

NEW YORK COUNTY DISTRICT ATTORNEY'S OFFICE



Intelligence-driven Prosecution

The Arrest Alert System



NEW YORK COUNTY
DISTRICT ATTORNEY
CYRUS R. VANCE, JR.

Intelligence-driven Prosecution: An Overview

The role of the prosecutor generally, and of a Community Prosecution model specifically, in reducing crime in our communities is viewed differently in the over 2,300 prosecutor offices around the country. There are many factors affecting the ability of prosecutors to impact crime in their jurisdictions, foremost among them being the resources available to each office. Often times, the more staff and resources an office has, the greater the flexibility to assign prosecutors to roles beyond their most basic ones of charging, indicting and trying defendants.

However, in offices urban, suburban and rural, an Intelligence-driven Prosecution model based upon an understanding of a defendant's role in crime will help an office affect the direction of crime without placing large demands on an office's resources. This approach allows for smarter prosecutions by focusing resources on those individuals most responsible for driving crime. To succeed, an Intelligence-driven Prosecution model must become part of the DNA of an office and serve as an office-wide philosophy toward prosecutions and, ultimately, crime reduction.

The police departments in our jurisdictions have primary responsibility for responding to and reducing crime. However, the actions taken by a prosecutor post-arrest can multiply the positive effects of the arrest, through aggressive and appropriate prosecution, or dilute the effects by not recognizing and responding to the "value" of a defendant's role in criminal activity more generally.

Effective crime-fighting begins with a clear understanding of (i) the nature of criminal activity affecting our communities, from violent crimes to quality-of-life issues, and (ii) who is committing these crimes. In May 2010, District Attorney Cyrus R. Vance, Jr. created the Crime Strategies Unit ("CSU") and tasked it with helping to harness the collective resources of the office to develop and implement Intelligence-driven Prosecution strategies that identify and address crime issues and target priority offenders for aggressive prosecution.

The foundation to the success of CSU has been the close partnerships we have built with the NYPD, other law enforcement agencies and the communities we serve. We have divided the police precincts of Manhattan into five geographic areas and assigned a senior prosecutor in CSU to focus on and understand criminal activity in each area. A significant value to the police department of this structure is that there is one person, the CSU ADA, who is available to the NYPD, literally 24/7, to assist with questions, problems, significant arrests and to coordinate crime-reduction strategies.

In return, we are able to call on the highest levels of the police department to request assistance with our prosecutions, to express concerns and to access information that helps us to focus our prosecution resources where they will most effectively reduce crime. The constant interaction between CSU and the precinct commanders has improved the law enforcement outcomes for both agencies – as prosecutors, we are focusing resources on a relatively small group of defendants who are driving crime, and the police department is

not expending resources pursuing the same defendants who previously passed anonymously, and quickly, through the criminal justice system.

In addition to the partnerships with the Police Department, CSU has developed strong working relationships with other law enforcement agencies and major stakeholders throughout Manhattan, including the Port Authority of NY and NJ, the Parks Department, the New York City Housing Authority, block associations, Business Improvement Districts and others. These partners provide intelligence about crime and community concerns that we incorporate into our decisions about where we focus our resources and how we respond to arrests of offenders in these areas.

A key element of CSU's mandate is to make more effective use of the vast amounts of information gleaned from the thousands of cases prosecuted each year in our office. Previously, the information acquired as we investigated and prosecuted street crime cases was not centrally organized, let alone analyzed. Now, CSU is finding innovative ways to make this information available throughout the office, when and where it is needed. Rather than information being left on thousands of legal pads in the offices of hundreds of ADAs, CSU gathers criminal intelligence and maps data to visually depict criminal activity based on multiple identifiers such as gang affiliation and type of crime. These efforts allow us to uncover potential links between cases and to anticipate and see crime patterns early on so we can address them proactively.

Gathering information about criminal activity and identifying those who disproportionately are driving crime is of limited use unless we are alerted that a priority target has been arrested and are prepared to respond accordingly. The challenge faced by prosecutors' offices, especially urban ones, is being able to know at the earliest stage of a prosecution the importance of a particular defendant in criminal activity.

Sometimes, the value will be obvious as reflected in the number of arrests and convictions reported on the defendant's rap sheet. However, often the key information is not the past criminal history but the knowledge that a defendant is, for example, the leader of a violent gang, a suspect in a shooting or the main supplier of narcotics in a public housing development. Offices of all sizes face daunting challenges in making information available to line ADAs amidst the processing of tens of thousands of arrests annually.

For example, the nation's largest prosecution office, the Los Angeles County District Attorney's Office, with approximately 1,000 deputy district attorneys working from 30 locations, prosecutes nearly 60,000 felonies and 130,000 misdemeanors a year. The Juvenile Division, which has nine offices throughout the county, files approximately 30,000 criminal petitions a year against criminal offenders under 18 years of age¹. The Cook County State's Attorney's Office in Chicago employs over 800 attorneys and prosecutes more than 30,000 felony cases and several hundred thousand misdemeanor

¹ Los Angeles County District Attorney's Office website: <http://da.lacounty.gov/oview.htm>

cases each year². In Manhattan alone, approximately 425 ADAs prosecute over 100,000 cases annually; citywide, there are hundreds more ADAs and hundreds of thousands additional criminal prosecutions.

