



Bureau of Justice Statistics

Continuing Criminal History Records Improvement Evaluation

Final 1994-98 Report



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Director

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Foreword

Since 1995, with support from the Bureau of Justice Statistics (BJS), Queues Enforth Development, Inc. (Q.E.D.) has been evaluating the impact of three federal programs on state criminal history records; the BJS-funded Criminal History Records Improvement (CHRI) Program, the BJS-funded National Criminal History Improvement Program (NCHIP), and the five-percent set-aside of the Edward Byrne Memorial State and Local Law Enforcement Assistance Program, funded by the Bureau of Justice Assistance.

This report brings Q.E.D.'s evaluation findings current through 1998 and addresses the extent to which the efforts funded under the records improvement programs have brought the states closer to meeting the mandates of the federal statutes concerning the quality and uses of criminal history records.

In the course of their evaluation, Q.E.D. has analyzed over 1,500 federally funded criminal history records improvement activities undertaken by the states. State responses to questions on data quality and improvement strategies, and user perceptions of record accessibility, timeliness and utility are reported herein. The evaluation findings identify areas of progress, including promising approaches for continued records improvement.

BJS hopes that the information contained in this report will inform state officials about records improvement initiatives across the nation and assist them in their future planning efforts.

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Highlights

1. Making the Case

The importance of accurate and complete criminal history records to a smoothly functioning and secure society cannot be overstated. These records are critical to decision making at virtually every juncture in the criminal justice system, and beyond.

Police officers, prosecutors, defenders, judges, and other court officials, corrections officers, probation officers, and parole officers depend on timely, complete, consistent, and accurate criminal history information. This information provides the glue for holding together a coordinated and effective criminal justice system. Moreover, criminal justice records are being accessed increasingly for official purposes outside the criminal justice system, including establishing qualifications for employment, volunteer programs, and professional licensing.

Each state maintains criminal history records in a central repository, coordinating and providing them in response to requests from legitimate users. Repositories process hundreds of thousands of fingerprint and arrest records from local arresting agencies, identify offenders, process disposition reports, and attempt to match disposition reports to arrests in their databases.

Federal, state, and local criminal justice officials have long recognized problems in the quality of criminal history records. This issue was first widely discussed in 1967, with publication of the Report of the President's Commission on Law Enforcement and the Administration of Justice, which noted that these records were frequently inaccurate, incomplete, and inaccessible.

Over the past three decades, numerous workshops have been held and reports published on the quality of such records, and strategies have been devised for improving them. Further, federal and state statutes have increased the importance of criminal history records in such areas as eligibility to buy firearms, felony convictions of illegal aliens, sentencing guidelines, employment, and licensing. Federal agencies—in particular, the former Law Enforcement Assistance Administration, the Bureau of Justice Assistance (BJA), and the Bureau of Justice Statistics (BJS)—have funded state programs designed to enhance data quality. Key efforts include the BJS-funded Criminal History Records Improvement (CHRI) program, the BJA-funded Byrne 5% set-aside

program, and the National Criminal History Improvement Program (NCHIP).

In 1995, BJS, in conjunction with BJA, authorized Queues Enforth Development (Q.E.D.) Inc., to continue the BJA-funded Criminal History Records Improvement Evaluation (CHRIE) effort.

Q.E.D.'s current project, entitled "Continuing Criminal History Records Improvement Evaluation" (C-CHRIE), assesses the CHRI program, the Byrne 5% set-aside program, and the NCHIP through 1998. Findings in this report point to areas where progress in records improvement has been substantial, as well as those requiring greater effort, and identify promising approaches for improving data quality. Justice Department officials should find the report useful in assessing how federal funds are being spent; state officials can use it to find out what's going on in other states.

Federally Funded Programs

The CHRI, Byrne 5% set-aside, and NCHIP programs seek to improve the quality of criminal history records. In 1989, the US Attorney General recommended using \$9 million of Anti-Drug Abuse Act Discretionary Funds in each of fiscal years 1990, 1991, and 1992 to fund the CHRI program. The three overall objectives of this program are to:

- enhance state criminal history records to accurately identify convicted felons;
- meet the new FBI/BJS voluntary reporting standards for identifying such individuals; and
- improve quality and timeliness of criminal history records information.

An amendment to the Crime Control Act of 1990 required that states spend at least five percent of their annual Edward Byrne Memorial State and Local Law Enforcement Assistance formula grant funds—ordinarily intended for initiatives to control violent and drug-related crime—on improving quality of criminal history records. This amounts to a total of approximately \$156 million from fiscal years 1992-98. The objectives of the Byrne 5% program are similar to those of the CHRI program—specifically, to:

- enhance completeness of criminal history records, especially including final disposition of all felony arrest offenses;
- fully automate all criminal justice histories and fingerprint records;
- improve frequency and quality of criminal history reports to the FBI;
- improve state record systems and sharing with the Attorney General of all records described above, in order to implement the Brady Act; and

- improve state record systems and sharing with the Attorney General of all records described above, in order to implement the National Child Protection Act.

Three key federal statutes were also enacted—the Brady Handgun Violence Prevention Act of 1993, the National Child Protection Act of 1993, and the Violent Crime Control Act of 1994; these three have led to certain pertinent actions.

- First, the Brady Act—in an effort to identify ineligible prospective firearm purchasers—requires establishing a National Instant Criminal Background Check System (NICS), to be contacted by dealers before they sell any firearm. States are to make criminal history records available to NICS through the Interstate Identification Index (III), a decentralized index-pointer system maintained by the FBI, and containing personal identifiers of offenders and “pointers” to states that maintain criminal history records on these offenders. (NICS checks can also access records maintained by the FBI.) NICS, which became operational on November 30, 1998, also includes limited data on persons other than felons who are ineligible to purchase firearms. (Of the \$100 million appropriated for Brady in Fiscal Year 1995, BJS transferred \$6 million to the FBI for NICS development.)
- Second, the National Child Protection Act (NCPA) of 1993 requires that records of child abuse be transmitted to the FBI’s national records system and encourages states to adopt legislation requiring background checks on individuals before they assume responsibility for the care of children, the elderly, or the disabled. In the context of NCPA, background checks are restricted to prospectively disqualified care providers, but state legislation varies and may have a broader scope, including the performance of routine background checks of many categories of potential employees, volunteers, and licensees.
- Third, the Violent Crime Control Act of 1994 and the Lautenberg Amendment of 1996 added the eighth and ninth firearm ineligibility categories—namely, persons who are “subject to a civil restraining order arising out of domestic or child abuse” and those convicted of “domestic violence misdemeanors.” The seven other categories of persons ineligible to purchase firearms under the Gun Control Act are: people under indictment for or convicted of a felony, fugitives from justice, unlawful drug users or addicts, mental defectives, illegal aliens, those dishonorably discharged from the military, and those who have renounced US citizenship.

To implement these statutes, BJS established the National Criminal History Improvement Program (NCHIP); from its inception through fiscal year 1998, the program has awarded \$206 million to fund state activities in records improvement.

NCHIP implements grant provisions of these statutes and thereby improves the nation's public safety by:

- facilitating accurate and timely identification of people ineligible to purchase a firearm;
- ensuring that people responsible for the care of children, the elderly, or the disabled do not have disqualifying criminal records;
- improving access to protection orders and records of people wanted for stalking and domestic violence; and
- enhancing the quality, completeness, and accessibility of the nation's criminal history records systems and the extent to which such records can be used for criminal justice-related purposes.

More specifically, NCHIP helps states:

- expand and enhance participation in the FBI's Interstate Identification Index (III) and the National Instant Criminal Background Check System (NICS);
- meet timetables for achieving criminal history records completeness and participating in III, as established for each state by the Attorney General;
- improve level of criminal history records automation, accuracy, completeness, and flagging;
- develop and implement procedures for accessing records of people other than felons who are ineligible to buy firearms;
- identify—through interface with the National Incident-Based Reporting System (NIBRS), as necessary—records of crimes involving use of a handgun and/or abuse of children, the elderly, or the disabled;
- identify, classify, collect, and maintain—through interface with the National Crime Information Center (NCIC) and III, as necessary—protection orders, warrants, arrests, and convictions of individuals violating protection orders (to protect stalking and domestic violence victims), and support development of state sex offender registries and an interface with a national sex offender registry); and
- ensure that states develop the capability to monitor and assess state progress in meeting legislative and program goals.

Common Goals

Many states view the various federal grant programs for improving the quality of criminal history records as one large pool of funds. This makes it difficult, if not impossible, to separate "CHRI data quality impact" from "Byrne 5% data quality impact" or from "NCHIP data quality impact." Still, each program plays a synergistic and complementary role in improving criminal history records, and as such

must be part of the overall evaluation. Fortunately, the substantial overlap among goals makes it possible to formulate one set of common improvement goals for federally supported criminal history records. These six goals make it easy to discern how well federally funded activities undertaken by the state align with program goals to:

- provide resources to establish the infrastructure for improving criminal history records and related systems;
- improve criminal history records quality (completeness, accuracy, consistency, timeliness, and accessibility)
- improve interstate, intrastate, and federal criminal history records-related reporting;
- automate systems for creating, storing, and sharing criminal history records;
- identify ineligible firearms purchasers; and
- identify individuals disqualified from caring for children, the elderly, or the disabled.

Study Approach

This report is the third major deliverable in a multi-year Q.E.D. effort to evaluate the impact of federally funded criminal history records improvement programs. The first and second deliverables, [Preliminary Assessment](#) and [1994-96 Report](#), built upon a 1994 Q.E.D. study evaluating the Bureau of Justice Statistics-funded Criminal History Records Improvement (CHRI) Program.

To accomplish our study objectives, Q.E.D used the two-pronged evaluation approach, conducting both an overall impact evaluation of all states and a more focused evaluation of a handful of states. The overall evaluation should benefit Justice Department officials and members of Congress (who need to know how well program funds have been spent) and individual states committed to improving their current criminal history records. The focused evaluation enables a deeper analysis of selected issues.

After reviewing 56 states' and territories' NCHIP plans and their Criminal Justice Record Improvement (CJRI) plan updates, we developed a scaleable classification scheme to categorize the 1,552 identified record improvement activities. This scheme categorizes activities that mirror the flow of data as they are captured, updated, and used throughout the criminal justice system, and identifies funding sources and expected and actual schedules, as available. The scheme is designed to accommodate diverse activities and help understand relationships among activities, funding sources, and timeframes.

Based on a model we developed and then fed sample state data, we examined issues of linking arrests and dispositions, including appropriateness of national linkage goals. We concluded with the design of a set of measures which can be used to objectively assess overall data quality over time

The scheme is three-tiered: categories 1-19 constitute what we refer to as "Level 1" and are subdivided into 50 more specific Level 2 sub-

categories. Level 3 is a further sub-division of Level 2, and offers the greatest specificity; it contains 171 subcategories which ultimately “house” the specific improvement activities. For example, Level 1. System Improvements consists of 1.1 Conduct study/develop plan, 1.2 Conduct audit, and 1.3 Establish infrastructure. Continuing the example, 1.2 Conduct audit, in turn, consists of 1.2.1 Audit criminal history data quality, 1.2.2 Conduct legislative audit, 1.2.3 Audit superior court. In this way, the classification scheme permits a consistent comparison of activities across states.

The table below shows the number of activities in each of the 19 Level 1 categories. More than half the activities fall into the System Improvements and Criminal History Records categories; this is understandable, since they reflect the initial two stages of developing an effective criminal history records system. Interestingly, these types of activities are as prevalent under NCHIP as they were under CHRI; however, fingerprinting-related activities such as AFIS or livescan implementation (not funded by CHRI) also prevail.

The number of activities undertaken by a state ranges from two to 63, with an average of 28.2 per state. The variability in number of activities indicates that some states engage in a small number of costly improvements, while others undertake less-expensive activities.

Activity Categories by Prevalence

Level 1 Activity Category	Number of Activities	Percent of Total
1. System Improvements	501	32.3%
2. Criminal History Records	352	22.7%
3. Fingerprint Search	140	9.0%
4. Disposition/Record Link	129	8.3%
5. Fingerprints	100	6.4%
6. FBI Records	67	4.3%
7. Booking	64	4.1%
8. Arraignment	54	3.5%
9. Prosecution	30	1.9%
10. Incarceration	25	1.6%
11. Firearm Check	25	1.6%
12. Adjudication/Appeal	23	1.5%
13. State Non-Criminal-Justice Data Sources	16	1.0%
14. Supervised Release	9	0.6%
15. Employment Check	7	0.5%
16. Arrest	4	0.3%
17. Parole	4	0.3%
18. Federal Non-Criminal-Justice Data Sources	2	0.1%
19. Private Non-Criminal-Justice Data Sources	0	0.0%
Total	1,552	100.0%

While both viable and robust enough to permit an expanding C-CHRIE effort, the classification scheme is limited in several respects, as with all such schemes or taxonomies. Two limitations merit discussion.

First, the scheme categorizes improvements by choosing the one category—from a hierarchical list of categories—that best represents

that activity. This approach is somewhat analogous to the Uniform Crime Reporting (UCR) system, which captures only the most serious charge for each arrest. Classifying information in this way biases results towards those categories at the top of the hierarchy.

Second, activities are not comparable in either cost or benefit and should not be weighted as such. While we count each activity as if all activities were equivalent, they are not; thus, an audit activity, while critical, is less costly than the purchase of an AFIS system. However, notwithstanding these typical limitations, the classification scheme and the resultant findings form a sound basis for understanding the status of criminal history records and for funding their improvements.

2. Findings

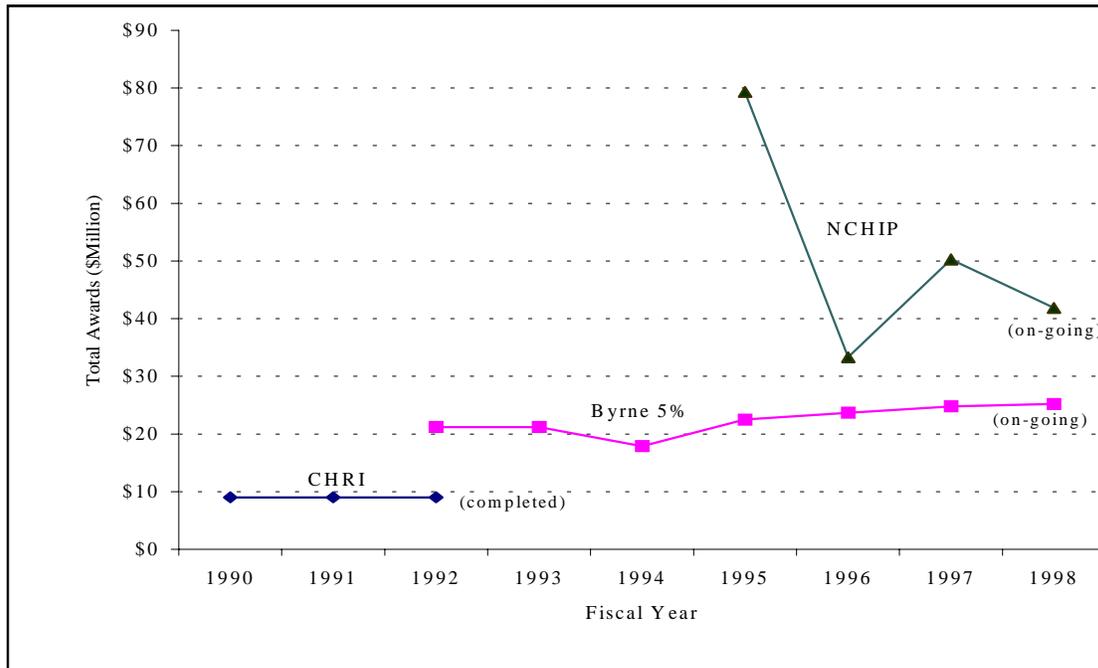
To evaluate the impact of the three federally funded programs on criminal history records improvement, we considered the extent to which state efforts have helped accomplish the six common goals. While it would be ideal to assert that each goal has or has not been met, this is not yet possible. Improving criminal history records is a lengthy process, best assessed with the aid of national aggregate measures, which can quantify the state of data quality over time. Until these measures are established (see Remaining Issues, below), an evaluation must be based on activities being undertaken by the states.

Goal 1: Provide Required Resources

Provide resources to establish the necessary infrastructure for improving criminal history records and related systems.

By providing ongoing funding since the beginning of the CHRI program, the Department of Justice has demonstrated a commitment to improving criminal history records. Between FY 90 and FY 98, the federal government awarded a total of \$389M—\$27M through the CHRI program, \$156M through the Byrne 5% program, and \$206M through the NCHIP program. This represents an annual average of \$0.77M in federal funds awarded to each state, over the past nine years. The chart below depicts the level of awards over time.

Total Federal Program Awards by Year



Specific financial assistance has also been targeted to states at both ends of the criminal history records automation spectrum. “Priority” states (Maine, Mississippi, New Mexico, Vermont, and West Virginia) each received a supplementary grant of up to \$1 million in NCHIP funds to spend on basic activities to enhance automation of criminal history records. Similarly, the 18 NCHIP “advanced” states, a subset of III states, were eligible, under the Advanced State Award Program (ASAP), to collectively spend an additional \$5 million on extended core activities that would enhance the interface of their computerized criminal history systems with databases of persons other than felons who are ineligible to purchase a firearm.

Finding 1.1: The establishment of federal programs has helped states place a high priority on criminal history records improvement.

Byrne 5% and NCHIP program requirements have heightened awareness of the importance of improving criminal history records. As part of the Byrne 5% requirement, states must: (1) develop a Criminal Justice Records Improvement (CJRI) Plan and update it annually in order to expend their 5% funds, (2) convene a multi-agency criminal justice records improvement task force and, (3) as part of NCHIP, coordinate Byrne 5% and NCHIP funds. In addition, states have target dates for meeting the Attorney General’s timetable for current and sharable records as well as dates for III participation, where applicable. Further, federal funds have helped leverage state and local funds, targeted at improving the quality of criminal history records.

One-third of the states expended more Byrne funds for criminal justice records improvement than the federally mandated 5% set-aside—

evidence that states recognize the need for improving criminal history records. Moreover, states indicate that flexibility in the administration and use of Byrne 5% funds is helpful: it does not require that all projects be equally subsidized and allows the states to put funds to best use.

Finding 1.2: The amount of available federal funds is not excessive.

The question of whether some states may be unable to handle additional workloads associated with a large infusion of funding—precipitating a so-called “saturation phenomenon”—has been raised; for example, between FY 95 and FY 98 states drew down only 36% of their NCHIP awards, on average. There are, however, other possible explanations. First, the typical NCHIP-and Byrne- funded activities (e.g., an AFIS effort) take considerable time to complete; this is to be encouraged, since states may otherwise be unsuccessful in undertaking such major efforts and explains why funds are not being spent. Second, some states strategically accumulate their Byrne funds over several years to purchase “big ticket” items. Third, no state has requested to waive compliance with the requirement to allocate at least 5% of its Byrne funds for improving criminal history records. Finally, new programs, such as the State Identification Systems, come into existence, necessitating additional funding.

Finding 1.3: While there is synergy among the CHRI, Byrne, and NCHIP programs, an attempt should be made to improve coordination with the newer DOJ initiatives and with other federal and state programs that have implications for criminal history.

Byrne 5% and NCHIP funds are coordinated, in the sense that they complement each other in related efforts, rather than supplement one another in the same efforts. A state may fund improvement activities in the judicial branch with one of these two sources, while activities in the executive branch could be underwritten by the other source. Although logically, the Byrne and NCHIP funds could be commingled to implement an interface between a courts information system (judicial) and a computerized criminal history records system (executive), this does not occur because Byrne, unlike NCHIP, requires a match and local pass through. Commingling the two sources would introduce complexities in administrative and funds tracking.

CHRI and NCHIP also complement each other in related efforts. While any leveraging of NCHIP and CHRI funds to support the same activity is negligible, the two funding sources overlap in the kinds of activities they support, namely, those falling into the System Improvements and Criminal History Records categories. Interestingly, these types of activities are as prevalent under NCHIP as they were under CHRI, implying a continuing need for funding these initiatives.

The difference in allocation of NCHIP and CHRI funds is also understandable. Because the average NCHIP award is much greater than the average CHRI award, only 16% of NCHIP-funded activities leverage state and/or local funds, compared to over 41% of CHRI-funded activities. By the same token, 41% of all activities are partially

funded by NCHIP, whereas the analogous percentage for CHRI is only 17%; this can be attributed to the narrower CHRI focus.

Some state officials feel the greatest barrier to effective coordination of the increasing number of records-related programs is institutional. At the federal level, programs are administered by multiple organizational units within BJA and BJS; this occurs more disparately at the state level, where the respective administrators may be not only in separate agencies but even in different branches of government (i.e., executive vs. judicial). As new programs emerge (e.g., State Identification Systems, which supports AFIS development) and integration initiatives proliferate across agency lines (e.g., Health and Human Services programs requiring selective access to criminal history information), it will become more crucial than ever to coordinate the various federal and state criminal justice programs with federal and state non-criminal justice programs. Organizational changes are being considered at the state level to address this need.

Finding 1.4: The majority of records improvement activities are initiated and completed on schedule.

An overwhelming 75% of activities start on time, and some 70% of activities are completed on time, based on an analysis of activities that included planned and actual start and completion dates. This is commendable, given myriad possible delays—attributed to contractor problems, personnel changes, and political difficulties—not within the control of the department implementing the initiatives. Ongoing activities—including training and auditing—comprise 7% of the total. Only 19 activities experienced starting lags exceeding two years, while only 14 activities experienced completion lags of two years or more. The average criminal history records improvement activity takes 2.7 years to complete. These statistics should help guide states through future planning efforts.

Goal 2: Improve Records Quality

Improve the quality (i.e., completeness, accuracy, consistency, timeliness, and accessibility) of criminal history records.

To gain insight into the states' perspective, we administered a questionnaire to state officials, requesting their views on the relative importance of data quality issues and data quality improvement activities. We also conducted telephone interviews with 50 users of criminal history information in both the criminal justice and non-criminal justice communities and asked for their views on changes in the quality of records between 1992 and 1997. While our sample is limited and somewhat biased—38% of criminal justice users were from local law enforcement—we find that these users are generally content with records quality; although, to the degree they could recollect, they believe that improvements since 1992 have been modest. Our findings indicate that while federal funds have been instrumental in progress towards improving the quality of criminal history records, more work needs to be done.

Finding 2.1: The automation of criminal history records systems—especially their interfaces—has made records available on a more timely basis.

Eighty-eight percent of users interviewed see access to criminal history records as either being timely or very timely; 30% perceive that access was either more timely or much more timely in 1997, compared to 1992. Attribution for the improvement was evenly split between improvements in automated systems and in data entry protocol.

Reduction in disposition submission times is one factor contributing to the greater timeliness of record accessibility. Responses to our questionnaire indicate that disposition submission times—deemed problematic by the states in 1994—are no longer a concern. Thanks to the CHRI emphasis on increased automation of disposition reporting, submission times have been successfully reduced. In cases where there is no difficulty linking a disposition to its arrest, the improved disposition submission times lead to the timely availability of a complete record. However, the troubling fact that arrest-to-disposition linking problems remain suggests that automation alone is insufficient to alleviate poor linkage, which is usually a symptom of a more structural problem (e.g., pertinent tracking or control numbers not entered on the arrest/disposition record).

Finding 2.2: More federal funds are needed to substantially improve the quality, and particularly the completeness, of criminal history records.

While availability of federal funds has enhanced quality of criminal history records, there is still substantial room for improvement.

Completeness—the extent to which the criminal history record contains available disposition information—remains an acute problem. The degree to which arrests in the criminal history database have a final disposition was cited by states as being the most critical and most problematic issue they face, in both 1994 and 1997. The past decade has witnessed a major increase in automated disposition reporting, but states still find it challenging to link dispositions to associated arrests and charges. While automated disposition reporting has accelerated the rate at which dispositions are received at the repository, this does not necessarily guarantee the linking of a disposition to its corresponding arrest.

The linking task can be especially difficult in states where dispositions are matched to corresponding charges, since charges can be often dropped or modified anytime following an arrest. One manifestation of this linking problem is the increase in suspense files—that is, repository files containing dispositions that cannot be linked to arrests. A procedural change, such as implementing unique identifiers, or Offender Based Transaction Statistics (OBTS) numbers, should be encouraged, since it has been shown to help states alleviate the problem. States should also continue to locate and process disposition reports not submitted to the repository—an activity which many states have cited as improving the quality of records, and which should be implemented on a wider scale.

States assert that upgrading the AFIS and CCH systems and implementing livescan will yield the greatest improvement in data quality, and as such, are among the most frequently undertaken activities. Federal funds have played a key role in subsidizing these costly initiatives (see Finding 4.2). The importance of these efforts is understandable, since the AFIS and CCH are necessarily the two critical components of an efficient repository. Further, legacy AFIS and CCH systems installed in the 1980s need to be replaced with state-of-the-art hardware and software. Livescan, on the other hand, is a newer technology that should be fostered, since it improves arrest reporting and helps build towards a paperless system. The timely focus on livescan and automated arrest reporting is likely related to the fact that automated disposition reporting has made major strides since CHRI, allowing more emphasis on the front end of the records process.

The fact that the average time to complete an improvement activity exceeds two-and-one-half years explains why the need for supplemental funding can also be expected.

Finding 2.3: Records are more accessible and more useful as a result of improvements to criminal history records.

Eighty-five percent of users interviewed feel that records were either accessible or very accessible in 1997; 34% feel that they were either more or much more accessible in 1997, compared to 1992. This latter low percentage may be due to the fact that local law enforcement—a third of the users we interviewed—traditionally has had greatest access to the records, and hence no substantial difference is apparent to them. The majority attributed the improvement to changes in their automated systems, which, as in Goal 5, has been a focal point of federal funds.

Seventy-nine percent find records information useful or very useful, and 34% feel it was either more useful or much more useful in 1997, compared to 1992. The predominant reason for increased usefulness was seen to be the greater completeness of the information.

Goal 3: Improve Reporting

Improve interstate, intrastate, and federal criminal history records-related reporting.

Finding 3.1: Linking dispositions to their associated arrests poses a number of lingering problems.

Four issues inherent in linking arrests and their dispositions are:

- The delay in rendering a disposition pursuant to a felony arrest could be due to prosecutor or defense postponements, and/or to court backlogs.
- The delay in entering a rendered final court disposition could be due to a communication delay between the court and the central repository and/or processing backlogs at the central repository.
- The long-term difficulty in obtaining dispositions for 100 percent of felony arrests could be due to problems in

tracking arrest cases through the criminal justice system as charges are modified and plea bargaining occurs. Prosecutorial dispositions may also not be readily available to the repository.

- The long-term difficulty in entering all rendered final dispositions could be due to problems in linking dispositions to appropriate arrests.

National goals of making arrest-to-disposition linkage raise concern about state-to-state comparability and data availability. A preliminary list of questions that should be addressed:

- Is a disposition required for every charge, or is one per arrest enough? States which post dispositions for every charge—compared to those that post one disposition for each arrest—are at a disadvantage in attempting to dispose of an arrest.
- How does a state determine whether a disposition is linked to an arrest (or charge)? Is there a field indicating that the disposition has been received and entered, or is a proxy used, such as the date of entry of the disposition? If neither of these data elements exists, how does the state know this information?
- Does the criminal history records database identify disposed arrest/charges? In some states, prosecutorially disposed arrests are not consistently reported, if at all, to the repository.
- Does the state expunge old, undisposed arrest records? There may be points in time after which “old” arrests whose dispositions have not yet been received by the repository are no longer counted in the arrest base against which the degree of linkage is measured. States that engage in this practice would obviously have better arrest/disposition linking track records than states that do not.

Finding 3.2: Setting realistic standards for linking arrest and disposition records remains a challenge.

On average, states continue to view the linking of a disposition to an arrest as problematic. Not only is this troubling for the states, which require complete and accurate records to make informed decisions on bail setting and sentencing, for example, but also because standards helpful in measuring record completeness are difficult to establish. For example, the National Child Protection Act and the Brady Act’s Attorney General’s timetable each refers to objectives in linking dispositions to their corresponding arrests, but a statistical model we formulated showed these to be unrealistic.

Specifically, our model examined the relationship between the *average percent linkage required* and the *average elapsed time* (in weeks) between arrest and disposition linking. An assumption of even modest variability in the elapsed time between arrest and linkage to a disposition suggests that a typical objective of having 80% of criminal

history records be “current and shareable” is in practice unattainable. Moreover, our model showed that for that goal to be achievable under even a modest variability assumption would require the average elapsed time between arrest and disposition linking to be less than 10 weeks.

Finding 3.3: The infusion of federal program funds has increased the ranks of III membership, albeit slowly.

In contrast to CHRI and Byrne 5% efforts, a key goal of NCHIP in support of NICS is participation in the FBI’s Interstate Identification Index (III). As such, since the start of the program ten states have become III members under NCHIP—Alabama, Arizona, Arkansas, Indiana, Iowa, Maryland, Mississippi, Nebraska, New Mexico and West Virginia—bringing the total to 39.

While states report that they do not believe that a major effort in III participation will improve data quality, they continue to use federal funds to accomplish this goal, suggesting the importance of federal funds as an incentive for III participation. From a records quality perspective, joining III should be encouraged, since state-supported records are more complete than FBI-supported records.

Goal 4: Automate Systems

Automate systems for creating, storing, and sharing criminal history records.

Finding 4.1: Federal funds are responsible for major automation improvements in criminal history records throughout the states.

The importance of automation in improving data quality cannot be overemphasized; the states obviously concur. The three highest ranked federally funded improvement activities are upgrading CCH software, installing livescan, and electronically transmitting dispositions to the repository. Each of these activities falls into the category of automation; collectively, they account for over 11% of all activities. In particular, livescan implementation and electronic disposition reporting are critical in helping states in their efforts to achieve “data entry at the source”—and ultimately a paperless record system.

In addition, the number of NCHIP-funded flagging activities is up over 50%, as compared to those funded by CHRI. This is clearly beneficial, and not only for identifying felons. Eighteen percent of activities focus on flagging disqualifying crimes, such as child abuse, which may include misdemeanors.

Finding 4.2: Without federal funding, the states would not have achieved their current levels of AFIS and livescan implementation.

In 1994, states asserted that livescan implementation was the activity with the greatest potential for improving criminal records. Since then, federal funds have played a major role in the increased levels of livescan implementation. In addition to improving quality of fingerprints, livescan also improves arrest reporting. Implementation of livescan, especially at high-volume arresting agencies and central booking sites, should be fostered.

AFIS-related activities undertaken by 50 states account for over 8% of all activities; NCHIP funds half of these. This level of interest is evidence of the rapidly burgeoning pace of AFIS technology. The large number of AFIS-related activities also reflect the greater-than-ever need in states to store civilian prints in their AFIS, in response to the proliferation of fingerprint-based background checks. In some states, the volume of civilian fingerprint checks surpasses criminal checks.

As noted earlier, future planning of these initiatives should leverage other DOJ funding sources, such as SIS.

Finding 4.3: Integration of automated justice systems is becoming increasingly important in improving data quality.

While integration poses formidable challenges, it is critical as we move toward a paperless system, in which data is entered only once at the source (thus reducing the possibility of human error and inconsistent data). Because integration efforts cross agency, and often jurisdictional, lines, their success depends on a top-down commitment from heads of participating agencies. Consensus building is also needed to overcome “turf” issues and to coordinate resource utilization.

The most prominent shift towards integration shows up in the increase in new prosecutor information systems, coupled with an increase in prosecution/repository interface activities. Traditionally, court dispositions have been the funding focus for disposition reporting, and rightfully so. Moreover, in some states prosecutors are elected and may not be eager to report cases that are not being prosecuted because their constituents would be displeased. Tracking prosecutorial declinations, which will improve completeness of criminal history records, should be fostered.

Goal 5: Identify Ineligible Firearm Purchasers

Identify persons ineligible, for criminal and non-criminal reasons, to purchase firearms.

Finding 5.1: More firearm sales to ineligible purchasers may occur under NICS than during the interim provisions of Brady.

During the interim provisions of Brady from 1994-1998, all states checked their own records when performing firearm eligibility checks. Under NICS, however, which began in November 1998, state-level checks are performed only by states serving as so-called Points of Contact (POCs)—in which case, a federal firearms licensee (FFL) contacts the state prior to the sale of a firearm. Unfortunately, the majority of states are not POCs—in which case the FFL contacts the FBI, whose criminal records are not as complete as state records. This is particularly an issue in non-POC and non-III states. Further, NICS may not be able to verify certain non-felon information: some state repositories may be permitted access to mental health information for the purpose of conducting a firearm eligibility check, but that same information would be prohibited from being passed on to populate the NICS index.

