SFDA will create, implement, and establish a Crime Strategies and Intelligence Unit (CSIU). The newly formed unit, comprised of a policy manager, assistant district attorney, and strategy analyst will focus on gathering appropriate and valid data, and using statistical tools (ArcGIS, Stata, predictive analytics) to identify chronic locations and chronic offenders, both nonviolent and violent, in San Francisco. The Research Partner, Justice & Security Strategies, Inc. (JSS) will play a pivotal role in the project by assisting the CSIU with problem identification, data validation, analysis of the problem, and in identifying chronic locations and chronic offenders.

In addition to providing intelligence and support to all of our trial teams and collaborative courts, the CSIU and JSS will work closely with SFDA's Neighborhood Prosecution team: five

Assistant District Attorneys assigned to the City's ten police districts (two districts per ADA).
Each Neighborhood Prosecutor spends a great deal of time in the communities they serve,
attending a wide range of meetings, from resident and merchant groups to local Police Advisory
Boards. Their role at these gatherings is to both inform and to become informed, and work
shoulder to shoulder with community members to develop public safety strategies to address
each neighborhood's unique challenges. The Neighborhood Prosecutors also liaise with their
district police captains and officers. CSIU and JSS will strengthen all of these activities by
providing Neighborhood Prosecutors with additional information about the hot spots, chronic
offenders, and other issues that arise in the analyses. The Neighborhood Prosecutors will provide
community input and intelligence gathered from their interactions back to CSIU.

CSIU, JSS, and Neighborhood Prosecutors will also work with the SFDA's
Neighborhood Courts, a prosecutor-led, community-based diversion program for low level
defendants. Currently, Neighborhood Prosecutors personally review misdemeanor citations
generated by their assigned stations in order to refer individuals to Neighborhood Court. They
reach out to the cited individual, as well as the victim, to orient them to Neighborhood Court and
schedule a hearing. Neighborhood Prosecutors also charge appropriate cases through the
traditional court process; in certain instances, they vertically handle cases that are of particular
importance to their neighborhood, such as cases involving chronic offenders.

CSIU and JSS will assist the Neighborhood Prosecutors with data analysis to: 1) identify
suitable cases for Neighborhood Prosecutor vertical handling, based on the spatial location of the
crime relative to current neighborhood hot spots; 2) identify suitable individuals for
Neighborhood Courts – specifically those minor offenders who are unlikely to escalate their
offending behavior; 3) assess the beneficial aspects of Neighborhood Prosecution and Courts

relative to decreases in crime hot spots; and, 4) disseminate information to the public about

recent successes of Neighborhood Prosecution and Courts to increase the perceptions of

procedural justice and collective efficacy within the community. Crime analysis and predictive

analytics will be used on a routine basis to accomplish these four tasks.

Data, Records System and Analytical Capabilities

Data Sources. A number of data sources will be used by CSIU, particularly those that can

be analyzed to derive leading indicators of crime – those variables that capture the information

about locations, people, victims, and their linkages.

Case Management System (CMS) Data: The SFDA's Office collects information through

its CMS, called DAMION. Data include defendant and incident information for all felony and

misdemeanor arrests presented to SFDA for charging. DAMION contains more detailed

information for filed cases and motions to revoke probation and other forms of community

supervision, including case processing details and case dispositions.

Neighborhood Courts Data: Data regarding all cases referred to Neighborhood Court is

managed in a separate cloud-based case management system, shared with the non-profit

organization that administers Neighborhood Court hearings and tracks participant outcomes.

Crime Data: SFDA will obtain three years of police report data, notably Part I crimes,

less serious crimes, and non-serious crimes. These data will serve as both outcome data and as

potential leading indicators of crime.

Victim Data: Empirical evidence demonstrates a strong relationship between past and

future victimization (Lauritsen & Quinet, 1995; Turanovic & Pratt, 2012). We will use data from

DAMION that provide information relating to the incident address and home address of any

reported victims. These data will include both Part I and less-serious forms of victimization.

Criminal History and Community Supervision Data: Perhaps the best predictor of future criminal involvement is prior criminal involvement. For this reason, criminal offender record information will be requested from the California Department of Justice. Also, the time and location of releases from incarceration or placement on probation will be used as an important leading indicator for future crime. California's Public Safety Realignment (Assembly Bill 109) has resulted in the release of a large number of inmates. Data regarding realigned offenders, including dates into and out of custody and the location of residence for releases, will be requested from the San Francisco Adult Probation Department, which supervises this population.

Neighborhood and Community Data: Data about San Francisco neighborhoods will include demographic and economic information from the 2010 U.S. Census and the 2013 American Community Survey estimates; GIS information regarding the street network, waterways, and green space; the location of schools, parks, and other government property from City Planning; zoning and land valuation information from the County Assessor; and the location and type of business from a current business directory.

Business and Alcohol License Data: Recent research has shown that particular businesses are criminogenic and foster situations for crime and victimization. For example, payday-lending banks are associated with higher crime rates (Kubrin et al 2011). Consistent with a routine activity framework, a recent study suggested that bars are positively associated with both simple and aggravated assaults (Pridemore & Grubesic, 2013). In combination with the static data on businesses of this type in the San Francisco area, CSIU will obtain data on new and revoked business and alcohol license establishments.

Methods

One specific objective of CSIU is to work with Neighborhood Prosecutors to develop a *predictive* tool to identify suitable candidates for the Neighborhood Courts program. Ultimately, the success of the Neighborhood Courts program is contingent upon the suitability of offenders for this program – specifically, these offenders should have low-risk of engaging in future violent criminal activity. While a number of assessment tools are available, the validity of many of these assessments has not been thoroughly evaluated and the predictive power of these assessments remains questionable. Even with optimum data, these instruments are constructed as linear combinations of indicators and cannot capture non-linear, conditional, or hidden relationships among indicators leading to severe limitations in predictive power. An important consequence of this lack of predictive power is that Neighborhood Prosecutors must err towards being overly conservative in Neighborhood Court referrals. To increase the application of the Neighborhood Courts program, better predictive instruments are required.

JSS and CSIU will explore the use of predictive analytic tools – statistical learning and pattern recognition techniques, including boosting, bagging, random forests, support vector machines, neural networks, and other models (see Berk 2008; Bishop 2006; Clarke, Fokoué, & Zhang 2009; Hastie, Tibshirani, & Friedman 2009; Williams 2011). Using existing data described above, JSS and CSIU will generate and validate a predictive tool for use in the Neighborhood Courts program. This predictive instrument will be designed to measure the risk of a subsequent violent offense from eligible participants in the Neighborhood Court. To maximize the predictive power of this tool, the CSIU will consider using a "super-learner" (see van der Laan & Rose 2011) to weight predictions from the various methods and parameterizations.

In addition to constructing a predictive instrument, JSS and CSIU will also provide the Neighborhood Prosecutors with information about the locations of hot spots and the identities of chronic offenders within San Francisco to optimize Neighborhood Court referrals, inform the Neighborhood Prosecutors' other functions, and enhance non-prosecution public safety strategies. Ongoing communication between the Neighborhood Prosecutors and the community will encourage the development of collective efficacy among community members.

Evaluation

JSS will conduct process and outcome evaluations of components of the program. The methodology of the evaluation will be contingent upon further discussions with SFDA during the planning period of the grant. However, the process evaluation will, at a minimum, describe how the SFDA set up and established the CSIU, how the Office used data for its decision-making, how the Neighborhood Prosecutors and Courts used analytics for selection of offenders, and how these changes affected the organization as a whole.

For the outcome evaluation, JSS recommends a controlled randomized experiment as the "gold standard," but if that is not possible then various quasi-experimental designs will be suggested, including natural experiments (such as regression-discontinuity designs), time series designs, and matched control group designs (using propensity score matching). JSS has extensive experience with experimental and quasi-experimental designs and is currently employing many of these methods as part of other projects.

3. Capabilities and Competencies

San Francisco District Attorney's Office

The District Attorney's Office investigates and prosecutes crime in San Francisco and supports victims of crime. The Office filed over 7,200 felony and misdemeanor cases in 2013,

including cases involving consumer fraud, real estate fraud, insurance fraud and financial fraud against elders, as well as actions to ensure environmental protection. The Office has over 200 staff including prosecutors, victim advocates, paralegals, investigators and other support staff. The Office is comprised of five divisions: Criminal Division; Victim Services Division; Special Operations (white collar and economic crimes); and, the Brady, Appellate and Training Division.

District Attorney George Gascón is a known innovator for his use of technology to prevent and predict crime. He improved the COMPSTAT system at the Los Angeles Police Department and introduced the system to the San Francisco Police Department during his tenure as Police Chief. District Attorney Gascón believes in using well-developed metrics and technology to drive organizational performance and improve public safety. In 2013, he launched DA Stat, a data-based tool, modeled after COMPSTAT, used to inform operational decision-making in the Office. Through DA Stat, SFDA examines criminal case processing in a comprehensive manner, from charging through sentencing.

In keeping with his focus on innovation and technology, District Attorney Gascón will establish the Crime Strategies and Intelligence Unit (CSIU) to serve as the backbone for his data-driven approach. The Smart Prosecution Initiative is the ideal project for SFDA as it aligns very closely with its philosophy and future.

The Crime Strategies and Intelligence Unit (CSIU) will be led by David Merin, SFDA Chief of the Criminal Division, Vertical Teams. Mr. Merin is a veteran San Francisco prosecutor, with trial experience ranging from the volume-intensive Misdemeanor and General Felonies Units, to the specialized and highly complex cases of the Sexual Assault and Homicide Units. As the Chief of the Criminal Division, Vertical Teams, he currently supervises the Homicide, Gang Violence, Sexual Assault and Child Assault Units. Mr. Merin's extensive knowledge of criminal

actors, locations, and trends in San Francisco; his experience and leadership at SFDA; and, his

commitment to leveraging technology to improve investigations and prosecutions will provide a

solid foundation for the CSIU.

Maria McKee, Policy & Grants Manager, will provide project and grants management

support, as well as analytic expertise to the CSIU. Ms. McKee serves as the policy manager for a

diverse array of projects, including the Neighborhood Courts and Neighborhood Prosecutors

initiative, the development of an Arrest Alert system, and DA Stat, which she co-authors each

month. Ms. McKee will contribute her extensive knowledge of San Francisco criminal justice

data to the CSIU, and work very closely with the grant-funded strategy analyst and JSS.

In addition to Mr. Merin, Ms. McKee, and the strategy analyst, the CSIU will also

intersect with the District Attorney Investigations and the Neighborhood Prosecution Units.

Thomas Shawyer, Captain of SFDA's Bureau of Investigations, is a former SFPD Chief of Staff,

and an early proponent of COMPSTAT. Captain Shawyer has provided leadership on the DA

Stat project since its inception. The Neighborhood Prosecution Unit is lead by Katherine Miller,

the Chief of Alternative Programs and Initiatives. During her tenure with SFDA, Ms. Miller has

managed several innovative initiatives, including large federally funded programs. Captain

Shawyer and Ms. Miller's guidance will ensure that the CSIU is implemented effectively, and

that it is fully integrated into SFDA operations.

Research Partner: Justice & Security Strategies, Inc. (JSS)

The SFDA selected *Justice & Security Strategies, Inc. (JSS)* as its research partner

because of its proven track record of conducting field research with law enforcement agencies,

including prosecutorial offices. JSS is the Research Partner for three Smart Policing sites: Los

Angeles Police Department (LAPD), Cambridge (MA) police; and York (ME) police. JSS's

evaluation of LAPD's SPI project (Operation LASER) found that reductions in violent crime in one LAPD division were statistically significant and the direct result of police interventions in chronic locations and with chronic offenders. In Cambridge, JSS is conducting a randomized control trial to determine the effects of focused deterrence on recidivism and crime. JSS has worked extensively with the Miami-Dade State Attorney's Office, serving as its research partner for Project Safe Neighborhoods, gangs and gun violence, and mortgage fraud projects funded by the Bureau of Justice Assistance. For this project, JSS will work closely with the SFDA's Office and CSIU by processing data, assisting with computer mapping techniques, conducting advanced analysis (using predictive tools), and conducting an evaluation of strategic interventions.

Dr. Craig D. Uchida, President and founder of JSS, is one of the leading experts in the country on predictive policing. He and Ms. Shellie Solomon have worked directly with the Los Angeles Police Department since 2009 when predictive policing first began in earnest. They have worked with captains and analysts in three LAPD Divisions to track and evaluate the impact of predictive policing on crime. Dr. Uchida has written three articles, taught courses, and given lectures and seminars at conferences and sites across the country on predictive policing. JSS is currently testing and evaluating different software packages on predictive policing in Columbia, SC through an NIJ grant. In addition to Dr. Uchida's work on predictive policing he has over 30 years of experience working with criminal justice agencies nationally and internationally on research projects, training, and technical assistance. His doctorate is from the University of Albany in criminal justice and criminology.

Dr. Uchida's team includes Ms. Shellie Solomon, Dr. Marc Swatt, and Ms. Kristine Hamann. Ms. Solomon is an economist and criminal justice researcher who has conducted evaluations of community policing, domestic violence, and law enforcement technology. She has

extensive knowledge and experience in GIS. She is completing her doctorate in governance at the University of Maastricht, Netherlands in 2014. Dr. Marc Swatt is a senior statistician who has been involved with collecting, analyzing, geocoding, and mapping large databases, such as calls for service, police report data and arrest data across multiple municipalities, including Los Angeles and San Antonio. Dr. Swatt received his doctorate from the University of Nebraska at Omaha. Ms. Kristine Hamann is a former Executive Assistant District Attorney for the Manhattan District Attorney's Office. Currently a Visiting Fellow at BJA, she has expertise in creating and implementing a crime strategies and intelligence unit as well as extensive experience in prosecuting felonies and misdemeanors.

4. Plan for Collecting Data for Performance Measures

The measures required by this grant under the Government Performance and Results Act (GPRA) of 1993 will be collected and reported on by the CSIU and JSS. These performance measures will be an integral part of the process evaluation conducted by JSS, as they include information prior to and during the project period. For example, three measures are requested during the six months prior to grant funding and after the project began: 1) the number of times data were collected; 2) the number of statistical analyses conducted; and 3) the number of research or evidence-based tools or solution deployed. The number of program tasks completed, the number of new solutions employed and the number of new research-based initiatives are measures that will be tracked and reported upon routinely by CSIU and JSS.

Other performance measures are directly related to supporting and sustaining the SPI strategy. These include the amount of non-grant dollars expended, the hiring of new staff, the adoption of new policies, new formal agreements, new partnerships, and briefings that promote

evidence-based practices. All of these measures will be tracked, monitored, and reported on by

CSIU and JSS.

5. Sustainability

The SFDA takes a broad view of program sustainability for this initiative. That is, during

the planning and implementation phases of this grant, we will consider how to sustain a research-

informed, data-driven strategy within a prosecutor's office after grant funds expire. This means

being mindful of 1) the specific principles of the approach, 2) the budgetary needs of the project,

and 3) the essential components that lead to success for the project.