To organize and manage the information gathered as a result of employing an Intelligence-driven Prosecution model, the Manhattan DA's Office created a sophisticated arrest alert system. The system, which is managed by CSU but also allows for individual ADA access, provides email notifications of the arrests anywhere in New York City of priority defendants. The arrest alert system also provides automatic email notification when a defendant currently under prosecution is arrested anywhere within the city's five counties.

Through this alert system, charging decisions, bail applications, and sentencing recommendations now more accurately reflect each defendant's particularized impact on criminal activity in our communities. Defendants no longer can rely on the anonymity that previously came with committing crimes in a large metropolis. For instance, email alerts notify us of arrests in Manhattan of Bronx-based gang members and the resulting sharing of information between the District Attorneys' offices themselves and with the police precincts leads to more effective prosecution of such cases and improved safety for the residents of both counties.

The information gathered by CSU and disseminated through the use of the arrest alert system allows us to differentiate among those for whom incarceration is an imperative from a community-safety standpoint, and those defendants for whom alternatives to incarceration are appropriate and will not negatively impact overall community safety.

While the use of an arrest alert system is critical to an effective Intelligence-driven Prosecution model, it is one step of a multi-faceted process aimed at gathering, organizing and disseminating criminal intelligence. The primary steps in developing a comprehensive Intelligence-driven Prosecution model are outlined in the sections below, with most attention given to the development and use of an arrest alert system.

1. Create an internal structure to support an Intelligence-driven Prosecution model;
2. Prepare a comprehensive survey of crime in your community; and
3. Develop an Arrest Alert System to track arrests of Priority Targets.

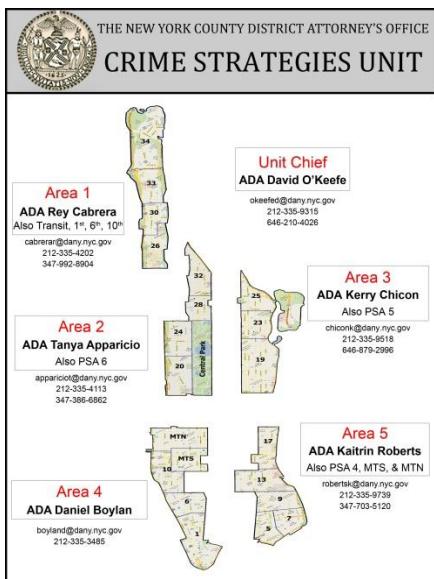
² Cook County State's Attorney's Office website:
http://www.statesattorney.org/index2/about_the_office.html

Create an internal structure to support an Intelligence-driven Prosecution model

An Intelligence-driven Prosecution model requires prosecutors to (i) understand the crime issues facing their communities, from violent crimes to quality-of-life issues, and (ii) identify which defendants disproportionately are driving those crimes. It is only then that individual prosecutions can be evaluated through the prism of a defendant's contribution to crime in the community and ensure that the dispositions appropriately reflect that reality. To harness its collective resources to target priority offenders for aggressive prosecution, a prosecutor's office should develop an internal structure to gather, organize and make accessible intelligence regarding criminals and their activities.

The resources of a prosecutor's office, the size and diversity of the population it serves, the number and organization of independent police agencies within its jurisdiction, along with other issues specific to a jurisdiction, all will determine the most efficient structure of an Intelligence-driven Prosecution model. In Manhattan, District Attorney Cyrus R. Vance, Jr., created the Crime Strategies Unit ("CSU") as the main vehicle for developing an Intelligence-driven Prosecution model within the office.

CSU consists of a Unit Chief and one senior prosecutor assigned to each of five geographic areas within Manhattan. In addition, four Intelligence Analysts are assigned to assist the ADAs with managing the flow of information.



CSU was organized along these geographic lines to address important internal and external goals of an Intelligence-driven Prosecution model. The main considerations used in determining the most effective structure for CSU were:

- Police command structure;
- Crime rates and types; and
- Community demographics;

POLICE COMMAND STRUCTURE:

Goal: provide each precinct commander, and those under his / her command, with a single point of contact in the DA's Office. We created CSU Areas that incorporated the pre-existing geographic boundaries of the NYPD command structure. Within the NYPD, that structure has two components: i) precinct boundaries (a total of 22 within Manhattan)

and ii) Patrol Borough boundaries (a total of two within in Manhattan). The Patrol Borough of Manhattan South (“PBMS”) comprises the 10 precincts south of 59th Street, and the Patrol Borough of Manhattan North (“PBMN”) comprises the 12 precincts north of 59th Street.

We established the following rules:

- Each NYPD precinct would be included entirely in one CSU Area; and
- Each CSU Area would include only precincts that were in either the PBMS or the PBMN command structure.