Another artifact of NICS is the absence of a “cooling-off” period prior to the purchase of a firearm. The interim Brady five-day “waiting period” was effectively a “cooling off” period for an individual who wished to buy a gun with the intent to harm. For the state, it was a “maximum response” period, since a firearm purchaser did not have to wait five days before buying a handgun, but had to allow up to five days for the CLEO to check his/her records to determine purchase eligibility. Interestingly, even with NICS, there is a feeling in the current federal administration that the five-day waiting period should be reinstated to allow law enforcement officials more time to check noncomputerized records and to help prevent rash acts of violence.

Finding 5.2: The identification of non-felons ineligible to purchase firearms is expected to remain problematic.

As noted earlier, the seven categories of individuals prohibited from purchasing a firearm listed in the Gun Control Act, the Anti-Drug Abuse Act, and the Brady Act are: (i) persons under indictment for or convicted of a felony; (ii) fugitives from justice; (iii) unlawful drug users or addicts; (iv) mental defectives; (v) illegal aliens; (vi) dishonorably discharged; and (vii) citizenship renunciates. The eighth and ninth firearm ineligibility categories—namely, persons who are “subject to a civil restraining order arising out of domestic or child abuse” and those convicted of “domestic violence misdemeanors”—were added as part of the Violent Crime Control Act of 1994 and the Lautenberg Amendment of 1996, respectively.

Identifying non-felons ineligible to purchase firearms is challenging since non-felon information is not readily available to state criminal history record repositories. Also, the dissemination of mental health and drug abuse information raises legal and ethical questions about the rights to privacy and presents new security challenges. It is understandable, therefore, that two of the three dominant NCHIP-funded Advanced State Award Program (ASAP) activities aimed at identifying non-felons are establishing access to mental health records and establishing access to drug abuse records, undertaken by nine and seven states, respectively. (The third most popular ASAP activity, undertaken by 12 states, is incorporating civil protection orders in the repository database, as discussed below.) The challenges include determining whether databases maintaining this type of non-criminal information exist and, if so, the feasibility and legality of accessing them, especially if they belong to private institutions. New enabling statutes may be required to overcome these obstacles.

Two other ineligibility categories present unique implementation challenges: subjects of restraining orders and domestic violence misdemeanants. States cannot reliably identify individuals for whom Gun Control Act-compliant restraining orders—among the plethora of restraining order categories—have been issued. For this reason, some states deny firearms to subjects of all restraining orders. The challenge with domestic violence misdemeanor convictions is that the law is retroactive; but domestic violence incidents have historically been categorized as assaults, making it difficult to segregate them from other criminal history records.

Goal 6: Identify Disqualified Care Providers

Identify individuals disqualified from caring for children, the elderly, and the disabled.

Finding 6.1: The passage of federal and state legislation has precipitated growth in the volume of requests for background checks of employees, volunteers and licensees—the challenge is how to meet the subsequent demand placed on the resources of state repositories.

Although practices (e.g., statutory mandates and regulations concerning inquiries) vary from state to state regarding background checks, careful planning and explicit procedures are needed to support the high volume of such inquiries, which in some cases surpasses that of criminal checks. The volume of civilian fingerprints is now overwhelming AFIS storage capacities. Moreover, the volume of inquiries can be expected to increase as states continue to pass laws that increase the scope of background checks. In addition, the Volunteers for Children Act, passed as part of the Crime Identification Technology Act of 1998, amends NCPA to authorize qualified volunteer organizations to contact authorized state agencies (e.g., the repository) to request national criminal fingerprint background checks, in the absence of state procedural requirements.

Not surprisingly, the increased volume of fingerprint-based applicant background checks has resulted in longer response times in a number of states. Based on our interviews, we noted a heightened frustration on the part of agencies waiting for responses. Obviously, the demand placed on state repositories for background checks must be appropriately met.

Finding 6.2: There are problems associated with acquiring and interpreting information needed to disqualify prospective care providers.

Incomplete records are especially a problem in states that release conviction-only data to authorized agencies requesting background checks. For example, if the subject of a background check has been arrested and convicted of a disqualifying offense, but the disposition has not yet been received at the repository or has not been linked to its arrest, the conviction will not appear on the record. The repository will not release any information, and the agency will not know that there has been a conviction. The agency will not even know that there has been an arrest, which could otherwise be followed up with the court of jurisdiction.

In addition, agencies requesting background checks do not always know if a particular conviction is disqualifying for employment. Agencies are not necessarily qualified to understand the plethora of violation and conviction codes contained in the reports they receive. For example, sometimes they cannot distinguish whether a felony violation involved a child, and hence whether it is disqualifying.

3. Remaining Issues

Future evaluation efforts should build on findings in this report, seeking closure on outstanding issues and assessing more recent BJS and BJA initiatives to further improve criminal history records. More specifically, they should:

1. Continue to assess the impact of federally funded activities.

This report's timeframe precedes the FY 98 NCHIP and Byrne 5% awards and many of the CHRI-, Byrne 5%-, and NCHIP-funded activities are still in progress. Moreover, an evaluation of the State Identification Systems (SIS) and National Sex Offender Registry (NSOR-AP) programs should be initiated. SIS and NSOR-AP are new programs which have yet to be assessed—SIS enhances states' ability to identify offenders by upgrading their information systems and DNA analysis capability, and NSOR-AP promotes establishment of a national sex offender registry. Thus, formal monitoring of all federally funded activities should be ongoing.

2. Continue to develop a measures framework.

Measures must continue to be identified, building on the C-CHRIE study, in which we develop a framework that incorporates a core set of input, process, and outcome measures with which to assess records quality, over time. A related issue is the identification of a set of desirable attributes for pertinent records quality measures which, in the aggregate, can be used to assess the state of records quality over time. As part of the C-CHRIE study, we have identified such attributes as understandability, measurability, availability, consistency, validity, reliability, stability, accuracy, independence, robustness, and completeness.

3. Create a computer-based simulation model of the criminal history records process from arrest-to-disposition linkage.

Building on the measures framework, a simulation model of the arrest-to-disposition linkage process should be developed, using actual system data from a set of focus states. Results would shed light on the interaction and relevance of measures, as well as their impact on national goal setting.

4. Define a set of pertinent measures to assess the aggregate improvement of records quality, over time.

In partnership with BJS, develop a set of pertinent measures to determine the nation's progress in improving criminal history records. These measures should reflect common goals of federally funded criminal history records improvement programs, capture progress over time, and to the extent possible, have the above-mentioned attributes. Once developed and tested—perhaps using the simulation model described above—measures should be updated regularly to determine the extent to which federal goals are being met, to indicate where

deficiencies lie, and to point to activities which could mitigate such deficiencies.

5. Expand the assessment of user perceptions about the value of criminal history records.

We have learned a great deal about the ultimate usefulness of criminal history records by speaking with a small group of records users. They were anxious to share current perceptions of the quality of the records, as well as expectations and concerns for the future. Data quality improvement will benefit from interviews with a larger, more diverse set of users from both the criminal justice and non-criminal justice communities. Ultimately, user perceptions are key to understanding the true value of criminal history records and thus the ultimate success of federally funded improvement programs.

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1. Background

On May 18, 1995, Queues Enforth Development, Inc. (Q.E.D.) was authorized by the Bureau of Justice Statistics (BJS), in conjunction with the Bureau of Justice Assistance (BJA), to continue our effort to evaluate the impact of federally funded criminal history records improvement programs.

Our current multi-year evaluation effort, entitled C-CHRIE—Continuing Criminal History Records Improvement Evaluation—represents the continuation of our previously completed, BJA-funded effort, called the CHRIE study [Tien and Rich, 1994] which evaluated the Criminal History Records Improvement (CHRI) program administered by BJS. The focus of the C-CHRIE study is to complete the CHRI evaluation, to initiate evaluation of the Byrne 5% set-aside program and the National Criminal History Improvement Program (NCHIP)—funded by BJA and BJS, respectively—and to identify promising approaches for improving data quality. As the title suggests, this report updates the CHRI study and brings the evaluation findings through calendar year 1998.

It is not only critical that this effort be considered a continuing evaluation, but also that it *simultaneously* focuses on the three federally funded records improvement programs cited above. In fact, when BJS Director Dr. Jan M. Chaiken was asked in early 1996 how long NCHIP had been going on, he said, “From our perspective, this program has been going on for five or six years. It started with the BJS CHRI program and then transferred over to the Byrne 5% set-aside criminal records improvement program, which had a one-year overlap with CHRI—now the Byrne program continues to run in tandem with NCHIP.”

From the states’ perspective, some CHRI-initiated activities are now funded by Byrne 5% moneys and may eventually be supported by NCHIP. This healthy perspective should be encouraged; federal funds should contribute to fundamental long-term improvements in the quality of the criminal history records, rather than one-shot, short-term activities. Additionally, it would be difficult, if not impossible, to distinguish the impact of one federal program versus that of another closely related federal program which may focus on the same activity. The situation is further complicated by the fact that most moneys spent on records improvement activities have come from the states themselves.

C-CHRIE focuses on the overall impact of federal programs on the quality of state criminal history records and on how these efforts have brought states closer to meeting the mandates of federal statutes that initiated and expanded these programs—namely, the Anti-Drug Abuse Act of 1988, Crime Control Act of 1990, Immigration Act of 1990, Brady Handgun Violence Prevention Act of 1993, National Child Protection Act of 1993, Violent Crime Control and Law Enforcement Act of 1994, Violence Against Women Act of 1994, National Stalker and Domestic Violence Reduction Act of 1995, and Lautenberg Amendment of 1996. Moreover, the study benefits Justice Department officials who need to know how well federal funds are spent, as well as state officials, who need to know about successful and innovative activities implemented in other states. Throughout this report, the term “states” refers collectively to 56 jurisdictions: the 50 United States, American Samoa, District of Columbia, Guam, Northern Mariana Islands, Puerto Rico and Virgin Islands.

The remainder of this section is organized as follows: Section 1.1 provides an overview of criminal history records; Section 1.2 details federal criminal history records improvement efforts; and Section 1.3 discusses the scope of the report. Exhibits are located at the end of the section in which they are first referenced and, where appropriate, data presented in the exhibits are accompanied by “as of” dates. For clarification of acronyms and/or abbreviations contained in the report, refer to the Glossary in Appendix A.

1.1 Criminal History Records

The importance of criminal history records cannot be overstated. These records are used to aid decision making at virtually every juncture in the criminal justice system.

Police officers, prosecutors, judges, and other court officials, corrections officers, probation officers, and parole officers all depend on timely, complete and accurate criminal history information. Information provides the glue for holding together the criminal justice components as a coordinated system. Moreover, criminal history records are being used increasingly for other, non-criminal justice purposes, including employment, volunteer programs, and licensing.

Each state maintains criminal history records in a central repository. Repositories are different—each employs different forms, different procedures, different terminologies, and different technologies. Understanding and comparing state-to-state differences is one of the most challenging aspects of both the CHRIE and C-CHRIE studies. Nevertheless, state repositories are alike in a more aggregate sense. Each processes fingerprints and arrest records from various local arresting agencies; each determines whether the arrestee associated with the fingerprints and arrest report is a new arrestee or one who already has a record; and each processes disposition reports and attempts to correctly match a disposition report to an arrest in its database.

Conceptually, one might consider the process of reporting and updating criminal records as a chain, since data and records are passed from agency to agency. Exhibit 1-1 identifies the criminal justice

components that constitute a state-based criminal history records system, the heart of which is typically the central repository, serving both as a coordinator of records within a state and as a provider of records for legitimate users.

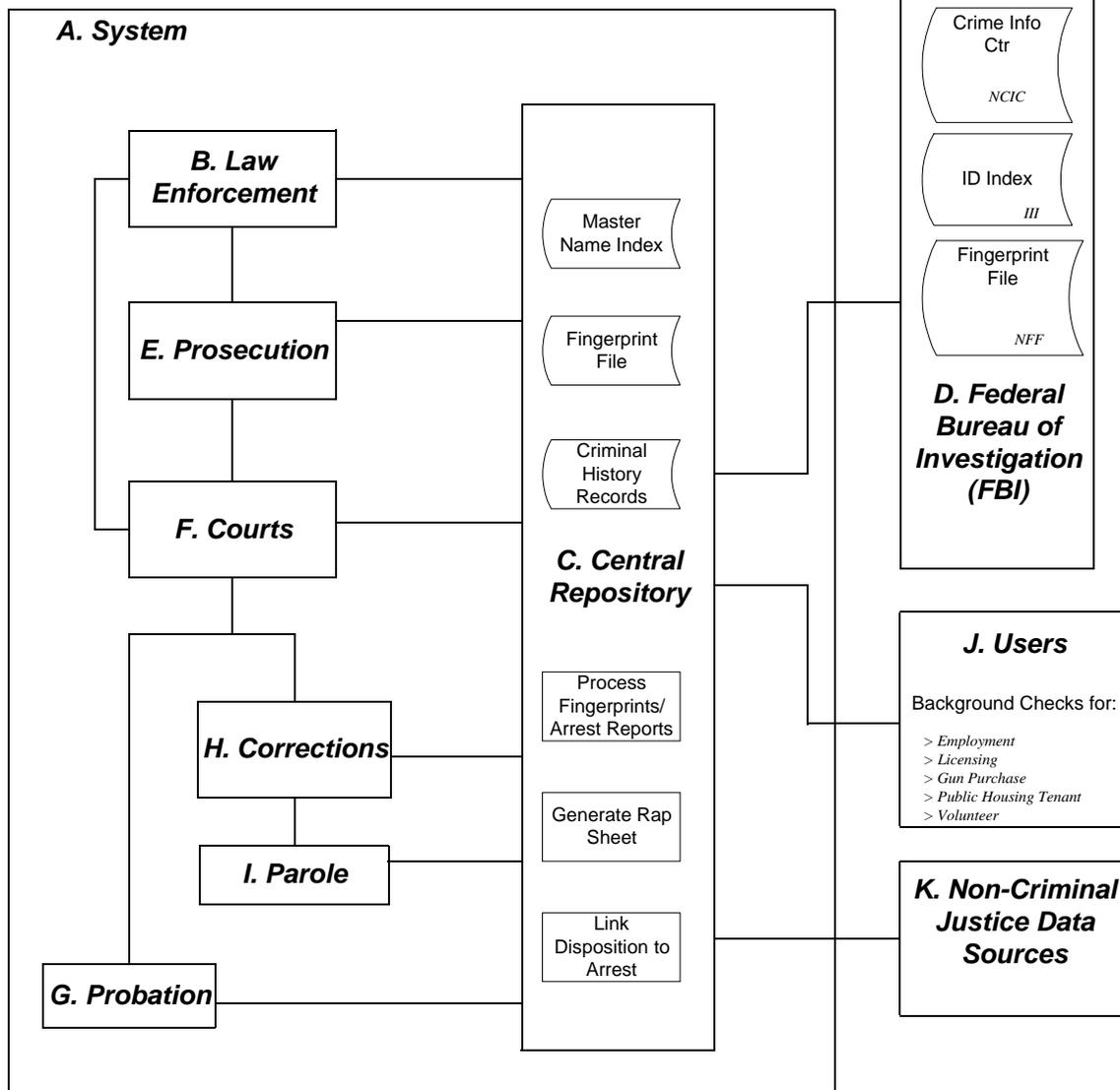
Many factors contribute to the overall quality of criminal history records. Briefly, they include:

- **Statutory Issues.** Does the state have statutes specifying which criminal justice events must be reported to the central repository? Does it have statutes specifying which agencies are responsible for reporting those events, and the deadlines by which the events must be reported?
- **Policies, Procedures, and Practices.** Does each contributing agency have effective policies, procedures, and practices that carry out the legislatively mandated reporting laws? Does the central repository have effective policies, procedures, and practices for processing the records it receives and for responding to requests for criminal history information?
- **Improvement Plans.** Does the state have an overall criminal history records improvement plan? Does the state have an active improvement-related technology plan? Does the state have active firearm purchase eligibility and background checking plans?
- **Agency Cooperation.** Does the state have one or more active multi-agency committees with a data quality improvement charter? Do key agency personnel work cooperatively to promote data quality?
- **Top-Down Commitment.** Are the heads of participating agencies and the state legislature's leadership visibly committed to improving data quality?
- **Technological Resources.** Is the degree of automation appropriate at the contributing agencies (e.g., case management systems with reporting modules that facilitate electronic transfer of records to the central repository) and the central repository (e.g., Computerized Criminal History [CCH] and Automated Fingerprint Identification System [AFIS] systems) to ensure complete, accurate, and timely reporting? Are there electronic interfaces that link major contributing agencies to the repository?
- **Human Resources.** Are staffing levels at contributing agencies and the repository appropriate to ensure that work can be processed in a timely manner? Are agency personnel sufficiently trained and educated for their tasks?

This section provides but an overview of criminal history records. More complete descriptions are available in Q.E.D.'s final CHRIE report [Tien and Rich, 1994] or in the BJS reports listed in the References.

Exhibit 1-1 State-Based Criminal History Records System

State-Based Criminal History Records System



1.2 Federally Funded Programs

Federal and state statutes have heightened the importance of criminal history records in areas such as firearm eligibility (e.g., Section 6213(a) of the Anti-Drug Abuse Act of 1988, the Brady Handgun Violence Prevention Act of 1993, and the Violent Crime Control Act and Law Enforcement Act of 1994), felony convictions of illegal aliens (e.g., the Immigration Act of 1990), and employment licensing (e.g., the National Child Protection Act of 1993, as amended).

Federal, state, and local criminal justice officials have long recognized problems associated with the quality of their criminal history records. This issue was first widely discussed in 1967, with the publication of the Report of the President's Commission on Law Enforcement and the Administration of Justice, which noted that criminal history records were frequently inaccurate, incomplete, and inaccessible. Over the past three decades, workshops have been held and reports published on the status of criminal history records quality, as well as strategies for improving that quality. As indicated earlier, federal agencies—in particular the former Law Enforcement Assistance Administration, BJA, and BJS—have funded programs at the state level designed specifically to enhance data quality.

From a historical perspective, two major acts were passed in 1968: the Gun Control Act, establishing seven categories of individuals disqualified from purchasing firearms, which followed on the heels of the assassinations of Robert Kennedy and Dr. Martin Luther King, Jr., and the Omnibus Crime Control and Safe Streets Act.

Between 1988 and 1998, more than a dozen criminal history-related acts were passed amending the Gun Control and Omnibus Crime Control and Safe Streets Acts and enacting the Violent Crime Control and Law Enforcement Act of 1994, which until 1998 has been the most comprehensive crime bill in the history of the country. (See Exhibit 1-2.) (The passage in 1998 of the Crime Identification and Technology Act (CITA) authorizes \$250 million in each of FY 99 through FY 03 to improve interstate criminal justice identification, information communication, and forensics; it is anticipated that the program established to carry out mandates of this act will succeed NCHIP and be even broader in scope.) The laws driving criminal history records improvement address the identification of persons ineligible to purchase firearms and the establishment of procedures for background checks on providers of services to children, the elderly, and the disabled. With substantive criminal provisions, the Violent Crime Control and Law Enforcement Act distinguishes itself by addressing criminal history records issues related to domestic abuse and firearms, and the registration of sexually violent offenders.

Exhibit 1-2 shows the relationship between relevant legislation and subsequent federal programs. Some legislation authorizes new federally funded programs, such as the Crime Control Act of 1990 and the Brady Handgun Violence Protection Act, which established the Byrne 5% Set-Aside Program and NCHIP, respectively. Others amend earlier legislation, increase the scope of a program, and in some cases,

authorize funding to support an existing program. This is the case with the Lautenberg Amendment—passed in 1996 to amend the Gun Control Act—which stipulates that persons convicted of domestic violence misdemeanors are prohibited from purchasing a handgun. The amendment not only increased the scope of NCHIP—by requiring the identification of domestic violence misdemeanants—but raises questions about the challenges in identifying them (versus persons convicted of assault) and the law’s constitutionality, since it is retroactive. These and other issues are discussed in greater detail in Section 3.1.

Other programs are also being introduced, including the \$9M, FBI-funded, BJA-administered State Identification Systems (SIS) Formula Grant Program announced in July 1997. SIS enhances the ability of states to identify offenders by upgrading their information systems and DNA analysis capability. The National Sex Offender Registry Assistance Program (NSOR-AP), initiated during the writing of this report, is a \$25 million effort under the NCHIP umbrella. It promotes establishment of a national sex offender registry by helping state registries improve the quality of their information and by creating appropriate interfaces with the FBI’s national system. (The SIS and NSOR-AP programs are referenced in the report inasmuch as they further the improvement and use of criminal records.)

The federal approach to assisting criminal history records improvement has been both piecemeal—note the short duration of the CHRI and NSOR programs—and strategic—note that the Byrne 5% set-aside is ongoing and that efforts are being made to coordinate several programs. Moreover, the Brady Act and National Child Protection Act not only authorized funding for NCHIP, but they also amend the Omnibus Crime Control and Safe Streets Act to ensure that Byrne funds are used to implement these acts. In fact, each NCHIP application requires that the state demonstrate how the NCHIP award will be coordinated with Byrne 5% funds.

However, a greater effort is needed to leverage other DOJ funding sources. For example, while SIS supports development of automated fingerprint identification systems compatible with the FBI’s IAFIS, as does NCHIP, the two grants are administered by different agencies and may have different individuals administering them—making strategic planning difficult. Similarly, the Local Law Enforcement Block Grants Program (LLEBG), administered by BJA, provides approximately \$500 million annually to fund units of local government to underwrite projects to reduce crime and improve public safety. Procuring equipment and technology, such as livescan for basic law enforcement functions, is covered but is also not formally coordinated with NCHIP. Part of the problem is that different organizations within DOJ are responsible for administering the awards, as are different organizations within a given recipient state. The federal government and states alike are aware of these inefficiencies.

Before detailing their characteristics, it is helpful to summarize the goals, funding, and timeframes of the individual federal programs. The CHRI program authorized \$27M from 1990-1992, predominantly to improve criminal history records quality and reporting. The Byrne 5% set-aside effort, which went into effect in 1992 on the heels of CHRI, requires that states set aside at least 5% of their annual Byrne formula

grant funds—approximately \$20M annually for all states—and provide a 25% match of those funds to improve records quality and reporting, and to automate systems. In addition to these goals, identifying ineligible firearm purchasers and disqualified care providers is an integral part of NCHIP, which has thus far been authorized at more than \$220M and spans the period from 1995 to 1999.

CHRI

Section 6213(a) of the Anti-Drug Abuse Act of 1988 requires the Attorney General, in consultation with the Secretary of the Treasury, to develop a system for the immediate and accurate identification of felons who attempt to purchase firearms. Pursuant to this mandate, the Attorney General appointed a Task Force on Felon Identification in Firearm Sales. In May 1989, the Task Force published in the Federal Register its Report to the Attorney General on Systems for Identifying Felons Who Attempt to Purchase Firearms [BJS, 1989]. In a related effort, Q.E.D. was contracted to undertake a complementary study on Identifying Persons, Other Than Felons, Ineligible to Purchase Firearms: A Feasibility Study [Tien and Rich, 1990]; this report is especially pertinent to the Brady Handgun Violence Protection Act of 1993.

In his comments on the May 1989 report, then-Attorney General Thornburgh noted several obstacles to immediate and accurate identification of felons who attempt to purchase firearms. One obstacle: many criminal history records are incomplete, particularly in the case's final disposition, another concerns inaccurate data. To address these data quality issues, as well as to facilitate implementation of the felon identification system, the Justice Department embarked on a multifaceted effort to improve the quality of state criminal history records. Most important, the Attorney General recommended using \$9 million of the Anti-Drug Abuse Act Discretionary Funds in each of Fiscal Years 1990, 1991, and 1992 to fund the CHRI program.

As stated in the CHRI Program Announcement [BJA and BJS, 1990], CHRI's three overall objectives were to:

- enhance state criminal history records to accurately identify convicted felons;
- meet the new FBI/BJS voluntary reporting standards for identifying such individuals; and
- improve the quality and timeliness of criminal history records information.

Based on these objectives, the CHRI Program Announcement also indicated specific activities for which CHRI funds would be allocated. As noted earlier, BJA awarded a two-year grant to Q.E.D. in March 1992 to conduct an evaluation of the CHRI program. The resultant report, Early Experiences With Criminal History Records, published by BJA in May 1997, is based on Q.E.D.'s Criminal History Records Improvement Program: Evaluation Report, issued in April 1994.

Byrne 5% Set-Aside

In November 1990, two additional and related statutes were enacted. First, the Immigration Act of 1990 requires that states furnish conviction records of aliens to the Immigration and Naturalization Service within 30 days of conviction. Second, the Crime Control Act of 1990 amends the Omnibus Crime Control and Safe Streets Act of 1968 to require that states spend at least 5% of their annual BJA-administered Byrne formula grant funds (totaling approximately \$131 million from FY 92 through FY 97) on improving the quality of their criminal history records. Under certain conditions, the states might reduce or obtain a waiver from this amount. Individual exceptions can be approved if the BJA Director determines that the quality of a particular state's criminal justice records does not warrant the 5% expenditure. For example, one such criterion requires that 95% of a state's current felony arrest records contain disposition information, if a disposition has been reached. (The feasibility of achieving this and other similarly stated national objectives is discussed in Section 3.3.) Other criteria for complying with the waiver can be found in the [Byrne Formula Grant Program Guidance](#) [BJA 1996].

The Byrne 5% set-aside program is, of course, also the focus of the C-CHRIE study. The objectives of the Byrne 5% program are similar to those of the CHRI program—specifically:

- to enhance completeness of criminal history records especially in regard to the inclusion of final dispositions of all felony arrests;
- to automate all criminal justice histories and fingerprint records;
- to improve the frequency and quality of criminal history reports to the FBI;
- to improve the state record systems and the sharing with the Attorney General of all the records described above, as are required for the purposes of implementing the Brady Act; and
- to improve the state record systems and the sharing with the Attorney General of all the records described above, as are required for the purposes of implementing the National Child Protection Act. [BJA, 1996].

These last two goals, set forth in the Brady Handgun Violence Prevention Act and the National Child Protection Act, respectively, further amend the Omnibus Crime Control and Safe Streets Act of 1968.

Given similar program goals, it is not surprising that the same types of data quality improvement activities are being implemented in both the CHRI and Byrne programs. This observation is discussed further in Section 3.

Additionally, since 1990, a number of other activities have taken place in response to the Attorney General's recommendations and the above described federal legislation, including:

- in February 1991, BJS and the FBI jointly published Recommended Voluntary Standards for Improving the Quality of Criminal History Record Information [FBI and BJS, 1991];
- in March 1991, BJS published results of a comprehensive survey of data quality in the 50 states and the District of Columbia [SEARCH, 1991];
- in June 1991, BJS and SEARCH convened a national conference on improving quality of criminal history records [BJS, 1992];
- in December 1991, BJA promulgated guidelines for improving quality of criminal history records [BJA, 1991(b)];
- in January 1992, BJS published an audit guide designed to help states assess data quality [SEARCH, 1992(a)];
- in June 1992, BJS published findings of the National Task Force on Criminal History Record Disposition Reporting [SEARCH, 1992(b)];
- in November 1993, BJS published a comprehensive description of criminal history records systems [SEARCH, 1993];
- in February 1994, BJS and SEARCH convened a national conference on criminal history records, with emphasis on the Brady Act [SEARCH, 1995];
- in April 1997, BJS published its fourth data quality survey of the states [SEARCH, 1997]; and
- in September 1997, BJS published its second survey of state procedures related to firearm sales [REJIS, 1997].

NCHIP

Three key federal statutes—the Brady Handgun Violence Prevention Act of 1993, the National Child Protection Act of 1993, and the Violent Crime Control and Law Enforcement Act of 1994—have initiated three actions pertinent to the C-CHRIE effort.

First, the Brady Act—in an effort to identify ineligible, prospective firearm purchasers—requires establishment of a National Instant Criminal Background Check System (NICS), to be contacted by firearm dealers before selling a firearm. States are to make criminal history records available to NICS through the Interstate Identification Index (III), a decentralized index-pointer system maintained by the FBI and containing personal identifiers of offenders and “pointers” to states that maintain criminal history records on these offenders. (NICS checks can also access records maintained by the FBI.) The FBI-developed NICS became operational on November 30, 1998; its backbone is III, and it also includes limited data on persons other than felons who are ineligible to purchase firearms. (Of the \$100 million appropriated for Brady in FY 95, \$6 million was transferred by BJS to the FBI for NICS development.)

Second, the National Child Protection Act (NCPA) of 1993 requires that records of child abuse be transmitted to the FBI's national records system and encourages states to adopt legislation requiring background checks on individuals prior to assuming responsibility for the care of children, the elderly, or the disabled. In the context of NCPA, background checks are restricted to prospectively disqualified care providers, but state legislation varies and may have a broader scope, including the performance of routine checks of backgrounds of many categories of potential employees, volunteers, and licensees.

Third, the Violent Crime Control Act of 1994 and the Lautenberg Amendment of 1996, added the eighth and ninth firearm ineligibility categories, respectively—namely, persons who are “subject to a civil restraining order arising out of domestic or child abuse” and those convicted of “domestic violence misdemeanors.” The other seven categories listed in the Gun Control Act are: (i) persons under indictment for or convicted of a felony; (ii) fugitives from justice; (iii) unlawful drug users or addicts; (iv) mental defectives; (v) illegal aliens; (vi) those who have been dishonorably discharged from the military; and (vii) those who have renounced U.S. citizenship.

To implement these statutes, BJS was given the task of establishing the National Criminal History Improvement Program (NCHIP), from its inception through FY 98, the program has awarded \$206 million to fund state activities in records improvement.

The goal of NCHIP [BJS, 1997] is to improve the nation's public safety by:

- facilitating the accurate and timely identification of persons who are ineligible to purchase a firearm;
- ensuring that persons with responsibility for the care of children, the elderly, or the disabled do not have disqualifying criminal records;
- improving access to protection orders and records of people wanted for stalking and domestic violence; and
- enhancing the quality, completeness and accessibility of the nation's criminal history records systems and the extent to which such records can be used and analyzed for criminal justice related purposes.

More specifically, NCHIP assists states to:

- expand and enhance participation in the FBI's Interstate Identification Index (III) and the National Instant Criminal Background Check System (NICS);
- meet timetables for achieving criminal history records completeness and participation in the FBI's Interstate Identification Index (III), as established for each state by the Attorney General;
- improve the level of criminal history records automation, accuracy, completeness and flagging;

- develop and implement procedures for accessing records of persons other than felons who are ineligible to purchase firearms;
- identify—through interface with the National Incident-Based Reporting System (NIBRS) where necessary—records of crimes involving use of a handgun and/or abuse of children, elderly or disabled persons;
- identify, classify, collect and maintain—through interface with the National Crime Information Center (NCIC) and the III where necessary—protection orders, warrants, arrests and convictions of persons violating protection orders (intended to protect victims of stalking and domestic violence and to support the development of state sex offender registries and their interface with a national sex offender registry); and
- ensure that states develop the capability to monitor and assess state progress in meeting legislative and programmatic goals.

To ensure that all NCHIP-funded efforts support development of NICS, BJS works closely with the FBI, BJA, and the Bureau of Alcohol, Tobacco and Firearms (BATF). Funding under NCHIP is available to states that are subject to the pre-NICS, interim Brady provision of a five-day waiting period (“Brady states”) and to those states that operate under an alternative system, pursuant to BATF approval (“Brady-Alternative states”). NCHIP hopes to carry out the mandates of the Brady Handgun Violence Prevention Act of 1993, the National Child Protection Act of 1993, and the Violent Crime Control Act of 1994.

In actuality, the following three components comprise NCHIP:

1. The NCHIP **priority states** (Maine, Mississippi, New Mexico, Vermont, and West Virginia) are each eligible to receive a supplementary grant of up to \$1 million to spend on basic activities such as improving quality of criminal history records (with emphasis on automation and disposition reporting), increasing participation in the FBI’s III, and upgrading accessibility of records for presale of handguns and pre-employment checks (primarily through records flagging).
2. The NCHIP **core states** focus on core activities such as participation in III; database enhancement; improved disposition reporting; records automation; records flagging; AFIS/livescan; interface with NIBRS; research, evaluation, monitoring, and audits; conversion of juvenile records to the adult system; missing dispositions backlog reduction; equipment upgrade; training, participation in seminars and meetings; and expenditures related to presale handgun background checks.
3. The NCHIP **advanced states** are a subset of III states. They are eligible, under the Advanced State Award Program (ASAP), to collectively spend an additional \$5 million on extended core activities that would enhance the

interface of their computerized criminal history systems with databases on individuals other than felons who are ineligible to purchase a firearm.