First, the principles of the approach are sustainable because of the philosophy and

direction provided by District Attorney Gascón. He has expressed the need for prosecutors and

staff to use data and predictive analytics for strategic prosecution purposes, and to use research

findings to guide SFDA processes and initiatives. As the project progresses, these principles will

be reinforced by the establishment of the CSIU and through the research capacity of JSS. This

project will enable the Office to demonstrate how CSIU and a research partner can work with

prosecution units effectively.

Second, the budgetary needs of the project include costs for an analyst, travel, training,

and the research partner. The position of the analyst, which is critical to the CSIU, will be

requested through the city budget and hopefully made permanent within the Office. The research

partner, JSS, has indicated a willingness to write grant proposals to BJA, NIJ, and other funding

sources to continue its working relationship with the SFDA.

Third, the essential components that lead to the success of the project will not be known

until the process and impact evaluations are completed. JSS will provide findings and

recommendations that speak to what worked and what did not and thus provide the Office with

useful results going forward. These results will be used to make the case to the Mayor and the Board of Supervisors to invest General Fund dollars into the CSIU.

6. Products and Deliverables

The SFDA and JSS will be involved in the development of products and the dissemination of information regarding this project. One of the primary deliverables will be the development of tools, such as the Neighborhood Courts predictive tool, and other statistical programs. While the development of these tools will be labor intensive, and benefit from the research expertise of JSS, eventually, these tools will be automated to some degree. In this way, the work of this grant will create tangible products that will sustain Smart Prosecution objectives over the long run for SFDA.

We are also committed to making practitioners, policy makers, and researchers aware of the results as we go along. Because of BJA's emphasis on evidence-based practices, it is incumbent upon us to provide information to multiple outlets. First, the SFDA and JSS will present various aspects of the project to researchers, practitioners, and policy makers at conferences including the annual meetings of the Association of Prosecuting Attorneys, the National Governors Association, the National Criminal Justice Association, the American Society of Criminology, and the Academy of Criminal Justice Sciences. Second, brief articles will be written for the criminal justice community, including a report that describes the use of predictive analytics for prosecutors or a report on the use of data for Neighborhood Prosecution teams. Third, JSS and CSIU will jointly produce articles for peer-reviewed journals, including but not limited to Criminology, Justice Quarterly, Criminology & Public Policy, Police Quarterly, Journal of Experimental Criminology, and the like.

**Smart Prosecution Initiative in San Francisco:
Predictive Analytics for Strategic Prosecution**

Budget Detail Worksheet

Year 1 & 2 Summary (Full Grant Period)

A. Personnel/Salary Costs	$168,896
B. Fringe Benefits	$72,626
C. Travel	$11,856
D. Equipment	$7,330
E. Supplies	$0
F. Construction	$0
G. Consultants/Contracts	$170,000
H. Other	$0
I. Indirect Costs	$16,890
TOTAL PROJECT COSTS	**$447,598**
Federal Request	**$447,598**
Applicant Funds, if any, to be applied to this project	**$0**

See following pages for separate itemized budget for each year of grant activity.

Year One

A. Personnel $84,448

Item	Computation	Cost
Strategy Analyst (1822)	$84,448 x 100%	$84,448

B. Fringe Benefits $36,313

Item	Computation	Cost
Strategy Analyst Fringe	$84,448 x 43%	$36,313

C. Travel $5,928

Item	Computation	Cost
Travel to Smart Prosecution Meeting, Washington DC		
Airfare	$500 x 4 people x 1.13 Carbon Offset	$2,260
Lodging	$211 x 4 people x 3 nights	$2,532
Meals & Incidentals	$71 x 4 people x 4 days	$1,136

D. Equipment $7,330

Item	Computation	Cost
Computers suitable for data processing & analysis	$1,500 x 2 computers	$3,000
Color Laserjet Printer	$200 x 1 printer	$200
Color Laserjet Printer Ink	$26 x 5 cartridges	$130
Tablets	$800 x 5 tablets	$4,000

E. Supplies $0

Item	Computation	Cost
N/A		

F. Construction $0

Item	Computation	Cost
N/A		

G. Consultants/Contracts $85,000

Item	Cost
Justice & Security Strategies, Inc.	$75,000
GIS Training	$5,000
Crime & Intelligence Analysis Training	$5,000

H. Other $0

Item	Computation	Cost
N/A		

Total Direct Costs $219,019

I.   Indirect Costs

Item	Computation	Cost
Indirect Cost on Personnel Line Item	$84,448 x 10%	$8,445

Year 1 Summary

A. Personnel/Salary Costs	$84,448
B. Fringe Benefits	$36,313
C. Travel	$5,928
D. Equipment	$7,330
E. Supplies	$0
F. Construction	$0
G. Consultants/Contracts	$85,000
H. Other	$0
I. Indirect Costs	$8,445
TOTAL PROJECT COSTS	$227,464
Federal Request	$227,464
Applicant Funds, if any, to be applied to this project	$0

Year Two

A. Personnel   **$84,448**

Item	Computation	Cost
Strategy Analyst (1822)	$84,448 x 100%	$84,448

B. Fringe Benefits   **$36,313**

Item	Computation	Cost
Strategy Analyst Fringe	$84,448 x 43%	$36,313

C. Travel   **$5,928**

Item	Computation	Cost
Travel to Smart Prosecution Meeting, Washington DC		
Airfare	$500 x 4 people x 1.13 Carbon Offset	$2,260
Lodging	$211 x 4 people x 3 nights	$2,532
Meals & Incidentals	$71 x 4 people x 4 days	$1,136

D. Equipment   **$0**

Item	Computation	Cost
N/A		

E. Supplies   **$0**

Item	Computation	Cost
N/A		

F. Construction   **$0**

Item	Computation	Cost
N/A		

G. Consultants/Contracts   **$85,000**

Item	Cost
Justice & Security Strategies, Inc.	$75,000
GIS Training	$5,000
Crime & Intelligence Analysis Training	$5,000

H. Other   **$0**

Item	Computation	Cost
N/A		

Total Direct Costs   **$211,689**

II.   Indirect Costs

Item	Computation	Cost
Indirect Cost on Personnel Line Item	$84,448 x 10%	$8,445

Year 2 Summary

J. Personnel/Salary Costs	$84,448
K. Fringe Benefits	$36,313
L. Travel	$5,928
M. Equipment	$0
N. Supplies	$0
O. Construction	$0
P. Consultants/Contracts	$85,000
Q. Other	$0
R. Indirect Costs	$8,445
TOTAL PROJECT COSTS	**$220,134**
Federal Request	**$220,134**
Applicant Funds, if any, to be applied to this project	$0

Smart Prosecution Initiative in San Francisco:
Predictive Analytics for Strategic Prosecution

Budget Narrative

Year One

A. Personnel   **$84,448**

Under direction, as part of the Crime Strategies and Intelligence Unit, the Strategy Analyst will focus on gathering appropriate and valid data, and using statistical tools (ArcGIS, Stata, predictive analytics) to identify chronic locations and chronic offenders, both nonviolent and violent, in San Francisco. As the first analyst dedicated to crime analysis and mapping in the San Francisco District Attorney's Office, the Strategy Analyst will be essential to achieving the goals of this Smart Prosecution Initiative. For each year of the grant, 100 percent of the analyst's time will be committed to the Smart Prosecution Initiative. The skills required for this position fall under San Francisco's 1822 Administrative Analyst classification (Step 5), which has an annual salary of $84,448: $84,448 x 1 year=$84,448

B. Fringe Benefits   **$36,313**

Fringe benefits include Social Security, Medicare, Flex Benefits, Health Insurance, Dependent Coverage, Long Term Disability, Retirement, Unemployment Insurance and Dental Insurance. The total rate is 43% for the Strategy Analyst (1822, Step 5). Based on the annual salary of $84,448 for the Strategy Analyst, 43 percent for each year is $72,625: $84,448 x .43 x 1 Year=$36,313.

C. Travel   **$5,928**

As suggested in the Smart Prosecution Grant Announcement, we are requesting a total of $5,928 each year to fund the cost of four-person teams of agency and research partner representatives to attend two 2-day meetings during the 24-month project period. Calculations, based on travel to Washington, DC, are calculated as follows:

Year 1 Total Travel Cost: $5,928
Airfare: $500 (average cost to DC) x 4 people x 13% carbon offset (SF required) - $2,260
Lodging: $211 (average government rate approved for DC) x 4 people x 3 days - $2,532
Incidentals: $71 (approved daily rate) x 4 people x 4 days - $1,136

D. Equipment   **$7,330**

In the first year of the grant, we are requesting two computers for the Strategy Analyst and the Policy Manager with sufficient computing capacity to work with very large datasets, run high level statistical analysis, and conduct comprehensive mapping analyses. A color laserjet printer and ink are requested so that the Crime Strategies and Intelligence Unit may print high quality color maps and data visualizations, which will be used to disseminate findings. Five tablets are

requested for the Neighborhood Prosecutors so that they may have crime analysis findings and maps at their fingertips in the community, where they work with police and community members as liaisons to the District Attorney's Office. The equipment requested will enable the unit to realize crime strategies objectives.

Total Equipment Cost: $7,330
Computers: $1,500 each x 2 computers - $3,000
Color Laserjet Printer: $200
Color Laserjet Printer Ink: $26 per cartridge x 5 cartridges - $130
Tablets: $800 each x 5 Neighborhood Prosecutors - $4,000

E. Supplies   **$0**

F. Construction   **$0**

G. Consultants/Contracts $85,000

The Research Partner, Justice & Security Strategies, Inc. (JSS) will play a pivotal role in the project by assisting the Crime Strategies & Intelligence Unit (CSIU) with problem identification, data validation, problem analysis, and chronic locations and chronic offenders identification. The SFDA selected JSS as its research partner because of its proven track record of conducting field research with law enforcement agencies, including prosecutorial offices. The SFDA will enter into a sole source contract with JSS, following local requirements, for $75,000 for each year. Note that the two year total does not exceed the federal non-competitive procurement threshold of $150,000.

SFDA will also contract for GIS and Crime & Intelligence Analysis Training for the CSIU team. Extensive training in the latest mapping, crime intelligence and analysis approaches will ensure that Unit staff implement evidence-based strategies. Total training costs are estimated at $10,000 each year.

H. Other   **$0**

Total Direct Costs   **$219,019**

I. Indirect Costs   **$8,445**

In order to cover fiscal, administrative and management costs associated with this grant, SFDA is requesting indirect costs totaling ten percent of Personnel costs. For each year, Personnel costs under this grant total $84,448. Ten percent of that is $8,445 each year.

YEAR 1 TOTAL PROJECT COSTS	$227,464

Year Two

A. Personnel $84,448

Under direction, as part of the Crime Strategies and Intelligence Unit, the Strategy Analyst will focus on gathering appropriate and valid data, and using statistical tools (ArcGIS, Stata, predictive analytics) to identify chronic locations and chronic offenders, both nonviolent and violent, in San Francisco. As the first analyst dedicated to crime analysis and mapping in the San Francisco District Attorney's Office, the Strategy Analyst will be essential to achieving the goals of this Smart Prosecution Initiative. For each year of the grant, 100 percent of the analyst's time will be committed to the Smart Prosecution Initiative. The skills required for this position fall under San Francisco's 1822 Administrative Analyst classification (Step 5), which has an annual salary of $84,448: $84,448 x 1 year=$84,448

B. Fringe Benefits $36,313

Fringe benefits include Social Security, Medicare, Flex Benefits, Health Insurance, Dependent Coverage, Long Term Disability, Retirement, Unemployment Insurance and Dental Insurance. The total rate is 43% for the Strategy Analyst (1822, Step 5). Based on the annual salary of $84,448 for the Strategy Analyst, 43 percent for each year is $72,625: $84,448 x .43 x 1 Year=$36,313.

C. Travel $5,928

As suggested in the Smart Prosecution Grant Announcement, we are requesting a total of $5,928 each year to fund the cost of four-person teams of agency and research partner representatives to attend two 2-day meetings during the 24-month project period. Calculations, based on travel to Washington, DC, are calculated as follows:

Year 2 Total Travel Cost: $5,928
Airfare: $500 (average cost to DC) x 4 people x 13% carbon offset (SF required) - $2,260
Lodging: $211 (average government rate approved for DC) x 4 people x 3 days - $2,532
Incidentals: $71 (approved daily rate) x 4 people x 4 days - $1,136

D. Equipment $0

E. Supplies $0

F. Construction $0

G. Consultants/Contracts $85,000

The Research Partner, Justice & Security Strategies, Inc. (JSS) will play a pivotal role in the project by assisting the Crime Strategies & Intelligence Unit (CSIU) with problem identification, data validation, problem analysis, and chronic locations and chronic offenders identification. The SFDA selected JSS as its research partner because of its proven track record of conducting field

3

research with law enforcement agencies, including prosecutorial offices. The SFDA will enter into a sole source contract with JSS, following local requirements, for $75,000 for each year. Note that the two year total does not exceed the federal non-competitive procurement threshold of $150,000.

SFDA will also contract for GIS and Crime & Intelligence Analysis Training for the CSIU team. Extensive training in the latest mapping, crime intelligence and analysis approaches will ensure that Unit staff implement evidence-based strategies. Total training costs are estimated at $10,000 each year.

H. Other   **$0**

Total Direct Costs   **$211,689**

I. Indirect Costs   **$8,445**

In order to cover fiscal, administrative and management costs associated with this grant, SFDA is requesting indirect costs totaling ten percent of Personnel costs. For each year, Personnel costs under this grant total $84,448. Ten percent of that is $8,445 each year.