The benefits of this structure include:

- Each precinct commander and the supervisors within his / her command work with a single CSU ADA, resulting in strong working relationships.
- The Borough Commanders who supervise the precinct commanders get to know the small number of CSU ADAs who cover the precincts in their Patrol Borough, rather than having to know every ADA in CSU.
- Since meetings of the NYPD generally are organized around the Patrol Boroughs, the number of meetings the CSU ADAs need to attend is minimized while the information that they get from the meetings they do attend is maximized.
- As a result of attending numerous meetings with the same group of police commanders, the CSU ADAs become familiar with crime and community issues outside of their Area (but still within the Patrol Boroughs); the precinct commanders become familiar with the other CSU ADAs covering precincts in their Patrol Borough. (This is particularly useful whenever one CSU ADA is assigned temporarily to cover for another.)

CRIME RATES AND TYPES:

Goal: ensure that each CSU Area incorporates a wide range of crime issues while balancing the volume of crimes across Areas. To ensure the continued professional growth and strong morale of the CSU ADAs, we sought to ensure that each ADA in the unit dealt with a wide range of crime issues. We aimed to avoid creating Areas that were either overly violent-crime-heavy (and overly time-consuming) or overly affected by quality-of-life crimes (and possibly not sufficiently engaging)³.

We analyzed the distribution of the FBI’s “seven majors” across all precincts⁴ for the three years prior to the creation of CSU. We looked at both the number of criminal complaints and the number of arrests across each of the seven index crime categories. Using equations built into an Excel spreadsheet, we moved the index crime numbers for

³ This concern is one of the main reasons we did not adopt an office-wide zone model. It would be difficult for some of the office’s six trial bureaus not to end up prosecuting mostly violent crime while other bureaus end up prosecuting non-violent and quality-of-life crimes. Such a result has the potential for being bad both for morale as well as for training.

⁴ Central Park precinct was excluded from the analysis due to the *de minimis* number of its index crimes.

whole precincts in and out of the five CSU Areas and automatically recalculated the total number of crimes, both violent and non-violent, that were reported in the resulting groupings. In this way, we were able to assess what the groupings of various precincts would mean in terms of crime volume.

Although we did not include the number of shooting incidents and the resulting number of shooting victims in our analysis, it is useful to separately analyze those numbers in any assessment of crime distribution. While shootings are included in the Felony Assault numbers of the “seven majors”, many of the shootings are associated with violent gangs or crews. The violence associated with these gangs and crews takes an inordinate amount of time and energy to document, understand and target for prosecution. From a resources standpoint, it is important to know which of the Areas is beset by gang-related violence as opposed to other types of street violence.

COMMUNITY DEMOGRAPHICS:

Goal: where possible, maintain cohesiveness of demographics and communities within CSU Areas. In addition to being a police contact, the CSU ADAs were tasked also with building relationships with key community partners⁵. It was clear that some communities were spread across more than one police precinct, e.g., the Dominican community in Washington Heights or the Spanish-speaking communities of East Harlem. We endeavored to include such communities within one CSU Area to maximize the responsiveness of the CSU ADAs to community concerns. To the extent that adjacent neighborhoods had similar demographics and crime issues, we also tried to keep them within one CSU Area.

OTHER ISSUES:

Non-Precinct Police Commands – In New York City, the NYPD Transit Bureau patrols the subway system and the Housing Bureau patrols the public housing developments of the New York City Housing Authority. Both commands requested a CSU point-of-contact.

- We assigned the three Manhattan housing “precincts” to the Area in which most of its housing stock was located. This meant at times that one CSU ADA developed expertise on gang and housing issues which were based in another ADA’s Area. This simply required that the ADAs worked closely together to share information on overlapping issues.
- The Transit Bureau, with its four transit districts in Manhattan, was assigned initially to the ADA responsible for the fewest number of precincts. However, that CSU Area turned out to be our most demanding one due to widespread gang activity despite having the fewest number of actual precincts. As the resource demands of each Area became clearer, the transit districts were reassigned to the CSU ADA who had the resources available to meet transit’s needs.

⁵ The Community Affairs Unit (“CAU”) of the Manhattan DA’s Office was and remains the main community contact. The CAU community coordinators work very closely with their respective CSU ADAs.

Geographic Contiguity – Because crime problems, and especially gang and crew feuds, tend to flow across nearby precinct lines, we decided that the precincts assigned to each CSU Area would be contiguous. Of course, as all Areas must have some boundary, there are crime problems that spill across Area lines. However, we addressed this by ensuring the CSU ADAs constantly share information with each other regarding cross-Area crime issues.

Prepare a comprehensive survey of crime in your community

An Intelligence-driven Prosecution model must start with a comprehensive understanding of the crime issues confronting the communities we serve – (i) where are the problem locations, (ii) what is (are) are the crime issue(s) most affecting each location and (iii) who are the individuals most responsible for driving that crime. For the Manhattan DA’s Office, the main source of this information was the Police Department itself. The community at large also was an important source of information regarding safety and quality-of-life issues. However, with the NYPD’s broad focus on crime statistics and incorporation of community input through regular precinct community council meetings, analysis of 311 complaints and participation in many outside meetings by precinct community affairs officers, the NYPD was able to provide us with a detailed, yet expansive, understanding of crime.