Common Goals

Many states view the various federal grant programs for improving the quality of criminal history records as one large “pool of funds.” This makes it difficult, if not impossible, to separate the “CHRI data quality impact” from the “Byrne 5% data quality impact” from the “NCHIP data quality impact.” Still, each program plays a synergistic and complementary role in the improvement of criminal history records, and as such, must be part of the overall evaluation. Fortunately, the substantial overlap among goals of the three programs makes it possible to formulate *a synthesized set of common, federally supported criminal history records improvement goals*. These six goals make it easy to see the extent to which the federally funded activities undertaken by the states are aligned with the program goals.

Exhibit 1-3 restates the goals/subgoals of the CHRI, Byrne 5%, and NCHIP programs and introduces those of the SIS and NSOR-AP programs, matching each goal/subgoal with one or more of six common federal criminal history records improvement goals. The common goals are shown to span the goals of the individual programs.

Goal 1 is implicit in all programs; certainly, planning and establishing an infrastructure to support improvement initiatives contribute greatly to the success of any program. As for Goal 6, as noted in Section 3.3, while NCHIP focuses on checking backgrounds of prospectively disqualified care providers, the states also routinely perform background checks on many categories of prospective employees, volunteers, and licensees.

The common goals are not equally weighted: aspects of CHRI, Byrne, and NCHIP can be found in the first four goals, whereas the last two goals have no basis in CHRI. Furthermore, the common goals overlap, as can be understood from the NCHIP subgoal, “improve the level of criminal history records automation, accuracy, completeness, and flagging,” which impacts both Goal 1 and Goal 3.

In Section 3.3, we employ this synthesis as a framework for presenting our interim goal-based findings.

Exhibit 1-2 Federally Funded Efforts: Enabling Legislation

Legislation	Relevant Criminal History Records Improvement Content				Comments
	Stated Objectives	Relationship To Programs	Mandates Federal Government To:	Mandates State Governments To:	
Anti-Drug Abuse Act of 1988 Public Law 100-690 Section 6213	Identification of felons and other persons ineligible to purchase firearms.	Funds CHRI.	Develop system for immediate/accurate identification of felons who attempt to purchase 1 or more firearms but are ineligible to purchase firearms by reason of the Gun Control Act of 1968 (18 USC 922 (g)) [*] ; by 11/18/89; and, to conduct study to determine if an effective method exists for such identification of non-felons ineligible to buy firearms; by 5/18/90.	None.	Attorney General recommends using \$9M of the Anti-Drug Abuse Act Discretionary Funds per fiscal year for FY 90-FY 92 to fund the CHRI program.
Anti-Drug Abuse Act of 1988 Public Law 100-690 Section 6091	Improvement of functioning of criminal justice system.	Authorizes Byrne.	Assist state and local government in improving functioning of criminal justice system.	Develop statewide strategy for drug and violent crime programs to improve functioning of criminal justice system.	Amends the Omnibus Crime Control and Safe Streets Act of 1968 (42 USC 3741-3766) by establishing the Bureau of Justice Assistance and by establishing the Edward Byrne State and Local Law Enforcement Assistance Programs.
Crime Control Act of 1990 42 USC 3759 Section 509	Improvement of criminal justice records.	Authorizes Byrne 5% set-aside.	Establish guidelines for the states to fulfill requirements.	Allocate at least 5% of Byrne formula funds: to complete criminal histories to include final dispositions for all arrests for felony offenses; to automate all criminal histories and fingerprint records; and, to improve frequency and quality of criminal history reports to the FBI.	Amends the Omnibus Crime Control and Safe Streets Act by establishing the Byrne 5% set-aside program requiring states to allocate not less than 5% per fiscal year of Edward Byrne Memorial Grant funds towards criminal justice records improvement. BJA Director may waive or reduce 5% compliance if the Director finds that the quality of state's criminal justice records does not warrant expending amount allocated.

Exhibit 1-2 (page 2 of 4)

Legislation	Relevant Criminal History Records Improvement Content				Comments
	Stated Objectives	Relationship To Programs	Mandates Federal Government To:	Mandates State Governments To:	
Immigration Act of 1990 Public Law 101-649 Section 507	Availability of conviction records of aliens.	Impacts Byrne - see Comments.	None.	Provide, without fee, conviction records of aliens to the Immigration and Naturalization Service (INS) within 30 days of conviction; by FY 91.	Amends the Omnibus Crime Control and Safe Streets Act (42 USC 3753(a)) by requiring coordination plan with INS as condition for receipt of drug control and system improvement grants under Omnibus Crime Control and Safe Streets Act
Brady Handgun Violence Protection Act of 1993 Public Law 103-159	Use of background checks to identify felons and other persons ineligible to purchase firearms.	Authorizes NCHIP and impacts Byrne.	Establish national instant criminal background check system to be contacted by federal firearms licensees prior to firearm purchase; by 11/30/98.	Provide waiting period prior to handgun purchase to enable the Chief Law Enforcement Officer of the State to conduct a background check on the prospective firearm purchaser; from 2/28/94 - 11/29/98 (interim). Either serve as the point of contact for, or have Federal Firearms Licensees (FFLs) contact the national instant criminal background check system prior to firearm purchase for the purpose of conducting a background check; as of 11/30/98 (permanent).	Amends the Gun Control Act of 1968 (18 USC 922) by requiring background checks prior to the purchase of a firearm, and the Omnibus Crime Control and Safe Streets Act by requiring that Byrne 5% funds support its implementation.
National Child Protection Act (NCPA) of 1993 42 USC 5119	Establishment of procedures for background checks for providers of services to children, including elderly and disabled.	Authorizes NCHIP and impacts Byrne.	Determine timetable for states to provide child abuse crime records on on-line basis to national system; and, to create guidelines for reporting child abuse crime information.	Establish procedures for national criminal (fingerprint-based) background checks for providers of services to children, elderly and disabled; to report child abuse crime information to/index in national criminal history background check system; and, to have in computerized criminal history file at least 80% of final dispositions rendered in child abuse crimes within last 5 years; by 12/20/96.	Original legislation applies to children only; amendment by Violent Crime Control and Law Enforcement Act of 1994 includes elderly and disabled. This act amends the Omnibus Crime Control and Safe Streets Act by requiring that Byrne 5% funds support its implementation.

Exhibit 1-2 (page 3 of 4)

Legislation	Relevant Criminal History Records Improvement Content				Comments
	Stated Objectives	Relationship To Programs	Mandates Federal Government To:	Mandates State Governments To:	
Violent Crime Control and Law Enforcement Act of 1994 42 USC Chapter 136	Broad crime reduction.	Authorizes National Stalker and Domestic Violence Reduction Program, which is under NCHIP.	See Comments.	See Comments.	This umbrella act amends the Gun Control Act to include firearm purchase ineligibility for persons under court restraining order and amends NCPA to include elderly and disabled. It enacts Violence Against Women Act, the National Stalker and Domestic Violence Reduction Act, the Wetterling Act, and the Lychner Act.
Violence Against Women Act (VAWA) of 1994 42 USC Chapter 136 Subchapter III	Reduction of crimes targeted at women and children.	Impacts NCHIP.	See Comments.	Prohibit firearm sales and possession to persons subject to court order restraining that person from harassing, stalking or threatening an intimate partner or child of intimate partner.	Enacted as part of Violent Crime Control and Law Enforcement Act of 1994.
National Stalker and Domestic Violence Reduction Act of 1995 42 USC Chapter 136 Subchapter III 14031	Entering domestic violence and stalking data in criminal history databases.	Authorizes National Stalker and Domestic Violence Reduction Program, which is under NCHIP.	Compile data regarding domestic violence and intimidation (including stalking) as part of NIBRS; by 9/13/96.	Establish program to enter into NCIC, records of warrants for arrests, arrests or convictions of persons violating protection order.	Enacted as part of Violence Against Women Act.
Jacob Wetterling Crimes Against Children and Sexually Violent Offender Registration Act of 1995 42 USC Chapter 136 Subchapter III 14071	Establishment of state sex offender registries.	Authorizes NSOR-AP, a component of NCHIP, and impacts Byrne funding.	Establish guidelines for state programs.	Create program for persons convicted of criminal offense against minor or of sexually violent offense to register current address with designated law enforcement agency for specified time period; to transmit conviction data and fingerprints to the FBI; within 3 yrs following enactment-- may be granted additional 2 years.	Enacted as part of Violent Crime Control and Law Enforcement Act of 1994. State that is non-compliant within 3 years does not receive 10% of Byrne funds as otherwise authorized under 42 USC 3756; surplus funds are reallocated to compliant states.

Exhibit 1-2 (page 4 of 4)

Legislation	Relevant Criminal History Records Improvement Content				Comments
	Stated Objectives	Relationship To Programs	Mandates Federal Government To:	Mandates State Governments To:	
Sex Offender Registration and Community Notification ("Megan's Law") of 1996 42 USC Chapter 136	Establishment of sex offender registration/community notification.	Authorizes NSOR-AP, a component of NCHIP.	None.	Provide for notifying law enforcement or community concerning sex offender's criminal history or presence in neighborhood.	Enacted as part of Violent Crime Control and Law Enforcement Act of 1994; amended by Commerce, Justice, State Appropriation Act of 1998.
Pam Lychner Sexual Offender Tracking and Identification Act of 1996 42 USC Chapter 136 Subchapter III 14072	Establishment of national sex offender registry.	Authorizes NSOR-AP, a component of NCHIP.	Establish national database at FBI to track whereabouts of persons convicted of criminal offense against minor, sexually violent offense or who are sexually violent predators; by 10/3/97.	Notify law enforcement officials in jurisdictions to and from which sex offender registeree relocated, and FBI; fingerprints must be registered with FBI.	Enacted as part of Violent Crime Control and Law Enforcement Act of 1994.
Lautenberg Amendment of 1996	Identification of persons ineligible to purchase firearms due to domestic violence misdemeanor convictions.	Impacts NCHIP.	None.	Prohibit individual convicted in any court of misdemeanor crime of domestic violence from purchasing firearm; by 9/96 and retroactive.	Amends the Gun Control Act.
Antiterrorism and Effective Death Penalty Act of 1996 Public Law 104-132	State compatibility and integration with federal identification systems.	Authorizes SIS.	None.	Establish or upgrade: computerized identification systems that are compatible and integrated with the National Crime Information Center (NCIC), capability to analyze DNA in forensic laboratories that are compatible to the FBI combined DNA identification system (CODIS), and AFIS that are compatible and integrated with FBI Integrated Automated Fingerprint Identification System (IAFIS).	To be eligible, State must require each person convicted of felony of sexual nature to provide state law enforcement, a sample of blood, saliva or other specimen necessary to conduct DNA analysis consistent with standards of DNA testing by FBI.

Note:

* The Gun Control Act of 1968 (18 USC 922(g)) states that "it shall be unlawful for any person:

1. Who has been convicted in any court of a crime punishable by imprisonment for a term exceeding one year;
2. Who is a fugitive from justice;
3. Who is an unlawful user of or addicted to any controlled substance (as defined in Section 102 of the Controlled Substances Act (21 USC 802));
4. Who has been adjudicated a mental defective or who has been committed to a mental institution;
5. Who, being an alien, is illegally or unlawfully in the United States;
6. Who has been discharged from the Armed Forces under dishonorable conditions; or
7. Who, having been a citizen of the United States, has renounced his citizenship, to ship or transport in interstate or foreign commerce, or possess in affecting commerce, any firearm or ammunition which has been shipped or transported in interstate or foreign commerce."

Exhibit 1-3 Federally Funded Efforts: Common Goals

Common Federal Criminal History Records Improvement Goals

	1. Provide Required Resources	2. Improve Records Quality	3. Improve Reporting	4. Automate Systems	5. Identify Ineligible Firearm Purchasers	6. Identify Disqualified Care Providers
	Provide resources to establish the necessary infrastructure for improving criminal history records and related systems.	Improve the quality (i.e., completeness, accuracy, timeliness, accessibility) of criminal history records.	Improve interstate, intrastate, and federal criminal history records-related reporting.	Automate systems for creating, storing, and sharing criminal history records.	Identify persons ineligible, for criminal or non-criminal reasons, to purchase firearms.	Identify individuals disqualified from caring for children, the elderly and the disabled.
Goal description						
<i>CHRI Program Goals</i>						
Enhance state criminal history records in order to accurately identify convicted felons.	X	X	X		X	
Meet the new FBI/BJIS voluntary reporting standards for identifying such individuals.	X		X			
Improve the quality and timeliness of criminal history records information.	X	X	X	X		
<i>Byrne 5% Program Goals</i>						
Complete criminal histories to include the final disposition of all arrests for felony offenses.	X	X				
Fully automate all criminal justice histories and fingerprint records.	X			X		
Improve the frequency and quality of criminal history reports to the FBI.	X		X			
Improve state records systems pursuant to the Brady Act and the National Child Protection Act.	X				X	X
<i>NCHIP Program Goals</i>						
Facilitate the accurate and timely identification of persons who are ineligible to purchase a firearm.	X				X	
Ensure that persons responsible for child care, elder care, or care of the disabled do not have disqualifying criminal records.	X					X

Exhibit 1-3 (page 2 of 3)

Common Federal Criminal History Records Improvement Goals

	1. Provide Required Resources Provide resources to establish the necessary infrastructure for improving criminal history records and related systems.	2. Improve Records Quality Improve the quality (i.e., completeness, accuracy, timeliness, accessibility) of criminal history records.	3. Improve Reporting Improve interstate, intrastate, and federal criminal history records-related reporting.	4. Automate Systems Automate systems for creating, storing, and sharing criminal history records.	5. Identify Ineligible Firearm Purchasers Identify persons ineligible, for criminal or non-criminal reasons, to purchase firearms.	6. Identify Disqualified Care Providers Identify individuals disqualified from caring for children, the elderly and the disabled.
Goal Description						
Improve access to protection orders and records of people wanted for stalking and domestic violence	X		X	X	X	
Enhance the quality, completeness and accessibility of criminal history records systems and the extent to which records can be used and analyzed for criminal justice related purposes.	X	X				
<i>NCHIP Program Sub-Goals</i>						
Expand and enhance participation in III and NICS.	X		X		X	
Meet Attorney General's timetable for achieving criminal history records completeness and III participation.	X	X	X			
Improve the level of criminal history records automation, accuracy, completeness and flagging.	X	X		X		
Develop and implement procedures for accessing records of persons other than felons ineligible to purchase firearms.	X				X	
Identify--through interface with NIBRS where necessary--records of crimes involving use of a handgun and/or abuse of children, elderly or disabled persons.	X				X	X

Exhibit 1-3 (page 3 of 3)

Common Federal Criminal History Records Improvement Goals

	1. Provide Required Resources	2. Improve Records Quality	3. Improve Reporting	4. Automate Systems	5. Identify Ineligible Firearm Purchasers	6. Identify Disqualified Care Providers
Goal description	Provide resources to establish the necessary infrastructure for improving criminal history records and related systems.	Improve the quality (i.e., completeness, accuracy, timeliness, accessibility) of criminal history records.	Improve interstate, intrastate, and federal criminal history records-related reporting.	Automate systems for creating, storing, and sharing criminal history records.	Identify persons ineligible, for criminal or non-criminal reasons, to purchase firearms.	Identify individuals disqualified from caring for children, the elderly and the disabled.
Identify, classify, collect and maintain (through interface with NCIC and III where necessary) protection orders, warrants, arrests, and convictions of persons violating protection orders intended to protect victims of stalking and domestic violence and to support development of state sex offender registries and interface with national sex offender registry.	X	X	X	X	X	
Ensure states develop capability to monitor and assess state progress in meeting legislative and programmatic goals.	X	X				
<i>SIS Program Goals</i>						
Establish, develop, update or upgrade state identifications systems such as computerized systems, DNA forensic laboratory analysis and AFIS to be compatible and integrated with the FBI's NCIC, CODIS and IAFIS, respectively.	X		X	X		
<i>NSOR Program Goals</i>						
Help states ensure that state sex offender registries identify, collect, and properly disseminate relevant information which is consistent, accurate, complete and up-to-date.	X	X	X	X		X
Help states establish appropriate interfaces with the FBI's national system so that state registry information on sex offenders can be obtained and tracked from one jurisdiction to another.	X		X	X		X

1.3 Scope of Report

As the third major deliverable of the C-CHRIE effort, this report consists of four major sections and two appendices. Section 1 describes the importance of criminal history records and the emergence of federal funding programs intended to help states meet provisions of federal statutes pertaining to improvement of criminal history records.

Guided by several critical considerations, our study approach is outlined in Section 2. We present the underpinning of our analytical work—a classification scheme based on past, current, and planned state and local criminal history records improvement activities.

Section 3 highlights relevant findings to date. Background information is analyzed, with an emphasis on funding and timetable issues, as well as improvement initiatives being undertaken by the states. Results are presented in the context of the common goals. User perceptions about quality of criminal history records, together with issues concerning the linkage of arrest and disposition records, are addressed.

A measures framework is proposed and appropriate measurement methods are identified in Section 4. We conclude with an overview of remaining issues.

Finally, Appendix A provides a glossary of relevant terms and Appendix B contains a state-by-state information summary, designed to allow states to know what improvement activities are being undertaken across the nation.

2. Study Approach

The study approach is detailed in terms of study considerations, an activity-based classification scheme, and study conduct.

2.1 Study Considerations

A number of considerations have shaped our study approach, including the goals of the C-CHRIE study, the characteristics of the federal programs, several critical implementation issues, and the framework within which we have developed our evaluation design. We address each of these considerations below.

C-CHRIE Study Goals

The primary C-CHRIE study goals are to:

1. assess the impact of the BJS-administered NCHIP effort;
2. assess the impact of the BJA-administered Byrne 5% set-aside program;
3. complete the impact assessment of the BJS-administered Criminal History Records Improvement (CHRI) program; and
4. identify promising approaches for improving data quality.

To accomplish these goals, we continue the two-pronged evaluation approach that was successfully employed in our Criminal History Records Improvement Evaluation study—that is, conducting both an overall *impact* evaluation of all states and a more *focused* evaluation of a handful of states. The impact evaluation benefits Justice Department officials, who need to know how well program funds are spent. Given the large sums of federal funds involved in both the NCHIP and Byrne 5% efforts, Congress is no doubt interested in knowing what was accomplished with these funds. On the other hand, we view the individual states as the primary beneficiaries of both the broad impact evaluation and the focused evaluation. As one state official appropriately sums it up: “We are very interested in knowing what other states are doing to improve their criminal history records.”

Program Characteristics

In Section 1.2, we highlight the similarity of the goals of the CHRI and Byrne 5% programs; understandably then, several activities that they fund should overlap. At the same time, it is important to recognize their differences. Exhibit 2-1 lists a number of key characteristics of each program. As noted in the exhibit, the Byrne 5% program is ongoing and is a formula, rather than discretionary, program. In addition, the federal government mandates the “pass-through” of a portion of each state’s Byrne funds to its local units of government. This pass-through must equal the ratio of local criminal justice costs to total criminal justice costs for the state. Also required is a 25% cash match in nonfederal funds. The CHRI program stipulates no such requirements.

The program requirements also differ significantly. For the CHRI program, states were simply required to submit a proposal that addressed the overall program objectives. For the Byrne 5% program, however, states are required to convene a multi-agency task force, assess the status of data quality in the state, identify reasons for under-reporting, and submit a strategic data quality improvement plan to BJA for approval. These plans are helpful in understanding the process the states use to prioritize data quality improvement efforts.

The CHRI and Byrne 5% programs differ most significantly in funding focus. The focus of the CHRI program, as noted in Section 1.2, is on the central repositories—specifically, on enhancing the degree of automation and on improving disposition reporting. Consequently, most activities which states initiated with CHRI funds center on the repository (see Section 3.2). In contrast, the Byrne 5% program is much broader in focus, involving state, county, and local units of government.

In some respects, NCHIP is more like CHRI (it is BJS-administered, it is a discretionary program, its awards are not based on state size, and no matching funds are required), while more like Byrne 5% in other respects (it is moderately broad in funding focus, it must be strongly coordinated with the Byrne 5% program, and its total funding level is comparable to that of the Byrne 5%).

Although NSOR-AP has a narrow focus—directly targeting the improvement of sex offender registries—it nonetheless appropriates \$25 million in FY 98, a sum comparable to the total annual formula funds of the more broadly focused Byrne 5% program. Similarly, the annual appropriation of the formula-based SIS program is comparable to that of CHRI, which is discretionary.

Exhibit 2-2 represents distribution of Byrne plans approved over time; to date, only the Virgin Islands has not received approval of its Byrne plan. In fact, BJA approved approximately half of the plans by the end of Q3 93, and 90% by the end of Q2 95. Three jurisdictions—Guam, Puerto Rico, and the Virgin Islands—did not participate in the CHRI program, but are participating in both the Byrne and NCHIP efforts.

Implementation Issues

As with our undertaking of CHRIE and other criminal justice-related studies, we have encountered a number of obstacles, or implementation issues, conducting the C-CHRIE study.

One issue concerns delays in completion of data quality improvement activities. This was common during the CHRI program; indeed, most states applied for extensions to their projects. At the time of our final CHRIE study report in April 1994, some 22 states were still working on their CHRI projects. Delays most frequently occurred if the activity involved release of a Request for Proposal (e.g., for conduct of a baseline audit) or design and implementation of a computer system (e.g., an electronic interface between two computer systems). Implementation delays could have posed a threat to the general validity of the C-CHRIE study, had we not been sensitive to their existence. Recognizing the potential domino effect of a delay in one activity, we examine delays in greater detail in Section 3.2.

More serious than delays in implementation of data quality improvement activities is a state's cancellation of one or more activities. This occurred when, for example, Hawaii intended to use NCHIP funds to post data from the Honolulu prosecutor, but the activity was canceled because of inadequate resources and the immature status of the prosecutor information system. In another instance, North Dakota planned to implement a firearm instant check system to perform background checks on potential firearm purchasers, but then chose to have the firearms dealers contact the FBI directly when NICS became operational. Sometimes a critical activity costs more than had originally been budgeted: one state planned to conduct a baseline audit, and with remaining project funds, implement two or three additional activities. However, bids from private contractors proposing to conduct the audit were higher than expected, and the other activities could not be undertaken. Still another reason for delays or cancellations is the states' channeling of software programmers to resolve outstanding Y2K issues—that is, the software bugs that affect date fields and threaten to adversely impact a program's ability to perform reliably beginning January 1, 2000. In all, however, we have found that fewer than 2% of federally funded activities had been canceled.

Another implementation consideration that could have impacted the success of our study: changes in state and local personnel involved in data quality improvement activities. In sworn departments, such as law enforcement, where personnel are routinely transferred to other divisions within the department, this problem can be acute. Such transfers disrupt not only activities but also our assessment, as new personnel need to become familiar with the goals and methods of our study. As we are aware of this threat, we routinely strive to establish multiple contact points for each activity of concern.

Q.E.D. is aware that delays, cancellations, or even inactivity may be the result of a state's inability to spend the federal funds because it is "saturated" and cannot handle the extra workload. This situation may become more problematic as federal moneys are significantly increased, with the added \$205 million in NCHIP funds and the continuing \$20 million per year of Byrne 5% funding. This issue is discussed further in Section 3.1.

Finally, from an evaluation perspective, three points should be made on the complexity of the study:

- Inasmuch as delays and cancellations to improvement initiatives are potentially disruptive, we are mindful of them.
- The fact that activities are dispersed across many county and local agencies obviously increases the difficulty of the evaluation—to meet this challenge, we try to work with each state’s multi-agency criminal records improvement task force.
- Legislation introduced during the course of our study, such as the Lautenberg Amendment which affects the federal grant programs, contributes to the study’s complexity and increases its scope.

Evaluation Framework

A final C-CHRIE study consideration is the framework within which we have developed our evaluation design. Q.E.D. has conducted evaluations of criminal justice programs for over twenty years. During that period, our personnel have also contributed to the evaluation literature. In particular, the evaluation framework advanced by Tien [1979; 1990] and used in Q.E.D.’s CHRIE and numerous other studies has again guided our current evaluation. In that approach, the characteristics of the program being evaluated influence both the design and the conduct of the evaluation. Hence, the preceding discussions in this section and in Section 1 focus on CHRI, Byrne 5%, and NCHIP program characteristics.

The application of this evaluation framework to our current effort is evidenced throughout this report. The measures framework developed in Section 4.1, for example, is explicitly based on Tien’s work [1979; 1990].

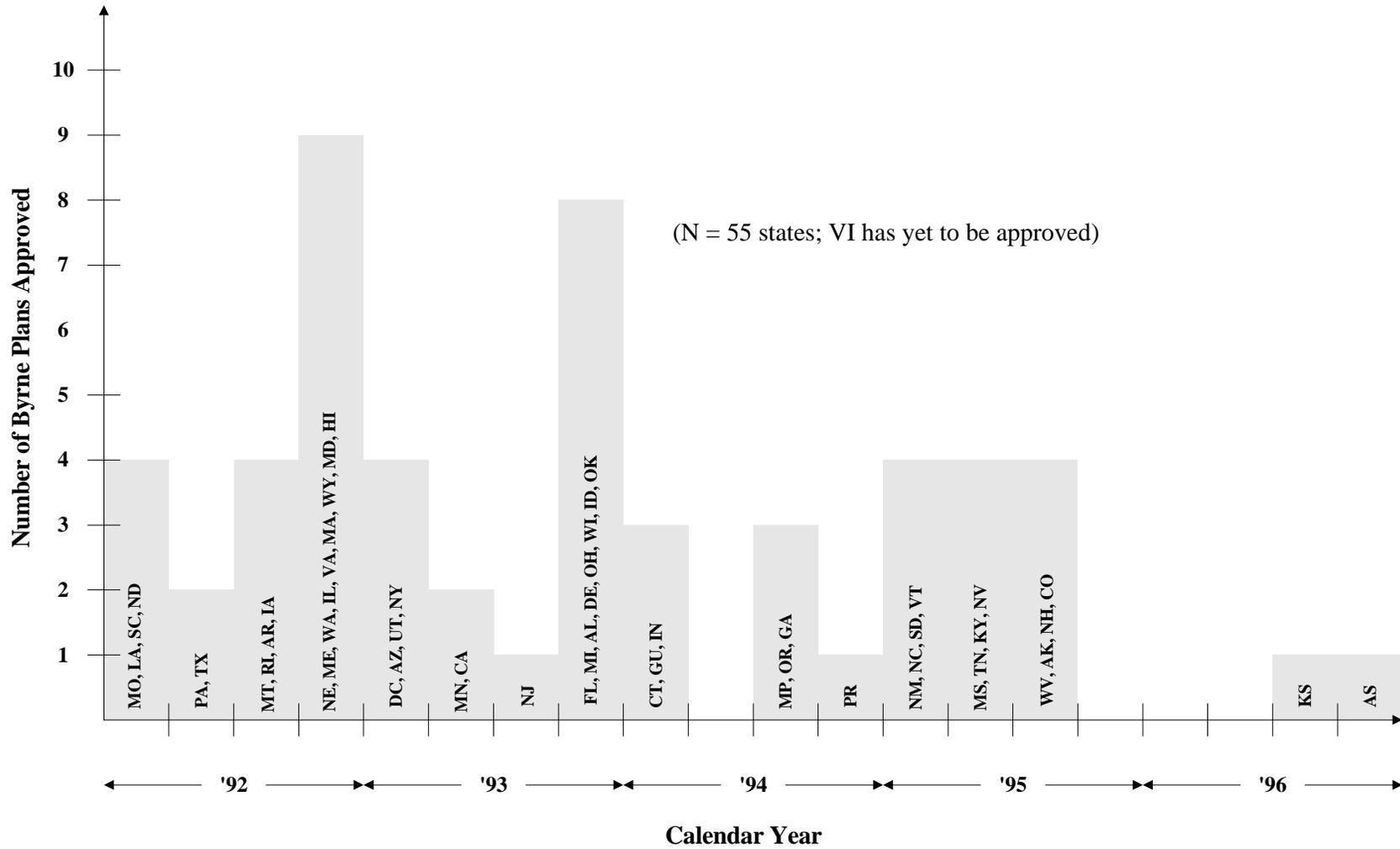
Exhibit 2-1 Federally Funded Efforts: Program Characteristics

Characteristic	CHRI	Byrne 5% Set-Aside	NCHIP	SIS	NSOR-AP
Authorizing Statute(s)	Anti-Drug Abuse Act of 1988.	Omnibus Crime Control and Safe Streets Act of 1968, as amended by the Crime Control Act of 1990.	Brady Handgun Violence Prevention Act (1993), National Child Protection Act (NCPA, 1993), Violence Against Women Act (VAWA, as enacted as part of Violent Crime Control and Law Enforcement Act, 1994), National Stalker and Domestic Violence Reduction Act (1995), Lautenberg Amendment (1996).	Antiterrorism and Effective Death Penalty Act (1996).	Jacob Wetterling Crimes Against Children and Sexually Violent Offender Act (1995), Megan's Law (1996), Pam Lychner Sexual Offender Tracking and Identification Act (1996), as amended by the Commerce, Justice, State Appropriation Act of 1998.
Authorized and Appropriated Funds	\$9M in each of FY 90, 91, and 92.	At least 5% set-aside of annual Byrne formula grant funds (at least \$21M in each of FY 92 and 93, \$18M in FY 94, \$22M in FY 95, \$24M in FY 96 and \$25M in FY 97 and 98; a total of \$156M through FY 98).	<u>Authorized</u> : \$200M under Brady Act; \$20M under NCPA; \$6M over 3 years under Domestic Violence/Stalker Reduction in VAWA. <u>Appropriated</u> : In FY 95, \$100M (Brady); in FY 96, \$25M (Brady) and \$1.5M (Domestic Violence/Stalker Reduction); in FY 97, \$50M (Brady) and \$1.75M (Domestic Violence/Stalker Reduction); in FY 98 \$45M (Brady) and \$2.75M (Domestic Violence/Stalker Reduction).	\$9.5M in each of FY 97 and FY 98.	\$25M in FY 98.
Administering Agency	Bureau of Justice Statistics.	Bureau of Justice Assistance.	Bureau of Justice Statistics.	Bureau of Justice Assistance.	Bureau of Justice Statistics.
Funding Focus	Narrow— to improve automation of central repository; to improve disposition reporting to central repository.	Broad— to improve quality of criminal history records at local, county, and state levels.	Moderate— to improve quality, completeness, timeliness, and accessibility of computerized criminal history records; to help states meet Attorney General's timetable for improving data quality.	Narrow— to enhance capability of state and local governments to identify and prosecute offenders by establishing or upgrading information systems and DNA analysis.	Narrow— to help state sex offender registries identify, collect and properly disseminate quality information and establish appropriate interfaces with the FBI's national system.

Exhibit 2-1 (page 2 of 2)

Characteristic	CHRI	Byrne 5% Set-Aside	NCHIP	SIS	NSOR-AP
Funding Requirements	Discretionary program; awards not based on state size.	Formula program; awards based on state size; requires minimum 25% cash match from state or local funds; states must share a portion of funds with local units of government.	Discretionary program; awards not based on state size; 5 priority states (Maine, Mississippi, New Mexico, Vermont, West Virginia) are each eligible to receive a supplementary grant of up to \$1M and can only spend funds on basic activities; remainder states can spend funds on "basic" and "core" activities; 18 selected III states— called ASAP (Advanced State Award Program) states— are also spending a total of \$3.7M in FY 96 on activities relating to the identification of non-felons who are ineligible to purchase firearms.	Formula program; In FY 97 and FY 98, \$172,727 and \$194,710 respectively was awarded to each state, except for American Samoa and Northern Mariana Islands which are treated as one state and may receive two-thirds and one-third of a state share, respectively. No match requirement.	Discretionary program; awards not based on state size.
Program Requirements	State required to propose activities that address primary funding focus.	State required to form a multi-agency task force, conduct an assessment of data quality, identify reasons for under reporting, and develop a plan for improving records.	State must designate agency that will administer NCHIP; state must coordinate its NCHIP and Byrne 5% activities (in fact, no NCHIP funding to a state without an approved Byrne 5% plan).	State must have legislation requiring persons convicted of felony of a sexual nature to provide appropriate state law enforcement officials, as designated by chief executive officer of state, with sample(s) of blood, saliva or other specimen(s) necessary to conduct DNA analysis.	State must designate agency that will administer NSOR-AP, which may be same as the NCHIP-designated agency. State may submit application as part of multi-state consortium or other entity.
Program Status	As of December 1998, CHRI funds were used in 17% of activities with known funding source(s). CHRI funds leveraged state and/or federal dollars in 41% of all CHRI-funded activities.	As of December 1998, only the Virgin Islands does not have a Byrne 5% plan approved by the BJA.	As of December 1998, a total of \$206M in NCHIP funds was awarded. In FY 95, \$78.5M was awarded to 54 states, of which \$74.8M were Brady basic and core funds, and \$3.7M were ASAP funds. In FY 96 and FY 97, \$34M and \$50.3M funds were awarded, respectively; \$43.3M was awarded in FY 98.	As of May 1998, 50 of 56 states had met the eligibility requirement.	Awards are normally for 12 months and activities began by September 1998.