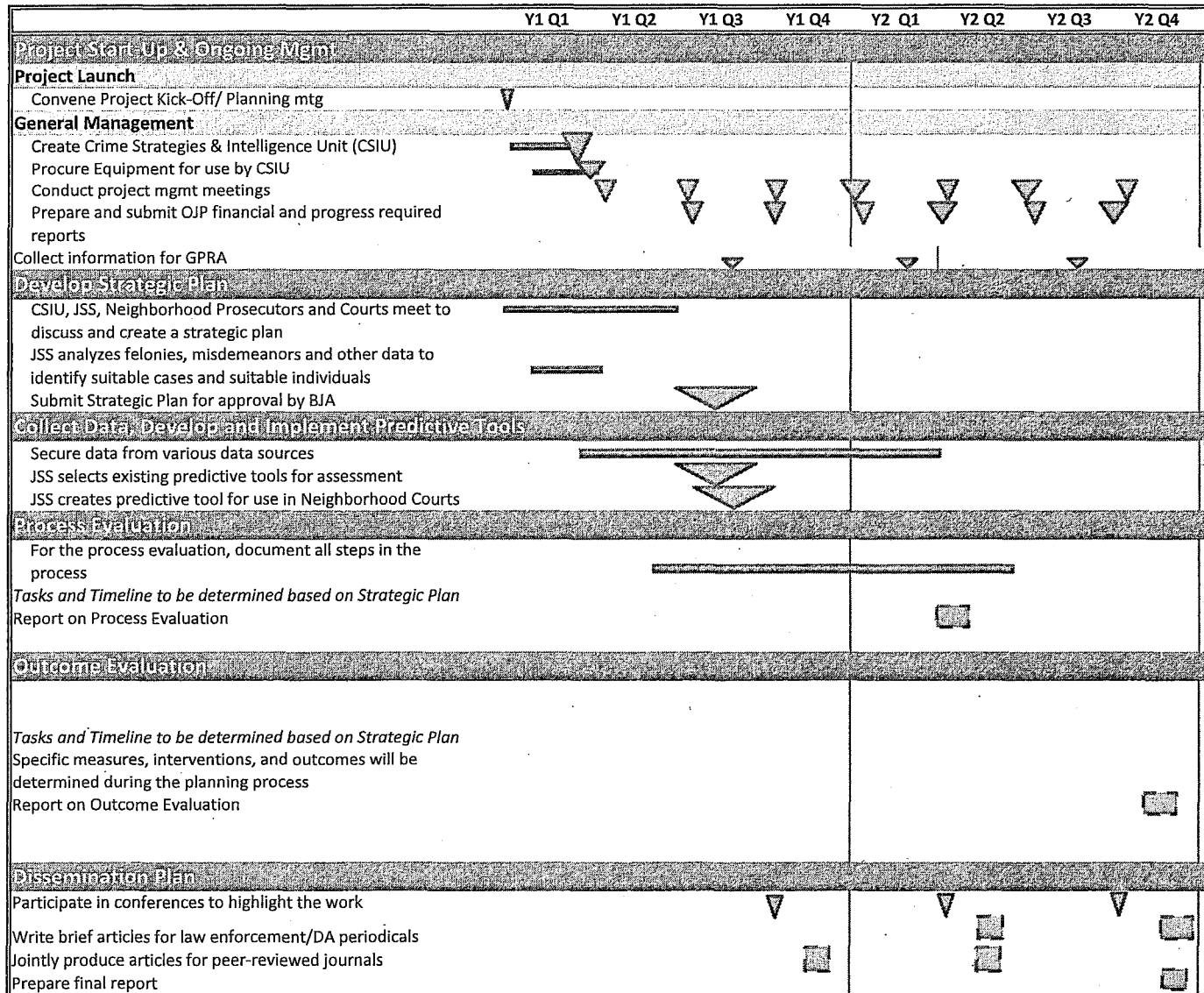| YEAR 2 TOTAL PROJECT COSTS	$220,134

Appendix 1: References

References

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Appendix 2: Timeline

Smart Prosecution Initiative in San Francisco: Predictive Analytics for Strategic Prosecution

	Y1 Q1	Y1 Q2	Y1 Q3	Y1 Q4	Y2 Q1	Y2 Q2	Y2 Q3	Y2 Q4
Project Start-Up & Ongoing Mgmt								
Project Launch								
Convene Project Kick-Off/ Planning mtg								
General Management								
Create Crime Strategies & Intelligence Unit (CSIU)								
Procure Equipment for use by CSIU								
Conduct project mgmt meetings								
Prepare and submit OJP financial and progress required reports								
Collect information for GPRA								
Develop Strategic Plan								
CSIU, JSS, Neighborhood Prosecutors and Courts meet to discuss and create a strategic plan								
JSS analyzes felonies, misdemeanors and other data to identify suitable cases and suitable individuals								
Submit Strategic Plan for approval by BJA								
Collect Data, Develop and Implement Predictive Tools								
Secure data from various data sources								
JSS selects existing predictive tools for assessment								
JSS creates predictive tool for use in Neighborhood Courts								
Process Evaluation								
For the process evaluation, document all steps in the process								
Tasks and Timeline to be determined based on Strategic Plan								
Report on Process Evaluation								
Outcome Evaluation								
Tasks and Timeline to be determined based on Strategic Plan								
Specific measures, interventions, and outcomes will be determined during the planning process								
Report on Outcome Evaluation								
Dissemination Plan								
Participate in conferences to highlight the work								
Write brief articles for law enforcement/DA periodicals								
Jointly produce articles for peer-reviewed journals								
Prepare final report								

Appendix 3: Applicant Disclosure of Pending Applications

"The San Francisco District Attorney does not have pending applications submitted within the last 12 months for federally funded assistance that includes requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation."

Appendix 4: Research Integrity and Independence

Justice & Security Strategies, Inc.

Research Independence and Integrity

Justice & Security Strategies, Inc. and its research team members and consultant ensure that the design, conduct, or reporting of research funded by BJA will not be biased by any financial interest on the part of the investigators responsible for the research or on the part of the applicant.

JSS has established a Conflict of Interest Policy (see attached) that explains the process and procedures to identify, mitigate and if necessary, eliminate potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients. The policy enables JSS to identify any potential organizational conflicts of interest with regard to the proposed research/evaluation.

Each member of the research team, whether it be a staff member, consultant, or sub-recipient, will be provided the policy, will read the policy, and agree to comply with it. This will ensure that they are aware of the policy and on notice to disclose any and all apparent or real conflicts of interest to JSS.

For the Smart Prosecution Initiative project JSS reasonably believes that no potential personal or organizational conflicts of interest exist. The project does not include the development or creation of new software packages, hardware, or tangible goods. There are no inventions that might arise from the research that will be undertaken. Nor does any individual or organization working on this project have financial interests in the police agencies that are subjects of the study, nor do any of the police agencies have financial interests in the companies or universities conducting the study.

Signed by:

Craig D. Uchida

May 27, 2014

_____   _____

Dr. Craig D. Uchida   Date
President, JSS

Justice & Security Strategies, Inc.   Tel +1 (301) 432-3132
P.O. Box 6188   Fax +1 (877) 788-4235
Silver Spring, MD 20916   Email cduchida@jssinc.org
                                                            Web www.jssinc.org

Justice & Security Strategies, Inc. (JSS)
Conflict of Interest Policy[1]
For Officers, Employees, Consultants, and Sub-Recipients

Article I -- Purpose

1. The purpose of this conflict of interest policy is to protect JSS's interests when it is contemplating entering into a transaction or arrangement that might benefit the private interests of an officer, employee or consultant that might result in a possible excess benefit transaction.

2. This policy is intended to address the issues raised by the National Institute of Justice (NIJ) in its section related to Research Independence and Integrity.

Article II -- Definitions

1. **Interested person** -- Any principal officer, employee, consultant, or sub-recipient who has a direct or indirect financial interest, as defined below, is an interested person.

2. **Financial interest** -- A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:

    a. An ownership or investment interest in any entity with which JSS has a transaction or arrangement,

    b. A compensation arrangement with JSS or with any entity or individual with which JSS has a transaction or arrangement, or

    c. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which JSS is negotiating a transaction or arrangement.

    Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.

    A financial interest is not necessarily a conflict of interest. A person who has a

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[1] This policy is based on the IRS model Conflict of Interest policy, which is an attachment to Form 102

financial interest may have a conflict of interest only if the Board or President decides that a conflict of interest exists, in accordance with this policy.

Article III -- Procedures

1. **Duty to Disclose** -- In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the JSS Board of Directors and President.

2. **Recusal of Self** -- Any officer, employee, consultant, or sub-recipient may recuse himself or herself at any time from involvement in any decision, discussion, or project in which the person believes he or she has or may have a conflict of interest, without going through the process for determining whether a conflict of interest exists.

3. **Determining Whether a Conflict of Interest Exists** -- After disclosure of the financial interest and all material facts, and after any discussion with the interested person, the JSS Board or President shall decide if a conflict of interest exists.

4. **Procedures for Addressing the Conflict of Interest**

   a. An interested person may make a presentation at a JSS Board Meeting or before the JSS President, but after the presentation, he/she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.

   b. After exercising due diligence, the Board or President shall determine whether JSS can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.

   c. If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the Board or President shall determine whether the transaction or arrangement is in JSS's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, it shall make its decision as to whether to enter into the transaction or arrangement.

5. **Violations of the Conflicts of Interest Policy**

   a. If the Board or President has reasonable cause to believe an interested person has failed to disclose actual or possible conflicts of interest, it shall inform the person of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.

   b. If, after hearing the person's response and after making further investigation as warranted by the circumstances, the Board or President determines the person

has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

Article IV – Records of Proceedings

The minutes of the Board shall contain:

a. The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, and the Board's or President's decision as to whether a conflict of interest in fact existed.

b. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

Article V – Annual Statements

1. Each principal officer, staff member, consultant, or sub-recipient shall annually sign a statement which affirms such person:

   a. Has received a copy of the conflict of interest policy,

   b. Has read and understands the policy,

   c. Has agreed to comply with the policy, and

   d. Understands JSS is an independent research entity that conducts independent research studies and evaluations to accomplish its organizational goals.

2. If at any time during the year, the information in the annual statement changes materially, the director shall disclose such changes and revise the annual disclosure form.

3. The Board or President shall regularly and consistently monitor and enforce compliance with this policy by reviewing annual statements and taking such other actions as are necessary for effective oversight.

Article VII – Periodic Reviews

To ensure JSS operates in a manner consistent with its mission, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

a. Whether compensation arrangements and benefits are reasonable, based on the result of arm's length bargaining.

b. Whether partnerships, joint ventures, and arrangements with management organizations, if any, conform to JSS's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, and do not result in inurement or impermissible private benefit or in an excess benefit transaction.

Article VIII – Use of Outside Experts

When conducting the periodic reviews as provided for in Article VII, JSS may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the Board of its responsibility for ensuring periodic reviews are conducted.

Initial Conflict of Interest policy adopted September 2013.

Officer, Staff, and Consultant
Annual Conflict of Interest Statement

1. Name: _____   Date: _____

2. Position:
        Are you an Officer?   Yes   No
        If you are an Officer, which Officer position do you hold:

        _____.

        Are you an Employee?   Yes   No

        Are you a Consultant?   Yes   No

3. I affirm the following (please initial each statement):

        I have received the Conflict of Interest Policy.

        I have read the Conflict of Interest Policy.

        I will comply with the Conflict of Interest Policy.

4. Disclosures:

    a. Do you have a financial interest (current or potential), including a compensation arrangement, as defined in the Conflict of Interest policy with JSS?   Yes   No

        i. If yes, please describe it: _____
        ii. If yes, has the financial interest been disclosed, as provided in the Conflict of Interest policy?   Yes   No

    b. In the past, have you had a financial interest, including a compensation arrangement, as defined in the Conflict of Interest policy with JSS?   Yes   No

        i. If yes, please describe it, including when (approximately):

        _____

        ii. If yes, has the financial interest been disclosed, as provided in the Conflict of Interest policy?   Yes   No

_____   Date _____
Signature

6

Appendix 5: Curriculum Vitae

DR. CRAIG D. UCHIDA

PO Box 6188, Silver Spring, MD 20916 (301) 438-3132 (office)

Email: cduchida@jssinc.org Website: www.jssinc.org

President, **Justice & Security Strategies, Inc.,** since 1997.

As President of the company, Dr. Uchida is responsible for locating funding streams, negotiating contracts, directing projects, leading and managing staff, and insuring that projects are completed on time and within budget. He has expertise in management and operations, training and education, and substantive knowledge in law enforcement, homeland security, criminal justice, and public health issues. He provides direct assistance to clients through training and technical assistance, developing and implementing research and evaluation plans, and assisting in implementing change within organizations.

Recent projects include:

- Visiting Fellow, Bureau of Justice Assistance, Office of Justice Programs, US Department of Justice (2012-2014), "Police Innovations in the 21st Century"
- Instructor, California Command College, San Diego, CA (teach a course in Predictive Policing to police lieutenants and above)
- Project Director, Evaluation of the LAPD TEAMS II Early Identification System (2014-2016) (NIJ funded)
- Project Director, Linking Theory to Practice: Testing Geospatial Predictive Policing in a Medium-Sized Police Agency (2014-2016) (NIJ funded)
- Principal Investigator and Research Partner for Smart Policing in the LAPD (2010-present) (BJA funded)
- Principal Investigator and Research Partner for Smart Policing in the Cambridge (MA) Police Department (2011-present) (BJA funded)

EXPERIENCE: U.S. DEPARTMENT OF JUSTICE

Assistant Director for Grants Administration and Senior Policy Adviser, **Office of Community Oriented Policing Services (COPS Office), 1994-1997.**

Director, **Office of Criminal Justice Research, National Institute of Justice (NIJ), 1993-1994.**

ACADEMIC APPOINTMENTS

Affiliate Associate Professor. Administration of Justice Program at George Mason University, Manassas, VA. December 1999 to 2009.

Assistant Professor. Department of Criminology and Criminal Justice, University of Maryland, 1982-1988.

Selected Articles

Uchida, C. D. 2009. Predictive Policing in Los Angeles: Planning and Development. White paper published by Justice & Security Strategies, Inc. December.

Uchida, C. D. 2010. "A National Discussion on Predictive Policing: Defining Our Terms and Mapping Successful Implementation Strategies," *National Institute of Justice, Department of Justice. No. NCJ230404.* Accessed May 20, 2013 at https://www.ncjrs.gov/pdffiles1/nij/grants/230404.pdf

Uchida, Craig D., Swatt, M., Gamero, D., Lopez, J., Salazar, E., King, E., Maxey, R., Ong, N., Wagner, D., & White, M. D. Los Angeles, California Smart Policing Initiative: Reducing gun-related violence through Operation LASER. Smart Policing Initiative: Site Spotlight. Bureau of Justice Assistance. U.S. Department of Justice. Washington, D.C.: U.S. Government Press, 2012.

Uchida, Craig D. and Marc Swatt. "Operation LASER and the Effectiveness of Hotspot Patrol: A Panel Analysis," *Police Quarterly.* 16, 287-304, 2013.

Uchida, Craig D. "Predictive Policing", in Gerben Bruinsma and David Weisburd, Editors-in-Chief, Encyclopedia of Criminology and Criminal Justice. NY: Springer-Verlag, online edition. 2013. (peer-reviewed)

Uchida, Craig D. "Systems of Performance Measurement", in Gerben Bruinsma and David Weisburd, Editors-in-Chief, Encyclopedia of Criminology and Criminal Justice. NY: Springer-Verlag, online edition. 2013. (peer-reviewed)

EDUCATION

State University of New York at Albany, (School of Criminal Justice), M.A. 1979; Ph.D. 1982.
State University of New York at Stony Brook, (American History), M.A. 1978.
University of California at San Diego, (American History), B.A. 1976.

SHELLIE E. SOLOMON

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Doctoral Candidate, University of Maastricht, Netherlands
United Nations University Public Policy and Governance

Chief Executive Officer & Vice President, Justice & Security Strategies, Inc., South Florida Office

Chief Executive Officer	2006 - present
Vice President	2003 - present
Director	1998 - 2003

Responsibilities: Project Director of the Service Network for Children of Inmates contract, involving twelve community-, faith- and professionally-based organizations, with funding from The Children's Trust of Miami-Dade County. Research Associate assisting with "SMART Policing in Los Angeles, CA Police Department." Principal Investigator for Evaluation of Miami-Dade Child Support and Parent Time-Sharing Plan Establishment Project; Principal Investigator of Urban Partnership of Miami's Collective Efficacy Implementation Effort; Principal Investigator for NIJ grants "Linking Theory to Practice: Testing Geospatial Predictive Policing in a Medium-Sized Police Agency" and "LAPD's TEAMS II: The Impact of a Police Integrity Early Intervention System."