As noted, we focused not only on understanding the nature of the crime, e.g., shootings, drug dealing, car break-ins, but, as importantly, identifying the individuals disproportionately responsible for committing such crimes. Here again, the NYPD knowledge was invaluable. We met with each precinct’s Field Intelligence Officer (“FIO”)⁶ who briefed us on crime within each precinct. We also identified and met with the patrol officers (or “beat officers”) within each precinct who were most familiar with high-crime areas or entrenched crime issues. These officers tended to have detailed knowledge of the nature of the criminal activity based upon their daily interactions with the community and were able to identify particular individuals as priority targets.

Each precinct was asked to identify their worst 25 criminals and provide us reasons why each target was so identified. In some precincts, these individuals were gang members responsible for shootings and other violent crime. Elsewhere, the targets were quality-of-life recidivists. After reviewing the information in support of the precincts’ determinations, we termed these individuals “Priority Targets” - people whose incapacitation by the criminal justice system would have a positive impact on the community’s safety and/or quality of life. These targets were then entered into the arrest alert system to ensure an appropriate office response if and when they were arrested.

BRIEFING BOOK

To organize and memorialize the findings of the initial crime survey, it proved useful to prepare a precinct-by-precinct summary that could easily be referenced later and also provide a point of comparison for assessing our efforts.

Each precinct’s summary followed the same outline:

1. Precinct Map and boundaries;

⁶ FIOs are Sergeants from the NYPD’s Intelligence Division assigned to each of precinct in the city. Among other tasks, the FIOs provide information to the precinct commanders regarding all manner of criminal activity with the precinct.

2. List of precinct contacts;
3. A paragraph with a general overview of crime within the precinct;
4. Comparative statistics of index crimes – current year v. prior year;
5. Community concerns regarding crime within the precinct;
6. Analysis of all shootings and homicides within the precinct, year-to-date
7. Analysis of hotspots within the precinct; and
8. Analysis of gangs active within the precinct, including any violence connected to them.

The process of preparing this briefing book was invaluable in building our relationships with each precinct and in focusing our later prosecution initiatives towards the most violent locations and groups throughout our jurisdiction.

The Arrest Alert System

“The Central Nervous System of an Intelligence-driven Prosecution model”

As the NYPD worked with us to improve our understanding of the nature of the criminal activity in our communities and to identify the individuals most closely associated with that activity, we discovered that a fair number of those targets already were being prosecuted by our office. We just hadn't known their “crime value” and our prosecution decisions were based solely on the nature of the criminal charge without consistent regard to the nature of the defendant's criminality.

An effective Arrest Alert system means that no priority target will pass anonymously through the criminal justice process without a prosecutor making a deliberate, reasoned assessment of a disposition based both on the facts of the case and the role of the defendant in criminal activity.

THE ROLE OF FINGERPRINTS AND A STATE ID NUMBER

In New York State, as elsewhere, each person who is fingerprinted is assigned a unique identifying number. In New York, that number is known as a NYSID (New York State ID number) and is assigned by the New York State Division of Criminal Justice Services (“DCJS”).

Every time a defendant is arrested for a printable offense in New York City, the NYPD transmits an electronic copy of the defendant's fingerprints to DCJS. DCJS updates the defendant's criminal history and in turn sends back to the NYPD the defendant's NYSID number and rap sheet. That NYSID number, along with the arrest information (such as date, time, location and charge), is transmitted to the Manhattan DA's Office for use in processing the arrest.

As the NYSID numbers are received at the DA's Office, they are compared against the NSYIDs listed in the arrest alert system and, if a match is found, an email is generated and sent automatically to one or more ADAs who have registered to receive such alerts based upon an interest in the particular defendant.

In Manhattan, the automated arrest alert generally is received on the recipient ADA's blackberry within four hours of the arrest. This is before the charging papers have been drafted by an ADA in the office and allows plenty of time for information sharing and the preparation of bail and sentencing recommendations prior to the defendant's arraignment by a judge.

CREATING CATEGORIES, GROUPS AND SUB-GROUPS

For ease of generating reports and organizing permissions and arrest notifications, an Arrest Alert System must be able to categorize defendants and their alerts. Generally, the ability to “nest” a defendant’s NYSID down to at least three levels is optimal⁷.

For example, one useful Category might encompass all of the police precincts, or divisions, within a jurisdiction (Level I). Within the “**Precincts**” Category, each individual police precinct within the jurisdiction would have its own Group (Level II). Within each precinct Group, Sub-Groups could be created to reflect crime issues specific to the precinct (Level III).