Exhibit 2-2 Distribution of Byrne Plan Approval Dates



2.2 Activity-Based Classification Scheme

As part of the CHRIE evaluation effort [Q.E.D., 1997], we developed an activity-based classification scheme which proved effective in understanding the range of activities undertaken by the states and identifying data quality improvement strategies. Because of the nature of the CHRI program, the scheme focused largely on the repository and on disposition reporting. For this study, we develop an analogous, scaleable classification scheme that includes the NCHIP and Byrne 5% activities, in addition to the CHRI activities. The scheme can accommodate new activities as well as potentially new funding sources. It is designed to incorporate diverse activities and to help us understand relationships among activities, funding sources, and time frames. The scheme represents Q.E.D.'s effort to consistently classify activities across all states; as a result, states may not immediately "recognize" their activities since they are categorized in accordance with the classification scheme. States may view their respective activity descriptions in Appendix B.

As we consider activities which could improve criminal history records, it is helpful to detail the components in Exhibit 1-1. In particular, the detailing should highlight where improvements could be made within each component. This is done in Exhibit 2-3, where primary data flows are also indicated. Exhibit 2-3 is generally true for all states, as we are interested only in functional responsibilities of these system components—whereas, organizationally, they may differ from state to state. For example, in some states, probation is a part of the corrections organization, while in others, it is a part of the courts organization.

The C-CHRIE classification scheme has three levels and categorizes improvement activities that mirror the flow of data as they are captured and used throughout the criminal history records system. Exhibit 2-3 represents this system: the lettered boxes provide context for the model and represent both criminal justice and non-criminal justice data sources and users. The numbered boxes correspond to specific points in the system where these data are either generated or required. For example, Booking (Box 3) includes the transfer of booking data to a fingerprint card or to the receipt of rapsheet data from the repository at an arresting agency. Categories 1-19 constitute what we refer to in our classification scheme as "Level 1."

Exhibit 2-4 demonstrates how the 19 Level 1 categories are subdivided into 50 more specific Level 2 subcategories. For example, 1. System Improvements consists of 1.1 Conduct study/develop plan, 1.2 Conduct audit, 1.3 Establish infrastructure, etc. Continuing with this approach, Level 3, a further sub-division of Level 2, offers the greatest specificity. It contains 171 subcategories which ultimately "house" the improvement activities. To illustrate, 1.2 Conduct audit, in turn, consists of 1.2.1 Audit criminal history data quality, 1.2.2 Conduct legislative audit, 1.2.3 Audit superior court, etc.

It is important to note that Levels 1-3 are categories of activities, and *not* the actual state-planned improvement activities. The actual activities are *housed* in Level 3; any such Level 3 category will most

likely contain several improvement activities. However, for the sake of brevity and convenience, when we refer to Level 1, 2, or 3 activities, we are referring to categories.

In addition to providing the means to classify each activity according to potential impact on the criminal history records system, the scheme furnishes a consistent basis for comparing the range of improvement efforts undertaken in the states. Furthermore, we capture each activity's funding sources (CHRI, Byrne 5%, NCHIP, state, and/or local), as well as its planned and actual start and completion dates, when available.

The classification scheme is the result of several refinements; it is both viable and robust enough to permit an expanding C-CHRIE effort. However, as is the case with all classification schemes or taxonomies, it is limited in several respects. Two such limitations merit discussion.

First, the scheme categorizes improvements by choosing the one category—from a prioritized list of categories—that best represents that activity. This approach is somewhat analogous to the Uniform Crime Reporting (UCR) system, which captures only the most serious charge for each arrest. Classifying information in this way biases the results towards those categories at the top of the hierarchy (which, in our case, is the lowest numbered activity, beginning with 1.1.1).

Second, activities are not comparable in either cost or benefit. While we count each activity as if all activities were equivalent, they are not; thus, an audit activity, while critical, is less costly than the purchase of an AFIS system. Notwithstanding these typical limitations, the classification scheme and the resultant findings form a sound basis for understanding the status of criminal history records and for funding their improvements.

Exhibit 2-3 Improvement-Focused Criminal History Records System

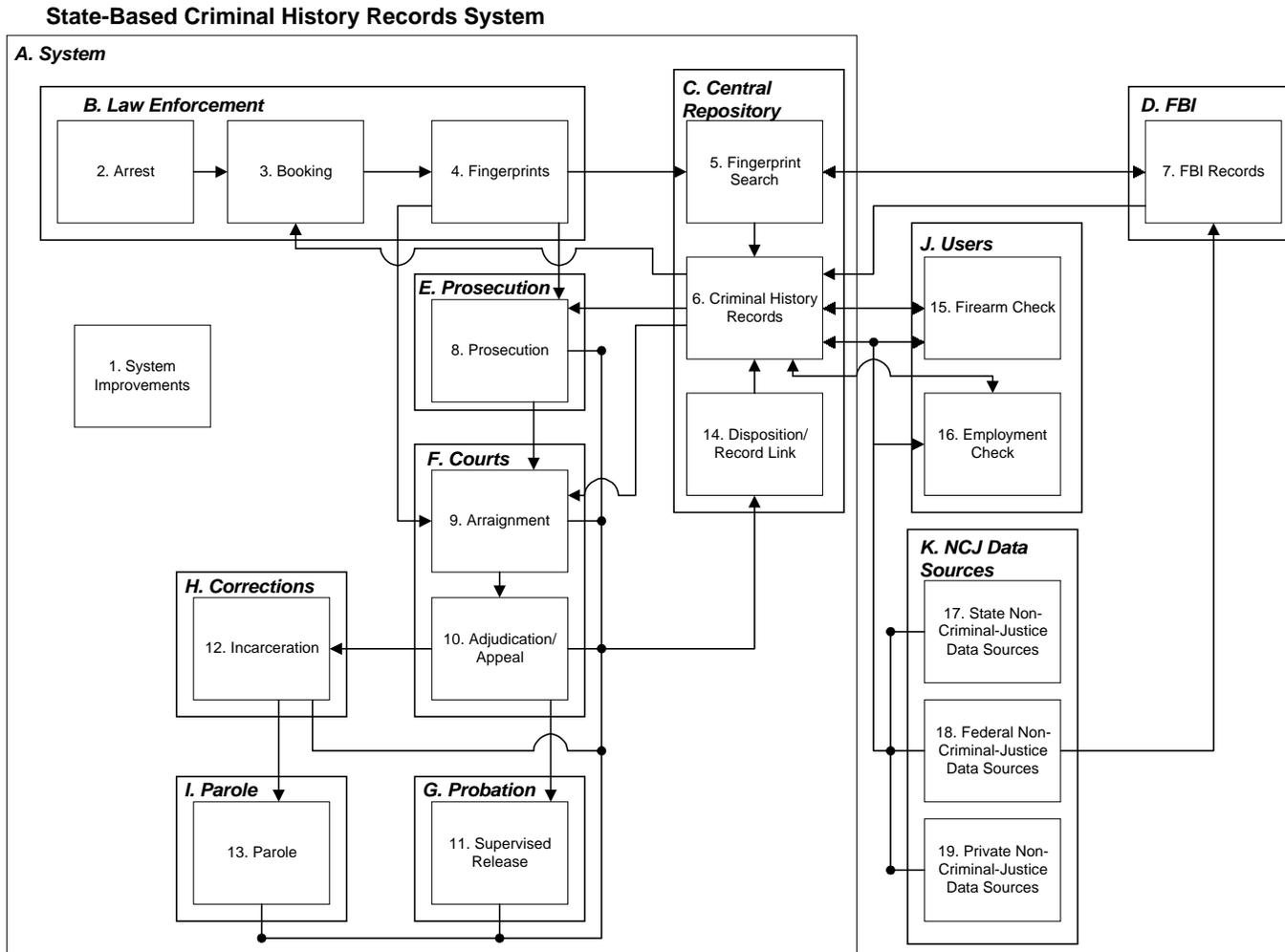


Exhibit 2-4 Criminal History Records Improvement Activities: Classification Scheme

1 System Improvements

1.1 Conduct Study/Develop Plan

1.1.1 Activities requiring additional details for classification	Category utilized for temporary storage of unclassified improvement activities.
1.1.2 Study and/or plan for arrest reporting process	Examine current arrest reporting procedures and/or plan for modifications.
1.1.3 Study and/or plan for disposition reporting process	Examine current disposition reporting procedures and/or plan for modifications.
1.1.4 Study ACN and/or CCN	Examine possible statewide use of ACN and/or CCN.
1.1.5 Study fingerprinting and identification process	Examine fingerprinting and offender identification process.
1.1.6 Study CCH system and/or interfaces thereto	Examine CCH records system and/or automated interfaces to that system from other criminal justice agencies (e.g., law enforcement, courts).
1.1.7 Study data quality	Assess data quality (e.g., survey users for data quality satisfaction).
1.1.8 Study user needs	Assess user needs (e.g., survey system users to assess needs).
1.1.9 Study prosecutor information system	Study prosecutor information system component of criminal records system.
1.1.10 Study and/or plan for arrest and disposition reporting processes	Examine current arrest <i>and</i> disposition reporting procedures and/or plan for modifications.
1.1.11 Study and/or plan for system-wide issues	Examine and/or plan for system-wide issues (e.g., automation, integration of criminal justice agencies).
1.1.12 Study and/or plan for firearm issues	Examine and/or plan for firearm issues.
1.1.13 Study and/or plan for domestic violence issues	Examine and/or plan for domestic violence issues (e.g., current trends, use of civil restraining order files).
1.1.14 Study and/or plan for issues relating to children, elderly, and/or disabled	Examine and/or plan for issues relating to children, elderly, and/or disabled as they pertain to employment background checks authorized by NCPA statute.
1.1.15 Study and/or plan for federal compatibility issues	Address and/or plan for state issues related to federal requirements compliance (e.g., NCIC 2000, NIBRS, FBI IAFIS).
1.1.16 Study and/or plan for computerized court information system	Examine and/or plan for computerized court information system component of criminal records system.
1.1.17 Study and/or plan for juvenile issues	Examine and/or plan for juvenile issues (e.g., creating juvenile court data system, integrating juvenile and adult records).
1.1.18 Study and/or plan for corrections issues	Examine and/or plan for corrections issues (e.g., interfacing corrections and repository, feasibility study of offender monitoring system).
1.1.19 Study and/or plan for citation issues	Examine and/or plan for citations issues (e.g., citations resulting in misdemeanors).

Exhibit 2-4 (page 2 of 10)

1.2 Conduct Audit	
1.2.1 Audit criminal history data quality	Audit current level of data quality, including examination of repository criminal history records for accuracy, completeness and timeliness.
1.2.2 Conduct legislative audit	Determine state compliance with legislative requirements (e.g., NCPA statute).
1.2.3 Audit superior court	Examine superior court records for accuracy.
1.2.4 Audit missing dispositions	Examine missing dispositions in criminal history records.
1.2.5 Audit local agencies	Examine local agency records for accuracy.
1.2.6 Audit ACN and/or CCN usage	Verify usage of ACN and/or CCN for compliance and correctness.
1.3 Establish Infrastructure	
1.3.1 Establish five-percent set-aside task force	Establish cross-functional task force as required by Byrne 5% set-aside program.
1.3.2 Establish ad-hoc committee	Establish ad-hoc committee to address specific concerns.
1.3.3 Hire staff	Retain staff to facilitate management and/or implementation of improvement efforts.
1.3.4 Expand office space	Acquire additional office space to facilitate management and/or implementation of improvement efforts.
1.4 Conduct Training	
1.4.1 Conduct training for arrest process	Conduct training programs that increase knowledge of arrest process.
1.4.2 Conduct training for livescan and fingerprinting	Conduct training programs that increase proficiency in livescan technology and fingerprinting methods.
1.4.3 Conduct training for court information system	Conduct training programs that increase knowledge of court information system.
1.4.4 Conduct AFIS training	Conduct training programs in AFIS usage.
1.4.5 Conduct training for CCH	Conduct training programs in CCH usage.
1.4.6 Conduct multi-agency state-wide training	Conduct training programs that bring together staff from various agencies within state.
1.4.7 Conduct training for NICS	Conduct training programs that increase knowledge of NICS.
1.4.8 Conduct training for audits	Conduct training programs in undertaking audits.
1.4.9 Conduct training for OBTS	Conduct training programs that increase knowledge of OBTS.
1.4.10 Conduct training for data entry	Conduct training programs in data entry.
1.4.11 Conduct training for law enforcement	Conduct training programs specifically for law enforcement personnel.

Exhibit 2-4 (page 3 of 10)

1.5 Upgrade Procedures

- | | |
|---|---|
| 1.5.1 Upgrade arrest process procedures | Improve arrest process procedures (e.g., booking, identification, fingerprinting). |
| 1.5.2 Implement monitoring to identify missing arrests and dispositions | Introduce procedure to track and monitor arrests and dispositions that are missing from repository. |
| 1.5.3 Upgrade OBTS process | Improve OBTS process that tracks offenders through criminal justice system. |
| 1.5.4 Develop data standards | Establish state-wide data format standards. |
| 1.5.5 Develop procedure to participate in III or to achieve NFF status | Establish procedure to facilitate joining III or becoming NFF state. |
| 1.5.6 Create audit procedure | Establish state-wide procedure for performing records audits. |
| 1.5.7 Create standard training procedure | Establish state-wide procedures for training. |
| 1.5.8 Revise repository procedures | Modify repository procedures to improve data quality. |
| 1.5.9 Develop procedure for processing employment background checks | Establish state-wide procedure for processing employment background checks. |

1.6 Enact Legislation

- | | |
|---|--|
| 1.6.1 Specify reporting requirements for arrests | Enact legislation which mandates specific arrest reporting procedures. |
| 1.6.2 Specify reporting requirements for dispositions | Enact legislation which mandates specific disposition reporting procedures. |
| 1.6.3 Mandate firearm instant check system | Enact legislation which requires state to implement point-of-sale firearm eligibility check system. |
| 1.6.4 Allow use of criminal data for employment checks | Enact legislation which permits criminal data to be used for employment background checks. |
| 1.6.5 Allow access to state NCJ data sources for firearm checks | Enact legislation which permits state NCJ data (e.g., from state mental health institutions) to be used for firearm checks. |
| 1.6.6 Allow access to private NCJ data sources for firearm checks | Enact legislation which permits private NCJ data (e.g., from private drug treatment centers) to be used for firearm checks. |
| 1.6.7 Legislate criminal history record keeping systems | Enact legislation which requires maintenance of criminal history records at state level . |
| 1.6.8 Legislate unique ACN | Enact legislation which requires state to implement unique ACN to aid in tracking arrests. |
| 1.6.9 Legislate printing of selected misdemeanants | Enact legislation which requires offenders charged with certain misdemeanors to be fingerprinted. |
| 1.6.10 Legislate gun purchase waiting period for juveniles | Enact legislation which requires juveniles to wait a specified period of time following discharge from juvenile sentence, prior to purchasing handgun. |

1.7 Integrate System(s)

- | | |
|---|---|
| 1.7.1 Integrate criminal justice agencies county-wide | Launch effort to integrate all criminal justice agencies (e.g., law enforcement, prosecution, courts) within specific county. |
| 1.7.2 Upgrade in-state communications | Improve communications within state (e.g., state law enforcement network). |

Exhibit 2-4 (page 4 of 10)

2 Arrest

2.1 Upgrade Suspect Status Search

- 2.1.1 Access wanted/warrants search via local computer

Install system for electronically transmitting wanted/warrant records to law enforcement agencies.

3 Booking

3.1 Upgrade Booking Data

- 3.1.1 Computerize booking data
- 3.1.2 Computerize charge code table

Convert manual booking information to automated format.

Convert manual charge code table to automated format.

- 3.1.3 Upgrade digital photography
- 3.1.4 Upgrade booking system

Improve existing digital photography capabilities.

Improve existing booking information system.

3.2 Upgrade Booking/Fingerprint Interface

- 3.2.1 Automatically transfer booking data to fingerprint card

Install system for automatically transferring arrest and offender data to fingerprint card.

3.3 Upgrade Booking/Prosecutor Interface

- 3.3.1 Establish electronic connection for transfer of booking data to prosecutor

Install system for electronically transmitting arrest and offender data from booking system to prosecutor system.

3.4 Upgrade Booking/Arrest Interface

- 3.4.1 Establish electronic connection for transfer of booking data to arraignment

Install store-and-forward or other system for electronically transmitting arrest and offender data from booking system to arraignment system.

3.5 Upgrade Booking/Central Repository Interface

- 3.5.1 Establish electronic connection for transfer of booking data to repository

Install system for electronically transmitting arrest and offender information from booking system to repository.

- 3.5.2 Establish electronic connection for transfer of rapsheet data from repository to law enforcement

Install system for electronically transmitting rapsheet data from repository to law enforcement agencies.

- 3.5.3 Upgrade electronic connection between law enforcement and repository

Improve existing electronic connection between law enforcement and the repository.

3.6 Upgrade Citation Process

- 3.6.1 Computerize citations

Convert manual citations to automated format.

4 Fingerprints

4.1 Establish ACN

- 4.1.1 Preprint ACN on fingerprint card

Generate fingerprint cards with ACNs that uniquely identify arrests.

4.2 Establish CCN

- 4.2.1 Preprint CCNs on fingerprint card

Generate fingerprint cards with CCNs that uniquely identify specific charges associated with arrest.

4.3 Upgrade Fingerprinting

- 4.3.1 Install livescan
- 4.3.2 Upgrade livescan

Install livescan device for obtaining inkless fingerprints.

Improve current livescan device used for inkless fingerprinting.

Exhibit 2-4 (page 5 of 10)

4.4 <i>Upgrade Fingerprint/Print Search Interface</i>	
4.4.1 Establish electronic connection for transfer of fingerprint image to repository printer	Install system for electronically transmitting fingerprint image to repository.
4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS	Install system for electronically transmitting fingerprint image to AFIS.
4.5 <i>Enhance Fingerprint Card Distribution</i>	
4.5.1 Establish multipart fingerprint card	Implement statewide multipart fingerprint card to be distributed by arresting agency to repository, to FBI and possibly to other justice agencies .
5 Fingerprint Search	
5.1 <i>Establish Single Source</i>	
5.1.1 Create procedure to make repository single source	Establish procedure such that central repository becomes single source for submitting fingerprint cards to FBI; this is a prerequisite for III participation.
5.2 <i>Upgrade Fingerprint Search</i>	
5.2.1 Install AFIS	Install AFIS for automated classification, search and maintenance of fingerprints and offender information.
5.2.2 Upgrade AFIS	Improve existing AFIS.
5.2.3 Install remote AFIS workstations	Install AFIS workstations at remote sites for input and/or validation of fingerprints.
5.3 <i>Upgrade AFIS/CCH Interface</i>	
5.3.1 Automatically link fingerprint card data to criminal history record	Install store-and-forward or other system to associate defendant's fingerprint card data automatically with his/her criminal history record.
5.4 <i>Expand Fingerprint File</i>	
5.4.1 Join regional AFIS	Enter into agreement with another region or state in order to access its AFIS.
5.4.2 Include civilian fingerprints in file	Store civilian fingerprints in addition to criminal fingerprints.
5.4.3 Process fingerprint card backlog	Classify and enter backlogged fingerprint cards.
5.4.4 Convert manual fingerprint cards to automated system	Convert manual fingerprint cards to automated system for purpose of storing them on AFIS.
5.4.5 Purge fingerprint cards that no longer meet requirements for storage	Eliminate fingerprint cards according to purging criteria.
6 Criminal History Records	
6.1 <i>Upgrade Records/Computer System</i>	
6.1.1 Computerize MNI	Convert manual MNI records to automated format.
6.1.2 Computerize criminal history records	Convert manual criminal history records to automated CCH format.
6.1.3 Upgrade CCH hardware	Improve hardware components of computer system housing statewide criminal history records.
6.1.4 Upgrade CCH software	Improve software components of computer system housing statewide criminal history records.
6.1.5 Automatically retrieve criminal history based on MNI search	Establish linkage between MNI and CCH, such that an MNI 'hit' automatically generates criminal history record.
6.1.6 Consolidate duplicate records in CCH	Eliminate duplicate CCH records via consolidation process.

Exhibit 2-4 (page 6 of 10)

6.2 <i>Establish Record Flags</i>	
6.2.1 Establish record flags for felony	Set record flag in CCH for each offender who is a convicted felon.
6.2.2 Establish dynamic record flagging system for felonies	Install software to automatically and dynamically flag felons, given knowledge of which conviction charges are felonies.
6.2.3 Establish record flags for specific disqualifying crimes	Set record flag in CCH for each offender convicted of crime(s) against children, elderly disabled; domestic violence misdemeanors; and sex offenses.
6.3 <i>Upgrade NIBRS</i>	
6.3.1 Establish local NIBRS	Establish NIBRS at local level designed to compile statistical crime data.
6.3.2 Establish state NIBRS	Establish NIBRS at state level designed to compile statistical crime data.
6.3.3 Computerize NIBRS	Convert NIBRS from manual to automated format.
6.3.4 Automatically access NIBRS from CCH for flagging purposes	Develop system to access NIBRS incident data automatically so that certain incidents (e.g., child abuse) may be flagged in CCH.
6.3.5 Upgrade NIBRS hardware	Improve hardware components of NIBRS.
6.3.6 Upgrade NIBRS software	Improve software components of NIBRS.
6.4 <i>Expand Criminal History File</i>	
6.4.1 Create juvenile database	Develop database exclusively for maintaining juvenile criminal history records, separate from database of adult records.
6.4.2 Incorporate civil protection order	Include in CCH information regarding protection orders.
6.4.3 Convert juvenile records to adult records	Process juvenile records to be included in adult criminal history files.
6.4.4 Establish sex offender registry	Create file for maintaining information specifically on sex offenders.
6.4.5 Create gang index	Create separate file for maintaining gang-specific information.
6.4.6 Establish DNA databank	Create databank for maintaining DNA information on offenders.
6.4.7 Process disposition backlog	Enter backlogged disposition reports in criminal history database.
6.4.8 Create concealed weapon file	Create separate file for maintaining concealed weapon registration information.
6.4.9 Create gun denial (Brady) file	Create separate file for maintaining information on individuals whose applications to purchase firearm were denied.
6.4.10 Include misdemeanors in criminal histories	Maintain misdemeanor information, in addition to felony information, in criminal history files.
6.4.11 Create file of supervised offenders	Create separate file for maintaining status information on offenders currently on supervised status (i.e., probation or parole).
6.5 <i>Upgrade Central Repository/FBI Interface</i>	
6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI	Enable electronic transfer of data from CCH files to FBI information systems (e.g., III, NCIC Wanted Persons File, NCIC Protection Order File).
6.5.2 Automatically link disposition data to existing FBI records	Establish ability to link disposition data to its corresponding FBI record, via unique tracking number.

Exhibit 2-4 (page 7 of 10)

6.6 <i>Upgrade Central Repository/INS Interface</i>	
6.6.1 Provide periodic paper reports to INS	Periodically report convictions of aliens to INS.
6.6.2 Computerize INS reporting	Enable electronic transfer of data from state CCH to INS.
7 FBI Records	
7.1 <i>Establish III Status</i>	
7.1.1 Synchronize records	Eliminate all discrepancies between state and FBI criminal history records.
7.1.2 Set felony and other flags	Set flag for offenders listed in III which indicates whether offender has been convicted of felony or other crime, such as one against children, elderly and/or disabled.
7.1.3 Assume responsibility for additional III records	Transfer responsibility for criminal history records in FBI system to states where offenses were committed.
7.1.4 Upgrade message switch communications	Improve state's existing message switch which links criminal justice agencies.
7.1.5 Upgrade III software	Improve existing software which enables participation in FBI's III program.
7.2 <i>Comply with FBI Protocols</i>	
7.2.1 Sign III compact	Ratify III compact to allow for interstate dissemination of criminal information for NCJ purposes.
7.2.2 Comply with NIST standards	Make hardware and/or software changes required to comply with NIST standards regarding the interchange of fingerprint image information.
8 Prosecution	
8.1 <i>Upgrade Prosecution Data</i>	
8.1.1 Computerize prosecution data	Install computer-based information system that processes current prosecutor case information and stores and retrieves past case information.
8.1.2 Upgrade prosecutor information system	Improve existing prosecutor information system.
8.2 <i>Upgrade Prosecution/Court Interface</i>	
8.2.1 Establish electronic connection between court and prosecutor information systems	Enable electronic transfer of data between court information system and prosecutor information system.
9 Arraignment	
9.1 <i>Upgrade Court Data</i>	
9.1.1 Computerize court data	Install computer-based information system that processes current court case information and stores and retrieves past case information.
9.1.2 Upgrade court information system	Improve existing court information system.

Exhibit 2-4 (page 8 of 10)

9.2 <i>Upgrade Court Interfaces</i>	
9.2.1 Establish electronic connections between/among courts	Enable electronic transfer of data between/among individual courts or court information systems.
9.2.2 Establish electronic connection between courts and probation	Enable electronic transfer of data between court information system and probation information system.
9.2.3 Establish electronic connection between courts and corrections	Enable electronic transfer of data between court information system and corrections information system.
10 Adjudication/Appeal	
10.1 <i>Upgrade Disposition Data</i>	
10.1.1 Computerize disposition data	Install computer-based information system that captures, stores and retrieves past case disposition information.
10.1.2 Computerize sentence code table	Convert manual sentence code table to automated format.
10.1.3 Upgrade court information system for disposition purposes	Improve court information system for capturing, storing, retrieving and/or transferring disposition data.
11 Supervised Release	
11.1 <i>Upgrade Probation Data</i>	
11.1.1 Computerize probation data	Install computer-based information system that processes current probation case information and stores and retrieves past case information.
11.1.2 Upgrade probation information system	Improve existing probation information system.
12 Incarceration	
12.1 <i>Upgrade Corrections Data</i>	
12.1.1 Computerize corrections data	Install computer-based information system that processes current corrections case information and stores and retrieves past case information.
12.1.2 Upgrade corrections information system	Improve existing corrections information system.
12.2 <i>Upgrade Corrections Interface</i>	
12.2.1 Establish electronic connection between corrections and parole	Enable electronic transfer of data between corrections information system and parole information system.
13 Parole	
13.1 <i>Upgrade Parole Data</i>	
13.1.1 Computerize parole data	Install computer-based information system that processes current parole case information and stores and retrieves past case information.
13.1.2 Upgrade parole information system	Improve existing parole information system.

Exhibit 2-4 (page 9 of 10)

14 Disposition/Record Link

14.1 Upgrade Central Repository/Prosecution Interface

- 14.1.1 Establish electronic connection for transfer of prosecution data to repository Enable electronic transfer of data from prosecution information system to repository.
- 14.1.2 Automatically link prosecution charge modifications to criminal history record Establish ability to link charge modifications automatically to criminal history record via unique ACN/CCNs.
- 14.1.3 Upgrade electronic connection between prosecution and repository Improve electronic connection between prosecution and repository.

14.2 Upgrade Central Repository/Court Interface

- 14.2.1 Establish bi-directional electronic connection between repository and courts Enable two-way electronic transfer of data between CCH and court information system
- 14.2.2 Establish electronic connection for transfer of court disposition data to repository Enable electronic transfer of disposition data from court information system to repository.
- 14.2.3 Establish electronic connection for transfer of criminal history records to courts Enable electronic transfer of criminal history record information from repository to courts.
- 14.2.4 Automatically link court dispositions to criminal history record via ACN/CCNs Establish ability to link court dispositions automatically to criminal history record via unique ACN/CCNs.
- 14.2.5 Upgrade electronic connection between courts and repository Improve electronic connection between courts and repository.

14.3 Upgrade Central Repository/Probation Interface

- 14.3.1 Establish electronic connection for transfer of probation data to repository Enable electronic transfer of data from probation information system to repository.
- 14.3.2 Automatically link probation status to criminal history record Establish ability to link probation status automatically to criminal history record via unique ACN.

14.4 Upgrade Central Repository/Corrections Interface

- 14.4.1 Establish electronic connection for transfer of corrections data to repository Enable electronic transfer of data from corrections information system to repository.
- 14.4.2 Automatically link corrections status to criminal history record Establish ability to link corrections status automatically to criminal history record via unique ACN.
- 14.4.3 Upgrade electronic connection between corrections and repository Improve electronic connection between corrections and repository.

14.5 Upgrade Central Repository/Parole Interface

- 14.5.1 Establish electronic connection for transfer of parole data to central repository Enable electronic transfer of data from parole information system to repository.
- 14.5.2 Automatically link parole status to criminal history record Establish ability to link parole status automatically to criminal history record via unique ACN.

Exhibit 2-4 (page 10 of 10)

15 Firearm Check

15.1 Establish Firearm Check

- | | |
|--|---|
| 15.1.1 Establish call center for answering firearm check queries | Provide adequate staffing and technological resources to accommodate firearm check queries from FFLs. |
| 15.1.2 Install firearm check terminals at gun dealers | Install terminals at gun dealers to immediately ascertain eligibility status of prospective firearm purchaser. |
| 15.1.3 Participate in FIST | Participate in national FIST Program. |
| 15.1.4 Provide for direct access to firearm check information | Create automated system by which authorized agencies may access firearm check information electronically; includes NICS compliance. |

16 Employment Check

16.1 Establish Employment Check

- | | |
|--|--|
| 16.1.1 Establish center for processing employment background checks | Provide adequate staffing and technological resources to accommodate fingerprint-based employment checks. |
| 16.1.2 Provide users with direct access to employment background check information | Create system by which authorized users may access employment background check information, either electronically, by telephone or by other means. |

17 State Non-Criminal Justice Data Sources

17.1 Access State NCJ Data Sources

- | | |
|--|---|
| 17.1.1 Establish access to mental health records | Create system by which authorized users may access state mental health records, either electronically, by telephone, or by other means. |
| 17.1.2 Establish access to drug abuse records | Create system by which authorized users may access state drug abuse records, either electronically, by telephone or by other means. |

18 Federal Non-Criminal Justice Data Sources

18.1 Access Federal NCJ Data Sources

- | | |
|---|---|
| 18.1.1 Establish access to illegal alien information from INS | Create system by which authorized users may access illegal alien information from INS, either electronically, by telephone or by other means. |
|---|---|

19 Private Non-Criminal Justice Data Sources

19.1 Access Private NCJ Data Sources

- | | |
|---|---|
| 19.1.1 Establish access to mental health treatment information from private treatment centers | Create system by which authorized users may access mental health information from private treatment centers, either electronically, by telephone or by other means. |
| 19.1.2 Establish access to drug treatment information from private treatment centers | Create system by which authorized users may access drug abuse information from private treatment centers, either electronically, by telephone or by other means. |

2.3 Study Conduct

The C-CHRIE tasks and schedule are summarized in Exhibit 2-5. We initiated the study by reviewing all documentation—including Byrne 5% plans, NCHIP grant applications, data quality improvement plans, and other memoranda—forwarded by the states to BJS and BJA. Since our previous contacts with the states took place in early 1994, when we completed the CHRIE effort, we reestablished telephone contact with each state in mid-1995, specifically with the designated CHRI, Byrne 5%, and NCHIP grant administrators. We also obtained lists of key personnel and agencies involved in administering the Byrne 5% program. As such, Q.E.D.’s first major deliverable, Preliminary Assessment, provided an initial perspective on both the federal programs and the extent of activities. To better comprehend the relationship between activities, their funding sources, and timeframes, our second major deliverable, Continuing Criminal History Records Improvement Evaluation: 1994-1996 Report, “dug more deeply” and provided valuable insights and hypotheses which became the focus of this third major deliverable.