Conducts survey research, and writes research and policy reports. Coordinates technology development and implementation. Employs geographic information systems and advanced spatial analysis and modeling to conduct research, evaluations and strategic planning efforts to examine relationships between and concentrations of spatial and temporal data. Creates relational databases, completes data analysis and develops graphical information. Develops marketing presentation materials including brochures, websites, articles and slide presentations. Assists with strategic thinking and planning efforts based upon the information developed from data analysis.

PROFESSIONAL EXPERIENCE

Supervisory Budget Analyst, **Bureau of the Census, U.S. Department of Commerce.**
September, 1998 to October 2001

Manager, Information Analysis, Information Resources Division, **Nuclear Energy Institute.**
September 1997 to September 1998

Office of Community Oriented Policing Services (COPS), U. S. Department of Justice
Regional Supervisor. August 1996 to August, 1997

    Senior Policy Analyst, May 1995 to August 1997

    Grant Advisor and Program Analyst, December 1994 to May 1995

PUBLICATIONS

Uchida, Craig D., **Shellie E. Solomon**, and Edward R. Maguire, "Evaluating Fort Lauderdale's Community Policing Demonstration Center." Washington, DC: 21st Century Solutions, May 2000.

Uchida, Craig D., **Shellie E. Solomon**, and Heather Perez. "Evaluating the Concord Community Policing Demonstration Center." Washington, DC: 21st Century Solutions, September 2000.

Uchida, Craig D., **Shellie E. Solomon**, and Edward R. Maguire. "Neighborhood-Based Policing, Austin Style, An Assessment." Washington, DC: 21st Century Solutions, September 2000.

Uchida, Craig D., Carol A. Putnam, Jennifer Mastrofski, **Shellie E. Solomon**, and Deborah Dawson, "Evaluating a Multi-Disciplinary Response to Domestic Violence: The DVERT Program in Colorado Springs." Washington, DC: 21st Century Solutions, Inc., August 2001.

Solomon, Shellie E. and Craig D. Uchida. "Murder on the Front Range: Domestic Violence-Related Deaths in Colorado Springs." Washington, DC: 21st Century Solutions, Inc. December 2001.

Solomon, Shellie E. and Craig D. Uchida. "Building a 3-1-1 System for Police Non-Emergency Calls, Technical Assistance Manual." Washington DC: 21st Century Solutions, Inc. April 2002.

Solomon, Shellie E., and Craig D. Uchida. "Evaluating the School Based Partnership Program In Hollywood, Florida." (2002).

Uchida, Craig D., Edward R. Maguire, Shellie E. Solomon, and Megan Gantley. *Safe Kids, Safe Schools: Evaluating the Use of Iris Recognition Technology in New Egypt, NJ.* Washington, DC: 21st Century Solutions, Inc. December 2003.

Uchida, Craig D. Shellie E. Solomon, Charles M. Katz and Cynthia E. Pappas. *School-Based Partnership. A Problem Solving Strategy* Washington, D.C. U.S. Department of Justice, October 2006.

Solomon, Shellie E., and Craig D. Uchida. "Working with Truants: The Miami Police Department 1998 School-Based Partnership." (2007).

Solomon, Shellie E., and Craig D. Uchida. "*Needs Assessment and Operation Plan Summary: Children of Incarcerated Parents in Miami-Dade County.*" Justice &Security Strategies, Inc. (2007).

Swatt, Marc, Sean Varano, Craig D. Uchida, and Shellie E. Solomon, "Fear of Crime, Incivilities, and Collective Efficacy in Four Miami Neighborhoods," Journal of Criminal Justice, Vol. 41: 1-11, 2013.

Uchida, C. D., Swatt, M. L., Solomon, S. E., Varano, S., Connor, C., Mash, J., Putt, C. & Adams, R. Neighborhoods and Crime: Collective Efficacy and Social Cohesion in Miami-Dade County. Justice & Security Strategies, Inc. (2013).

Uchida, Craig D., Swatt, M., Solomon, S.E., & Varano, S. "Data-Driven Crime Prevention: New Tools for Community Involvement and Crime Control," a white paper published by Justice & Security Strategies, Inc. (2014).

EDUCATION

University of Maastricht, Netherland
Ph.D. Fellow and Doctoral Candidate, *United Nations University Public Policy and Governance*
Degree expected in 2014
Dissertation Topic: *Destabilizing Neighborhoods: Impacts of Mass Foreclosures on*
Collective Efficacy and Crime

University of Rochester   University of Oklahoma
M.S., 1991 *Public Policy Analysis Program*   B.A., 1989, with highest honors *Economics*

Georgetown University
Certificate Program for Private Sector Leaders, Juvenile Justice and Child Welfare: Multi-System
Integration, January 2011.

COMPUTER SKILLS

Expert knowledge of ArcGIS including Spatial Analyst, Adobe Creative Suite, Microsoft Office
Suite
Proficient in i2 Analyst Notebook and iBase database
Proficient in human resource management programs (PeopleSoft)
Proficient with SPSS/ SAS/ STATA.

Marc L. Swatt
Curriculum Vitae

Contact Information

6138 S 102nd Street
Omaha, NE 68127
(402) 490 - 9604
E-mail: marc.swatt@gmail.com

Employment

Jan 2012 – Current   Senior Research Associate. Justice & Security Strategies.
- Analyzing data using a variety of multivariate models as needed
- Assisting with the preparation of grant proposals, research presentations, research reports, and peer-reviewed manuscripts
- Mapping and analyzing police data and other spatially referenced data
- Aiding with survey instrument construction
- Cleaning, recoding, and documenting datasets for future use

Jan 2012 – Current   President, MLS Applied Statistics, LLC.

2009 – May 2012   Assistant Professor. University of Nebraska at Omaha. School of Criminology and Criminal Justice

Education

Ph.D.   2003   University of Nebraska at Omaha – Criminal Justice
Specialization: Quantitative Methods, Criminological Theory
Dissertation: "Short-Term Forecasting of Crime for Small Geographic Areas." Chair: Dennis Roncek

M.A.   1999   Kent State University – Criminal Justice Studies
Thesis: "An Examination of an Older Sibling's Delinquency as a Unique Contributor to Adolescent Delinquent Behavior."

B.A.   1998   Kent State University – Criminal Justice Studies

B.A.   1997   University of Delaware – Psychology

Software and Statistical Analytic Skills

- Proficient with SPSS, Stata, SAS, LIMDEP, HLM, MapInfo, and CrimeStat
  - Previously taught courses using all of these programs
- Experience with ArcGIS, Matlab, WinSteps, IRTPRO, Splus, Mplus, AMOS, and GeoDa
  - Previously used these programs in research projects
- Extensive experience with many multivariate statistical models (many of which were also taught in PhD-level statistics courses)
  - Univariate and bivariate statistics
  - OLS models and diagnostic procedures

- o Nonparametric and robust regression models
- o GLM and other limited dependent variable models
- o Sample selection and treatment effects models
- o Structural equation models
- o Multilevel models
- o Time Series analysis
- o Missing data analysis
- o Crime mapping and spatial analysis
- o Propensity score and other counterfactual models
- o IRT and Classic Test theory scale analysis
- Extensive experience working with large, complex datasets in a number of different formats

Current Projects with Justice & Security Strategies, Inc.

Linking Theory to Practice: Testing Geospatial Predictive Policing in a Medium-Sized Police Agency
- Funded by the National Institute of Justice
- Lead analyst and statistician
- Designed methodology for assessing forecasting methods and experimental design
- Assisting with preparing reports and manuscripts

Evaluation of the LAPD TEAMS II Early Identification System
- Funded by the National Institute of Justice
- Lead analyst and statistician
- Designed methodology for Regression-Discontinuity and Time Series sections
- Assisting with preparing reports and manuscripts

Operation LASER in the Los Angeles Police Department
- Initially funded by the Bureau of Justice Assistance, further funding from the Los Angeles Police Foundation
- Lead analyst and statistician
- Designed time series evaluation strategy
- Assisted with preparation of reports and manuscripts

Publications

Uchida, C. D. and **Swatt, M. L.** (2013). Operation LASER and the effectiveness of hotspot patrol: A panel analysis. Police Quarterly, 16, 287-304.

Posick, C., A. Farrell, and **M.L. Swatt.** (2013) "Do Boys Fight and Girls Cut? A General Strain Theory Approach to Gender and Deviance." *Deviant Behavior.*

Swatt, M.L., S.P. Varano, C.D. Uchida, S.E. Solomon. (2013). "Fear of Crime, Incivilities, and Collective Efficacy in Four Miami Neighborhoods." *Journal of Criminal Justice, 41*: 1-11.

Murray, R.K. and **M.L. Swatt.** (2013). "Disaggregating the Relationship between Schools and Crime: A Spatial Analysis." *Crime and Delinquency, 59*: 163-190.

Gibson, C., **M.L. Swatt**, J.M. Miller, W.G. Jennings, & A.R. Gover. (2012). "The Causal Relationship between Gang Joining and Violent Victimization: A Critical Review and Directions for Future Research." *Journal of Criminal Justice, 40*: 490-501.

Varano, S.P., J.A. Schafer, J.M. Cancino, and **M.L. Swatt**. (2009). "Constructing Crime: Neighborhood Characteristics and Police Reporting Behavior." *Journal of Criminal Justice, 37*: 553-563.

Gibson, C., J.M. Miller, W.G. Jennings, **M.L. Swatt**, and A.R. Gover. (2009). "Using Propensity Score Matching to Understand the Relationship between Gang Membership and Violent Victimization: A Research Note." *Justice Quarterly, 26*: 625-643.

Fox, J.A. and **M.L. Swatt**. (2008). "Multiple Imputation of the Supplementary Homicide Reports, 1976-2005." *Journal of Quantitative Criminology, 25*: 51-77.

Roncek, D.W. and **M.L. Swatt**. (2006). "For Those Who Like Odds: A Direct Interpretation of the Logit Coefficient for Continuous Variables." *Social Science Quarterly, 87*, 731-738.

Swatt, M.L. and N. He. (2006). "Exploring the Difference between Male and Female Intimate Partner Homicides: Revisiting the Concept of Situated Transactions." *Homicide Studies, 10*, 1-14.

Swatt, M.L. (2002). "Demeanor and Arrest Revisited: Reconsidering the Direct Effect of Demeanor." *Journal of Crime and Justice, 25*, 23-39.

Uchida, C., **Swatt, M.**, Gamero, D., Lopez, J., Salazar, E., King, E., Maxey, R., Ong, N., Wagner, D., & White, M. D. (2012). Los Angeles, California Smart Policing Initiative: Reducing gun-related violence through Operation LASER. Smart Policing Initiative: Site Spotlight. Bureau of Justice Assistance. U.S. Department of Justice. Washington, D.C.: U.S. Government Press.

Uchida, C.D., S.E. Solomon, S. Varano, **M.L. Swatt**, and C. Putt. (2011). "Crime, Collective Efficacy, and Miami-Dade Neighborhoods." Report for Children's Trust of Miami-Dade.

Kristine Hamann

2014

Kristine Hamann is a Visiting Fellow at the United States Department of Justice, Bureau of Justice Assistance. She is working with prosecutors around the country to develop statewide Best Practices Committees for prosecutors.

She is the chair of the Best Practices Committee for the New York State District Attorney's Association. The committee develops best practices and innovative strategies aimed at improving the criminal justice system and preventing wrongful convictions. Statewide initiatives that have been spearheaded by the Committee include enhanced identification procedures, video interrogation protocols, an Ethics Handbook for prosecutors and discovery training for the police.

From 2008 to 2013, Ms. Hamann was the Executive Assistant District Attorney for the Special Narcotics Prosecutor for the City of the New York. The office conducts international, national and local drug trafficking investigations and prosecutions, which impact New York City.

From 2007 to 2008, Ms. Hamann was the New York State Inspector General. The Inspector General is charged with investigating and preventing fraud, waste and abuse in state government.

From 1998 to 2007, Ms. Hamann served as the Executive Assistant District Attorney to Robert M. Morgenthau in the Manhattan District Attorney's Office. Prior to that, Ms. Hamann held several other positions in the District Attorney's Office, including Deputy Chief of the Trial Division in charge of the Criminal Court, Director of Training, and Deputy Bureau Chief of the Career Criminal Bureau. After law school she was an associate at Simpson Thacher and Bartlett in New York City.

David M. Merin

850 Bryant, Room 322, San Francisco, CA 94103 (415) 553-1490

Relevant Legal Experience

San Francisco District Attorney's Office, November 1998 - Present

Chief of the Criminal Division, Vertical Teams, 2013-Present:
Manage multiple units within the District Attorney's Office including Homicide, Gangs, Sexual
Assault, Domestics Violence, Child Assault and Abduction, Juvenile, and Victim-Witness
Assistance. Routinely meet with ADA's and managing attorneys regarding charging decisions,
trial evaluation, and trial tactics. Routinely confer and advise in active police investigations
including COLD-HIT DNA, gangs, sexual assault and homicide. Administer various Peace
Officer trainings on multiple topics including, "Forensic Video Foundation" and "Building a Case
for Trial." Participate in crafting office-wide policies, protocols, and trainings on prosecutorial
misconduct, District Attorney Victim Compensation, and Peer-to-Peer Mentorship Program.
Successfully prosecuted "Special Circumstance" rape/murder jury trial and successfully defended
Writ of Habeas Corpus challenge based on "newly discovered" evidence at evidentiary hearing.

Managing Attorney, Preliminary Hearing Unit, 2009-2013:
Managed and trained team of 9-12 lawyers on general criminal concepts including basic felony
sentencing, evidentiary foundations, preliminary hearings, criminal discovery, *Brady* practices,
forensics, search and seizure, investigative techniques, case and witness preparation. Routinely
craft plea bargains, case evaluation, settlement conferences, search warrant review, charging
decisions, and training peace officers. *Brady* Committee Member.

Assistant District Attorney, Homicide Unit, 2007-2009:
Prosecuted homicide cases to verdict in complex murder trials involving: 'Cold-Hit' DNA
investigations, gang-related homicides, rape-murders and mental defenses. Often trial work
required an understanding of forensic psychiatry, DNA, statistics, cell phone propagation studies,
expert witnesses, cross-racial identification, and ballistics.

Assistant District Attorney, Sexual/Child Assault Unit, 2005-2007:
Prosecuted numerous sexual assault and child abuse cases to verdict including commitments under
the Sexually Violent Predator Act (SVP).

Assistant District Attorney, General Litigation Unit, 2002-2005:
Prosecuted numerous robbery, assault, hate-crime and gun crimes to verdict. Prosecuted case
involving public integrity and police officer off-duty misconduct, change of venue, and *Lybarger*
issues.

Assistant District Attorney, Misdemeanor and Preliminary Hearing Unit, 1998-2002:
Prosecuted numerous misdemeanor trials to verdict and presented over 400 preliminary hearings.