• Precincts	(Level I)	
○ 1 st Precinct	(Level II)	
■ Unlicensed General Vendors		(Level III)
● <i>John Doe 012345678Z</i>		(<i>Arrest Alert</i>)
■ Larcenists		(Level III)
● <i>John Smith 12987456K</i>		(<i>Arrest Alert</i>)
○ 6 th Precinct	(Level II)	
■ Prostitution Recidivists		(Level III)
● <i>Jane Smith 12378945M</i>		(<i>Arrest Alert</i>)
● <i>Anne Doe 96385274L</i>		(<i>Arrest Alert</i>)
■ Car Boosters		(Level III)
● <i>Peter Doe 45678932J</i>		(<i>Arrest Alert</i>)
○ 23 rd Precinct	(Level II)	
■ Uncooperative Shooting Victims		(Level III)
■ Robbery Recidivists		(Level III)

Another example of possible Category nesting is “**Gangs**” (Level I) grouped by area (Level II) and then organized by each gang name (Level III)

• Gangs	(Level I)	
○ Manhattan Gangs	(Level II)	
■ Fetti Boys		(Level III)
■ Goodfellas		(Level III)
○ Bronx Gangs	(Level II)	
■ WTG		(Level III)
■ FOE		(Level III)
○ Brooklyn Gangs	(Level II)	
■ 11 Boys		(Level III)
○ Queens Gangs	(Level II)	

⁷ However, the system should allow also for the creation of alerts using only one level as many individual users of the system may not need such an advanced organizational structure.

“Housing Locations” (Level I), grouped by development name (Level II) and organized by type of crime in which a person is engaged (Level III), is another possible example of using levels to categorize targets.

- | | |
|---|----------------------------|
| <ul style="list-style-type: none">• Housing Locations | (Level I) |
| <ul style="list-style-type: none">○ East River Houses | (Level II) |
| <ul style="list-style-type: none"> ■ Drug Dealers ■ Robbers | (Level III)
(Level III) |
| <ul style="list-style-type: none">○ Fulton Houses | (Level II) |
| <ul style="list-style-type: none"> ■ Graffiti ■ Drug Dealers | (Level III)
(Level III) |

Organizationally, the Categories (Level I) and Groups (Level II) could be set up as expandable lists:

- [+] Precincts
- [+] Gangs
- [+] Housing Locations

Exhibit A

ANNOTATING ARREST ALERTS

Some information should be associated automatically with arrest alerts when they are created:

- The date each arrest alert is created within any Sub-Group (Level III).
 - Some defendants may be included in more than one Sub-Group, Group or Category and alerts might be created on different dates. For example, a target could be a gang member (thus appearing in the Gang Category) who is known to put graffiti in hallways when he visits family in another precinct (thus appearing in the Precinct Category as well).
- The person who created the alert.

The number of individual arrest alerts quickly will grow beyond the ability to recall details about why any specific defendant is included in an arrest alert Sub-Group. For this reason, the Arrest Alert System needs to permit users to add a note to each alert when it is created and to be able to edit those notes at later dates as needed.

Notes associated with an arrest alert will be included with the email notification sent when a target has been arrested. This ensures that the email recipients are aware of specific issues associated with a target, above and beyond the obvious fact of their inclusion in any particular Sub-Group.

However, there may be situations in which a note contains sensitive information that an ADA prefers not be included in an emailed alert. Therefore, the system should have the option to restrict the sending of a note only to the arrest alert owner(s) (see Permissions, below) and to send an alternate note to non-owner email recipients.

In the below example, the arrest alert owner(s) would be notified that the defendant is a shooting suspect while others who receive the alert would be told only to contact the ADA assigned to the shooting.

Note	Alternate Note
<ul style="list-style-type: none">• This defendant is a suspect in the shooting of John Doe on 11/30/12 in the 32nd Pct. See ADA Steve Smith.	<ul style="list-style-type: none">• Contact ADA Steve Smith if this defendant is arrested (646-555-1212)
<input type="checkbox"/> If checked, the Alternate Note will be emailed to non-owners of this defendant's alerts.	

Exhibit B

PERMISSIONS

The Arrest Alert System should allow for the following permissions:

- Super-owner (for the office-wide portion of the Arrest Alert System only)
- Owner
- Editor
- Visitor

The Owner, Editor and Visitor permissions would exist at each of the system's Levels (I, II and III). The permissions of a higher level would automatically be applied to each subsequent level. For example, the owner of a Category (Level I) automatically would also be an owner of all Groups (Level II) within the Category, and all Sub-Groups (Level III) within each Group. Similarly, an Editor of a Category would also be an Editor of all Groups and their Sub-Groups. However, an Owner assigned only to a Sub-Group (Level III) would not be an Owner of the parent Group (Level II) or Category (Level I).

Although there may be only one or a few Super-owners, there does not need to be any particular limit on the number of Owners, Editors or Visitors of each Level. Of course, the more Owners and Editors there are (especially of Levels I and II), the more need there is for communication and coordination in making changes to the Arrest Alert system.