As noted in Exhibit 2-5, our fourth major deliverable will be in the second quarter of 2001 and it will focus on the ’98-’00 period. Additionally, Q.E.D. has undertaken several special studies at the request of BJS; for example, in cooperation with SEARCH, we have recently completed a study on the efficacy of name-based—versus fingerprint-based—background checks.

To monitor hundreds of activities effectively at state, local, and county levels, we remained in contact with each state’s NCHIP grant administrator, as well as representatives of the state’s multi-agency task force convened under a Byrne requirement. In addition, visits to state repositories and criminal justice agencies nationwide played a key role in enhancing our understanding of the states’ activity planning and implementation. In preparation for these site visits, we created information portfolios that include current and earlier improvement activities, NCHIP-related progress reports, firearm check capabilities, organizational structure, overall criminal justice system statistics, and recent grant activities (e.g., whether they received ASAP funds, and for what purpose).

In addition to speaking or corresponding with over 200 individuals, we met with more than 70 officials from 17 states (California, Colorado, Connecticut, Florida, Maine, Maryland, Massachusetts, Minnesota, Missouri, Nevada, New Mexico, New York, North Dakota, Texas, Vermont, Virginia, and Washington), the FBI, Morpho (now “Sagem Morpho”), and Printrak. The selection of states to visit was based on several criteria, including the nature of activities, location, size, urban/rural population mix, degree of technology implementation, NFF and III status, and regional AFIS participation.

Inasmuch as our effort focuses on activities supported by CHRI, Byrne 5%, and NCHIP funding, the extent to which state and local funds contribute to these federally funded activities is also noted in this

report. Of course, many other criminal history records improvement activities are underway using only state or local funds.

As noted earlier, we took a two-pronged approach to the evaluation, involving both an overall impact evaluation of all states and a more focused evaluation of a few states. As part of the impact evaluation during our 1993 CHRIE study, we conducted a questionnaire of all states, which addressed issues and approaches to improving data quality. At that time, we learned a great deal about states' views on critical issues and weak links within their criminal records information systems. Leveraging that work, we redesigned and conducted a similar questionnaire. As part of our focused evaluation, we collected arrest and disposition data from a small number of states to test critical hypotheses concerning arrest record/disposition linkage issues, and we interviewed users regarding their perceptions of criminal history records. The resultant findings are presented in Section 3.3. We wish to emphasize that during our effort, states have been cooperative in responding to our requests and in discussing their activities.

Finally, as alluded to in Section 2.2, one of the most challenging aspects of this study has been the early development of our activity-based classification scheme, and the subsequent construction of a database for maintaining activity information, on a state-by-state basis. To enhance our knowledge of individual state activities, we designed an "activity summary" for each state which includes background characteristics, information about funding sources (CHRI, Byrne 5%, NCHIP, state, or local), and available activity start and completion dates, both planned and actual. Activities based on information in NCHIP grant applications are as of FY 97, since any activities proposed in the FY 98 application would hardly have begun. An example of such a summary is given in Exhibit 2-6, which describes our "Sample State" as using federal funds to implement 17 improvement activities, ranging from auditing criminal history data quality (1.2.1) to processing disposition backlog (6.4.7). To keep our database current, we twice requested that states update their information—in June 1997 and again in February 1998. When reviewing these summaries, note that a "blank" indicates that the information was not available at the time we wrote this report; we will incorporate the information in our database if and when it becomes known. A complete summary for each state, included in Appendix B, should be beneficial to state administrators as they learn about improvement activities under way in other states.

Exhibit 2-5 C-CHRIE: Study Tasks and Schedule

Task Name	1995				1996				1997				1998				1999				2000				2001			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
<i>1 Preliminary Assessment</i>																												
1.1 Review existing documentation																												
1.2 Update CHRI study																												
1.3 Revise study plan																												
Deliver Preliminary Assessment					◆																							
<i>2 Monitoring Federally-Funded Activities</i>																												
2.1 Site visits / telephone contacts																												
2.2 Data collection																												
2.3 Data analysis																												
<i>3 Focused Study</i>																												
3.1 Select focus group																												
3.2 Initial site visits																												
3.3 Data collection																												
3.4 Data analysis																												
3.5 Follow-up site visits																												
3.6 Simulation																												
<i>4 Special Studies</i>																												
4.1 Critical measures																												
- Scoring system assessment																												
- BJA Waiver guidelines analysis																												
- Pertinent measures formulation																												
4.2 Arrest/disposition issues																												
4.3 Name check efficacy																												
<i>5 Web Access to Study Products</i>																												
Deliver Draft '94-'96 Report									◆																			
Deliver Final '94-'98 Report																	◆											
Deliver Final '98-'00 Report																									◆			

Exhibit 2-6 State Activity Summary: Sample State

Background Characteristics

State Population (thousands)?	4,952	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	941	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	85.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/96	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		o	T	o	T	R	H r H a c
		m	o	m	o	I	n I t a
							e P e l
1	1.2.1 Audit criminal history data quality <i>Conduct statewide criminal history audit program</i>	1/78	12/80	7/78			X
2	1.3.1 Establish five-percent set-aside task force <i>Establish Criminal Justice Records Improvement Task Force</i>	1/91					X X
3	3.5.2 Establish electronic connection for transfer of rap sheet data from repository to law enforcement <i>Enable law enforcement to request criminal records check electronically</i>			2/77			X
4	4.3.1 Install livescan <i>Install livescan at four law enforcement agencies</i>	12/93					X
5	5.2.1 Install AFIS <i>Install AFIS</i>		9/90	10/90			X
6	5.2.1 Install AFIS <i>Replace and improve AFIS to permit expansion of FP card arrest processing operations</i>	6/97	3/98				X
7	5.2.2 Upgrade AFIS <i>Improve AFIS Search/match subsystem and expand storage</i>	6/97	3/98				X
8	5.2.2 Upgrade AFIS <i>Fund various AFIS equipment upgrades</i>						X
9	5.2.3 Install remote AFIS workstations <i>Aiken Co Sheriff becomes on-line user of AFIS</i>	12/93					X
10	6.1.2 Computerize criminal history records <i>Automate records submitted to CCR</i>						X
11	6.2.1 Establish record flags for felony <i>Set felony flags in existing records</i>	9/91		10/92		X	
12	6.3.3 Computerize NIBRS <i>Automate NIBRS within requesting agencies</i>						X
13	6.4.2 Incorporate civil protection order <i>Access data on restraining orders</i>	10/97					X
14	6.4.4 Establish sex offender registry <i>Implement Convicted Sex Offender Registry</i>	7/94		1/95			X
15	6.4.7 Process disposition backlog <i>Process dispo backlog</i>	9/91		7/92	12/92	X	
16	6.4.7 Process disposition backlog <i>Hire temporary employee to process dispo backlog</i>	7/97		7/97			X
17	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Initiate on-line submission of MRD to FBI</i>			6/90			X

3. Current Findings

The evolution of federal legislation and programs to address records improvement is presented in Section 1, and our approach to assessing the programs is detailed in Section 2. The first two sections provide the necessary backdrop for the impact and focused evaluations, whose findings are contained in this section. The findings are the result of a background analysis, an activity-based analysis, and a goal-based analysis.

3.1 Background Analysis

The activity- and goal-based findings of Sections 3.2 and 3.3, respectively, are best understood within the context of federal and state background factors considered in this section.

Level of Federal Funding

Exhibit 3-1 highlights CHRI, Byrne 5%, and NCHIP funds awarded and drawn down, or spent, by state. As of December 1998, CHRI, Byrne 5%, and NCHIP have awarded \$27M, \$156M, and \$206M, respectively, for a total of \$389M. This averages \$0.77M in federal funds awarded annually to each state, over the past nine years. The average state award under CHRI was \$504K, under Byrne 5% is \$2.8M (thus far), and under NCHIP is \$3.9M (thus far), for an average total of \$6.9M. Records indicate that some \$300K of CHRI program funds has not been expended, which is surprising, since the CHRI program ended in FY 92. If in fact they have been spent, the accounting error is probably the result of a miscommunication between state and federal offices. As expected, neither the Byrne 5% nor NCHIP funds have been totally expended, since these funds were awarded as recently as FY 98.

Assessing the individual impact of *any* one of the federal programs may be impossible, as noted earlier, since the states view the awards as one large pool of funds, and the programs strive to coordinate their efforts. Still, assessing the impact of Byrne 5% funds is especially complex because of the manner in which these grants are administered and targeted for local or state use which varies widely from state to state. While at least 25% of the formula grant must be matched, the matching can be accomplished on a project-by-project basis (as in Florida), or it

can be the result of a statewide match (as in Connecticut). The federal government requires that the state pass through a portion of the funds to local units of government, equal to the ratio of local criminal justice costs to total criminal justice costs for the state. In Florida, 2/3 of the Byrne funds pass through to local jurisdictions and 1/3 goes to the state; while in Connecticut, the reverse is true. In addition, some states accrue Byrne 5% moneys in order to purchase “big-ticket” items. Nevada receives approximately \$3.2M annually in Byrne funds, \$160K of which comprises their 5% set-aside. The state is accumulating its 5% funds over four years—usually the maximum allowable—to purchase livescan fingerprint processing equipment for six of its 17 county jail facilities. Florida, on the other hand, receives a proportionately larger grant of \$21.4M annually, and expends all of its Byrne 5% funding within each fiscal year.

Another factor that complicates evaluation of the Byrne 5% program is determining how much of these funds is *actually* spent on criminal history records improvement. According to BJA, considerably more Byrne funds are used for this purpose than the \$156 million which constitute the mandated 5% set-aside; this is but a lower limit on actual Byrne funds that states spend. The total is difficult to ascertain. States report draw-down figures for *all* Byrne formula funds—including violent crime and drug-related initiatives—but do not differentiate the 5% funds. Only twice since inception of the 5% program in FY 92 have the states been asked to report 5% draw-down numbers separately. To facilitate analysis of Byrne 5% funds, each state should report them regularly and separately from the entire annual Byrne award.

Still, BJA’s assertion may be correct. Exhibit 3-1 shows that 74% of Byrne funds has been drawn down as of 12/97 (in fact, this number is a lower limit, since FY 98 awards are included in the exhibit); approximately one-third of the states drew down *more than 5%* of their funds for criminal history records improvement—in these cases, the amount drawn down by the state exceeds the amount of the 5% award. (Low draw-down figures may be misleading, since some states wait to accrue funds prior to drawing down for large purchases.) Many state staff concede they are “grateful for the Byrne 5% provision because without it *no* Byrne moneys would be spent on criminal history records.” In particular, a Missouri official comments that the state hopes to increase its set-aside to as much as 20%, and in 1994 and 1995, Massachusetts utilized 40% and 20%, respectively, of its Byrne funds for records improvement. From this we can infer that states endorse the need for improving criminal history records and wish the federal funding to continue for such purposes.

Overall, more than half of the \$389M in federal program awards has been drawn down, implying that the funds are in active use. The fact that only slightly more than one-third of the NCHIP funds have been drawn down should not be discouraging—this can be attributed to its being the newest of the three federal records improvement initiatives.

Existence of a Saturation Phenomenon?

Exhibit 3-1 shows that the average NCHIP draw-down per state (i.e., total drawn down as a fraction of its total award) is only 36%. The question has been raised as to whether states are unable to handle

additional workloads associated with a large infusion of funding, precipitating a so-called “saturation phenomenon”. We believe there are other explanations. First, improvement activities initiated during CHRI occurred over a long time frame—as noted earlier, 22 states had still not completed CHRI activities in April 1994. Second, typical Byrne and NCHIP awards are substantially larger than CHRI, resulting in larger-scale, more complex activities, especially when states accumulate their Byrne funds over many years to purchase “big-ticket” items. Finally, inasmuch as new programs such as SIS come into existence, there is a need for additional funding—to preclude promulgation of unfunded mandates.

Basis for Formula Grants

Awarding federal dollars on a formula grant basis—as in the case of the Byrne moneys—gives the more populous states proportionately larger grants. Presumably, the larger the population, the more criminal records there are, and perhaps, the larger the cost to create, store, and disseminate records. Exhibit 3-2 substantiates the assumption that the number of records in a state correlates highly with its population—the correlation coefficient is 81%, based on data from 53 states.

Investigating the “urban” influence on such a correlation, although beyond the scope of this report, can be a worthwhile endeavor. An even stronger correlation might result if only urban populations within the states were correlated with the sizes of their criminal history records databases.

Completion Time of an Improvement Activity

On average, how long does it take to complete an improvement activity? Answering this question sets proper expectations and aids in planning future funding efforts. Obviously, some activities, such as processing a fingerprint card backlog, could take weeks, while others, such as computerizing corrections data, may take months. Based on activities in our database which have actual completion dates, Exhibit 3-3 estimates the average activity completion time to be 2.7 years. (Of the 1,552 activities in our database, 108, or 7%, are “ongoing” and have no planned or actual end date, as with continuing training programs.) As our discussion of implementation issues in Section 2.1 suggests, many explanations for this length of completion time exist, including contractor delays, personnel changes, political difficulties, and even possible cancellations.

III Participation and the Attorney General’s Timetable

Joining III is a priority under NCHIP because III states respond to out-of-state inquiries for criminal history information based on their own record files, whereas the FBI responds to such inquiries on behalf of non-III states using FBI-supported records. In general, state records are more complete than FBI-maintained records, since many states mandate reporting criminal history information to the repository, whereas reporting the same information to the FBI is voluntary. As such, ten states have become III members under NCHIP—Alabama, Arizona,

Arkansas, Indiana, Iowa, Maryland, Mississippi, Nebraska, New Mexico, and West Virginia—bringing the total III membership to 39 states.

To expedite III participation, the Attorney General was assigned two major tasks under the Brady Act, namely:

1. accelerating the upgrading and indexing of state criminal history records in the FBI-maintained federal criminal records system (the Interstate Identification Index, or III); and
2. determining a timetable for each state to be able to provide criminal records on an on-line capacity basis to the national system (referred to below as “current and shareable records”).

What is the significance of these tasks? To begin with, they directly facilitate implementation of the Brady Act, whose primary purpose is establishing a national instant criminal background check system, NICS, to determine the eligibility of a prospective purchaser of a firearm. Most important, the NICS Index will be made up of III *criminal* records—as well as *non-criminal* justice files (e.g., substance abusers) and NCIC hot files (e.g., wanted persons file). Since III will be the source of criminal history records information for NICS, increasing its membership is critical to the integrity of NICS.

The following four subsections address the III.

How III Works: Record Availability and Completeness

Following an arrest, states are requested to send fingerprint cards to the FBI for “criterion” offenses. States send fingerprint cards for misdemeanor and felony arrests, as *defined by the individual* states; a criterion offense generally refers to a crime punishable by imprisonment for a term exceeding one year. Not all fingerprint cards, however, are sent to the FBI. In some states, such as Massachusetts, FBI reporting may be spotty because the central repository is not the “sole source of submission”—one reason why the state is not yet a III member—and fingerprint cards are submitted by local law enforcement, if at all.

Once the FBI receives the fingerprint card of an offender, the name, date of birth, and other demographic information is entered in III, regardless of whether the state is an III member or not. Put simply, the III is a decentralized index-pointer system maintained by the FBI and containing the personal identifiers of criterion offenders, and “pointers” to states that maintain criminal history records on the offenders. If a state is not a III member or does not support a particular criminal record, the pointer points to the FBI, which maintains the record. States become III members by meeting stringent requirements covering record content, maintenance, response, and accountability.

III Member State Response to a III Inquiry

States that are III members respond to out-of-state criminal justice information requests—called purpose code C—for records for which they are responsible. A state is “responsible” for, or “supports,” a particular record if the record has been “synchronized” with its FBI

record. Synchronization is a regular process, whereby either the FBI sends a magnetic tape of records to a state, or vice versa, and each field of every record is matched between state and FBI records. If the record cannot be reconciled completely, it is not synchronized, and the FBI continues to support it. Some states synchronize periodically, especially when new arrests occur for a prior record and that record is updated.

Any state can inquire into the III system. For example, if following an arrest, the New Jersey State Police wish to ascertain if the arrestee has a record in another state, it inquires into III. III might uncover the fact that the arrestee has a record in Wyoming and in Massachusetts, and as such, the III response “points” to Wyoming and the FBI. (If no record is found, a negative response is indicated.) If New Jersey wants to see the records, it will request the Wyoming record from that state and the Massachusetts record from the FBI, since Massachusetts is not an III state and is not capable of responding to III inquiries (see next subsection). The responding entities—Wyoming and the FBI—return criminal histories or “rapsheets” to New Jersey. While the process usually takes only a few minutes, it requires an individual capable of interpreting rapsheets—often a trooper—because the format and the violation and conviction codes in the rapsheets are complex and vary from state to state. (States have long recognized the need for improved readability—consistency and uniformity—of rapsheets, as documented in Increasing the Utility of the Criminal History Record: Report of the National Task Force [BJS, 1995]).

If the inquiry is for a firearm check, it is called purpose code F and the process is the same as for purpose code C, except that the information released about a record can differ. In South Dakota, for example, sealed records can be released for purpose code C but not for purpose code F.

FBI Response to a III Inquiry

The FBI responds to an inquiry to III that results in a “hit” in a non-III state (e.g., Massachusetts) or in a III state that is not responsible for a particular record. FBI information is based on the record *maintained by the FBI*, and, as noted earlier, FBI-supported records are frequently less complete than state records.

Currently, the FBI sometimes does not receive a fingerprint card for an arrest that results in a felony conviction or it may receive one or some (but not all) fingerprint cards for an offender who has been arrested more than once.¹ Under NICS, if a fingerprint card was never received, the FBI might mistakenly allow the sale of a firearm to an individual who has been convicted of a felony. Similarly, if the FBI received one fingerprint card only for an offender based on a misdemeanor, but never received a subsequent fingerprint card for the same offender based on an arrest that resulted in a felony conviction, the FBI would permit the sale.

¹ If and when the National Fingerprint File (NFF) goes into effect nationally, the FBI will receive only the first fingerprint card for an offender, but this is not yet the case. To date, four states have NFF status: Florida, New Jersey, North Carolina, and Oregon.

Because of such scenarios, the federal government wants to accelerate III participation and expand the states' responsibility for their own records.

Exhibit 3-4 sheds light on the scope of these issues. As column 1 indicates, there are 53.7 million criminal history records in the United States. Thirty-nine states are III members; ten joined during NCHIP (columns 2 and 3). Columns 4-6 refer to the 32.7 million records that are available via an III inquiry; the FBI is responsible for 12.6 million of these, and the states support 20.1 million.

States will surely never support all III records; some records pre-date membership and/or may be inactive and not warrant synchronization. Nevertheless, the twin goals of expanding III participation and increasing the number of state-supported records will improve record availability and record completeness.

Attorney General's Timetable: Current and Shareable Records

Driving the Attorney General's timetable is the federal goal of current and shareable records. Records are considered "current and shareable" if: (i) they come from an III state, and (ii) the records of arrests made within the preceding five years—with at least one criterion offense—contain dispositions of those arrests.

Columns 6 and 7 of Exhibit 3-4 indicate that as of 1995, 21 states had reached the federal goal of 80% for records within the previous five years. However, since six of these states are not yet III members (Hawaii, Maine, Massachusetts, New Hampshire, Vermont, and Wisconsin), their records cannot be considered current and shareable. Furthermore, the feasibility of achieving (ii) on a national level is questionable and is discussed in Section 3.3.

Firearm Purchase Procedure

There is a risk that firearm sales to ineligible purchasers will increase under NICS. During the interim provision of Brady, all states perform state-level firearm eligibility checks; under NICS, these checks are performed only by states serving as Points of Contact (POCs)—all others are conducted by the FBI, using FBI records which are not as complete. This is especially an issue in non-POC/non-III states, where the FBI will be checking FBI-supported records.

Interim Brady Provision: Checking Records at the State Level

The permanent provision of the Brady Act calls for establishment of a national instant criminal background check system by November 30, 1998, to be contacted by FFLs before the transfer of *any firearm*. Nevertheless, an interim provision was established, requiring a waiting period prior to the purchase of a *handgun*, during which the state's Chief Law Enforcement Officer (CLEO) would perform a background check on the prospective purchaser. This is the key Brady amendment to the Gun Control Act of 1968; prior to the amendment, no

background check or waiting period was federally mandated, although states may have implemented the procedure on their own. It is instructive to review the procedure for purchasing a handgun during the interim provision, which varies somewhat from state to state. (The waiting period is addressed in Section 3.3.)

Under Brady, states that already had legislation mandating that handgun purchasers undergo a background check, *and* that had state laws encompassing at least the same categories of individuals prohibited from purchasing a handgun as specified in the federal law, were not subject to the federal waiting procedure. These “Brady-Alternative” states made up approximately half of the states. In most cases, they had either a state-mandated permit or other approval-type system. A few had “instant” (i.e., automated) check systems that FFLs could contact to obtain information immediately on whether the sale of a handgun would violate the law. (The notion of “instant” check systems and “immediate” responses is discussed below.)

If, however, the state had a permit system based on procedure alone and not on state law, or the state laws on handgun purchase were more lenient than the federal law (e.g., some felons were not prohibited from buying), then the state was not classified as Brady-Alternative. The other half were referred to as “Brady” states because they did not previously have state-enforced background checks and were thus required to comply with the Brady Act and were subject to the waiting period. During the interim Brady provision, the status of several states changed from “Brady” to “Brady-Alternative,” as states enacted qualifying legislation.

Exhibit 3-5 describes the procedure for purchasing a handgun in a Brady state. There are three possible scenarios:

1. Standard Procedure;
2. Approval by Secretary of Treasury; or
3. Threat to Life.

The standard procedure is by far the most prevalent and therefore of greatest interest; the other two require pre-approval by the Secretary for purchasing certain specified firearms, or by the CLEO, in the event that an individual demonstrates a threat to his/her life. In any case, the prospective purchaser must complete ATF form 4473 in any state to purchase a firearm, and form 5300.35, created by the Brady Act, and required only in Brady states. Form 5300.35 is formally called the “Statement of Intent to Obtain a Handgun(s)” and requires the purchaser to certify that he/she does not fall into any categories that would prohibit the handgun sale. The FFL verifies the buyer’s identification, completes the forms, and notifies and forwards a copy of the forms to the CLEO. The CLEO conducts a background check, *presumably checking state records*, and has five days to notify the FFL as to whether sale of the handgun would violate federal, state, or local law. If the CLEO does not respond within five days, the FFL may sell the handgun.

Exhibit 3-6 describes the procedure for purchasing a handgun in a Brady-Alternative state. In this case, there are four possible scenarios:

1. Permit Procedure;

2. Point-of-Sale Check;
3. Approval by Secretary of Treasury; or
4. Threat to Life.

The permit procedure and point-of sale checks are the most prevalent; once again, the other two require either pre-approval by the Secretary, or by the CLEO, when an individual demonstrates a threat to his/her life

The prospective purchaser must complete form 4473 only and present valid identification, which is verified by the FFL. In a state where a permit system is used, the individual will have already undergone an official background check in order to obtain the permit and, provided that it has been issued within the last five years, the sale can be consummated immediately. In a state with a point-of-sale procedure, one of two things can happen: the FFL forwards the information to the CLEO via mail or fax and, depending on whether a record match is found, may sell the handgun. Otherwise, an instant check system is in place, whereby the FFL contacts the repository by telephone or computer terminal, a record check is conducted immediately, and a response is returned to the FFL in real time. In either case, *presumably, state records are verified.*

Permanent Brady Provision: NICS, POCs, and Gaps in Record Availability

With NICS operational in November 1998, the terms “Brady” and “Brady-Alternative” become obsolete, and the above-cited procedures change, as indicated in Exhibit 3-7. The FBI operates a national center, called the NICS Operations Center, to conduct background checks making record inquiries into NCIC (“hot files”), III (criminal histories), and the NICS Index—a system that contains files on non-felons prohibited from purchasing firearms. States exercise one of four options:

1. State governments serve as a “point-of-contact” (POC) for the system. FFLs query NICS through the POC for *all* firearm transfers. From a conceptual point of view, the POC replaces the CLEO as liaison between the FFL and the FBI and performs the NICS check and determines whether the sale would violate state or federal law; or
2. State governments do not serve as the POC, and FFLs contact the NICS Operations Center, either by telephone or other electronic means, thereby initiating a background check for all firearm transfers. The FBI performs the background check and determines whether the sale would violate state or federal law; or
3. State governments serve as the POC for handgun purchases *but not* for long gun purchases. In this case, FFLs query NICS through the POC for handgun purchases and contact the NICS Operations Center for all long gun purchases; or
4. In states where a firearm purchaser has a valid permit to carry a concealed weapon, or a permit to purchase a

firearm, an NICS check is not required if the permit was issued not more than five years earlier in the state where the sale will take place. Permits issued on or after November 30, 1998 will be valid alternatives under the permanent provision of the Brady Act only if state officials conduct NICS checks on all permit applicants. If the prospective purchaser does not have a valid permit, and the state does not agree to serve as the POC, the FFLs contact the FBI.

Whereas during the interim provision, states were *designated* “Brady” or “Brady-Alternative” by virtue of state laws, during the permanent provision, they have the *choice* to operate as a POC or not. From the FBI’s point of view, the NICS Operations Center staffing requirements are a function of the number of non-POC states; the fewer the POCs, the greater the number of incoming queries to the FBI from individual FFLs.

How does a state choose whether to become a POC? The decision is based on a number of factors, one of them, available resources. Can the state afford to set itself up as a POC, install an instant check system, and provide the FFLs with access? Although operating an instant check system during the interim provision, Idaho will not serve as a POC, citing cost as a factor because of the added expense of performing background checks for long guns.

A state’s attitude toward gun ownership also influences the decision. If it advocates gun ownership, the state is inclined to have FFLs contact the FBI directly, since it is not overly concerned with screening prospective buyers and checking its files.

Still another factor concerns FFL transaction fees. In FY 98, Congress appropriated \$40 million to the FBI to waive the fees FFLs would normally have to pay. While POCs would welcome the idea of the FFLs’ paying the required firearm transaction fee to the state, they may be forced to become non-POCs over the fee issue. Why would an FFL want to pay a fee to the POC if it can make a NICS request to the FBI for free?

What fraction of the states are POCs? As of December 1998, 16 states serve as POCs for all firearm transactions; 11 states are POCs for handgun transactions only, with the FBI performing checks for long guns; and 26 states are not POCs for any firearm transactions (see Exhibit 3-8). However, this number will change if POCs decide to let their FFLs go directly to the FBI. If the FBI is forced to conduct NICS checks for yet a greater number of states, this could increase its operating costs. On the other hand, if the states were offered a federal appropriation of funds to convert to POCs and thus offset the cost to the FFLs, this would have the twin benefit of allowing more records to be checked at the state level and reducing the FBI’s workload and operating costs.

Scope and Impact of Record Availability and Record Completeness Problem

As during the interim Brady provision, when states checked their criminal history files for disqualifying information, a POC presumably

verifies all available records including its own state records—some of which may not be in III—while conducting a firearms eligibility check under NICS. On the other hand, the FBI-conducted NICS checks (referred to as FBI transactions) are at a disadvantage because they cannot access state records that are not in III. The problem is that it is possible for a record to be disqualifying even if it isn't in III. As a result, under NICS, FBI transactions are less likely to uncover prohibiting information than either through POC transactions or through states transactions under the interim provision. This would result in potentially more sales to ineligible purchasers.

Another record availability problem concerns the NICS Index and NCIC hot files. Just as with III, these files are only as good as the extent to which they are populated by state (and federal) data. For example, the Protection Order File is part of the NCIC Hot File, and not all states have started to contribute to it. As a result, when conducting a firearms eligibility check, NICS will not “hit” upon a valid protection order if the state where it was issued has not transmitted it to the NCIC Protection Order File. If no other prohibiting information exists, the sale would go through. (Again, a POC-conducted firearm inquiry checks its state protection orders and denies the sale if a valid protection order exists, but faces the same problem with the NCIC Protection Order File.)

While the NCIC Protection Order File is expected to increase in size as more and more states contribute to it, the future of other files, such as the Mental Defectives/Commitment file, is less certain. As for state mental health files, some repositories are not allowed to access them because of privacy and security concerns (see subsection below on Data Sources Checked to Ascertain Firearms Purchase Eligibility), let alone obtain the information and relinquish it to the federal government to populate FBI files of Mental Defectives. To sidestep this issue, one state will supply names only of individuals adjudicated to be mentally defective—i.e., no mental health information—to the NCIC Denied Persons File. The latter file contains names of individuals who have already been denied firearms because they were determined to be ineligible.

The record availability and record completeness problem is most pronounced in non-POC/non-III states, of which there are currently nine, namely District of Columbia, Kansas, Kentucky, Louisiana, Massachusetts, Maine, Puerto Rico, Rhode Island, and the Virgin Islands. As one state official pointed out: “If every non-III state were a POC for all firearm transactions, it would at least alleviate the problem of records not being checked at the state level.” It is especially important that these states accelerate their participation in III.

What is an “Immediate” Response?

NICS produces an immediate response to the FFL, indicating that the firearm sale may proceed, that it may not proceed, or that a review of a matched record is pending. When there is no prohibiting information about the firearm purchaser, there is “instant” approval. Of course, the response may be “instant” to the FFL, even if a review is pending on a record; but the firearm purchaser may be told to wait—up to three days for a final determination.

Data Sources Checked for Firearm Sales Eligibility

There are potentially insurmountable problems in determining whether databases maintaining noncriminal information for ascertaining firearm purchase eligibility exist and, if so, in determining the feasibility and legality of accessing them, especially if they belong to private institutions. Two firearm purchase ineligibility categories present unique implementation challenges: persons subject to court restraining orders, and domestic violence misdemeanants.

Whether firearm checks are being conducted under the interim provision of the Brady Act, or whether NICS is operational, the integrity of the response depends on the quality of information. This, in turn, is a function of which data sources are verified, and whether data are timely, accurate, and complete. An arrest involving a criterion offense for which no disposition is available is problematic. Not only is the capacity for making well-informed bail, sentencing, and other criminal justice decisions compromised, but the capacity for making non-criminal justice decisions, as in the case of firearm purchase eligibility, is similarly diminished.

Exhibit 3-8 identifies the POC states and highlights which state criminal data sources (e.g., Warrants) and which non criminal data sources (e.g., Mental Health), in addition to a NICS inquiry, are accessed to ascertain eligibility of a prospective firearm purchaser. For non-POC transactions, the FBI checks NICS, as noted above, and not the state files.

The question of which data sources are accessed is significant given the disqualifying categories, which have expanded from seven, as originally stipulated in the Gun Control Act of 1968, to nine at present:

1. Persons under indictment for or convicted in any court of a crime punishable by imprisonment for a term exceeding one year
2. Fugitives from justice
3. Unlawful users of controlled substances
4. Adjudicated mental defectives
5. Illegal aliens
6. Persons dishonorably discharged from the military
7. Citizen renunciates
8. *Persons subject to court restraining orders*
9. *Domestic violence misdemeanants*

With respect to the eighth and ninth categories, the Violence Against Women Act legislated in 1996 denies individuals the right to purchase a firearm if they are subject to certain civil restraining orders, and the Lautenberg Amendment disqualifies persons convicted of domestic violence misdemeanors.

These two categories pose unique problems. To begin with, several types of restraining orders exist, and states may not be able to identify individuals for whom Gun Control Act-compliant restraining orders

have been issued. The amendment's problem is that it is retroactive, and in the past, domestic violence incidents were often categorized in criminal history records as assaults; thus, such incidents are difficult to extract from criminal history records. Complicating matters, the amendment applies to everyone—even law enforcement officials, FBI agents, and the military.

The preponderance of criminal data sources accessed and their disparity, compared to non-criminal justice data sources, is evident. In particular, non-criminal justice categories, such as mental defectives and unlawful users of controlled substances, present special, if not insurmountable, problems. As indicated by Tien and Rich [1990], the challenges inherent in identifying ineligible noncriminals include whether there are databases maintaining the information and, if so, determining the feasibility, as well as the legality, of accessing them, especially if they belong to private organizations. Ultimately, procedures will need to be developed for making this information available to the NICS Index, while ensuring privacy and confidentiality. In fact, as noted in Section 3.3, over \$3.7M was awarded to 18 III states in May 1996 under NCHIP's Advanced State Award Program (ASAP) to assist them in addressing issues around identifying individuals ineligible to purchase firearms for non-criminal justice reasons.

That some of the nine disqualifiers are permanent and others are not is worth noting. On the criminal side, while a felony conviction would permanently render one ineligible to purchase a firearm (unless one receives a gubernatorial pardon), an indictment resulting in a dismissal of the charge or an acquittal would leave one only temporarily ineligible. Similarly, on the noncriminal side, restraining orders expire, and only current users of controlled substances are precluded from being eligible to purchase firearms.