Santa Clara Superior Court 1997-1998

Research Attorney, Law and Motions, Civil and Criminal Division
Researched supporting and opposing briefs submitted for: summary judgment, demurrer, appeal,
motion to quash, extraordinary writs, new trial, and discovery. Drafted bench memoranda,
proposed orders and/or statements of decision recommending case disposition. Legal issues
pertained to wrongful termination, workers' compensation, insurance coverage, breach of contract,
products liability and construction defect. Position required production of several memoranda in a
timely fashion for law and motions court calendar twice per week.

Relevant Internship Experience

Judicial Extern, 6th District Court of Appeals, Justice Franklin Elia, Summer 1996:

Researched and drafted legal memoranda substantially unrevised from initial proposal to appellate opinion issuance. Required extensive research of complex criminal and civil appeals including "Three Strikes" law, contract interpretation, and alternative dispute resolution.

San Francisco District Attorney's Office, Legal Intern, Summer 1995:
Drafted opposing memoranda to defense motions to dismiss, sever, and suppress. Researched and composed numerous memoranda of points and authorities. Assisted in trial preparation and participated in oral argument.

Office of the Public Defender, Legal Intern, San Francisco, Summer 1993:
Compiled and prepared critical fact summaries for reference during pre-trial and trial proceedings. Client interview (in/out of custody), and in-camera appearances.

Awards, Associations, and Education

Justice Award, Hon. Kamala D. Harris, "In Honor and Recognition of Tireless Efforts To Achieve Justice for Our Community" April, 2007.

Executive Committee, California State Bar, Criminal Law Section 2012-Present: Furthers the knowledge and education of state and federal criminal practitioners, reviews and comments on proposed legislation, and jury instructions. Committee is comprised of prosecutors, defense attorneys and judicial officers.

McGeorge School of Law, University of the Pacific. Sacramento, California.
    J.D., May, 1997; California Bar Admitted, November, 1997. '
    Dean's Honor Roll, Fall, 1995; Spring, 1996; Fall, 1996; Spring, 1997.
    American Jurisprudence Award, International Law. Fall, 1996.
    Traynor Honor Society, Awarded for academic excellence in the study of law. May, 1997.
    Honors Board, McGeorge Moot Court.

University of California at Santa Cruz.
    B.A., Political Science. December, 1993.

Lowell High School, San Francisco, California.
    Graduated June, 1989.

Maria Helene McKee

585 9th Street, #539 • Oakland, CA 94607 • 415 505 8742

miamckee@gmail.com

EDUCATION

University of California, Berkeley, Goldman School of Public Policy, Berkeley, CA
Master of Public Policy, May 2008
Editor: *Policy Matters Journal*
Relevant Coursework: Policy Analysis, Statistics, Economics, Program Evaluation & Survey Methodology

Wesleyan University, Middletown, CT
Bachelor of Arts, French Studies, May 2001
Honors: Phi Beta Kappa; the Mann Prize, for most outstanding achievement in the Romance languages;
Certificate in International Relations

EXPERIENCE

Policy & Grants Manager, June 2012 – present
Office of the District Attorney, City & County of San Francisco, San Francisco, CA
Provide project management, policy support and evaluation of innovative programs of the District Attorney's Office, including Neighborhood Courts, Neighborhood Prosecutors and the Alternative Sentencing Planner. Design and implement DA Stat, an office wide performance measurement program. In collaboration with one other Policy & Grants Manager, conduct all data analysis, assess the reliability of data sources from multiple agencies, and establish data collection and cleaning procedures for DA Stat. Manage both grants received and awarded by the District Attorney's Office, including the development of requests for proposals, scopes of work, budgets and progress reporting. Conduct ad hoc policy analysis on criminal justice, budget and operational issues.

Policy & Program Analyst, June 2008 – May 2012
Superior Court of California, San Francisco Collaborative Courts, San Francisco, CA
Promoted the development and implementation of evidence-based policy and practice across six criminal Collaborative Courts. Conducted internal research, program evaluation, and performance measurement to support effective administration and strategic planning. Generated written reports, talking points, and presentations of findings for Court, partner agency, and public audiences. Oversaw cross-agency data collection, as well as database design and administration. Identified grant opportunities, wrote and submitted proposals, developed and monitored budgets, and compiled data for proposals and required grant reports. Coordinated independent research of Collaborative Court programs.

Consultant, January 2008 – May 2008
Adult Probation Department, City & County of San Francisco
Evaluated the extent of probationer recidivism in San Francisco and the impact of motions to revoke probation. Quantitative analysis of probationer arrests and dispositions, in addition to qualitative analysis of the system response resulted in policy recommendations to improve the effectiveness of probation supervision and criminal processing.

Policy Intern, May 2007 – August 2007
Drug Policy Alliance–Office of Legal Affairs, Berkeley, CA
Conducted qualitative and quantitative policy analyses, culminating in policy memos on drug policy, criminal justice policy, and legislative reform. Drafted testimony for Little Hoover Commission hearing on Proposition 36. Presented recommendations to the New Mexico Department of Health regarding medical marijuana guidelines.

Communications Associate, September 2003 – August 2006
Global Fund for Women, San Francisco, CA
Liaised with international grantee and donor network regarding women's rights and social justice philanthropy. Associate editor of bi-annual newsletters and annual report. Managed website content and concept design. Wrote and launched bi-monthly electronic newsletter to an audience of over 10,000. Prepared talking points and press releases on human rights- and international development-related issues.

SKILLS

Windows, Mac OS, Microsoft Office (Word, Excel, PowerPoint, Outlook, Access), IBM SPSS Statistics, FileMaker Pro. Proficient written and spoken French.

Tom Shawyer

2014

Tom Shawyer has been the Captain of Investigations at the San Francisco District Attorney's Office Bureau of Investigations since March of 2012. Prior to that he spent a career as a police officer with the San Francisco Police Department (SFPD), where he attained the rank of Deputy Chief. He has a longstanding interest in and involvement with Compstat and other data-driven programs.

Captain Shawyer was an early proponent of the Compstat policing paradigm and worked with former San Francisco Mayor Gavin Newsom to bring such a program (modeled after Baltimore's CitiStat) to San Francisco city government. This included writing a "white paper" on the subject in 2003. During his 7 years as the SFPD's Chief of Staff, he worked with then Chief Heather Fong and others to successfully develop a Compstat program for the SFPD.

Since coming to the District Attorney's Office, he has assisted Tara Anderson and Maria McKee (of the District Attorney's Public Policy Group) with the development of the "DA Stat" program, which has matured into a strong and comprehensive management tool.

Captain Shawyer has an undergraduate degree (Administration of Justice) from Golden Gate University. He is a graduate of the FBI National Academy (Session 255) and the PERF Senior Management Institute for Police (Class 47).

KATHERINE WEINSTEIN MILLER

1527 Rose Street

Berkeley, CA 94703

510.207.0751

Katy.w.miller@gmail.com

EXPERIENCE

SAN FRANCISCO DISTRICT ATTORNEY'S OFFICE, San Francisco, CA

Chief of Alternative Programs & Initiatives, March 2014 - present

- Oversee development and operations of the Office's Collaborative Courts, Neighborhood Courts/Prosecution and Juvenile Units, comprised of 25 prosecutors and support staff.
- Oversee the City's implementation of the Byrne Criminal Justice Innovation Grant, an innovative approach to reducing crime hotspots through enhanced victim services and community engagement in public safety strategies.
- Represent the Office in a broad range of local and national settings.

Managing Attorney & Director of Policy, August 2012 - March 2014

- Oversaw development and operations of the newly established Neighborhood Prosecution Team and Neighborhood Courts model.
- Coauthored a publication with District Attorney George Gascón on innovations in prosecution.
- Continued all ongoing policy-related activities.

Director of Policy, March 2011- August 2012

- Provided strategic planning, policy and program development for a variety of Office initiatives in the juvenile and criminal justice arenas.
- Oversaw the Office's state legislative portfolio, including the passage of multiple bills covering a range of criminal justice issues.
- Developed ant drafted grant proposals for public and private funders.

Assistant District Attorney and Directing Attorney of Reentry. October 2007 - December 2010

- Provided strategic planning, program development and replication oversight for *Back on Track*, a public private partnership of the District Attorney, Goodwill Industries and other partners, which provides opportunities and support coupled with accountability to young adults ages 18-30 arrested for their first felony drug conviction.
- Developed and appeared in San Francisco's first Truancy Court; worked with the school district, police, and other City and community partners to build the model; worked with state lawmakers to pass legislation to strengthen truancy prosecution statewide.
- Developed policy recommendations, programs and legislation for offender reentry, juvenile justice system, victim services and truancy prosecutions.
- Developed and draft grant proposals for public and private funders.
- Mayoral appointment to San Francisco's Youth Council (through 2013).

ATTORNEY GENERAL KAMALA HARRIS'S SMART ON CRIME TRANSITION PROJECT, San Francisco, CA
Member of Smart on Crime Transition Project, December 2010-February 2011
- Served on a four person team that organized and staffed eight "Smart on Crime" multidisciplinary expert teams charged with developing briefs and policy recommendations to Attorney General Kamala Harris.

GOODWILL INDUSTRIES OF SAN FRANCISCO, SAN MATEO AND MARIN COUNTIES, San Francisco, CA
Director of Strategic Planning, June 2005 - October 2007
Acting Director of Criminal Justice and Reentry Department, December 2006 - April 2007
- Drafted agency-wide strategic plan and program-specific development strategies to advance Goodwill's focus from a traditional workforce development model to a transformative human capital model.
- Facilitated formal strategic planning and organizational development sessions.
- Developed and drafted grant proposals for criminal justice and workforce development.
- Managed Department of Criminal Justice and Reentry on an acting basis, including fund development, day-to-day operations of *Back on Track* and *Women's Reentry Services*, staff supervision and strategic planning.

JUSTICE SYSTEM CONSULTING & GRANTWRITING SERVICES, San Francisco, CA
Principal, December 2004 - June 2005
- Provided criminal and juvenile justice system consultation to the San Francisco District Attorney, including policy and program development and drafting of grant proposal to the U.S. Department of Justice. Collaborated with Stanford Law School Professor Michael Wald to produce two papers on San Francisco's juvenile justice system.
- Developed and drafted grant proposals to public and private funders on behalf of Life Learning Academy Charter School (operated by the Delancey Street Foundation).
- Assisted Stanford Law School Professor Michael Wald in teaching year-long "Disconnected Youth" course.

MAYOR'S OFFICE OF CRIMINAL JUSTICE, San Francisco, CA
Deputy Director, March 2004 - December 2004
Director of Program Development, May 2000 - March 2004
- Directed MOCJ's annual grantmaking process for all youth-related grants, including identifying funding priority areas, drafting and dissemination of Request for Proposal documents, oversight of review panel process, development of funding recommendations for review by Mayor, and negotiation of grant plans and budgets.
- Monitored over thirty community-based grants totaling $4 million annually and providing a comprehensive range of services to at-risk and juvenile justice-involved youths up to age 24.
- Directed San Francisco Juvenile Justice Coordinating Council's annual public assessment of juvenile justice system priorities and gaps, including development of assessment process and timeline, outreach to community members and city agencies for participation and input, planning and oversight of multiple public meetings, best practices research and drafting of assessment findings.
- Communicated daily with colleagues in city agencies, youth advocacy organizations and community-based service providers to address youth and juvenile justice policy issues, build collaborations and improve service coordination.

- Represented MOCJ in numerous City initiatives, including the Mayor's Youth, Arts and Education work group, Stay-in-Schools Truancy Coalition, Juvenile Detention Alternatives Initiative and School Safety Task Force.
- Developed and drafted grant proposals for state and federal funds; oversaw project implementation and grant management of multiple awarded grants.
- Presented to the Board of Supervisors, other governmental bodies, state and federal grant conferences, and in numerous community-based forums regarding various youth and community issues.
- Supervised comprehensive evaluation of major juvenile justice reform grant, including coordination with multiple independent evaluation firms and preparation of final report to the state (completed October 2000).

DELANCEY STREET FOUNDATION, San Francisco, CA
San Francisco Juvenile Justice Local Action Plan Implementation Team, October 1997 - May 2000
- Worked to implement six innovative programs and overall juvenile justice system reform funded by a major grant awarded to the City by the State Board of Corrections.
- Responsibilities included planning and program development, collaborating with city agencies and community-based organizations, supervising and training program staff, developing program policies and procedures, grant writing and grant reporting, legal and liability compliance, and developing state law expertise in education and foster care.

DEPARTMENT OF THE PUBLIC DEFENDER, San Diego, CA
Deputy Public Defender, Child Advocacy Division, September 1995 – October 1997
- Represented approximately 270 children ages 0 to 19 in dependency matters pursuant to California Welfare and Institutions Code section 300.
- Tried over thirty bench trials and made court appearances almost daily.
- Advocated for clients in securing needed special education services.
- Obtained and utilized specialty training on a variety of related issues including special education law, risk assessment, therapeutic interventions and the Indian Child Welfare Act.

GIBSON, DUNN & CRUTCHER, San Diego, CA
Associate, September 1994 - September 1995
- Researched and drafted complex briefs on a variety of legal issues.
- Appeared in California Superior Court on a regular basis.
- Interviewed witnesses and prepared witnesses for depositions.

EDUCATION

YALE LAW SCHOOOL, New Haven, CT
J.D., June 1994. Admitted to California Bar December, 1994.
Activities: Jerome N. Frank Legal Services Organization, Clinic for Children and People with Disabilities 1993-1994; Student Director, Fall 1993-Spring 1994. Represented clients in dependency, special education and disability matters.

UNIVERSITY OF PENNSYLVANIA, Philadelphia, PA
Bachelor of Arts in the History & Sociology of Science, Minor in Philosophy, May 1990
Honors: Summa Cum Laude, Phi Beta Kappa, Sphinx Senior Honor Society, Dean's List
Activities: Student Committee on Undergraduate Education 1988-1990; Chair, 1989-1990. Student Representative, Council of Undergraduate Deans and Provost's Planning Committee.

Department of Human Resources

Administrative Analyst (#1822)

$33.40-$40.60 Hourly / $5,789.00-$7,037.00 Monthly / $69,472.00-$84,448.00 Yearly

Email Me when a Job Opens for the above position(s)

Definition

Under direction, the Administrative Analyst performs difficult and detailed professional-level analytical work in a variety of functional areas, such as; development and administration of competitive bid processes and contractual agreements; grant administration and monitoring; budget development and administration; legislative analysis; development and evaluation of management/administrative policy; program evaluation and planning; or complex financial/fiscal analysis and reporting.

Distinguishing Features

Class 1822 Administrative Analyst is distinguished from Class 1823 Senior Administrative Analyst in that the latter performs duties of a more difficult and complex nature. Class 1822 Administrative Analyst is distinguished from Class 1820 Junior Administrative Analyst in that the latter is an entry level class performing less difficult and complex duties.

Supervision Exercised

Depending on assignment, may serve as lead worker to clerical, technical staff and/or subordinate professional staff.

Examples of Important and Essential Duties

According to Civil Service Commission Rule 109, the duties specified below are representative of the range of duties assigned to this job code/class and are not intended to be an inclusive list.