SUPER-OWNER

The Super-owner is the individual assigned to manage the office-wide aspects of the Arrest Alert System (as opposed to the alerts created by an individual ADA who is tracking targets for her own purposes).

A Super-owner has the following permissions:

- Create or delete a Category (Level I) (and its contents);
- Grant or delete Owner permissions to a Category; and
- All of the permissions of an Owner, below.

OWNER

An Owner manages the permissions for the top level to which she has been assigned as an Owner and for all levels below that Owner level.

- Owners of Categories:
 - Grant or delete Editor or Visitor permissions to a Category;
 - Grant or delete Owner permissions to a Group; and
 - Have all permissions of a Group Owner and a Category Editor.
- Owners of Groups:
 - Grant or delete Editor or Visitor permissions to a Group;
 - Grant or delete Owner permissions to a Sub-Group; and
 - Have all permissions of a Sub-Group Owner and a Group Editor.

- Owners of Sub-Groups:
 - Grant or delete Editor or Visitor permissions to a Sub-Group; and
 - Have all permissions of a Sub-Group Editor.

EDITOR

An Editor has permission to create or delete Groups, Sub-Groups and Arrest Alerts, depending on the level of Editor access.

- Editors of Categories:
 - Grant or delete Visitor permissions to a Category;
 - Create or delete a Group;
 - Grant or delete Editor permissions to a Group; and
 - Have all permissions of a Group Editor.
- Editors of Groups:
 - Grant or delete Visitor permissions to a Group;
 - Create or delete a Sub-Group;
 - Grant or delete Editor permissions to a Sub-Group; and
 - Have all permissions of a Sub-Group Editor.
- Editors of Sub-Groups:
 - Grant Visitor permissions to a Sub-Group; and
 - Create or delete an Arrest Alert in a Sub-Group.

VISITOR

A Visitor can see the Arrest Alert Categories, Groups, Sub-Groups and the corresponding Arrest Alerts and their notes. However, a Visitor cannot make any changes to the Arrest Alert system.

A Super-owner might see a permissions table such as the one below after clicking on a pre-existing Category (Level I) and then selecting “Edit Permissions”. Once a user is selected from the dropdown menu, the level of permissions to be granted (or deleted) is selected.

Edit Category Permissions

(SELECT A USER...)	<input type="button" value="▼"/> <input checked="" type="checkbox"/>	Notify by Email
Category (Level I) Permissions		
<input type="checkbox"/>	Owner	
<input type="checkbox"/>	Editor	
<input type="checkbox"/>	Visitor	

Exhibit C

CHANGING PERMISSIONS

As the Arrest Alert System grows through the addition of Categories, Groups and Sub-Groups and more users are assigned as Owners, Editors and Visitors, it is useful for Super-owners and Owners to be able to edit permissions on a global level rather than at the level of each separate Category, Group or Sub-Group.

The system should list permissions by user and allow the Super-owner or appropriate Owner to change or delete access or notifications by Level as well as globally. This is especially useful if a user leaves the office or no longer is involved in work that necessitates alerts from the system.

Global permissions and alerts for ADA John Doe

	Categories	Owner	Editor	Visitor	Alerts
Edit	Precincts	✓			✓
Groups					
Edit	Manhattan Gangs		✓		✓
Sub-Groups					
Edit	East River Houses		✓		✓
Edit	Fulton Houses			✓	✓

- Delete all permissions and alerts
 Delete all alerts only

Exhibit D

Permissions also need to be editable at the Category, Group and Sub-Group levels. A list of the permissions given to various users should be shown by Level, allowing for edits to each existing user as well as the assigning of permissions to additional users. An example of a Category permissions edit box is shown below.

Category Gangs Permissions

Add

	User	Owner	Editor	Visitor	Alerts
Edit	Doe, John	✓			✓
Edit	Franks, Peter	✓			✓
Edit	Gomez, Elana		✓		✓
Edit	Smith, Joanne			✓	

Exhibit E

WHO GETS THE ARREST ALERT?

Determining who should receive an arrest alert email is critical to ensuring an appropriate response to the arrest of a target. The default setting is that anyone designated as an Owner, Editor or Visitor of a Category, Group or Sub-group will receive an arrest alert email of any defendant in the respective Category, Group or Sub-group.

If one Category has four Groups, which in turn have two Sub-Groups each with ten defendants in each Sub-Group, the number of possible alerts emailed to an Owner or Editor of each Category, Group or Sub-Group would be as follows:

Owner or Editor of:	Number of possible alerts:
one Category	80 (4 Groups x 2 Sub-Groups x 10 defendants)
one Group	20 (2 Sub-Groups x 10 defendants)
one Sub-Group	10 (10 defendants)

It is useful to organize the email notifications around Categories, Groups or Sub-Groups as generally anyone interested in one defendant connected with a particular crime issue is interested in all of the defendants so connected. However, there are times when an ADA has an interest in a single defendant contained in a Sub-Group and wants to be alerted to that single defendant's arrest and not to any other defendant's arrest.