Exhibit 3-1 Federally Funded Efforts: Funding Levels

State	CHRI FUNDING			BYRNE 5% FUNDING			NCHIP FUNDING			ALL PROGRAMS		
	Total Award	Total Drawn Down	Drawn Down as % of Award	Total Award (as of 12/98)	Total Drawn Down (as of 12/97)	Drawn Down as % of Award	Total Award (as of 12/98)	Total Drawn Down (as of 12/98)	Drawn Down as % of Award	Total Award (as of 12/98)	Total Drawn Down (as of 12/98)	Drawn Down as % of Award
Alabama	\$442,112	\$442,112	100.0%	\$2,553,837	\$1,940,536	76.0%	\$2,258,819	\$1,395,230	61.8%	\$5,254,768	\$3,777,878	71.9%
Alaska	\$649,954	\$649,954	100.0%	\$705,337	\$541,546	76.8%	\$2,321,318	\$658,368	28.4%	\$3,676,609	\$1,849,868	50.3%
American Samoa	\$112,842	\$112,842	100.0%	\$300,053	\$142,626	47.5%	\$200,000	\$134,759	67.4%	\$612,895	\$390,227	63.7%
Arizona	\$564,660	\$564,660	100.0%	\$2,464,437	\$2,795,595	113.4%	\$3,049,144	\$2,067,008	67.8%	\$6,078,241	\$5,427,263	89.3%
Arkansas	\$854,142	\$854,142	100.0%	\$1,654,437	\$1,136,009	68.7%	\$2,213,996	\$455,742	20.6%	\$4,722,575	\$2,445,893	51.8%
California	\$588,314	\$588,314	100.0%	\$16,407,137	\$6,846,916	41.7%	\$17,825,542	\$7,768,813	43.6%	\$34,820,993	\$15,204,043	43.7%
Colorado	\$438,178	\$438,178	100.0%	\$2,243,087	\$9,000	0.4%	\$2,810,359	\$1,249,835	44.5%	\$5,491,624	\$1,697,013	30.9%
Connecticut	\$500,000	\$378,964	75.8%	\$2,092,037	\$346,356	16.6%	\$3,077,968	\$619,850	20.1%	\$5,670,005	\$1,345,170	23.7%
Delaware	\$686,831	\$685,787	99.8%	\$761,577	\$306,908	40.3%	\$2,352,369	\$764,277	32.5%	\$3,800,777	\$1,756,972	46.2%
District of Columbia	\$474,600	\$474,600	100.0%	\$684,962	\$1,986,343	290.0%	\$1,248,676	\$0	0.0%	\$2,408,238	\$2,460,943	102.2%
Florida	\$341,540	\$341,540	100.0%	\$7,477,687	\$4,562,536	61.0%	\$6,366,986	\$2,939,237	46.2%	\$14,186,213	\$7,843,313	55.3%
Georgia	\$901,599	\$901,599	100.0%	\$3,973,137	\$2,399,763	60.4%	\$3,824,910	\$1,681,296	44.0%	\$8,699,646	\$4,982,658	57.3%
Guam	\$0	\$0		\$433,690	\$782,305	180.4%	\$200,000	\$0	0.0%	\$633,690	\$782,305	123.5%
Hawaii	\$499,998	\$499,998	100.0%	\$933,530	\$961,754	103.0%	\$2,047,125	\$748,636	36.6%	\$3,480,653	\$2,210,388	63.5%
Idaho	\$234,769	\$234,769	100.0%	\$970,087	\$490,238	50.5%	\$1,141,000	\$428,164	37.5%	\$2,345,856	\$1,153,171	49.2%
Illinois	\$497,578	\$497,578	100.0%	\$6,423,987	\$3,058,422	47.6%	\$8,392,000	\$3,791,098	45.2%	\$15,313,565	\$7,347,098	48.0%
Indiana	\$246,494	\$246,494	100.0%	\$3,344,387	\$3,899,916	116.6%	\$4,242,273	\$2,132,273	50.3%	\$7,833,154	\$6,278,683	80.2%
Iowa	\$776,557	\$776,557	100.0%	\$1,854,237	\$1,954,582	105.4%	\$2,120,093	\$1,197,200	56.5%	\$4,750,887	\$3,928,339	82.7%
Kansas	\$363,856	\$363,856	100.0%	\$1,707,087	\$945,631	55.4%	\$2,392,000	\$1,275,458	53.3%	\$4,462,943	\$2,584,945	57.9%
Kentucky	\$499,800	\$499,800	100.0%	\$2,355,937	\$1,892,256	80.3%	\$2,640,000	\$810,215	30.7%	\$5,495,737	\$3,202,271	58.3%
Louisiana	\$108,000	\$108,000	100.0%	\$2,616,287	\$3,065,047	117.2%	\$2,566,396	\$1,142,883	44.5%	\$5,290,683	\$4,315,930	81.6%
Maine	\$500,566	\$500,566	100.0%	\$1,022,307	\$312,250	30.5%	\$3,491,500	\$830,067	23.8%	\$5,014,373	\$1,642,883	32.8%
Maryland	\$722,055	\$722,055	100.0%	\$2,954,687	\$1,448,394	49.0%	\$3,360,000	\$1,277,361	38.0%	\$7,036,742	\$3,447,810	49.0%
Massachusetts	\$430,972	\$430,972	100.0%	\$3,304,395	\$9,141,022	276.6%	\$6,575,250	\$1,237,479	18.8%	\$10,310,617	\$10,809,473	104.8%
Michigan	\$219,469	\$219,469	100.0%	\$5,280,237	\$2,495,855	47.3%	\$5,660,874	\$616,562	10.9%	\$11,160,580	\$3,331,886	29.9%
Minnesota	\$562,554	\$443,189	78.8%	\$2,697,562	\$2,456,806	91.1%	\$3,270,360	\$1,606,829	49.1%	\$6,530,476	\$4,506,824	69.0%
Mississippi	\$99,633	\$99,633	100.0%	\$1,765,677	\$781,084	44.2%	\$2,818,496	\$1,463,865	51.9%	\$4,683,806	\$2,344,582	50.1%
Missouri	\$754,624	\$754,624	100.0%	\$3,103,787	\$2,156,894	69.5%	\$3,771,130	\$1,588,828	42.1%	\$7,629,541	\$4,500,346	59.0%
Montana	\$432,182	\$432,182	100.0%	\$835,037	\$1,271,688	152.3%	\$1,741,383	\$464,952	26.7%	\$3,008,602	\$2,168,822	72.1%
Nebraska	\$669,998	\$669,998	100.0%	\$1,233,937	\$735,628	59.6%	\$2,347,485	\$840,155	35.8%	\$4,251,420	\$2,245,781	52.8%
Nevada	\$281,920	\$281,920	100.0%	\$1,126,487	\$805,977	71.5%	\$1,265,000	\$577,813	45.7%	\$2,673,407	\$1,665,710	62.3%
New Hampshire	\$480,352	\$427,484	89.0%	\$983,737	\$1,725,586	175.4%	\$2,836,713	\$1,446,804	51.0%	\$4,300,802	\$3,599,874	83.7%
New Jersey	\$856,053	\$856,053	100.0%	\$4,454,337	\$2,807,508	63.0%	\$4,882,748	\$1,612,023	33.0%	\$10,193,138	\$5,275,584	51.8%
New Mexico	\$444,627	\$480,221	108.0%	\$1,236,537	\$919,352	74.3%	\$3,644,992	\$1,264,756	34.7%	\$5,326,156	\$2,664,329	50.0%

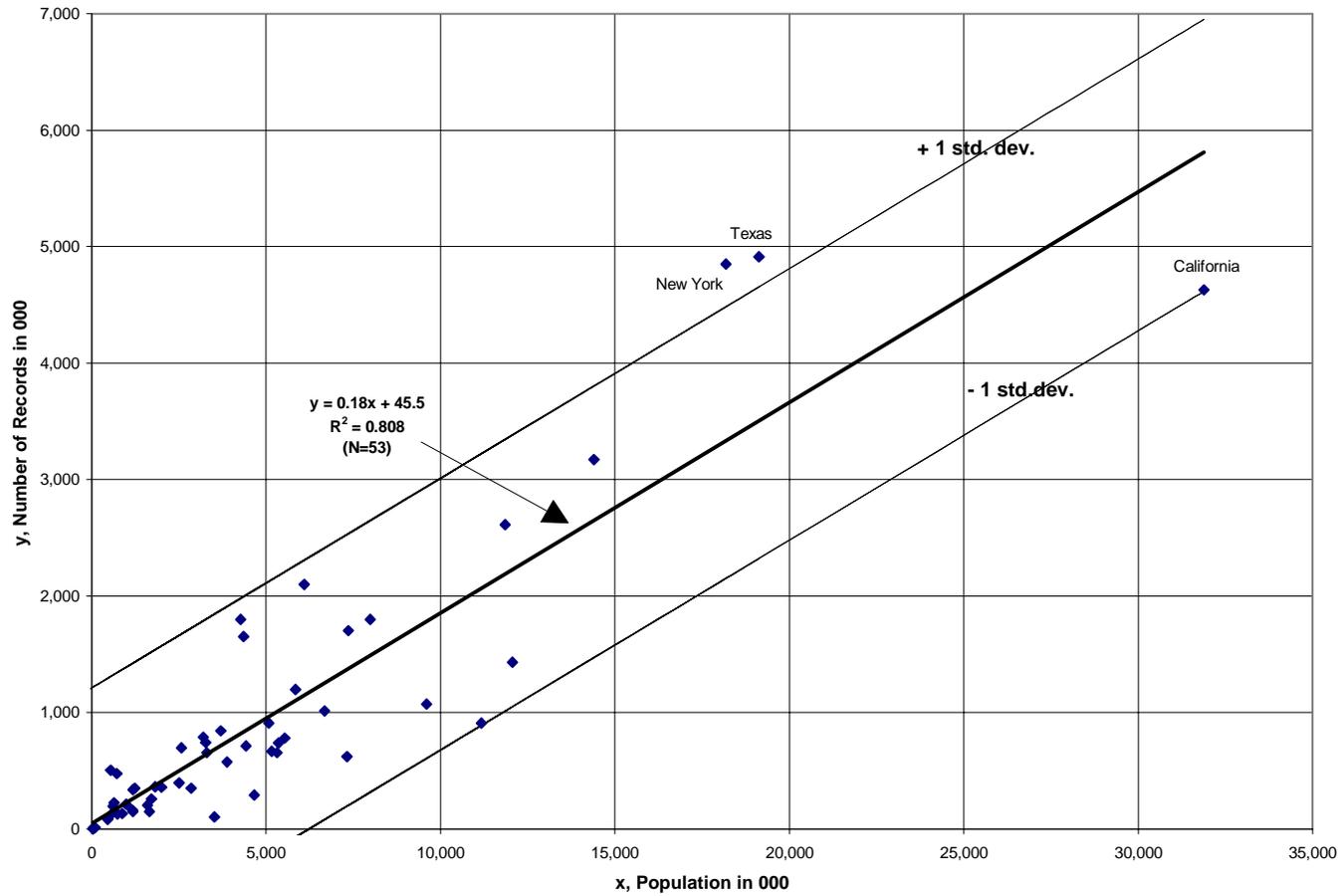
Exhibit 3-1 (page 2 of 2)

State	CHRI FUNDING			BYRNE 5% FUNDING			NCHIP FUNDING			ALL PROGRAMS		
	Total Award	Total Drawn	Drawn as % of Award	Total Award (as of 12/98)	Total Drawn Down (as of 12/97)	Drawn as % of Award	Total Award (as of 12/98)	Total Drawn Down (as of 12/98)	Drawn as % of Award	Total Award (as of 12/98)	Total Drawn Down (as of 12/98)	Drawn as % of Award
New York	\$764,041	\$740,164	96.9%	\$9,626,587	\$3,288,088	34.2%	\$14,021,095	\$3,802,545	27.1%	\$24,411,723	\$7,830,797	32.1%
North Carolina	\$355,629	\$355,629	100.0%	\$3,997,987	\$4,552,457	113.9%	\$3,761,715	\$1,898,242	50.5%	\$8,115,331	\$6,806,328	83.9%
North Dakota	\$351,049	\$351,049	100.0%	\$730,387	\$597,039	81.7%	\$2,223,913	\$826,582	37.2%	\$3,305,349	\$1,774,670	53.7%
Northern Marianas	\$122,066	\$116,747	95.6%	\$147,787	\$61,639	41.7%	\$0	\$0		\$269,853	\$178,386	66.1%
Ohio	\$832,309	\$832,761	100.1%	\$6,097,987	\$2,952,754	48.4%	\$7,156,343	\$3,744,647	52.3%	\$14,086,639	\$7,530,162	53.5%
Oklahoma	\$176,500	\$176,305	99.9%	\$2,067,137	\$2,095,546	101.4%	\$2,025,517	\$177,884	8.8%	\$4,269,154	\$2,449,735	57.4%
Oregon	\$567,237	\$567,237	100.0%	\$1,966,287	\$1,655,768	84.2%	\$2,994,850	\$1,296,321	43.3%	\$5,528,374	\$3,519,326	63.7%
Pennsylvania	\$784,322	\$812,636	103.6%	\$6,594,337	\$4,151,059	62.9%	\$8,953,260	\$3,188,992	35.6%	\$16,331,919	\$8,152,687	49.9%
Puerto Rico	\$0	\$0		\$2,268,637	\$1,225,273	54.0%	\$400,000	\$0	0.0%	\$2,668,637	\$1,225,273	45.9%
Rhode Island	\$272,001	\$271,435	99.8%	\$900,182	\$1,462,975	162.5%	\$1,740,244	\$0	0.0%	\$2,912,427	\$1,734,410	59.6%
South Carolina	\$824,296	\$824,296	100.0%	\$2,268,287	\$4,180,780	184.3%	\$3,056,020	\$1,774,140	58.1%	\$6,148,603	\$6,779,216	110.3%
South Dakota	\$305,338	\$305,338	100.0%	\$770,487	\$346,021	44.9%	\$1,473,300	\$627,353	42.6%	\$2,549,125	\$1,278,712	50.2%
Tennessee	\$433,384	\$433,384	100.0%	\$3,035,237	\$5,389,727	177.6%	\$3,262,155	\$547,892	16.8%	\$6,730,776	\$6,371,003	94.7%
Texas	\$696,561	\$696,561	100.0%	\$9,720,837	\$6,130,754	63.1%	\$14,561,200	\$1,901,197	13.1%	\$24,978,598	\$8,728,512	34.9%
Utah	\$350,000	\$350,000	100.0%	\$1,363,387	\$1,343,229	98.5%	\$2,171,054	\$1,134,408	52.3%	\$3,884,441	\$2,827,637	72.8%
Vermont	\$370,217	\$336,236	90.8%	\$649,075	\$350,516	54.0%	\$3,843,836	\$1,562,748	40.7%	\$4,863,128	\$2,249,500	46.3%
Virgin Islands	\$0	\$0		\$453,837	\$19,335	4.3%	\$0	\$0		\$453,837	\$19,335	4.3%
Virginia	\$861,492	\$861,492	100.0%	\$3,733,987	\$4,074,630	109.1%	\$4,708,913	\$2,451,624	52.1%	\$9,304,392	\$7,387,746	79.4%
Washington	\$920,829	\$920,829	100.0%	\$3,101,637	\$1,144,591	36.9%	\$3,822,682	\$1,271,679	33.3%	\$7,845,148	\$3,337,099	42.5%
West Virginia	\$548,051	\$530,666	96.8%	\$1,337,037	\$550,259	41.2%	\$2,614,800	\$845,569	32.3%	\$4,499,888	\$1,926,494	42.8%
Wisconsin	\$833,104	\$833,104	100.0%	\$3,000,137	\$2,145,848	71.5%	\$3,656,000	\$1,116,064	30.5%	\$7,489,241	\$4,095,016	54.7%
Wyoming	\$127,919	\$127,919	100.0%	\$643,737	\$249,856	38.8%	\$896,264	\$60,741	6.8%	\$1,667,920	\$438,516	26.3%
TOTAL	\$26,733,174	\$26,421,898	98.8%	\$156,430,675	\$115,090,473	73.6%	\$206,300,066	\$74,316,464	36.0%	\$389,463,915	\$215,828,835	55.4%
Average per State	\$504,400	\$498,526	98.8%	\$2,793,405	\$2,055,187	73.6%	\$3,892,454	\$1,402,197	36.0%	\$6,954,713	\$3,854,086	55.4%

Note: NCHIP figures include ASAP and Stalking awards.

Sources: BJS and BJA

Exhibit 3-2 Correlation of 1995 State Population with Number of Criminal History Records



Sources: SEARCH [1997]; US Census Bureau population estimates [1996]

Exhibit 3-3 Distribution of Criminal History Records Improvement Activity Duration

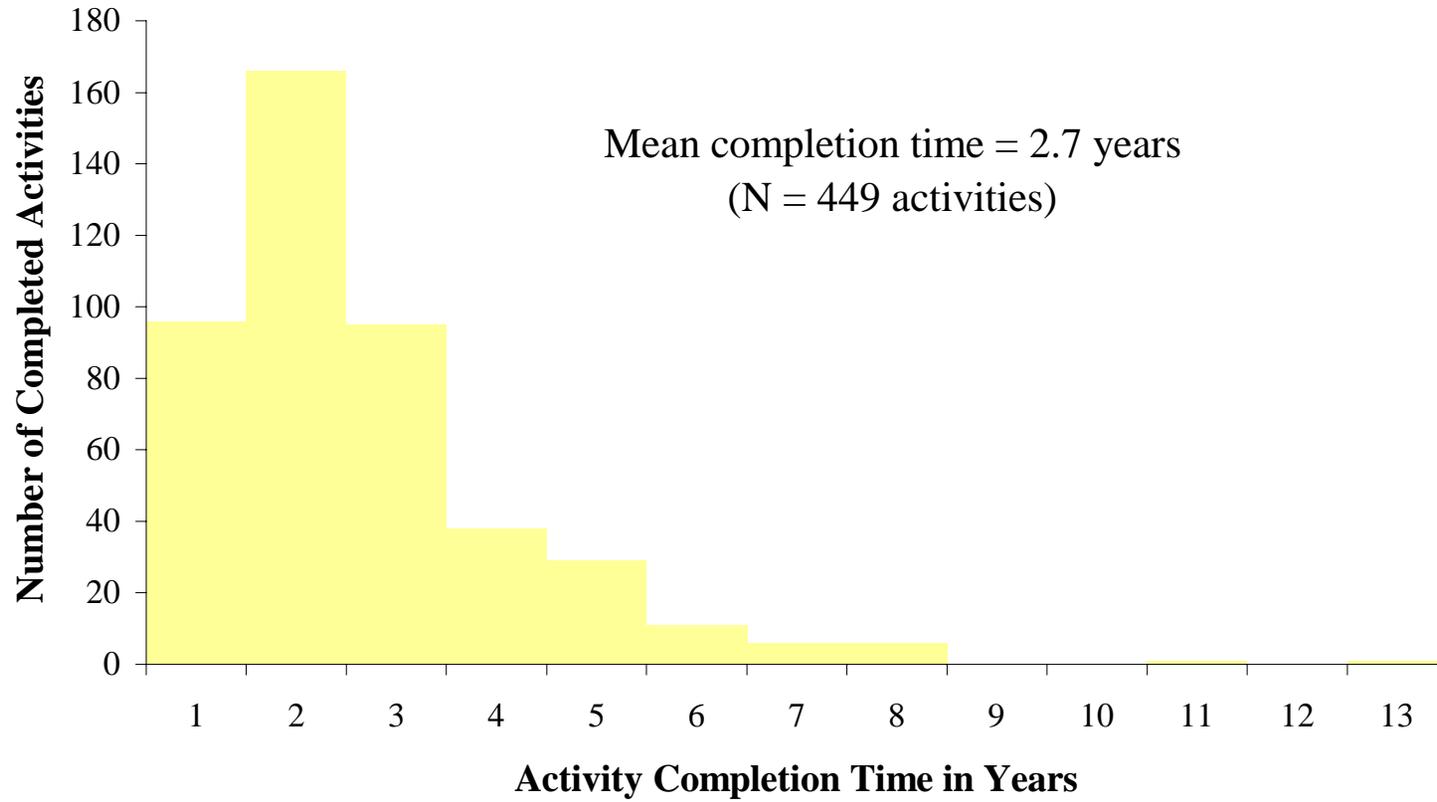
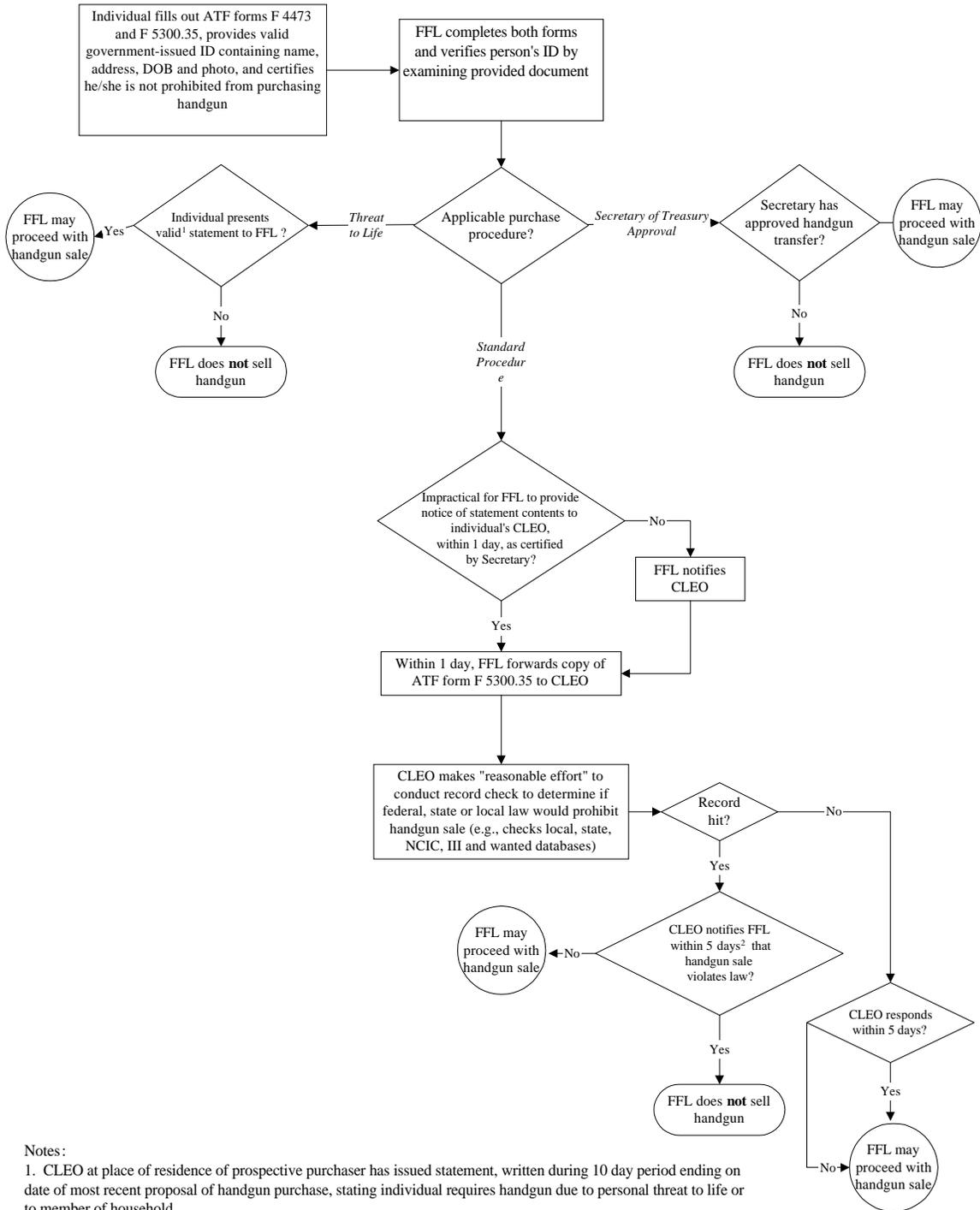


Exhibit 3-4 III Participation and Attorney General's Timetable

State	---- III Membership ----			----- FBI/III Records -----			---- Disposition Currency ----	
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	Subjects (individual offenders) in state criminal history file {as of 12/97}	Current participant? Y = Yes Blank = No {as of 12/98}	Date of III participation {as of 12/98}	Total FBI- supported records {as of 12/98}	III records held by state, not by FBI {as of 12/98}	% of III records held by III state, not by FBI {as of 12/98}	% of 1993-97 arrests in database that have final disposition recorded {as of 12/97}	Date when at least 80% of all records are to be current and shareable {as of 12/95}
Alabama	1,091,000	Y	1996	395,523	63,084	14%	70%	Dec-00
Alaska	201,900	Y	1991	70,796	40,854	37%	85%	May-94
American Samoa	1,000			470				Mar-99
Arizona	798,700	Y	1997	647,402	49,892	7%		Dec-96
Arkansas	484,700	Y	1995	145,554	118,858	45%	70%	Jun-99
California	5,349,700	Y	1983	1,021,381	3,253,127	76%	85%	Dec-98
Colorado	900,000	Y	1983	162,572	451,846	74%	17%	Sep-98
Connecticut	811,200	Y	1986	138,682	153,797	53%	60%	Jun-95
Delaware	566,500	Y	1986	64,004	86,317	57%	91%	Dec-97
District of Columbia				141,701				Dec-98
Florida	3,369,500	Y	1983	525,487	2,348,262	82%	47%	Dec-00
Georgia	1,922,200	Y	1983	161,639	1,584,651	91%	63%	Dec-00
Guam	12,170			14,191				
Hawaii	359,700			121,365			81%	Dec-99
Idaho	159,700	Y	1984	36,618	109,710	75%	75%	Jan-98
Illinois	3,042,600	Y	1993	1,166,472	376,353	24%	55%	Aug-97
Indiana	850,000	Y	1997	361,541	46,905	11%		Jun-95
Iowa	363,400	Y	1997	262,539	39,400	13%	92%	Jul-95
Kansas	748,400			332,271			57%	Jan-98
Kentucky	644,200			277,573			63%	Jan-98
Louisiana	1,730,000			606,672			15%	Dec-96
Maine	350,000			56,103			95%	Oct-00
Maryland	723,500	Y	1998	718,021	18,484	3%	89%	Dec-97
Massachusetts	2,344,800			240,049			98%	Dec-00
Michigan	1,155,200	Y	1983	95,559	772,451	89%	72%	May-94
Minnesota	333,600	Y	1983	38,944	247,933	86%	57%	Dec-96
Mississippi	368,000	Y	1998	176,597	3,088	2%		Dec-00
Missouri	824,300	Y	1986	209,496	348,673	62%	49%	Dec-99
Montana	152,700	Y	1990	50,319	61,294	55%	80%	May-94
Nebraska	324,700	Y	1998	135,993	21	0%	28%	Dec-98
Nevada	245,500	Y	1993	208,070	124,834	37%	40%	Dec-97
New Hampshire	392,900			90,975			90%	Dec-00
New Jersey	1,300,000	Y	1983	53,607	1,060,677	95%	95%	May-94
New Mexico	310,000	Y	1997	241,439	7,719	3%	35%	Dec-00
New York	4,563,800	Y	1983	258,362	2,246,372	90%	80%	Jun-95
North Carolina	697,400	Y	1983	49,226	649,759	93%	95%	May-94
North Dakota	223,900	Y	1994	30,791	12,418	29%	80%	Dec-00
Northern Mariana Islands	6,500			4,542			50%	
Ohio	1,483,000	Y	1984	195,588	702,593	78%	31%	Dec-97
Oklahoma	710,000	Y	1994	243,515	111,189	31%		Dec-99
Oregon	879,200	Y	1984	79,277	405,535	84%	54%	Dec-00
Pennsylvania	1,550,700	Y	1983	357,415	751,129	68%		Dec-97
Puerto Rico				77,895				
Rhode Island	225,000			86,908			57%	Dec-98
South Carolina	902,400	Y	1983	48,966	728,889	94%	88%	May-94
South Dakota	138,600	Y	1994	84,637	39,918	32%	85%	Dec-98
Tennessee	727,700			548,558				Dec-00
Texas	5,556,200	Y	1983	189,121	2,048,020	92%	60%	Jun-99
Utah	346,400	Y	1992	47,361	190,817	80%	60%	Dec-97
Vermont	150,900			39,226			96%	Dec-00
Virgin Islands				10,793				Dec-00
Virginia	1,124,200	Y	1983	253,943	575,135	69%	83%	May-94
Washington	885,000	Y	1993	427,950	217,979	34%	80%	Dec-96
West Virginia	478,900	Y	1998	122,766	2,974	2%		Jan-00
Wisconsin	752,400			399,368			94%	Dec-00
Wyoming	89,500	Y	1983	21,536	53,671	71%	80%	May-94
Total	53,723,470	39		12,547,369	20,104,628	68%		

Sources: BJS [August 1996]; SEARCH [1998]; FBI; States

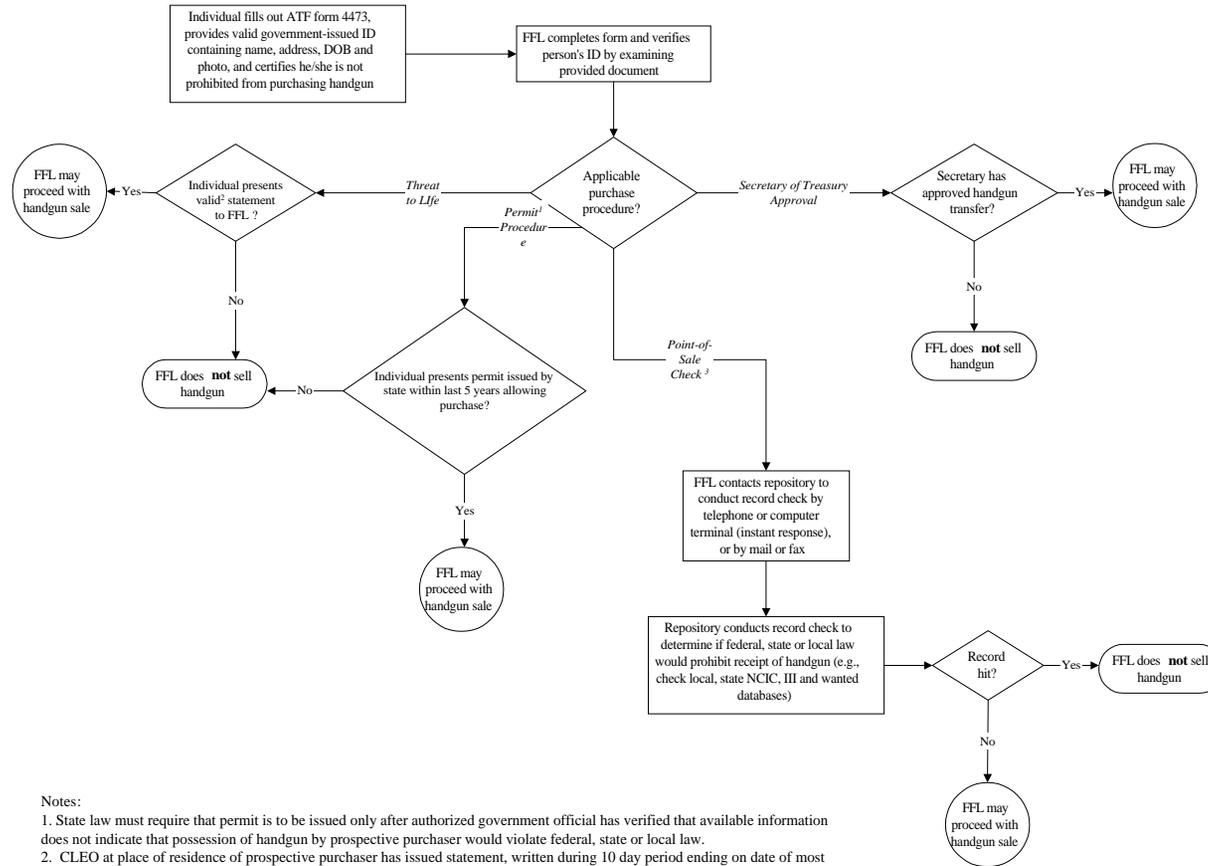
Exhibit 3-5 Handgun Purchase Procedure: Brady State



Notes:

1. CLEO at place of residence of prospective purchaser has issued statement, written during 10 day period ending on date of most recent proposal of handgun purchase, stating individual requires handgun due to personal threat to life or to member of household
2. 5 days refers to the time since the FFL furnished notice and must be days for which state offices are open.