1. Performs research, compiles and analyzes information/data regarding a variety of administrative, management, fiscal and organizational issues: identifies issues and determines analytical standards in consultation with supervisor, manager, departmental personnel and other individuals/experts; gathers relevant data, information and/or documentation from a variety of sources; analyzes information and documentation and develops tentative findings; discusses and/or coordinates analysis and tentative findings with supervisor, management staff and/or other appropriate individuals; develops or assists in developing recommendations and/or course of action; gathers additional information and/or revises methodology as needed.

2. Prepares or assists in the preparation of a variety of management reports: compiles and evaluates information in preparation for writing report; presents background information and description of analytical standards; outlines findings and recommendations and prepares logical supporting documentation; writes or assists in writing final reports and documentation for evaluation by administrative and/or management staff; presents reports, including formal presentations to groups.

3. Performs analysis for development of administrative, management, program and organizational policies and procedures: consults with managers, administrators and other staff to determine parameters for analysis and other background information; analyzes existing policies, procedures and work practices; analyzes the effect of proposed and existing legislation, regulations and law on organizational policies and procedures; compiles information and documentation in preparation for producing reports and/or drafts reports for management/administration.

4. Performs analysis for budget development and resource planning: performs or assists in needs analysis and trend analysis based on research and consultation with managers and administrative staff; consults with managers and assists in resource planning and development of annual budget estimates; reviews and analyzes budget requests from administrators; compiles information and documentation in preparation for producing reports and/or drafts reports related to budget and resource planning issues.

5. Performs analysis for budget administration and/or fiscal/financial reporting: monitors and analyzes expenditures and accounts

to ensure compliance with budget parameters; gathers information and prepares documentation related to fiscal/financial reporting; performs and/or assists in fiscal/financial analysis; compiles information and documentation in preparation for producing and/or drafts fiscal/financial reports.

6. Performs analysis for development and administration of competitive bid processes and contractual agreements: identifies and analyzes needs, goals, available funding and other criteria; develops or assists in development of contract/lease specifications; preparing requests for proposals and bid solicitation; performs or assists in analysis of bid information provided by contractors; assists in establishment/maintenance of contractual relationships; performs or assists in analysis for monitoring and enforcement of legal agreements to ensure compliance.

7. Performs analysis for monitoring of grants received by department; writes or assists in writing grant proposals; analyzes funding parameters and other requirements specified by grantor; monitors departmental expenditures to ensure funding parameters are met; analyzes other criteria to ensure compliance with standards required by grantor.

8. Performs related duties as required

Knowledge, Skills and Abilities

Knowledge of: the principles, procedures and legal standards required to provide professional-level analytical assistance to administrative staff in such areas as: budget development and monitoring; financial/fiscal analysis and reporting; development of management/administrative policies and procedures; analysis of existing and proposed legislation, legal standards and regulatory mandates; development and administration of contractual agreements; and/or grant monitoring and administration.

Ability to: identify, research and gather relevant information from a variety of sources; read and interpret complex written materials; analyze and evaluate data, procedures, interrelated processes and other information; formulate conclusions and/or alternatives and develop effective recommendations; use work-related computer applications, including e-mail, word processing, spreadsheets, databases and the internet; prepare well-organized and accurate documents such as reports, memos, and correspondence; synthesize ideas and factual information into clear and logical written statements; speak clearly and concisely in order to express ideas and communicate work-related information to a variety of individuals and groups; listen, ask appropriate questions and effectively elicit information; establish and maintain effective working relationships with staff, officials and the general public, including a variety of individuals and groups.

Experience and Training

These minimum qualifications are to be used as a guide for establishing the education, training, experience, special skills and/or license which may be required for employment in the class. Although these minimum qualifications are typical of the class, additional minimum qualifications and special conditions may apply to a particular position and will be stated on the job announcement.

1. Possession of a graduate degree (Master's degree or higher) from an accredited college or university; and one (1) year full-time equivalent experience performing professional-level analytical work, as described in Note A; OR

2. Possession of a graduate degree (Master's degree or higher) from an accredited college or university with major coursework as described in Note B; OR

3. Possession of a baccalaureate degree from an accredited college or university, and two (2) years full-time equivalent experience performing professional-level analytical work as described in Note A; OR

4. Possession of a baccalaureate degree from an accredited college or university with major coursework as described in Note B and one (1) year full-time equivalent experience performing professional-level analytical work as described in Note A;

SUBSTITUTION: Applicants may substitute up to 2 years of the required education with additional qualifying experience in budget analysis, financial analysis and reporting, legislative/policy analysis, or contract/grant administration. One year (2000 hours) of additional qualifying experience will be considered equivalent to 30 semester units/45 quarter units.

Notes on Qualifying Experience and Education:

A. Qualifying professional-level analytical experience must be in one or more of the following functional areas: complex budget analysis, development and administration; complex financial/fiscal analysis and reporting; development of complex contracting systems and administration of competitive bid processes and complex contractual agreements; development and evaluation of complex management/administrative policy; complex grant administration and monitoring; complex program evaluation and planning; complex legislative analysis; complex economic analysis; or other functional areas related to the duties of positions in Class 1822, where the primary focus of the job is complex professional-level analysis for evaluation, recommendation, development and implementation of major programs and functions of department/organization. Analytical experience equivalent to the duties of Class 1820 is considered qualifying.

B. Coursework applicable to a baccalaureate or higher degree in specialized subject matter areas such as public or business administration, management, business law, contract law, public policy, urban studies, economics, statistical analysis, finance, accounting or other fields of study closely related to the essential functions of positions in Class 1822.

License or Certificate

None.

Notes

AMENDED: 9/28/09

Disaster Service Workers

All City and County of San Francisco employees are designated Disaster Service Workers through state and local law (California Government Code Section 3100-3109). Employment with the City requires the affirmation of a loyalty oath to this effect. Employees are required to complete all Disaster Service Worker-related training as assigned, and to return to work as ordered in the event of an emergency.

CLASS: 1822	**EST:**	**REV:**	**FORMERLY JOB TITLE:**	**REPLACES JOB TITLE:**
EEOC: 2		**MEDICAL:**		

Appendix 6: Research Partner Addendum

Research Partner Addendum

Justice & Security Strategies, Inc. (JSS) will serve as the Research Partner for the San

Francisco District Attorney's Office (SFDA). JSS has specific knowledge and expertise in

predictive analytics and has extensive experience in conducting research with criminal justice

agencies.

Roles and Responsibilities for Smart Prosecution

JSS will work closely with the Crime Strategies and Intelligence Unit (CSIU),

Neighborhood Prosecutors, and Neighborhood Courts. JSS staff will assist CSIU in gathering

appropriate and valid data, and in using statistical tools (ArcGIS, Stata, predictive analytics) to

identify chronic locations and chronic offenders. Further, JSS will assist CSIU with the SARA

process -- problem identification, data analysis of the problem, and in assessing and evaluating

the interventions/responses that take place in the field.

JSS will assist the CSIU and Neighborhood Prosecutors with data analysis to: 1) Identify

suitable cases for Neighborhood Prosecutor vertical handling based on the spatial location of the

crime relative to current neighborhood hotspots; 2) Identify suitable individuals for

Neighborhood Courts – specifically those minor offenders who are unlikely to escalate their

offending behavior; 3) Assess the beneficial aspects of Neighborhood Prosecution and Courts

relative to decreases in crime hotspots; and 4) Disseminate information to the public about recent

successes of Neighborhood Prosecution and Courts to increase the perceptions of procedural

justice and collective efficacy within the community.

JSS will develop a *predictive* tool to identify suitable candidates for the Neighborhood

Courts program. Ultimately, the success of the Neighborhood Courts program is contingent upon

the suitability of offenders for this program – specifically, these offenders should have low-risk

of engaging in future violent criminal activity. JSS and CSIU will explore the use of predictive analytic tools – statistical learning and pattern recognition techniques, including boosting, bagging, random forests, support vector machines, neural networks, and other models.

JSS will conduct process and outcome evaluations of components of the program. The methodology of the evaluation will be contingent upon further discussions with the SFDA's Office during the planning period of the grant. For the impact evaluation, JSS will determine whether a randomized control trial or quasi-experimental design is most appropriate to measure the effects of the SFDA intervention.

Justice & Security Strategies, Inc. (JSS)

The SFDA has selected JSS because of its extensive knowledge and expertise with police agencies and prosecutor offices across the country and internationally. JSS is the national expert on predictive policing and has conducted applied research for over 17 years.

Dr. Uchida is the President and Founder of JSS where he oversees contracts and grants with cities, counties, criminal justice agencies, foundations, and foreign nations. He is a nationally known expert in policing and has conducted numerous studies with law enforcement agencies.

Past Experience with Law Enforcement Agencies

JSS is involved in multiple BJA projects in the field, including: serving as the Research Partner for the LAPD, Cambridge (MA), and York (ME) Police on Smart Policing and Predictive Policing; assisting the Miami Dade State Attorney's Office on reducing violent crime and gangs in the County; and assisting the State Attorney with mortgage fraud cases in Miami-Dade. JSS has received a number of research grants from the National Institute of Justice, most recently one

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that evaluates predictive policing in Columbia, SC and another that evaluates the LAPD's early warning system regarding police officer behavior.

JSS has worked with more than 50 police agencies across the country since its inception in 1997. The larger departments include Austin, Baltimore, Colorado Springs, Dallas, Fairfax County (VA), Honolulu, Jersey City, Kansas City (MO), Los Angeles, Long Beach, City of Miami, Miami-Dade, Minneapolis, Newark, Oklahoma City, Phoenix, San Francisco, Seattle, and Washington, DC. Medium-size departments include Cambridge (MA), Concord (CA), Fort Lauderdale (FL), Hialeah (FL), Hollywood (FL), Inglewood (CA), Little Rock, Miami Gardens (FL), Redlands (CA), Salt Lake City, and the US Virgin Islands. Small departments include Everett (MA), Hoover (AL), Somerville (MA), Spartanburg (SC), and Westwood (MA).

From 2005 to 2009 JSS worked with George Mason University researchers to reform and modernize the Trinidad and Tobago Police Service (TTPS). JSS had responsibility for two major activities: 1) conducting a manpower study of the 7.200 member TTPS that demonstrated that less than half of the officers reported for duty on a daily basis; and 2) a revision of the entire training system for the TTPS, including the creation of a new recruit-training curriculum, the implementation of a field-training program, and the development of in-service training components at all ranks.

JSS has conducted applied field research throughout the country on a variety of topics, including: predictive policing, drug enforcement, use of force, community policing, search warrants, problems in schools and gangs, violence reduction, and domestic violence.

Dr. Uchida recently completed an evaluation of Smart Policing in Los Angeles, known as Operation LASER. By focusing on chronic offenders and chronic locations the LAPD was able

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to significantly reduce violent crime, homicides, robberies, and gun-related crime in Newton Division.

Dr. Uchida has published numerous articles on policing, and conducted evaluations of community policing programs, domestic violence, gangs, gun-related issues, jail recidivism, and police technology. He has also published monographs, and book chapters and has edited two books – one on police innovation and the second on evaluations of anti-drug programs. His published work on search warrants and the exclusionary rule has been cited in US Supreme Court decisions. His doctorate is in criminal justice from the University of Albany and he holds two master's degrees, one in American history and the other in criminal justice.

Dr. Uchida will be joined by Ms. Shellie Solomon, the Chief Executive Officer of JSS and by Dr. Marc Swatt, senior statistician at JSS. Ms. Solomon oversees the Florida Office and works closely with the Miami-Dade State Attorney's Office, local police agencies in South Florida, and the Florida State Department of Corrections. She has over 20 years of GIS experience and is completing her doctorate at the University of Maastricht in the Netherlands, a UN public policy program.

Dr. Swatt is a Senior Research Associate/Statistician at JSS who specializes in advance statistical methods, particularly predictive analytics, hierarchical linear modeling, time series, and regression-discontinuity design. Dr. Swatt received his doctorate from the University of Nebraska Omaha.

Office of the Assistant Attorney General   *Washington, D.C. 20531*

September 29, 2014

Mr. Eugene Clendinen
San Francisco District Attorney's Office
850 Bryant Street
3rd Floor
San Francisco, CA 94103

Dear Mr. Clendinen:

On behalf of Attorney General Eric Holder, it is my pleasure to inform you that the Office of Justice Programs has approved your application for funding under the FY 14 Smart Prosecution Initiative - Full Proposal in the amount of $435,253 for San Francisco District Attorney's Office.

Enclosed you will find the Grant Award and Special Conditions documents. This award is subject to all administrative and financial requirements, including the timely submission of all financial and programmatic reports, resolution of all interim audit findings, and the maintenance of a minimum level of cash-on-hand. Should you not adhere to these requirements, you will be in violation of the terms of this agreement and the award will be subject to termination for cause or other administrative action as appropriate.

If you have questions regarding this award, please contact:

- Program Questions, Gale Farquhar, Program Manager at (202) 514-8528; and

- Financial Questions, the Office of the Chief Financial Officer, Customer Service Center (CSC) at (800) 458-0786, or you may contact the CSC at ask.ocfo@usdoj.gov.

Congratulations, and we look forward to working with you.

Sincerely,

Karol Virginia Mason
Assistant Attorney General

Enclosures

OFFICE FOR CIVIL RIGHTS

Office of Justice Programs

Department of Justice

810 7th Street, NW
Washington, DC 20531

Tel: (202) 307-0690
TTY: (202) 307-2027
E-mail: askOCR@usdoj.gov
Website: www.ojp.usdoj.gov/ocr

September 29, 2014

Mr. Eugene Clendinen
San Francisco District Attorney's Office
850 Bryant Street
3rd Floor
San Francisco, CA 94103

Dear Mr. Clendinen:

Congratulations on your recent award. In establishing financial assistance programs, Congress linked the receipt of federal funding to compliance with federal civil rights laws. The Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) is responsible for ensuring that recipients of financial assistance from the OJP, the Office of Community Oriented Policing Services (COPS), and the Office on Violence Against Women (OVW) comply with the applicable federal civil rights laws. We at the OCR are available to help you and your organization meet the civil rights requirements that come with DOJ funding.

Ensuring Access to Federally Assisted Programs

Federal laws that apply to recipients of financial assistance from the DOJ prohibit discrimination on the basis of race, color, national origin, religion, sex, or disability in funded programs or activities, not only in employment but also in the delivery of services or benefits. A federal law also prohibits recipients from discriminating on the basis of age in the delivery of services or benefits.

In March of 2013, President Obama signed the Violence Against Women Reauthorization Act of 2013. The statute amends the Violence Against Women Act of 1994 (VAWA) by including a nondiscrimination grant condition that prohibits discrimination based on actual or perceived race, color, national origin, religion, sex, disability, sexual orientation, or gender identity. The new nondiscrimination grant condition applies to certain programs funded after October 1, 2013. The OCR and the OVW have developed answers to some frequently asked questions about this provision to assist recipients of VAWA funds to understand their obligations. The Frequently Asked Questions are available at http://ojp.gov/about/ocr/vawafaqs.htm.