It is helpful, therefore, to permit the addition (and later deletion) of a single notification for any particular defendant. This can be done in a number of ways, but one method is to include this single addition / deletion capability as part of the edit function of a defendant's arrest alert.

+ - Individual Notifications (for THIS NYSID ONLY) Add /delete person:
(SELECT A USER...) ▾

Exhibit F

OPEN CASE ALERTS

It is common for defendants with pending cases to be rearrested if they have made bail or have been released without bail. In such instances, it is very useful to generate and send automatically an arrest alert to any ADA who is handling a defendant's pending case(s).

These automated emails permit the ADA to reach out to the arresting officer or to her fellow ADA drafting the criminal complaint to seek or share information about the defendant. Additionally, open case alerts permit an ADA, where appropriate, to petition the judge on the pending case for a change in bail status even before the new arrest has been arraigned.

These open case alerts also ensure that warrants aren't being ordered, and prosecutions delayed, for defendants who miss their court date because they are in jail on a new arrest which the ADA and court would otherwise not have been aware of.

ARREST ALERTS AND THE NYPD

As noted, the automated arrest alerts are emailed only to registered users within the Manhattan DA's Office. Depending on the nature of the alert, they may be forwarded by the CSU Area ADAs to NYPD personnel who also are focusing on the defendants. For example, arrest alerts of gang members may be forwarded to the NYPD gang unit and also to the precinct commander where the gang is based; arrest alerts of precinct priority defendants may be forwarded to the respective precinct commanders and Field Intelligence Officer.

When the arrest alerts are forwarded, the CSU ADA can include background information about the defendant and may also request that certain investigative steps be undertaken including, for instance, debriefing a defendant on gang-related activities.

While an arrest alert system can be set up to forward automatically all arrest alerts to the appropriate parties, we have found that having the CSU ADA able to forward an alert with comments improves the communication between the NYPD and our office by focusing our resources on specific defendants and arrests.

THE ARREST ALERT EMAIL

The arrest alert email should include the Category, Group and Sub-Group titles, the name of the Sub-Group owner (as a contact for further information), the note(s) associated with the alert, and the details of the new arrest.

Below is an example of an arrest alert, shown in two parts – a header (detailing the reasons a defendant is part of the alerts) and the body (providing details of the new arrest). This header below illustrates a defendant who is included in multiple categories, with the arrest alert emailed to each person who has registered his interest in the defendant.

ARREST ALERT HEADER

In this example, the header shows that the defendant is included in the following Categories:

1. Gangs – the defendant is a member of a Manhattan gang called FDZ;
2. Housing Locations – the defendant lives in the Polo Grounds housing development and is suspected of committing robberies;
3. Parole – the defendant is on New York State parole;
4. FIO Alerts – the defendant has been identified by the Field Intelligence Officer of the 32nd pct. as a priority robbery target;
5. Curfews and Conditions – the defendant has a parole-mandated curfew; and
6. Open Case alert.

Category	Group	Sub-Group	Sub-Group Owner	Note
1. Gangs:	Manhattan:	FDZ	ADA John Doe	(Note: "Priority Target")
2. Housing Developments:	Polo Grounds:	Robbers	ADA Jane Smith	(Note: Polo/Rangel Robbery Watch List)
3. Supervision:	Parole		Steven Jones	(Note: New Arrest Warrant issued on 12/04/2012. Please contact Area Office 'MANHATTAN II' at 2122396156; Senior Parole Office Name: DELGADO,HERMINIA; Parole Office Name: NWAKANMA,IMMA U.)
4. FIO Alerts:	32 nd Pct. FIO:	Robbers	ADA Jane Smith	(Note: In 3/2010, this defendant was identified as a high-priority target by the FIO of the 32nd pct., Sgt. Reid.)
5. Curfews and Conditions:	Parole Conditions		Steven Jones	Parole conditions: excluded from area btwn 139th and 155th Streets btwn Clayton and Bradhurst Avenues; 9pm to 7am curfew; restricted from associating with specified persons - contact CSU for details.)
6. Open Case Alert:	ADA Phillips, Brandon			(Docket 2012NY077955)

Arrest Alert Header

Alerts organized in this fashion foster communication internally as each recipient can see who else has an interest in the defendant and a response can be coordinated among all of those following this defendant. Additionally, anyone seeking information about the defendant's inclusion in a particular Category is informed whom to contact.

ARREST ALERT BODY

The details regarding each new arrest of a target in the arrest alert system come from information provided electronically by the NYPD. For example, the alert below indicates that this target was arrested for a gunpoint robbery in the 32nd precinct.