Exhibit 3-6 Handgun Purchase Procedure: Brady-Alternative State



Notes:

1. State law must require that permit is to be issued only after authorized government official has verified that available information does not indicate that possession of handgun by prospective purchaser would violate federal, state or local law.
2. CLEO at place of residence of prospective purchaser has issued statement, written during 10 day period ending on date of most recent proposal of handgun purchase, stating individual requires handgun due to personal threat to life or to member of household.
3. State law must require that authorized government official verify that available information does not indicate that possession of handgun by prospective purchaser would violate federal, state or local law.

Exhibit 3-7 Firearm Purchase Procedure: NICS

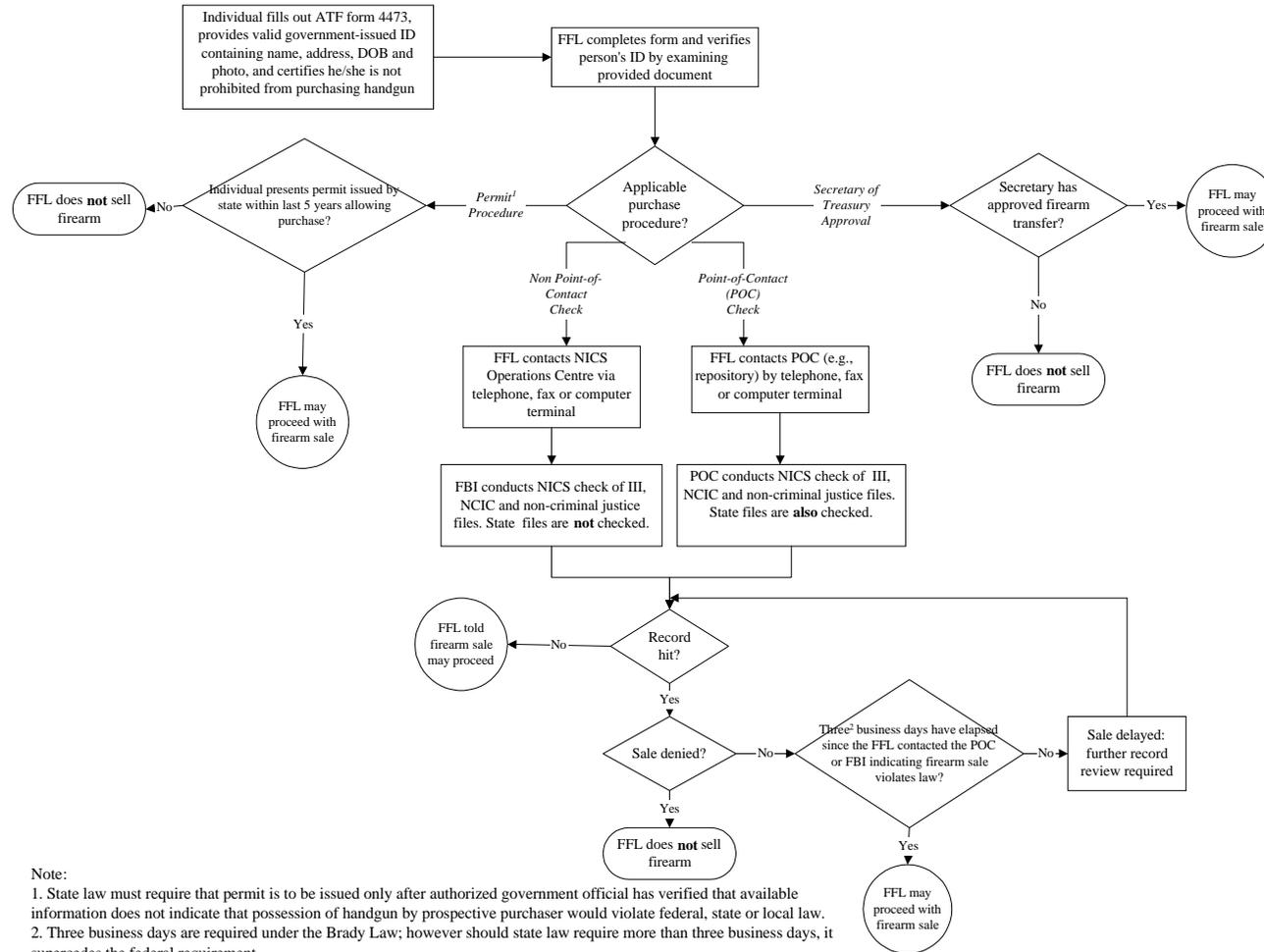


Exhibit 3-8 Data Sources Checked for Firearm Sales Eligibility

Data Sources¹ Checked to Ascertain Firearm Purchase Eligibility

State	POC State?	Wanted/Warrants?	Arrests?	Dep't. of Corrections?	Probation/Parole?	Juvenile?	Dep't. of Motor Vehicles?	Sex Offender?	Court Restraining Order?	Domestic Abuse?	Drugs?	Illegal Alien?	Mental Health?	Dishonorable Discharge?
Arizona	Y	Y	Y	Y	Y			Y						
California	Y	Y	Y		Y 0%	Y		Y	Y				Y	
Colorado	Y	Y	Y			Y			Y	Y				
Connecticut	Y	Y	Y		Y 10%				Y L	Y 10%				
Florida	Y	Y	Y		Y				Y	Y				
Georgia	Y	Y	Y		Y					Y			Y	
Hawaii	Y	Y L	Y						Y L	Y			Y 0%	
Illinois	Y	Y	Y						Y	Y			Y	
Nevada	Y	Y	Y							Y				
New Jersey	Y	Y	Y		Y				Y	Y			Y	
Pennsylvania	Y	Y	Y		Y									
South Carolina	Y	Y	Y							Y				
Tennessee	Y	Y	Y						Y	Y				
Utah	Y	Y	Y				Y		Y	Y				
Vermont	Y	Y	Y 0%		Y 0%				Y 0%	Y		Y 0%		Y 0%
Virginia	Y	Y	Y						Y	Y			Y	
Iowa	Y ^P	Y	Y		Y	Y			Y	Y			Y 0%	
Michigan	Y ^P	Y	Y	Y	Y	Y			Y	Y			Y	
Nebraska	Y ^P	Y	Y		Y									
New York	Y ^P	Y	Y						Y				Y	
North Carolina	Y ^P	Y	Y		Y		Y		Y					
Indiana	Y ^H		Y											
Maryland	Y ^H	Y	Y		Y				Y	Y				
New Hampshire	Y ^H	Y	Y						Y					
Oregon	Y ^H	Y	Y						Y				Y	
Washington	Y ^H	Y	Y						Y	Y			Y 0%	
Wisconsin	Y ^H	Y	Y		Y 0%	Y			Y	Y			Y	
Total States	27	26	27	2	15	5	2	2	20	18	0	1	12	1

Notes:

1. "Y" indicates "Yes", blank indicates "No". Unless otherwise indicated by a percentage following a "Y" entry, all databases are assumed to be 100% automated. When performing NICS checks on behalf of non-POC states, the FBI checks the III files, the NICS Index (i.e., Denied Persons File, Dishonorable Dischargees, Citizen Renunciates, Mental Defectives, Controlled Substance Abusers, Illegal Aliens) and the NCIC Hot files (i.e., Protection Orders, Wanted Persons, and Deported Felons).
2. Refers to domestic violence/abuse data as specified in criminal history record.
3. "L" indicates that local files are checked through local police agency. Totals reflect state databases checked only.
4. "Y^P" refers to POC states performing background checks for handgun permits only. The FBI performs checks for long guns.
5. "Y^H" refers to POC states performing background checks for handgun purchases only. The FBI performs checks for long guns.

Sources: REJIS [September 1997], FBI [January 1999]

Exhibit 3-8 (page 2 of 2)

The following 26 states are non-POC states; therefore, no state data sources are checked to ascertain firearm purchase eligibility.

Alabama
Alaska
Arkansas
Delaware
District of Columbia
Idaho
Kansas
Kentucky
Louisiana
Maine
Massachusetts
Minnesota
Mississippi
Missouri
Montana
New Mexico
North Dakota
Ohio
Oklahoma
Puerto Rico
Rhode Island
South Dakota
Texas
Virgin Islands
West Virginia
Wyoming

3.2 Activity-Based Analysis

At the core of the C-CHRIE effort is the records improvement activity classification scheme and corresponding database that maintains state-by-state activity information. Together, they constitute a powerful tool for analyzing activity trends.

Not surprisingly, more than half of all recorded activities involve planning and establishing infrastructure and enhancements at the repository—the initial two stages of developing an effective criminal history records system. The four top-ranking activities are upgrading CCH software, installing livescan equipment, electronically transmitting dispositions to the repository, and auditing data quality. Other fingerprinting-related activities—such as AFIS implementation—not funded by CHRI also prevail. The average number of activities in each state is 28.2.

As expected, fewer NCHIP-funded activities leverage state or local funds, compared to CHRI-funded activities—because the average NCHIP award is much greater than the average CHRI award, obviating the need for additional non-NCHIP funds. Byrne- and NCHIP-funded activities complement each other in related efforts rather than supplement one another in the same efforts.

In spite of contractor delays and personnel changes, an overwhelming 75% of activities start on time, and some 70% of activities are completed on time—based on activities with planned and actual dates. This information can be used to help guide decision-makers in future planning efforts.

Prevalence

Which activities prevail? Prevailing activities necessarily correspond to key areas that the states view as needing improvement, provided they coincide with federal program goals. Exhibits 3-9 through 3-13 provide answers from different perspectives.

The two most prevalent Level 1 activities, System Improvements (32.3%) and Criminal History Records (22.7%), together account for *over half* of all activities, as indicated in Exhibit 3-9, which shows the distribution of improvement activities by Levels 1, 2, and 3. This makes sense, since they comprise mainly planning and procedural initiatives and improvement efforts at the repository, which together are the first two steps necessary for an effective criminal history records system.

Fingerprint Search (9.0%) and Disposition/Record Link (8.3%) are the next most prevalent Level 1 activities. The former incorporates AFIS and fingerprint file activities and, as discussed later in this section, is more active than it was under CHRI. Besides addressing the Byrne goal of fully automating criminal histories and fingerprint records, these efforts are consistent with striving for “data entry at the source” and for ultimately having a paperless records system, which minimizes human error. Disposition/Record Link covers activities that provide an electronic interface between the repository and other criminal justice

agencies (excluding law enforcement that is classified under Booking for data flow reasons), thereby supporting the second common goal of improved records.

By contrast, the least prevalent categories are Federal Non-Criminal Justice Data Sources (only three activities) and Private Non-Criminal Justice Data Sources (none). As noted in Section 3.1, the ability to access private mental health or drug abuse data sources may be impossible, because of privacy and security issues. POC states have a greater incentive to access data sources because they conduct firearms checks directly. While the need remains to identify non-felons who are ineligible to purchase firearms, how much progress can be made in this area is difficult to predict.

It is worth noting that as of December 1998, only 1.6% of the activities had actually been canceled.

Activity Distribution and Rank

Exhibit 3-10 shows how Level 1 activities are distributed among the states. The number of activities undertaken by each state ranges from two to 63, with an average of 28.2 per state. The variability in number of activities reflects the fact that some states engage in a small number of costly improvements, while others undertake less expensive activities. The number of activities in a state is not proportional to population, geographic size, or funding levels; thus, no conclusions about funding amounts can be drawn based on the number of activities in a state.

Overall, the individual states mirror aggregate behavior, with a few exceptions. Georgia, for example, has disproportionate efforts concentrated in State Non-Criminal Justice Data Sources, and New Jersey has a greater-than-average interest in Incarceration.

Exhibit 3-11 demonstrates how Level 3 activities rank relative to one another. The 171 Level 3 activities contain 37 rankings, since many activities are ranked equally, such as the 13 activities that share the 37th rank. The four highest-ranked activities are Upgrade CCH software, Install livescan, Establish electronic connection for transfer of court disposition data to repository, and Audit criminal history data quality. Only one of these—Install livescan—is not associated with one of the most prevalent Level 1 activities; but it responds to the federal goal of automating fingerprint records, which is explicitly stated in the Byrne and NCHIP programs.

In addition, the activities are not uniformly distributed among the ranks: the top 24 Level 3 activity categories house over 50% of all improvement activities but account for only 14% (i.e., 24/171) of Level 3 categories. In contrast, the 59 lowest-ranking Level 3 categories—comprising the 5% least-implemented activities—account for 35% (i.e., 59/171). These are not limited to any one area, but are distributed among virtually every Level 1 activity. These facts are consistent with our analysis of prevalent activities and have neither negative nor positive connotations, but simply reflect past and current state needs. Over time, the distribution of the intensity of activities will change as these goals are met and new goals are set.

Jurisdictional Impact

Do activities impact largely at local, county, and/or state levels? As Exhibit 3-12 indicates, 85% of activities impact the state, either alone or with other jurisdictions. This is not surprising, since only the Byrne program *requires* a funding pass through to local units of government. Activities affecting local jurisdictions emphasize Booking, Fingerprinting, and Supervised Release, which are associated with local arrest, booking, and custody events. As one might anticipate, since courts are frequently organized along county lines and district attorneys often elected or appointed by the county, Arraignment- and Prosecution-related activities are emphasized at state *and* at county levels.

Funding Sources

Do the CHRI, Byrne 5%, and NCHIP funds leverage each other? Does one funding source dominate a particular area? What can be said about the timing of activity initiation and funding?

Leverage

Exhibit 3-13 demonstrates that only 17% of activities with known funding sources are partially funded by CHRI, whereas the analogous percentages for the Byrne and NCHIP programs are much higher—31% and 41%, respectively. This anticipated difference is attributed to the narrower focus of CHRI and its smaller average state award. While one would expect the sum of these three figures to exceed 100%, their actual total is only 89%. This is because 16% of activities with known funding sources have no federal funding, i.e., they receive state and/or local funds only. Although not federally supported, such activities are included in the database because they are explicitly described in the states' criminal history records improvement plans.

Only 16% of all NCHIP-funded activities leverage other state and federal moneys, whereas previously, CHRI dollars were used to leverage state and federal moneys in 41% of CHRI-funded activities. This is not surprising because the average NCHIP award is much greater than the average CHRI award and thus frequently precludes the need for additional non-NCHIP funds. While Exhibit 3-13 shows that any leveraging of NCHIP and CHRI funds to support the same activity is negligible, the two funding sources overlap in the kinds of activities they support; namely, System Improvements, Criminal History Records, FBI Records, and Disposition/Record Link. In other words, CHRI and NCHIP complement each other in related efforts.

Of all activities with known funding sources, fewer than one-third (31%) have more than one funding source. Mostly due to the substantial fraction (34%) of activities funded solely by NCHIP, this number may change as activities progress to completion. Alternative funding sources are sometimes required—in addition to the original source—to complete an activity: for example, Alabama initiated installation of court case management systems in its circuit courts, using CHRI funds, and completed the effort with Byrne moneys. Given that the average time to complete an activity exceeds two-and-one-half

years, as noted in Section 3.1, the need for supplemental funding can be expected.

Coordination of NCHIP and Byrne 5% Funds

Exhibit 3-13 demonstrates that Byrne and NCHIP funds hardly leverage each other—only 5% of activities having either Byrne or NCHIP funds are funded by both sources. At first, one might be surprised, given that NCHIP and Byrne 5% activities are required to be coordinated. However, this means that they complement each other in related efforts rather than supplement one another in the same effort. In Idaho, for example, Byrne pass-through funds were employed to study and pilot the feasibility of a records management system (RMS)/livescan interface, and the state will create the interface with NCHIP funds. Other states are coordinating livescan and AFIS efforts similarly.

For practical reasons, a state may also fund improvement activities in, say, the judicial branch with one of these two sources, while funding activities in the executive branch with the other source. Logically, the Byrne and NCHIP funds could be commingled to implement an interface between a courts information system (judicial) and a computerized criminal history records system (executive). However, realistically, this doesn't happen, because Byrne, unlike NCHIP, requires a match and local pass-through. Commingling the two sources would introduce administrative and funds tracking complexities.

Although Byrne-funded activities must have a 25% state match, some 129 activities are supported solely with Byrne funds. This occurs because Byrne funds are not always matched on an activity-by-activity basis; some can be over-matched in one activity, while other activities have no match. As previously noted, this flexibility helps the states and should be continued.

Finally, 72% of all Firearm activities are funded by NCHIP alone. Given the Brady Act and the subsequent impetus to identify persons ineligible to purchase firearms, this is expected.

Time Frames

In Section 2.1, the potential adverse impact of implementation issues on an evaluation effort is discussed. One such issue concerns activity delays, or lags, and the extent to which they occur when starting or completing an activity.

Activity Start and Completion Results

Activities with both planned and actual start dates are compared when the dates are available. The result for 602 activities in Exhibit 3-14 shows that an overwhelming 75% start on time. Similarly, actual completion dates are compared to planned completion dates. In this case, 70.7% of the 369 activities providing both dates are completed on time. The lower number of activities with recorded completion dates can be explained by the fact that 7% of activities are ongoing and thus have no completion dates, while other activities are still in progress. These results are encouraging, because states can be faced with

implementation issues frequently beyond their control, most notably, contractor delays, or even a lack of sufficient funds to see an activity through to completion if unexpected costs are incurred along the way. Only nineteen activities (3.2%) experienced starting lags exceeding two years, and only 14 activities (3.8%) experienced completion lags of two years or more.

Activity Initiation

Exhibit 3-15 shows the intensity of activity initiation over time, for the four most prevalent Level 1 activities. System Improvements and Criminal History Records reveal the most dramatic increases since CHRI, and as noted earlier, are the first two necessary steps towards an effective criminal history records system. The dip in activity from 1992 to 1994 is explained by the diminution of CHRI funds during that time, and by the fact that NCHIP funds began to flow only in 1995. The drop-off after 1997 of activity intensities in all categories is due to the fact that the exhibit captures only those activities funded by Byrne as of 12/97 and by NCHIP as of 12/97, even though it reflects all activities funded by CHRI. Since the Byrne and NCHIP programs are ongoing, the apparent 1997 drop-off will vanish when other ensuing activities are added to our database. Of course, a more distant drop-off must eventually occur.

Exhibit 3-9 Criminal History Records Improvement Activities: Distribution by Level

	Percent of Total Activities		
	Level 1	Level 2	Level 3
1 System Improvements	32.28%		
<i>1.1 Conduct Study/Develop Plan</i>		9.21%	
1.1.1 Activities requiring additional details for classification			0.00%
1.1.2 Study and/or plan for arrest reporting process			0.26%
1.1.3 Study and/or plan for disposition reporting process			0.39%
1.1.4 Study ACN and/or CCN			0.13%
1.1.5 Study fingerprinting and identification process			0.90%
1.1.6 Study CCH system and/or interfaces thereto			0.90%
1.1.7 Study data quality			0.19%
1.1.8 Study user needs			0.77%
1.1.9 Study prosecutor information system			0.13%
1.1.10 Study and/or plan for arrest and disposition reporting processes			0.26%
1.1.11 Study and/or plan for system-wide issues			3.03%
1.1.12 Study and/or plan for firearm issues			0.64%
1.1.13 Study and/or plan for domestic violence issues			0.32%
1.1.14 Study and/or plan for issues relating to children, the elderly, and/or the disabled			0.19%
1.1.15 Study and/or plan for federal compatibility issues			0.19%
1.1.16 Study and/or plan for computerized court information system			0.19%
1.1.17 Study and/or plan for juvenile issues			0.45%
1.1.18 Study and/or plan for corrections issues			0.26%
1.1.19 Study and/or plan for citation issues			0.00%
<i>1.2 Conduct Audit</i>		3.93%	
1.2.1 Audit criminal history data quality			3.22%
1.2.2 Conduct legislative audit			0.13%
1.2.3 Audit superior court			0.13%
1.2.4 Audit missing dispositions			0.13%
1.2.5 Audit local agencies			0.26%
1.2.6 Audit ACN and/or CCN usage			0.06%
<i>1.3 Establish Infrastructure</i>		4.45%	
1.3.1 Establish five-percent set-aside task force			0.97%
1.3.2 Establish ad-hoc committee			1.42%
1.3.3 Hire staff			2.00%
1.3.4 Expand office space			0.06%
<i>1.4 Conduct Training</i>		4.06%	
1.4.1 Conduct training for arrest process			0.19%
1.4.2 Conduct training for livescan and fingerprinting			0.58%
1.4.3 Conduct training for court information system			0.26%
1.4.4 Conduct AFIS training			0.13%
1.4.5 Conduct training for CCH			0.39%
1.4.6 Conduct multi-agency state-wide training			1.55%
1.4.7 Conduct training for NICS			0.06%
1.4.8 Conduct training for audits			0.00%
1.4.9 Conduct training for OBTS			0.19%
1.4.10 Conduct training for data entry			0.32%
1.4.11 Conduct training for law enforcement			0.39%
<i>1.5 Upgrade Procedures</i>		5.48%	
1.5.1 Upgrade arrest process procedures			0.64%
1.5.2 Implement monitoring to identify missing arrests and dispositions			2.00%
1.5.3 Upgrade OBTS process			0.64%
1.5.4 Develop data standards			0.84%
1.5.5 Develop procedure to participate in III or to achieve NFF status			0.13%
1.5.6 Create audit procedure			0.26%
1.5.7 Create standard training procedure			0.13%
1.5.8 Revise repository procedures			0.84%
1.5.9 Develop procedure for processing employment background checks			0.00%
<i>1.6 Enact Legislation</i>		1.61%	
1.6.1 Specify reporting requirements for arrests			0.32%
1.6.2 Specify reporting requirements for dispositions			0.26%
1.6.3 Mandate firearm instant check system			0.19%
1.6.4 Allow use of criminal data for employment checks			0.00%
1.6.5 Allow access to state NCJ data sources for firearm checks			0.06%
1.6.6 Allow access to private NCJ data sources for firearm checks			0.00%
1.6.7 Legislate criminal history record keeping systems			0.39%
1.6.8 Legislate unique ACN			0.19%
1.6.9 Legislate printing of selected misdemeanants			0.13%
1.6.10 Legislate gun purchase waiting period for juveniles			0.06%

Exhibit 3-9 (page 2 of 4)

		Percent of Total Activities		
		Level 1	Level 2	Level 3
1.7	Integrate System(s)		3.54%	
1.7.1	Integrate criminal justice agencies county-wide			1.48%
1.7.2	Upgrade in-state communications			2.06%
2	Arrest	0.26%		
2.1	Upgrade Suspect Status Search		0.26%	
2.1.1	Access wanted/warrants search via local computer			0.26%
3	Booking	4.12%		
3.1	Upgrade Booking Data		2.06%	
3.1.1	Computerize booking data			0.58%
3.1.2	Computerize charge code table			0.39%
3.1.3	Upgrade digital photography			0.32%
3.1.4	Upgrade booking system			0.77%
3.2	Upgrade Booking/Fingerprint Interface		0.06%	
3.2.1	Automatically transfer booking data to fingerprint card			0.06%
3.3	Upgrade Booking/Prosecutor Interface		0.19%	
3.3.1	Establish electronic connection for transfer of booking data to prosecutor			0.19%
3.4	Upgrade Booking/Arrest Interface		0.19%	
3.4.1	Establish electronic connection for transfer of booking data to arraignment			0.19%
3.5	Upgrade Booking/Central Repository Interface		1.61%	
3.5.1	Establish electronic connection for transfer of booking data to repository			1.35%
3.5.2	Establish electronic connection for transfer of rapsheet data from repository to law enforcement			0.13%
3.5.3	Update electronic connection between law enforcement and repository			0.13%
3.6	Upgrade Citation Process		0.00%	
3.6.1	Computerize citations			0.00%
4	Fingerprints	6.44%		
4.1	Establish CAN		1.03%	
4.1.1	Preprint ACN on fingerprint card			1.03%
4.2	Establish CCN		0.06%	
4.2.1	Preprint CCNs on fingerprint card			0.06%
4.3	Upgrade Fingerprinting		4.06%	
4.3.1	Install livescan			3.67%
4.3.2	Upgrade livescan			0.39%
4.4	Upgrade Fingerprint/Print Search Interface		1.29%	
4.4.1	Establish electronic connection for transfer of fingerprint image to repository printer			0.39%
4.4.2	Establish electronic connection for transfer of fingerprint image to AFIS			0.90%
4.5	Enhance Fingerprint Card Distribution		0.00%	
4.5.1	Establish multipart fingerprint card			0.00%
5	Fingerprint Search	9.02%		
5.1	Establish Single Source		0.19%	
5.1.1	Create procedure to make repository single source			0.19%
5.2	Upgrade Fingerprint Search		4.64%	
5.2.1	Install AFIS			1.61%
5.2.2	Upgrade AFIS			2.06%
5.2.3	Install remote AFIS workstations			0.97%
5.3	Upgrade AFIS/CCH Interface		1.68%	
5.3.1	Automatically link fingerprint card data to criminal history record			1.68%
5.4	Expand Fingerprint File		2.51%	
5.4.1	Join regional AFIS			0.97%
5.4.2	Include civilian fingerprints in file			0.06%
5.4.3	Process fingerprint card backlog			0.97%
5.4.4	Convert manual fingerprint cards to automated system			0.39%
5.4.5	Purge fingerprint cards that no longer meet requirements for storage			0.13%
6	Criminal History Records	22.68%		
6.1	Upgrade Records/Computer System		9.86%	
6.1.1	Computerize MNI			0.32%
6.1.2	Computerize criminal history records			2.58%
6.1.3	Upgrade CCH hardware			2.38%
6.1.4	Upgrade CCH software			4.32%
6.1.5	Automatically retrieve criminal history based on MNI search			0.06%
6.1.6	Consolidate duplicate records in CCH			0.19%
6.2	Establish Record Flags		3.41%	
6.2.1	Establish record flags for felony			1.93%
6.2.2	Establish dynamic record flagging system for felonies			0.71%
6.2.3	Establish record flags for specific disqualifying crimes			0.77%

Exhibit 3-9 (page 3 of 4)

	Percent of Total Activities		
	Level 1	Level 2	Level 3
<i>6.3 Upgrade NIBRS</i>		2.06%	
6.3.1 Establish local NIBRS			0.32%
6.3.2 Establish state NIBRS			0.52%
6.3.3 Computerize NIBRS			0.19%
6.3.4 Automatically access NIBRS from CCH for flagging purposes			0.64%
6.3.5 Upgrade NIBRS hardware			0.13%
6.3.6 Upgrade NIBRS software			0.26%
<i>6.4 Expand Criminal History File</i>		6.06%	
6.4.1 Create juvenile database			0.32%
6.4.2 Incorporate civil protection order			2.26%
6.4.3 Convert juvenile records to adult records			0.06%
6.4.4 Establish sex offender registry			0.26%
6.4.5 Create gang index			0.06%
6.4.6 Establish DNA databank			0.06%
6.4.7 Process disposition backlog			2.26%
6.4.8 Create concealed weapon file			0.06%
6.4.9 Create gun denial (Brady) file			0.32%
6.4.10 Include misdemeanors in criminal histories			0.06%
6.4.11 Create file of supervised offenders			0.32%
<i>6.5 Upgrade Central Repository/FBI Interface</i>		0.84%	
6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI			0.84%
6.5.2 Automatically link disposition data to FBI records			0.00%
<i>6.6 Upgrade Central Repository/INS Interface</i>		0.45%	
6.6.1 Provide periodic paper reports to INS			0.26%
6.6.2 Computerize INS reporting			0.19%
7 FBI Records	4.32%		
<i>7.1 Establish III Status</i>		3.80%	
7.1.1 Synchronize records			0.64%
7.1.2 Set felony and other flags			0.32%
7.1.3 Assume responsibility for additional III records			0.39%
7.1.4 Upgrade message switch communications			1.22%
7.1.5 Upgrade III software			1.22%
<i>7.2 Comply with FBI Protocols</i>		0.52%	
7.2.1 Sign III compact			0.32%
7.2.2 Comply with NIST standards			0.19%
8 Prosecution	1.93%		
<i>8.1 Upgrade Prosecution Data</i>		1.68%	
8.1.1 Computerize prosecution data			0.71%
8.1.2 Upgrade prosecutor information system			0.97%
<i>8.2 Upgrade Prosecution/Court Interface</i>		0.26%	
8.2.1 Establish electronic connection between court and prosecutor information systems			0.26%
9 Arraignment	3.48%		
<i>9.1 Upgrade Court Data</i>		2.51%	
9.1.1 Computerize court data			1.29%
9.1.2 Upgrade court information system			1.22%
<i>9.2 Upgrade Court Interfaces</i>		0.97%	
9.2.1 Establish electronic connections between/among courts			0.64%
9.2.2 Establish electronic connection between courts and probation			0.06%
9.2.3 Establish electronic connection between courts and corrections			0.26%
10 Adjudication/Appeal	1.48%		
<i>10.1 Upgrade Disposition Data</i>		1.48%	
10.1.1 Computerize disposition data			0.39%
10.1.2 Computerize sentence code table			0.06%
10.1.3 Upgrade court information system for disposition purposes			1.03%
11 Supervised Release	0.58%		
<i>11.1 Upgrade Probation Data</i>		0.58%	
11.1.1 Computerize probation data			0.52%
11.1.2 Upgrade probation information system			0.06%
12 Incarceration	1.61%		
<i>12.1 Upgrade Corrections Data</i>		1.55%	
12.1.1 Computerize corrections data			0.58%
12.1.2 Upgrade corrections information system			0.97%
<i>12.2 Upgrade Corrections Interface</i>		0.06%	
12.2.1 Establish electronic connection between corrections and parole			0.06%

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	Percent of Total Activities		
	Level 1	Level 2	Level 3
13 Parole	0.26%		
13.1 Upgrade Parole Data		0.26%	
13.1.1 Computerize parole data			0.19%
13.1.2 Upgrade parole information system			0.06%
14 Disposition/Record Link	8.31%		
14.1 Upgrade Central Repository/Prosecution Interface		1.22%	
14.1.1 Establish electronic connection for transfer of prosecution data to repository			1.10%
14.1.2 Automatically link prosecution charge modification to criminal history record			0.00%
14.1.3 Upgrade electronic connection between prosecution and repository			0.13%
14.2 Upgrade Central Repository/Court Interface		5.03%	
14.2.1 Establish bi-directional electronic connection between repository and courts			0.45%
14.2.2 Establish electronic connection for transfer of court disposition data to repository			3.29%
14.2.3 Establish electronic connection for transfer of criminal history records to courts			0.19%
14.2.4 Automatically link court dispositions to criminal history record via ACN/CCNs			0.39%
14.2.5 Upgrade electronic connection between courts and repository			0.71%
14.3 Upgrade Central Repository/Probation Interface		0.32%	
14.3.1 Establish electronic connection for transfer of probation data to repository			0.32%
14.3.2 Automatically link probation status to criminal history record			0.00%
14.4 Upgrade Central Repository/Corrections Interface		1.42%	
14.4.1 Establish electronic connection for transfer of corrections data to repository			0.90%
14.4.2 Automatically link corrections status to criminal history record			0.32%
14.4.3 Upgrade electronic connection between corrections and repository			0.19%
14.5 Upgrade Central Repository/Parole Interface		0.32%	
14.5.1 Establish electronic connection for transfer of parole data to repository			0.26%
14.5.2 Automatically link parole status to criminal history record			0.06%
15 Firearm Check	1.61%		
15.1 Establish Firearm Check		1.61%	
15.1.1 Establish call center for answering firearm check queries			0.13%
15.1.2 Install firearm check terminals at gun dealers			0.06%
15.1.3 Participate in FIST			0.32%
15.1.4 Provide for direct access to firearm check information			1.10%
16 Employment Check	0.45%		
16.1 Establish Employment Check		0.45%	
16.1.1 Establish center for processing employment background checks			0.13%
16.1.2 Provide users with direct access to employment background check information			0.32%
17 State Non-Criminal-Justice Data Sources	1.03%		
17.1 Access State NCJ Data Sources		1.03%	
17.1.1 Establish access to mental health records			0.58%
17.1.2 Establish access to drug abuse records			0.45%
18 Federal Non-Criminal-Justice Data Sources	0.13%		
18.1 Access Federal NCJ Data Sources		0.13%	
18.1.1 Establish access to illegal alien information from INS			0.13%
19 Private Non-Criminal-Justice Data Sources	0.00%		
19.1 Access Private NCJ Data Sources		0.00%	
19.1.1 Establish access to mental health treatment information from private treatment centers			0.00%
19.1.2 Establish access to drug treatment information from private treatment centers			0.00%
	TOTAL PERCENT	100.00%	100.00%
	TOTAL ACTIVITIES	1,552	1,552