Enforcing Civil Rights Laws

All recipients of federal financial assistance, regardless of the particular funding source, the amount of the grant award, or the number of employees in the workforce, are subject to prohibitions against unlawful discrimination. Accordingly, the OCR investigates recipients that are the subject of discrimination complaints from both individuals and groups. In addition, based on regulatory criteria, the OCR selects a number of recipients each year for compliance reviews, audits that require recipients to submit data showing that they are providing services equitably to all segments of their service population and that their employment practices meet equal opportunity standards.

Providing Services to Limited English Proficiency (LEP) Individuals

In accordance with DOJ guidance pertaining to Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000d, recipients of federal financial assistance must take reasonable steps to provide meaningful access to their programs and activities for persons with limited English proficiency (LEP). See U.S. Department of Justice, Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons, 67 Fed. Reg. 41,455 (2002). For more information on the civil rights responsibilities that recipients have in providing language services to LEP individuals, please see the website http://www.lep.gov.

Ensuring Equal Treatment for Faith-Based Organizations

The DOJ regulation, Equal Treatment for Faith-Based Organizations, 28 C.F.R. pt. 38, requires State Administering Agencies (SAAs) to treat faith-based organizations the same as any other applicant or recipient. The regulation prohibits SAAs from making awards or grant administration decisions on the basis of an organization's religious character or affiliation, religious name, or the religious composition of its board of directors.

The regulation also prohibits faith-based organizations from using financial assistance from the DOJ to fund inherently (or explicitly) religious activities. While faith-based organizations can engage in non-funded inherently religious activities, they must hold them separately from the program funded by the DOJ, and recipients cannot compel beneficiaries to participate in them. The Equal Treatment Regulation also makes clear that organizations participating in programs funded by the DOJ are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion. For more information on the regulation, please see the OCR's website at http://www.ojp.usdoj.gov/about/ocr/equal_fbo.htm.

SAAs and faith-based organizations should also note that the Omnibus Crime Control and Safe Streets Act (Safe Streets Act) of 1968, as amended, 42 U.S.C. § 3789d(c); the Victims of Crime Act of 1984, as amended, 42 U.S.C. § 10604(e); the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, 42 U.S.C. § 5672(b); and VAWA, Pub. L. No. 113-4, sec. 3(b)(4), 127 Stat. 54, 61-62 (to be codified at 42 U.S.C. § 13925(b)(13)) contain prohibitions against discrimination on the basis of religion in employment. Despite these nondiscrimination provisions, the DOJ has concluded that it may construe the Religious Freedom Restoration Act (RFRA) on a case-by-case basis to permit some faith-based organizations to receive DOJ funds while taking into account religion when hiring staff, even if the statute that authorizes the funding program generally forbids recipients from considering religion in employment decisions. Please consult with the OCR if you have any questions about the regulation or the application of RFRA to the statutes that prohibit discrimination in employment.

Using Arrest and Conviction Records in Making Employment Decisions

The OCR issued an advisory document for recipients on the proper use of arrest and conviction records in making hiring decisions. See Advisory for Recipients of Financial Assistance from the U.S. Department of Justice on the U.S. Equal Employment Opportunity Commission's Enforcement Guidance: Consideration of Arrest and Conviction Records in Employment Decisions Under Title VII of the Civil Rights Act of 1964 (June 2013), available at http://www.ojp.usdoj.gov//about/ocr/pdfs/UseofConviction_Advisory.pdf. Recipients should be mindful that the misuse of arrest or conviction records to screen either applicants for employment or employees for retention or promotion may have a disparate impact based on race or national origin, resulting in unlawful employment discrimination. In light of the Advisory, recipients should consult local counsel in reviewing their employment practices. If warranted, recipients should also incorporate an analysis of the use of arrest and conviction records in their Equal Employment Opportunity Plans (EEOPs) (see below).

Complying with the Safe Streets Act

An organization that is a recipient of financial assistance subject to the nondiscrimination provisions of the Safe Streets Act, must meet two obligations: (1) complying with the federal regulation pertaining to the development of an EEOP (see 28 C.F.R. pt. 42, subpt. E) and (2) submitting to the OCR findings of discrimination (see 28 C.F.R. §§ 42.204(c), .205(c)(5)).

Meeting the EEOP Requirement

If your organization has less than fifty employees or receives an award of less than $25,000 or is a nonprofit organization, a medical institution, an educational institution, or an Indian tribe, then it is exempt from the EEOP requirement. To claim the exemption, your organization must complete and submit Section A of the Certification Form, which is available online at http://www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf.

If your organization is a government agency or private business and receives an award of $25,000 or more, but less than $500,000, and has fifty or more employees (counting both full- and part-time employees but excluding political appointees), then it has to prepare a Utilization Report (formerly called an EEOP Short Form), but it does not have to submit the report to the OCR for review. Instead, your organization has to maintain the Utilization Report on file and make it available for review on request. In addition, your organization has to complete Section B of the Certification Form and return it to the OCR. The Certification Form is available at http://www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf.

If your organization is a government agency or private business and has received an award for $500,000 or more and has fifty or more employees (counting both full- and part-time employees but excluding political appointees), then it has to prepare a Utilization Report (formerly called an EEOP Short Form) and submit it to the OCR for review within sixty days from the date of this letter. For assistance in developing a Utilization Report, please consult the OCR's website at http://www.ojp.usdoj.gov/about/ocr/eeop.htm. In addition, your organization has to complete Section C of the Certification Form and return it to the OCR. The Certification Form is available at http://www.ojp.usdoj.gov/about/ocr/pdfs/cert.pdf.

To comply with the EEOP requirements, you may request technical assistance from an EEOP specialist at the OCR by telephone at (202) 307-0690, by TTY at (202) 307-2027, or by e-mail at EEOsubmisson@usdoj.gov.

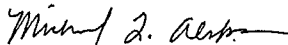**Meeting the Requirement to Submit Findings of Discrimination**

If in the three years prior to the date of the grant award, your organization has received an adverse finding of discrimination based on race, color, national origin, religion, or sex, after a due-process hearing, from a state or federal court or from a state or federal administrative agency, your organization must send a copy of the finding to the OCR.

Ensuring the Compliance of Subrecipients

SAAs must have standard assurances to notify subrecipients of their civil rights obligations, written procedures to address discrimination complaints filed against subrecipients, methods to monitor subrecipients' compliance with civil rights requirements, and a program to train subrecipients on applicable civil rights laws. In addition, SAAs must submit to the OCR every three years written Methods of Administration (MOA) that summarize the policies and procedures that they have implemented to ensure the civil rights compliance of subrecipients. For more information on the MOA requirement, see http://www.ojp.usdoj.gov/funding/other_requirements.htm.

If the OCR can assist you in any way in fulfilling your organization's civil rights responsibilities as a recipient of federal financial assistance, please contact us.

Sincerely,

Michael L. Alston

Michael L. Alston
Director

cc: Grant Manager
Financial Analyst

September 29, 2014

Mr. Eugene Clendinen
San Francisco District Attorney's Office
850 Bryant Street
3rd Floor
San Francisco, CA 94103

Reference Grant Number: 2014-YX-BX-0002

Dear Mr. Clendinen:

I am pleased to inform you that my office has approved the following budget categories for the aforementioned grant award in the cost categories identified below:
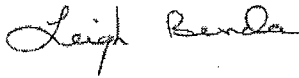
Category	Budget
Personnel	$168,896
Fringe Benefits	$72,626
Travel	$11,856
Equipment	$7,330
Supplies	$0
Construction	$0
Contractual	$170,000
Other	$0
Total Direct Cost	$430,708
Indirect Cost	$16,890
Total Project Cost	$447,598
Federal Funds Approved:	$447,598
Non-Federal Share:	$0

Program Income:

If you have questions regarding this award, please contact:

- Program Questions, Gale Farquhar, Program Manager at (202) 514-8528

- Financial Questions, the Office of Chief Financial Officer, Customer Service Center(CSC) at (800) 458-0786, or you may contact the CSC at ask.ocfo@usdoj.gov.

Congratulations, and we look forward to working with you.

Sincerely,

Leigh Benda
Chief Financial Officer

Department of Justice
Office of Justice Programs
Bureau of Justice Assistance

Grant

1. RECIPIENT NAME AND ADDRESS (Including Zip Code)	4. AWARD NUMBER: 2014-YX-BX-0002

San Francisco District Attorney's Office
850 Bryant Street 3rd Floor
San Francisco, CA 94103

5. PROJECT PERIOD: FROM   10/01/2014   TO   09/30/2016

   BUDGET PERIOD: FROM   10/01/2014   TO   09/30/2016

6. AWARD DATE   09/29/2014

7. ACTION

Initial

1A. GRANTEE IRS/VENDOR NO.

946003417

8. SUPPLEMENT NUMBER

00

9. PREVIOUS AWARD AMOUNT $ 0

3. PROJECT TITLE
Predictive Analytics for Strategic Prosecution

10. AMOUNT OF THIS AWARD $ 435,253

11. TOTAL AWARD $ 435,253

12. SPECIAL CONDITIONS

THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH
ON THE ATTACHED PAGE(S).

13. STATUTORY AUTHORITY FOR GRANT

This project is supported under Pub. L. No. 113-76, 128 Stat. 5, 61 Smart Prosecution Initiative

15. METHOD OF PAYMENT

GPRS

AGENCY APPROVAL

GRANTEE ACCEPTANCE

16. TYPED NAME AND TITLE OF APPROVING OFFICIAL

Karol Virginia Mason
Assistant Attorney General

18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL

Eugene Clendinen
Chief of Administrative and Financial Services

17. SIGNATURE OF APPROVING OFFICIAL

Karol V. Mason

19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL

19A. DATE

AGENCY USE ONLY

20. ACCOUNTING CLASSIFICATION CODES

FISCAL YEAR	FUND CODE	BUD. ACT.	OFC.	DIV. REG.	SUB.	POMS	AMOUNT
X	B	YX	80	00	00		435253

21. NYXUGT1109

OJP FORM 4000/2 (REV. 5-87) PREVIOUS EDITIONS ARE OBSOLETE.

OJP FORM 4000/2 (REV. 4-88)

Department of Justice
Office of Justice Programs
Bureau of Justice Assistance

AWARD CONTINUATION SHEET

Grant

PAGE 2 OF 7

PROJECT NUMBER   2014-YX-BX-0002   AWARD DATE   09/29/2014

SPECIAL CONDITIONS

1. The recipient agrees to comply with the financial and administrative requirements set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.

2. The recipient acknowledges that failure to submit an acceptable Equal Employment Opportunity Plan (if recipient is required to submit one pursuant to 28 C.F.R. Section.42.302), that is approved by the Office for Civil Rights, is a violation of its Certified Assurances and may result in suspension or termination of funding, until such time as the recipient is in compliance.

3. The recipient agrees to comply with the organizational audit requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, and further understands and agrees that funds may be withheld, or other related requirements may be imposed, if outstanding audit issues (if any) from OMB Circular A-133 audits (and any other audits of OJP grant funds) are not satisfactorily and promptly addressed, as further described in the current edition of the OJP Financial Guide.

4. Recipient understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, without the express prior written approval of OJP.

5. The recipient must promptly refer to the DOJ OIG any credible evidence that a principal, employee, agent, contractor, subgrantee, subcontractor, or other person has either 1) submitted a false claim for grant funds under the False Claims Act; or 2) committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving grant funds. This condition also applies to any subrecipients. Potential fraud, waste, abuse, or misconduct should be reported to the OIG by -

   mail:

   Office of the Inspector General
   U.S. Department of Justice
   Investigations Division
   950 Pennsylvania Avenue, N.W.
   Room 4706
   Washington, DC 20530

   e-mail: oig.hotline@usdoj.gov

   hotline: (contact information in English and Spanish): (800) 869-4499

   or hotline fax: (202) 616-9881

   Additional information is available from the DOJ OIG website at www.usdoj.gov/oig.

6. Recipient understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of any contract or subaward to either the Association of Community Organizations for Reform Now (ACORN) or its subsidiaries, without the express prior written approval of OJP.

7. The recipient agrees to comply with any additional requirements that may be imposed during the grant performance period if the agency determines that the recipient is a high-risk grantee. Cf. 28 C.F.R. parts 66, 70.

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AWARD CONTINUATION
SHEET

Grant

PAGE 3 OF 7

PROJECT NUMBER   2014-YX-BX-0002   AWARD DATE   09/29/2014

SPECIAL CONDITIONS

8.   The recipient agrees to comply with applicable requirements regarding registration with the System for Award Management (SAM) (or with a successor government-wide system officially designated by OMB and OJP). The recipient also agrees to comply with applicable restrictions on subawards to first-tier subrecipients that do not acquire and provide a Data Universal Numbering System (DUNS) number. The details of recipient obligations are posted on the Office of Justice Programs web site at http://www.ojp.gov/funding/sam.htm (Award condition: Registration with the System for Award Management and Universal Identifier Requirements), and are incorporated by reference here. This special condition does not apply to an award to an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that he or she may own or operate in his or her name).

9.   Pursuant to Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving," 74 Fed. Reg. 51225 (October 1, 2009), the Department encourages recipients and sub recipients to adopt and enforce policies banning employees from text messaging while driving any vehicle during the course of performing work funded by this grant, and to establish workplace safety policies and conduct education, awareness, and other outreach to decrease crashes caused by distracted drivers.

10.   The recipient agrees to comply with all applicable laws, regulations, policies, and guidance (including specific cost limits, prior approval and reporting requirements, where applicable) governing the use of federal funds for expenses related to conferences, meetings, trainings, and other events, including the provision of food and/or beverages at such events, and costs of attendance at such events. Information on pertinent laws, regulations, policies, and guidance is available in the OJP Financial Guide Conference Cost Chapter.

11.   The recipient understands and agrees that any training or training materials developed or delivered with funding provided under this award must adhere to the OJP Training Guiding Principles for Grantees and Subgrantees, available at http://www.ojp.usdoj.gov/funding/ojptrainingguidingprinciples.htm.

12.   The recipient agrees that if it currently has an open award of federal funds or if it receives an award of federal funds other than this OJP award, and those award funds have been, are being, or are to be used, in whole or in part, for one or more of the identical cost items for which funds are being provided under this OJP award, the recipient will promptly notify, in writing, the grant manager for this OJP award, and, if so requested by OJP, seek a budget-modification or change-of-project-scope grant adjustment notice (GAN) to eliminate any inappropriate duplication of funding.

13.   The recipient understands and agrees that award funds may not be used to discriminate against or denigrate the religious or moral beliefs of students who participate in programs for which financial assistance is provided from those funds, or of the parents or legal guardians of such students.

14.   The recipient understands and agrees that - (a) No award funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography, and (b) Nothing in subsection (a) limits the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.

15.   In accordance with applicable law, the recipient shall not use these funds for any of the following purposes: 1. land acquisition; 2. construction projects; or 3. security enhancements or security equipment to non-governmental entities that do not engage in law enforcement, law enforcement support, criminal or juvenile justice, or delinquency prevention.