<u>Following is Arrest Information for this arrest, to see more details, click on Arrest ID # link:</u>	
<i>Arrest ID</i>	M12704902
<i>Defendant Name</i>	JOHN DOE
<i>DOB</i>	04/03/1994
<i>Resident PCT</i>	032 PCT
<i>Arrest Date/Time</i>	12/06/2012 08:05
<i>Arrest Location</i>	2749 8 AVE NYC, NY 10030
<i>Arrest PCT</i>	032 PCT
<i>AO</i>	POM DAVID HERNANDEZ
<i>AO Command</i>	032 PCT
<i>Top Arrest Charge</i>	PL 1601501 [F]
<i>Occurrence Date/Time</i>	11/26/2012 18:00
<i>Occurrence Place</i>	2300 5 AVE NYC, NY AT TPO C/V STATES HE WAS WALKING DOWN STAIRWELL WHEN 2 M/B WEARING BLK PELLE PELLE JECKETS AND SKI MASK AND 1 M/H WEARING LIGHT GREEN JACKET W DESIGNS ACRESS CHEST (ALL SUS AROUND 5'8 THIN BUILD) APPROACHED C/V FROM BEHIND NEAR 10THFL. AT WHICH TIME 2 M/B BOTHE DISPLAYED BLK FIREARMS. SUS THEN PROCEEDED TO REMOVE C/V'S PROPERTY FROM HIM. AT WHICH TIME ONE OF THE SUS PISTOL WHIPPED C/V ON THE LEFT SIDE OF THE HEAD CASUING LACERATION . SUS TOOK C/V'S PROP AND FLED IN UNK DIRECTION. NEG RESULTS ON CANVASS NO IMEI OR SERIAL AVAIL . CAMERAS IN LOBBY. SEARCH WARRANT (#950) CONDUCTED OF DEF LOCATION IN REGARDS. DEF HAS ACTIVE PAROLE WARRANT #642929
<i>Omni Narrative:</i>	

Arrest Alert Body

The body of an arrest alert provides an opportunity for information sharing. While the above target was arrested in the 32nd precinct, where he is a priority for the precinct's Field Intelligence Officer ("FIO") (as noted in the header), he could have been arrested in any one of the other 21 precincts of Manhattan or one of the other 75 precincts in New York City. If he had been arrested elsewhere, the 32nd precinct FIO likely would not know of the arrest and the precinct of arrest would not know that he was a priority for the 32nd precinct.

Even when arrested in the precinct where a target resides and commits most or all of his crimes, the officers making the arrest may be unaware of the defendant's criminal significance and those in the precinct most familiar with the defendant may not be aware of the arrest until after the defendant has been processed.

The automatic generation of the alerts and the forwarding of the alerts to the appropriate police contact ensure that a priority target does not slip through the cracks when arrested,

especially if arrested outside of the precinct in which he is a significant contributor to criminal activity.

ARREST ALERT SYSTEM REPORTS

There are a number of reports which an arrest alert system can generate to help identify key cases among the thousands that may pending at any one time as well as to help coordinate resources within an office.

CASES BY ARREST ALERT CATEGORY, GROUP OR SUB-GROUP

This type of report generates a list of defendants, by Category, Group or Sub-Group, and the cases prosecuted by the DA's office. For example, with a list of open cases of defendants who are members of a particular Sub-Group, say, a violent gang, the office can brief the ADAs handling these cases on the gang's activities and then review and coordinate the proposed case dispositions in order to maximize the law enforcement impact on the gang .

ARREST ALERT CATEGORIES AND USERS BY DEFENDANT

This report will generate a list of all of the Categories, Groups and Sub-Groups in which a defendant's NYSID number is included. This list will document those defendants who possibly are being tracked by multiple ADAs within the office, who may not otherwise be aware of their shared interest. This allows the office to ensure that ADAs are sharing information and coordinating strategies even before an arrest, or rearrest happens.

EXISTING OWNER ALERT NOTIFICATION

Although not an actual report, the arrest alert system can be programmed to send an email to all current owners of a NYSID alert whenever another system user creates an alert for that same NYSID. The goal of this email is to foster communication internally so that the ADAs tracking a particular defendant are notified and can share information with an ADA who develops a newer interest in the same defendant.

OTHER TYPES OF ARREST ALERTS

Arrest alerts do not need to be solely defendant-based; they can be created for any one data point or for multiple data points as long as the desired data points are part of the arrest data streams. Arrest data from the NYPD include, for example, name, date of birth, penal law charge, precinct of arrest, address of occurrence, home address and many other data points.

An ADA investigating a shooting at a particular location could, for example, create an alert to be notified for the arrest of any person at that address or nearby locations. An

ADA focusing on a particular housing development could create an alert that would send an email for anyone arrested at any of the addresses of that development or who is arrested elsewhere but resides in that development. The most effective way to match addresses is to geocode and then match locations rather than trying to match address spellings, which frequently are not uniformly documented (e.g., Broadway vs. Bway)

Arrest alerts could be created for anyone arrested with a weapon, to allow for enhanced investigative steps if deemed necessary. Or someone focusing on car break-ins could set up an alert for anyone arrested and charged with that offense in a particular precinct. There is no limit to the type of arrest alerts that can be created, but the most frequently used would tend to be based upon person, location and crime type.

ASSISTANCE

Feel free to reach out to either of the following individuals with questions or ideas about the arrest alert system or other components of an Intelligence-drive Prosecution model.

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