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**AWARD CONTINUATION
SHEET**

Grant

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PROJECT NUMBER   2014-YX-BX-0002   AWARD DATE   09/29/2014

SPECIAL CONDITIONS

16. The recipient agrees to comply with applicable requirements to report first-tier subawards of $25,000 or more and, in
     certain circumstances, to report the names and total compensation of the five most highly compensated executives of
     the recipient and first-tier subrecipients of award funds. Such data will be submitted to the FFATA Subaward
     Reporting System (FSRS). The details of recipient obligations, which derive from the Federal Funding Accountability
     and Transparency Act of 2006 (FFATA), are posted on the Office of Justice Programs web site at
     http://www.ojp.gov/funding/ffata.htm (Award condition: Reporting Subawards and Executive Compensation), and are
     incorporated by reference here. This condition, and its reporting requirement, does not apply to grant awards made to
     an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that
     he or she may own or operate in his or her name).

17. The recipient agrees to comply with OJP grant monitoring guidelines, protocols, and procedures, and to cooperate with
     OJP (including the grant-manager for this award and the Office of Chief Financial Officer (OCFO)) on all grant
     monitoring requests, including requests related to desk reviews, enhanced programmatic desk reviews, and/or site visits.
     The recipient agrees to provide to OJP all documentation necessary to complete monitoring tasks, including
     documentation related to any subawards made under this award. Further, the recipient agrees to abide by reasonable
     deadlines set by OJP for providing the requested documents. Failure to cooperate with OJP's grant monitoring
     activities may result in sanctions affecting the recipient's DOJ awards, including, but not limited to: withholdings
     and/or other restrictions on the recipient's access to grant funds; referral to the Office of the Inspector General for audit
     review; designation of the recipient as a DOJ High Risk grantee; or termination of an award(s).

18. Award recipients must verify Point of Contact(POC), Financial Point of Contact (FPOC), and Authorized
     Representative contact information in GMS, including telephone number and e-mail address. If any information is
     incorrect or has changed, a Grant Adjustment Notice (GAN) must be submitted via the Grants Management System
     (GMS) to document changes.

Department of Justice
Office of Justice Programs
Bureau of Justice Assistance

**AWARD CONTINUATION
SHEET
Grant**

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PROJECT NUMBER   2014-YX-BX-0002   AWARD DATE   09/29/2014

SPECIAL CONDITIONS

19.   Patents and Inventions.

The clauses at 37 C.F.R. section 401.14 (together, the "Patents Rights Clause") are incorporated by reference, with the following modifications.

(1) Where italicized, the terms "contract," "contractor," and "contracting officer" are replaced, respectively, by the terms "award," "award recipient," and "OJP program manager";

(2) Patent Rights Clause paragraph (f) is modified by adding the following at the end:

"(5) The award recipient agrees to provide a report prior to the close out of the award listing all subject inventions or stating that there were none.

(6) The award recipient agrees to provide, upon request, the filing date, patent application number and title; a copy of the patent application; and patent number and issue date for any subject invention in any country in which the award recipient has applied for a patent.";

(3) Patent Rights Clause paragraph (g) is modified to read as follows:

"(g) Subawards and Subcontracts

"The award recipient will include this Patent Rights Clause, suitably modified to identify the parties, in all subawards and subcontracts, regardless of tier, for experimental, developmental, or research work. The subaward recipient or subcontractor will retain all rights provided for the award recipient in this clause, and the award recipient will not, as a part of the consideration for awarding the subaward or subcontract, obtain rights in the subaward recipient's or subcontractor's subject inventions."; and

(4) Patent Rights Clause paragraph (l) is modified to read as follows:

"(l) Communications

"Communications on matters relating to this Patent Rights Clause should be directed to the General Counsel, Office of Justice Programs, United States Department of Justice.".

With respect to any subject invention in which the award recipient, or a subaward recipient or subcontractor, retains title, the Federal government shall have a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States the subject invention throughout the world.

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AWARD CONTINUATION
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PROJECT NUMBER   2014-YX-BX-0002   AWARD DATE   09/29/2014

SPECIAL CONDITIONS

20. The recipient acknowledges that the Office of Justice Programs (OJP) reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use (in whole or in part, including in connection with derivative works), for Federal purposes: (1) any work subject to copyright developed under an award or subaward; and (2) any rights of copyright to which a recipient or subrecipient purchases ownership with Federal support.

    The recipient acknowledges that OJP has the right to (1) obtain, reproduce, publish, or otherwise use the data first produced under an award or subaward; and (2) authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes. "Data" includes data as defined in Federal Acquisition Regulation (FAR) provision 52.227-14 (Rights in Data - General).

    It is the responsibility of the recipient (and of each subrecipient, if applicable) to ensure that this condition is included in any subaward under this award.

    The recipient has the responsibility to obtain from subrecipients, contractors, and subcontractors (if any) all rights and data necessary to fulfill the recipient's obligations to the Government under this award. If a proposed subrecipient, contractor, or subcontractor refuses to accept terms affording the Government such rights, the recipient shall promptly bring such refusal to the attention of the OJP program manager for the award and not proceed with the agreement in question without further authorization from the OJP program office.

21. No federal funds shall be used to pay for any part of air travel that includes business or first class seating except as authorized for government travel (as described in OMB Circular A-122) and authorized by the grant manager prior to booking such tickets.

22. The recipient agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this project.

23. The recipient agrees to submit to BJA for review and approval any curricula, training materials, proposed publications, reports, or any other written materials that will be published, including web-based materials and web site content, through funds from this grant at least thirty (30) working days prior to the targeted dissemination date. Any written, visual, or audio publications, with the exception of press releases, whether published at the grantee's or government's expense, shall contain the following statements: "This project was supported by Grant No. 2014-YX-BX-0002 awarded by the Bureau of Justice Assistance. The Bureau of Justice Assistance is a component of the Department of Justice's Office of Justice Programs, which also includes the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, the Office for Victims of Crime, and the SMART Office. Points of view or opinions in this document are those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice." The current edition of the OJP Financial Guide provides guidance on allowable printing and publication activities.

24. With respect to this award, federal funds may not be used to pay cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (An award recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds.)

    This limitation on compensation rates allowable under this award may be waived on an individual basis at the discretion of the OJP official indicated in the program announcement under which this award is made.

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**AWARD CONTINUATION
SHEET**

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PROJECT NUMBER	2014-YX-BX-0002	AWARD DATE	09/29/2014

SPECIAL CONDITIONS

25. The recipient may not obligate, expend or draw down funds until the Office of the Chief Financial Officer (OCFO) has approved the budget and budget narrative and a Grant Adjustment Notice (GAN) has been issued to remove this special condition.

Department of Justice

Office of Justice Programs

Bureau of Justice Assistance

Washington, D.C. 20531

Memorandum To: Official Grant File

From: Orbin Terry, NEPA Coordinator

Subject: Categorical Exclusion for San Francisco District Attorney's Office

Awards under this program will be used to leverage state, local or tribal subject-matter expertise. None of the following activities will be conducted whether under the Office of Justice Programs Federal action or a related third party action:
(1) New construction.
(2) Renovation or remodeling of a property either (a) listed on or eligible for listing on the National Register of Historic Places or (b) located within a 100-year flood plain.
(3) A renovation which will change the basic prior use of a facility or significantly change its size.
(4) Research and technology whose anticipated and future application could be expected to have an effect on the environment.
(5) Implementation of a program involving the use of chemicals.
Consequently, the subject federal action meets the Office of Justice Programs' criteria for a categorical exclusion as contained in paragraph 4(b) of Appendix D to Part 61 of the Code of Federal Regulations. Additionally, the proposed action is neither a phase nor a segment of a project which when reviewed in its entirety would not meet the criteria for a categorical exclusion.

Department of Justice Office of Justice Programs Bureau of Justice Assistance	GRANT MANAGER'S MEMORANDUM, PT. I: PROJECT SUMMARY **Grant**

| | PROJECT NUMBER

2014-YX-BX-0002 | - | PAGE 1 OF 1 |

This project is supported under Pub. L. No. 113-76, 128 Stat. 5, 61 Smart Prosecution Initiative

1. STAFF CONTACT (Name & telephone number) Gale Farquhar (202) 514-8528	2. PROJECT DIRECTOR (Name, address & telephone number) Maria McKee Policy & Grants Manager 850 Bryant Street Room 322 San Francisco, CA 94103-4603 (415) 553-1189

3a. TITLE OF THE PROGRAM BJA FY 14 Smart Prosecution Initiative - Full Proposal	3b. POMS CODE (SEE INSTRUCTIONS ON REVERSE)

4. TITLE OF PROJECT

Predictive Analytics for Strategic Prosecution

5. NAME & ADDRESS OF GRANTEE San Francisco District Attorney's Office 850 Bryant Street 3rd Floor San Francisco, CA 94103	6. NAME & ADRESS OF SUBGRANTEE

7. PROGRAM PERIOD FROM: 10/01/2014 TO: 09/30/2016	8. BUDGET PERIOD FROM: 10/01/2014 TO: 09/30/2016

9. AMOUNT OF AWARD $ 435,253	10. DATE OF AWARD 09/29/2014

11. SECOND YEAR'S BUDGET	12. SECOND YEAR'S BUDGET AMOUNT

13. THIRD YEAR'S BUDGET PERIOD	14. THIRD YEAR'S BUDGET AMOUNT

15. SUMMARY DESCRIPTION OF PROJECT (See instruction on reverse)

The goal of Smart Prosecution is to develop a body of knowledge about data-driven strategies -- innovative, best practice, or evidence-based -- as they are implemented by prosecutors. Smart Prosecution grantees will identify a problem to be addressed and enlist a local research partner to help assess the effectiveness of their Smart Prosecution effort. Smart Prosecution grants require a research partner.

The San Francisco District Attorney's Office (SFDA) will establish a Crime Strategies and Intelligence Unit (CSIU) that will gather appropriate and valid data, using statistical tools to identify chronic locations and chronic offenders in San Francisco. Using analytical tools will enable SFDA to make connections between criminal events, defendants, witnesses, and victims that can facilitate more effective investigations, charging decisions, and ultimately case dispositions. CSIU will work closely with Neighborhood Prosecutors to identify suitable individuals and cases for Neighborhood Courts, assess the beneficial aspects of Neighborhood Prosecution and courts relative to decreases in crime hot spots and disseminate information to the public about the project. The research partner will conduct a

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process and impact evaluation of the interventions implemented by the SFDA. CA/NCF

Introduction Form

By a Member of the Board of Supervisors or the Mayor

I hereby submit the following item for introduction (select only one):

☒   1. For reference to Committee. (An Ordinance, Resolution, Motion, or Charter Amendment)

☐   2. Request for next printed agenda Without Reference to Committee.

☐   3. Request for hearing on a subject matter at Committee.

☐   4. Request for letter beginning "Supervisor [   ] inquires"

☐   5. City Attorney request.

☐   6. Call File No. [   ] from Committee.

☐   7. Budget Analyst request (attach written motion).

☐   8. Substitute Legislation File No. [   ]

☐   9. Reactivate File No. [   ]

☐   10. Question(s) submitted for Mayoral Appearance before the BOS on [   ]

Please check the appropriate boxes. The proposed legislation should be forwarded to the following:

☐ Small Business Commission   ☐ Youth Commission   ☐ Ethics Commission

☐ Planning Commission   ☐ Building Inspection Commission

Note: For the Imperative Agenda (a resolution not on the printed agenda), use a Imperative Form.
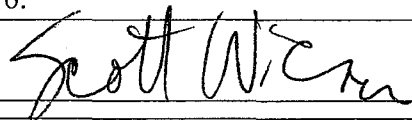
Sponsor(s):

Supervisor Scott Wiener

Subject:

Accept and Expend Grant – Bureau of Justice Assistance, Smart Prosecution Initiative: Predictive Analytics for Strategic Prosecution and Amend Annual Salary Ordinance – $435,253

The text is listed below or attached:

Ordinance authorizing the Office of the District Attorney to retroactively accept and expend a grant in the amount of $435,253 from the U.S. Department of Justice, Bureau of Justice Assistance for the Smart Prosecution Initiative in support of Predictive Analytics for Strategic Prosecution, to enhance data driven prosecution and strategies that effectively address and prevent crime and victimization in San Francisco, and amending the Annual Salary Ordinance No. 147-14 to reflect the addition of one grant-funded Class 1822 Administrative Analyst position (0.5 FTE) for the period of October 1, 2014 through September 30, 2016.

Signature of Sponsoring Supervisor: _____

For Clerk's Use Only:

141267

FORM SFEC-126
NOTIFICATION OF CONTRACT APPROVAL
(S.F. Campaign and Government Conduct Code § 1.126)

City Elective Officer Information (*Please print clearly*)	
Name of City elective officer(s): Members, San Francisco Board of Supervisors	City elective office(s) held: Members, San Francisco Board of Supervisors

Contractor Information (*Please print clearly*)
Name of Contractor: Justice & Security Strategies, Inc. (JSS)
Please list the names of (1) members of the contractor's board of directors; (2) the contractor's chief executive officer, chief financial officer and chief operating officer; (3) any person who has an ownership of 20 percent of more in the contractor; (4) any subcontractor listed in the bid or contract; and (5) any political committee sponsored or controlled by the contractor. Use additional pages as necessary.   1.Board of Directors: Dr. Craig D. Uchida & Shellie E. Solomon   2. President - Dr. Craig D. Uchida; CEO - Shellie E. Solomon;   3. NA   4. NA   5. NA
Contractor address: P.O. Box 6188   Silver Spring, MD 20916

Date that contract was approved:	Amount of contract: $150,000
Describe the nature of the contract that was approved: The District Attorney's Office (SFDA) received a U.S. Department of Justice, Bureau of Justice Assistance Smart Prosecution Initiative grant in support of Predictive Analytics for Strategic Prosecution. This grant requires SFDA to partner with an outside research firm (Justice & Security Strategies, Inc. - JSS) to identify and analyze the problem, validate the data, and identify chronic locations and chronic offenders. Together, CSU and JSS will develop a comprehensive predictive model for San Francisco, enabling SFDA to more effectively allocate resources, conduct investigations and prevent crime.	
Comments:	

This contract was approved by (check applicable)

☐ The City elective officer(s) identified on this form

☑ A board on which the City elective officer(s) serves   San Francisco Board of Supervisors

                                                                   Print Name of Board

☐ The board of a state agency (Health Authoirty, Housing Authority Commission, Industrial Development Authority Board, Parking Authority, Redevelopment Agency Commission, Relocation Appeals Board, Treasure Island Development Authority) on which an appointee of the City elective officer(s) identified on the form sits

                                             Print Name of Board

Filer Information (*Please print clearly*)	
Name of filer: Clerk of the San Francisco Board of Supervisors	Contact telephone number: (415) 554-5184
Address: City Hall, Room 244, 1 Dr. Carlton B. Goodlett Pl., San Francisco, CA 94102	E-mail: BOS.Legislation@sfgov.org

_____   _____
Signature of the Elective Officer (if submitted by City elective officer)   Date Signed

_____   _____
Signature of Board Secretary or Clerk (if Submitted by Board Secretary or Clerk)   Date Signed