Exhibit 3-10 Level 1 Activities by State

State	Activities in Level 1 (Row %)																			Total Activities	Column %
	1. System Improvements	2. Arrest	3. Booking	4. Fingerprint	5. Fingerprint Search	6. Criminal History Records	7. FBI Records	8. Prosecution	9. Arraignment	10. Adjudication/Appeal	11. Supervised Release	12. Incarceration	13. Parole	14. Dispositional Record Link	15. Fingerprint Check	16. Employment Check	17. State Non-Criminal Justice Data Sources	18. Federal Non-Criminal Justice Data Sources	19. Private Non-Criminal Justice Data Sources		
Alabama	13%	0%	0%	17%	10%	30%	3%	0%	7%	7%	0%	0%	3%	7%	3%	0%	0%	0%	0%	30	2%
Alaska	50%	0%	5%	5%	5%	13%	3%	3%	3%	0%	0%	5%	0%	8%	3%	0%	0%	0%	0%	38	2%
American Samoa	40%	0%	0%	0%	0%	40%	20%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	5	0%
Arizona	24%	0%	5%	10%	7%	21%	2%	10%	0%	0%	2%	0%	17%	0%	0%	0%	0%	0%	42	3%	
Arkansas	18%	0%	0%	5%	9%	45%	9%	0%	0%	0%	0%	0%	9%	0%	5%	0%	0%	0%	22	1%	
California	37%	0%	2%	5%	16%	28%	7%	0%	0%	0%	0%	0%	5%	0%	0%	0%	0%	0%	43	3%	
Colorado	35%	0%	0%	5%	15%	5%	0%	5%	5%	5%	5%	0%	0%	15%	5%	0%	0%	0%	20	1%	
Connecticut	29%	0%	7%	7%	5%	24%	2%	7%	2%	0%	2%	0%	2%	5%	5%	0%	2%	0%	42	3%	
Delaware	31%	3%	0%	6%	6%	31%	0%	3%	6%	3%	0%	3%	0%	3%	6%	0%	3%	0%	36	2%	
District of Columbia	41%	0%	0%	0%	0%	23%	9%	0%	5%	5%	0%	0%	0%	14%	5%	0%	0%	0%	22	1%	
Florida	50%	0%	5%	5%	9%	14%	3%	0%	2%	2%	0%	0%	0%	2%	3%	2%	3%	0%	58	4%	
Georgia	0%	0%	8%	17%	25%	17%	0%	0%	8%	0%	0%	0%	0%	8%	0%	0%	17%	0%	12	1%	
Guam	27%	0%	13%	0%	7%	33%	7%	0%	7%	7%	0%	0%	0%	0%	0%	0%	0%	0%	15	1%	
Hawaii	32%	0%	5%	0%	5%	32%	5%	0%	0%	0%	0%	0%	18%	0%	5%	0%	0%	0%	22	1%	
Idaho	50%	0%	0%	4%	8%	15%	8%	0%	4%	0%	0%	4%	0%	8%	0%	0%	0%	0%	26	2%	
Illinois	31%	0%	0%	17%	14%	17%	3%	0%	0%	0%	0%	0%	0%	7%	0%	0%	7%	3%	29	2%	
Indiana	15%	0%	8%	8%	15%	46%	0%	8%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	13	1%	
Iowa	48%	0%	0%	7%	19%	11%	4%	0%	4%	0%	0%	0%	0%	7%	0%	0%	0%	0%	27	2%	
Kansas	39%	0%	9%	0%	9%	4%	17%	4%	0%	4%	0%	0%	0%	13%	0%	0%	0%	0%	23	1%	
Kentucky	31%	0%	0%	25%	19%	0%	0%	0%	13%	0%	0%	0%	0%	13%	0%	0%	0%	0%	16	1%	
Louisiana	35%	6%	0%	0%	12%	35%	0%	0%	0%	6%	0%	0%	0%	6%	0%	0%	0%	0%	17	1%	
Maine	22%	0%	0%	9%	9%	26%	0%	0%	13%	9%	4%	4%	0%	4%	0%	0%	0%	0%	23	1%	
Maryland	42%	0%	12%	4%	15%	15%	4%	0%	4%	0%	0%	0%	0%	4%	0%	0%	0%	0%	26	2%	
Massachusetts	29%	0%	3%	16%	3%	19%	10%	0%	0%	0%	0%	3%	0%	13%	3%	0%	0%	0%	31	2%	
Michigan	38%	0%	13%	4%	8%	4%	0%	4%	4%	4%	0%	0%	0%	17%	0%	0%	0%	0%	24	2%	
Minnesota	41%	2%	2%	5%	7%	24%	0%	2%	0%	2%	0%	2%	0%	5%	0%	0%	5%	0%	41	3%	
Mississippi	33%	0%	7%	0%	7%	20%	13%	0%	13%	0%	0%	0%	0%	7%	0%	0%	0%	0%	15	1%	
Missouri	38%	0%	5%	0%	6%	21%	5%	6%	5%	0%	0%	0%	0%	8%	3%	0%	3%	0%	63	4%	
Montana	57%	0%	0%	7%	7%	23%	0%	0%	0%	0%	0%	0%	0%	7%	0%	0%	0%	0%	30	2%	
Nebraska	29%	0%	2%	7%	2%	27%	7%	0%	0%	0%	2%	0%	0%	15%	5%	2%	0%	0%	41	3%	
Nevada	10%	0%	0%	3%	6%	68%	6%	0%	0%	0%	0%	0%	0%	0%	3%	3%	0%	0%	31	2%	
New Hampshire	25%	0%	4%	4%	8%	13%	4%	4%	13%	4%	4%	4%	4%	4%	4%	0%	0%	0%	24	2%	
New Jersey	8%	0%	3%	5%	13%	18%	0%	0%	15%	10%	0%	20%	0%	8%	3%	0%	0%	0%	40	3%	
New Mexico	33%	0%	6%	8%	8%	22%	6%	6%	3%	0%	0%	0%	0%	8%	0%	0%	0%	0%	36	2%	
New York	33%	0%	12%	5%	0%	14%	0%	9%	7%	2%	5%	5%	0%	9%	0%	0%	0%	0%	43	3%	
North Carolina	21%	0%	4%	4%	14%	18%	0%	0%	0%	0%	4%	0%	25%	0%	0%	7%	4%	0%	28	2%	
North Dakota	18%	0%	4%	4%	7%	29%	4%	4%	0%	0%	0%	4%	4%	21%	4%	0%	0%	0%	28	2%	
Northern Mariana Is.	50%	0%	0%	0%	0%	50%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2	0%	
Ohio	53%	0%	4%	4%	2%	15%	2%	0%	0%	0%	0%	0%	0%	19%	0%	0%	0%	0%	47	3%	
Oklahoma	40%	0%	0%	10%	5%	15%	10%	10%	0%	0%	0%	5%	0%	5%	0%	0%	0%	0%	20	1%	

Exhibit 3-10 (page 2 of 2)

Activities in Level 1 (Row %)

State	1. System Improvements	2. Arrest	3. Booking	4. Fingerprints	5. Fingerprint Search	6. Criminal History Records	7. FBI Records	8. Prosecution	9. Arraignment	10. Adjudication/Appel	11. Supervised Release	12. Incarceration	13. Parole	14. Disposition / Record Link	15. Firearm Check	16. Employment Check	17. State Non-Criminal Justice Data Sources	18. Federal Non-Criminal Justice Data Sources	19. Private Non-Criminal Justice Data Sources	Total Activities	Column %
Oregon	30%	0%	4%	4%	9%	22%	9%	0%	0%	0%	0%	0%	4%	4%	4%	9%	0%		23	1%	
Pennsylvania	25%	0%	10%	13%	20%	25%	3%	0%	3%	0%	0%	0%	3%	0%	0%	0%	0%		40	3%	
Puerto Rico	25%	0%	0%	0%	25%	50%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%		4	0%	
Rhode Island	15%	0%	0%	8%	27%	35%	4%	0%	8%	0%	0%	0%	4%	0%	0%	0%	0%		26	2%	
South Carolina	9%	0%	5%	5%	23%	41%	5%	0%	0%	5%	0%	0%	5%	5%	0%	0%	0%		22	1%	
South Dakota	15%	0%	0%	4%	33%	19%	19%	0%	4%	0%	0%	0%	4%	4%	0%	0%	0%		27	2%	
Tennessee	32%	0%	0%	5%	5%	32%	5%	5%	5%	0%	0%	0%	11%	0%	0%	0%	0%		19	1%	
Texas	52%	0%	3%	7%	7%	17%	0%	0%	0%	3%	0%	0%	10%	0%	0%	0%	0%		29	2%	
Utah	31%	0%	7%	9%	2%	22%	4%	4%	2%	2%	0%	2%	11%	2%	0%	0%	0%		45	3%	
Vermont	41%	0%	0%	6%	6%	26%	3%	6%	3%	0%	0%	3%	3%	0%	3%	0%	0%		34	2%	
Virginia	18%	0%	9%	9%	9%	32%	5%	0%	5%	0%	0%	0%	14%	0%	0%	0%	0%		22	1%	
Washington	35%	3%	9%	9%	0%	24%	6%	0%	0%	3%	0%	0%	12%	0%	0%	0%	0%		34	2%	
West Virginia	43%	0%	4%	11%	4%	21%	4%	0%	4%	4%	0%	4%	0%	4%	0%	0%	0%		28	2%	
Wisconsin	26%	0%	9%	13%	9%	26%	4%	0%	0%	0%	0%	0%	13%	0%	0%	0%	0%		23	1%	
Wyoming	28%	0%	8%	4%	12%	16%	12%	0%	12%	0%	0%	0%	8%	0%	0%	0%	0%		25	2%	
Total Row %	32%	0%	4%	6%	9%	23%	4%	2%	3%	1%	1%	2%	0%	8%	2%	0%	1%	0%	0%	1,552	100%

Exhibit 3-11 Level 3 Activities: Distribution by Intensity

Rank	Level 3 Activity Category	Percentage		Cumulative Percentage
		Number of Activities	of All Activities	
1	6.1.4 Upgrade CCH software	67	4.32%	4.32%
2	4.3.1 Install livescan	57	3.67%	7.99%
3	14.2.2 Establish electronic connection for transfer of court disposition data to repository	51	3.29%	11.28%
4	1.2.1 Audit criminal history data quality	50	3.22%	14.50%
5	1.1.11 Study and/or plan for system-wide issues	47	3.03%	17.53%
6	6.1.2 Computerize criminal history records	40	2.58%	20.10%
7	6.1.3 Upgrade CCH hardware	37	2.38%	22.49%
8	6.4.2 Incorporate civil protection order	35	2.26%	24.74%
8	6.4.7 Process disposition backlog	35	2.26%	27.00%
10	1.7.2 Upgrade in-state communications	32	2.06%	29.06%
10	5.2.2 Upgrade AFIS	32	2.06%	31.12%
12	1.3.3 Hire staff	31	2.00%	33.12%
12	1.5.2 Implement monitoring to identify missing arrests and dispositions	31	2.00%	35.12%
14	6.2.1 Establish record flags for felony	30	1.93%	37.05%
15	5.3.1 Automatically link fingerprint card data to criminal history record	26	1.68%	38.72%
16	5.2.1 Install AFIS	25	1.61%	40.34%
17	1.4.6 Conduct multi-agency state-wide training	24	1.55%	41.88%
18	1.7.1 Integrate criminal justice agencies county-wide	23	1.48%	43.36%
19	1.3.2 Establish ad-hoc committee	22	1.42%	44.78%
20	3.5.1 Establish electronic connection for transfer of booking data to repository	21	1.35%	46.13%
21	9.1.1 Computerize court data	20	1.29%	47.42%
22	7.1.4 Upgrade message switch communications	19	1.22%	48.65%
22	7.1.5 Upgrade III software	19	1.22%	49.87%
22	9.1.2 Upgrade court information system	19	1.22%	51.10%
25	14.1.1 Establish electronic connection for transfer of prosecution data to repository	17	1.10%	52.19%
25	15.1.4 Provide for direct access to firearm check information	17	1.10%	53.29%
27	4.1.1 Preprint ACN on fingerprint card	16	1.03%	54.32%
27	10.1.3 Upgrade court information system for disposition purposes	16	1.03%	55.35%
29	1.3.1 Establish five-percent set-aside task force	15	0.97%	56.31%
29	5.2.3 Install remote AFIS workstations	15	0.97%	57.28%
29	5.4.1 Join regional AFIS	15	0.97%	58.25%
29	5.4.3 Process fingerprint card backlog	15	0.97%	59.21%
29	8.1.2 Upgrade prosecutor information system	15	0.97%	60.18%
29	12.1.2 Upgrade corrections information system	15	0.97%	61.15%
35	1.1.5 Study fingerprinting and identification process	14	0.90%	62.05%
35	1.1.6 Study CCH system and/or interfaces thereto	14	0.90%	62.95%
35	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS	14	0.90%	63.85%
35	14.4.1 Establish electronic connection for transfer of corrections data to repository	14	0.90%	64.76%
39	1.5.4 Develop data standards	13	0.84%	65.59%
39	1.5.8 Revise repository procedures	13	0.84%	66.43%
39	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI	13	0.84%	67.27%
42	1.1.8 Study user needs	12	0.77%	68.04%
42	3.1.4 Upgrade booking system	12	0.77%	68.81%
42	6.2.3 Establish record flags for specific disqualifying crimes	12	0.77%	69.59%
45	6.2.2 Establish dynamic record flagging system for felonies	11	0.71%	70.30%
45	8.1.1 Computerize prosecution data	11	0.71%	71.01%
45	14.2.5 Upgrade electronic connection between courts and repository	11	0.71%	71.71%
48	1.1.12 Study and/or plan for firearm issues	10	0.64%	72.36%
48	1.5.1 Upgrade arrest process procedures	10	0.64%	73.00%
48	1.5.3 Upgrade OBTS process	10	0.64%	73.65%
48	6.3.4 Automatically access NIBRS from CCH for flagging purposes	10	0.64%	74.29%
48	7.1.1 Synchronize records	10	0.64%	74.94%
48	9.2.1 Establish electronic connections between/among courts	10	0.64%	75.58%
54	1.4.2 Conduct training for livescan and fingerprinting	9	0.58%	76.16%
54	3.1.1 Computerize booking data	9	0.58%	76.74%
54	12.1.1 Computerize corrections data	9	0.58%	77.32%
54	17.1.1 Establish access to mental health records	9	0.58%	77.90%

Exhibit 3-11 (page 2 of 3)

Rank	Level 3 Activity Category	Number of Activities	Percentage of All Activities	Cumulative Percentage
58	6.3.2 Establish state NIBRS	8	0.52%	78.41%
58	11.1.1 Computerize probation data	8	0.52%	78.93%
60	1.1.17 Study and/or plan for juvenile issues	7	0.45%	79.38%
60	14.2.1 Establish bi-directional electronic connection between repository and courts	7	0.45%	79.83%
60	17.1.2 Establish access to drug abuse records	7	0.45%	80.28%
63	1.1.3 Study and/or plan for disposition reporting process	6	0.39%	80.67%
63	1.4.5 Conduct training for CCH	6	0.39%	81.06%
63	1.4.11 Conduct training for law enforcement	6	0.39%	81.44%
63	1.6.7 Legislate criminal history record keeping systems	6	0.39%	81.83%
63	3.1.2 Computerize charge code table	6	0.39%	82.22%
63	4.3.2 Upgrade livescan	6	0.39%	82.60%
63	4.4.1 Establish electronic connection for transfer of fingerprint image to repository printer	6	0.39%	82.99%
63	5.4.4 Convert manual fingerprint cards to automated system	6	0.39%	83.38%
63	7.1.3 Assume responsibility for additional III records	6	0.39%	83.76%
63	10.1.1 Computerize disposition data	6	0.39%	84.15%
63	14.2.4 Automatically link court dispositions to criminal history record via ACN/CCNs	6	0.39%	84.54%
74	1.1.13 Study and/or plan for domestic violence issues	5	0.32%	84.86%
74	1.4.10 Conduct training for data entry	5	0.32%	85.18%
74	1.6.1 Specify reporting requirements for arrests	5	0.32%	85.50%
74	3.1.3 Upgrade digital photography	5	0.32%	85.82%
74	6.1.1 Computerize MNI	5	0.32%	86.15%
74	6.3.1 Establish local NIBRS	5	0.32%	86.47%
74	6.4.1 Create juvenile database	5	0.32%	86.79%
74	6.4.9 Create gun denial (Brady) file	5	0.32%	87.11%
74	6.4.11 Create file of supervised offenders	5	0.32%	87.44%
74	7.1.2 Set felony and other flags	5	0.32%	87.76%
74	7.2.1 Sign III compact	5	0.32%	88.08%
74	14.3.1 Establish electronic connection for transfer of probation data to repository	5	0.32%	88.40%
74	14.4.2 Automatically link corrections status to criminal history record	5	0.32%	88.72%
74	15.1.3 Participate in FIST	5	0.32%	89.05%
74	16.1.2 Provide users with direct access to employment background check information	5	0.32%	89.37%
89	1.1.2 Study and/or plan for arrest reporting process	4	0.26%	89.63%
89	1.1.10 Study and/or plan for arrest and disposition reporting processes	4	0.26%	89.88%
89	1.1.18 Study and/or plan for corrections issues	4	0.26%	90.14%
89	1.2.5 Audit local agencies	4	0.26%	90.40%
89	1.4.3 Conduct training for court information system	4	0.26%	90.66%
89	1.5.6 Create audit procedure	4	0.26%	90.91%
89	1.6.2 Specify reporting requirements for dispositions	4	0.26%	91.17%
89	2.1.1 Access wanted/warrants search via local computer	4	0.26%	91.43%
89	6.3.6 Upgrade NIBRS software	4	0.26%	91.69%
89	6.4.4 Establish sex offender registry	4	0.26%	91.95%
89	6.6.1 Provide periodic paper reports to INS	4	0.26%	92.20%
89	8.2.1 Establish electronic connection between court and prosecutor information systems	4	0.26%	92.46%
89	9.2.3 Establish electronic connection between courts and corrections	4	0.26%	92.72%
89	14.5.1 Establish electronic connection for transfer of parole data to repository	4	0.26%	92.98%
103	1.1.7 Study data quality	3	0.19%	93.17%
103	1.1.14 Study and/or plan for issues relating to children, the elderly, and/or the disabled	3	0.19%	93.36%
103	1.1.15 Study and/or plan for federal compatibility issues	3	0.19%	93.56%
103	1.1.16 Study and/or plan for computerized court information system	3	0.19%	93.75%
103	1.4.1 Conduct training for arrest process	3	0.19%	93.94%
103	1.4.9 Conduct training for OBTS	3	0.19%	94.14%
103	1.6.3 Mandate firearm instant check system	3	0.19%	94.33%
103	1.6.8 Legislate unique ACN	3	0.19%	94.52%
103	3.3.1 Establish electronic connection for transfer of booking data to prosecutor	3	0.19%	94.72%
103	3.4.1 Establish electronic connection for transfer of booking data to arraignment	3	0.19%	94.91%
103	5.1.1 Create procedure to make repository single source	3	0.19%	95.10%
103	6.1.6 Consolidate duplicate records in CCH	3	0.19%	95.30%
103	6.3.3 Computerize NIBRS	3	0.19%	95.49%
103	6.6.2 Computerize INS reporting	3	0.19%	95.68%
103	7.2.2 Comply with NIST standards	3	0.19%	95.88%
103	13.1.1 Computerize parole data	3	0.19%	96.07%
103	14.2.3 Establish electronic connection for transfer of criminal history records to courts	3	0.19%	96.26%
103	14.4.3 Upgrade electronic connection between corrections and repository	3	0.19%	96.46%

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Rank	Level 3 Activity Category	Percentage		Cumulative Percentage
		Number of Activities	of All Activities	
121	1.1.4 Study ACN and/or CCN	2	0.13%	96.59%
121	1.1.9 Study prosecutor information system	2	0.13%	96.71%
121	1.2.2 Conduct legislative audit	2	0.13%	96.84%
121	1.2.3 Audit superior court	2	0.13%	96.97%
121	1.2.4 Audit missing dispositions	2	0.13%	97.10%
121	1.4.4 Conduct AFIS training	2	0.13%	97.23%
121	1.5.5 Develop procedure to participate in III or to achieve NFF status	2	0.13%	97.36%
121	1.5.7 Create standard training procedure	2	0.13%	97.49%
121	1.6.9 Legislate printing of selected misdemeanants	2	0.13%	97.62%
121	3.5.2 Establish electronic connection for transfer of rapsheet data from repository to law enforcement	2	0.13%	97.74%
121	3.5.3 Update electronic connection between law enforcement and repository	2	0.13%	97.87%
121	5.4.5 Purge fingerprint cards that no longer meet requirements for storage	2	0.13%	98.00%
121	6.3.5 Upgrade NIBRS hardware	2	0.13%	98.13%
121	14.1.3 Upgrade electronic connection between prosecution and repository	2	0.13%	98.26%
121	15.1.1 Establish call center for answering firearm check queries	2	0.13%	98.39%
121	16.1.1 Establish center for processing employment background checks	2	0.13%	98.52%
121	18.1.1 Establish access to illegal alien information from INS	2	0.13%	98.65%
138	1.2.6 Audit ACN and/or CCN usage	1	0.06%	98.71%
138	1.3.4 Expand office space	1	0.06%	98.78%
138	1.4.7 Conduct training for NICS	1	0.06%	98.84%
138	1.6.5 Allow access to state NCJ data sources for firearm checks	1	0.06%	98.90%
138	1.6.10 Legislate gun purchase waiting period for juveniles	1	0.06%	98.97%
138	3.2.1 Automatically transfer booking data to fingerprint card	1	0.06%	99.03%
138	4.2.1 Preprint CCNs on fingerprint card	1	0.06%	99.10%
138	5.4.2 Include civilian fingerprints in file	1	0.06%	99.16%
138	6.1.5 Automatically retrieve criminal history based on MNI search	1	0.06%	99.23%
138	6.4.3 Convert juvenile records to adult records	1	0.06%	99.29%
138	6.4.5 Create gang index	1	0.06%	99.36%
138	6.4.6 Establish DNA databank	1	0.06%	99.42%
138	6.4.8 Create concealed weapon file	1	0.06%	99.48%
138	6.4.10 Include misdemeanors in criminal histories	1	0.06%	99.55%
138	9.2.2 Establish electronic connection between courts and probation	1	0.06%	99.61%
138	10.1.2 Computerize sentence code table	1	0.06%	99.68%
138	11.1.2 Upgrade probation information system	1	0.06%	99.74%
138	12.2.1 Establish electronic connection between corrections and parole	1	0.06%	99.81%
138	13.1.2 Upgrade parole information system	1	0.06%	99.87%
138	14.5.2 Automatically link parole status to criminal history record	1	0.06%	99.94%
138	15.1.2 Install firearm check terminals at gun dealers	1	0.06%	100.00%
159	1.1.1 Activities requiring additional details for classification	0	0.00%	100.00%
159	1.1.19 Study and/or plan for citation issues	0	0.00%	100.00%
159	1.4.8 Conduct training for audits	0	0.00%	100.00%
159	1.5.9 Develop procedure for processing employment background checks	0	0.00%	100.00%
159	1.6.4 Allow use of criminal data for employment checks	0	0.00%	100.00%
159	1.6.6 Allow access to private NCJ data sources for firearm checks	0	0.00%	100.00%
159	3.6.1 Computerize citations	0	0.00%	100.00%
159	4.5.1 Establish multipart fingerprint card	0	0.00%	100.00%
159	6.5.2 Automatically link disposition data to FBI records	0	0.00%	100.00%
159	14.1.2 Automatically link prosecution charge modification to criminal history record	0	0.00%	100.00%
159	14.3.2 Automatically link probation status to criminal history record	0	0.00%	100.00%
159	19.1.1 Establish access to mental health treatment information from private treatment centers	0	0.00%	100.00%
159	19.1.2 Establish access to drug treatment information from private treatment centers	0	0.00%	100.00%
Total		1,552	100.00%	

Exhibit 3-12 Level 1 Activities by Jurisdictional Impact

Level 1 Activities	Level of Jurisdiction Impacted (Row %)								Total Activities	Col%
	Local	County	County, Local	State	State, Local	State, County	State, County, Local	Unknown		
1. System Improvements	5.4%	3.4%	3.6%	59.5%	5.4%	6.0%	16.4%	0.4%	501	32.3%
2. Arrest	0.0%	25.0%	0.0%	25.0%	0.0%	0.0%	50.0%	0.0%	4	0.3%
3. Booking	28.1%	10.9%	7.8%	3.1%	20.3%	6.3%	21.9%	1.6%	64	4.1%
4. Fingerprints	27.0%	8.0%	16.0%	11.0%	16.0%	4.0%	18.0%	0.0%	100	6.4%
5. Fingerprint Search	3.6%	4.3%	0.7%	78.6%	5.0%	1.4%	5.0%	1.4%	140	9.0%
6. Criminal History Records	1.7%	0.3%	0.6%	90.9%	2.8%	1.4%	2.0%	0.3%	352	22.7%
7. FBI Records	0.0%	1.5%	1.5%	94.0%	0.0%	0.0%	3.0%	0.0%	67	4.3%
8. Prosecution	0.0%	23.3%	0.0%	20.0%	0.0%	56.7%	0.0%	0.0%	30	1.9%
9. Arraignment	3.7%	29.6%	16.7%	11.1%	0.0%	27.8%	11.1%	0.0%	54	3.5%
10. Adjudication/Appeal	0.0%	4.3%	8.7%	13.0%	4.3%	47.8%	21.7%	0.0%	23	1.5%
11. Supervised Release	11.1%	0.0%	11.1%	44.4%	11.1%	22.2%	0.0%	0.0%	9	0.6%
12. Incarceration	8.0%	20.0%	0.0%	48.0%	0.0%	24.0%	0.0%	0.0%	25	1.6%
13. Parole	0.0%	0.0%	0.0%	75.0%	0.0%	25.0%	0.0%	0.0%	4	0.3%
14. Disposition/Record Link	0.0%	5.4%	0.0%	30.2%	1.6%	56.6%	6.2%	0.0%	129	8.3%
15. Firearm Check	0.0%	0.0%	0.0%	76.0%	8.0%	8.0%	8.0%	0.0%	25	1.6%
16. Employment Check	0.0%	0.0%	0.0%	100.0%	0.0%	0.0%	0.0%	0.0%	7	0.5%
17. State Non-Criminal-Justice Data Sources	0.0%	0.0%	0.0%	100.0%	0.0%	0.0%	0.0%	0.0%	16	1.0%
18. Federal Non-Criminal-Justice Data Sources	0.0%	0.0%	0.0%	100.0%	0.0%	0.0%	0.0%	0.0%	2	0.1%
19. Private Non-Criminal-Justice data Sources										
Total Row %	5.7%	5.0%	3.5%	59.4%	5.1%	11.1%	9.9%	0.4%	1,552	100%

Exhibit 3-13 Level 1 Activities by Funding Source

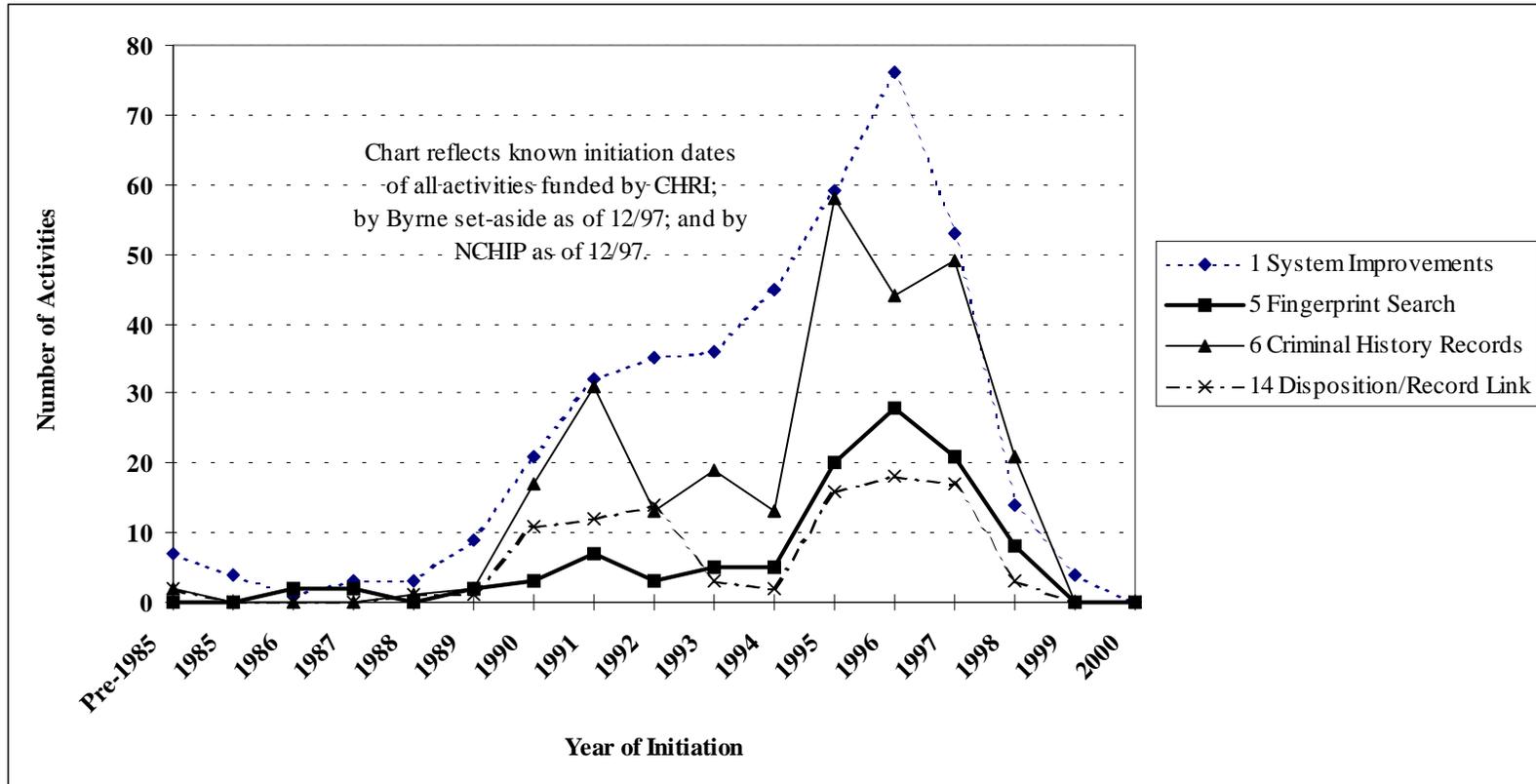
Funding Sources (Row %)

Level 1 Activities	Unknown	CHRI	Byrne	CHRI, Byrne	NCHIP	Byrne, NCHIP	State	CHRI, State	Byrne, State	CHRI, Byrne, State	NCHIP, State	Byrne, NCHIP, State	Local	Byrne, Local	State, Local	Other	Total Activities	Col %
1. System Improvements	3%	11%	11%	1%	27%	1%	17%	4%	18%	1%	2%	2%	0%	1%	1%	2%	501	32%
2. Arrest	0%	0%	0%	0%	50%	0%	25%	0%	0%	0%	0%	0%	0%	0%	0%	25%	4	0%
3. Booking	0%	0%	16%	2%	39%	0%	8%	2%	8%	3%	2%	2%	0%	9%	3%	8%	64	4%
4. Fingerprints	3%	6%	9%	0%	38%	7%	6%	0%	7%	1%	5%	1%	3%	3%	2%	9%	100	6%
5. Fingerprint Search	1%	4%	4%	3%	35%	1%	21%	2%	12%	1%	4%	4%	4%	1%	2%	2%	140	9%
6. Criminal History Records	1%	14%	5%	3%	36%	2%	15%	3%	9%	4%	4%	2%	0%	0%	0%	2%	352	23%
7. FBI Records	6%	16%	1%	0%	57%	3%	9%	0%	4%	0%	0%	1%	0%	0%	0%	1%	67	4%
8. Prosecution	3%	0%	23%	0%	10%	7%	13%	0%	27%	7%	0%	0%	0%	3%	3%	3%	30	2%
9. Arraignment	6%	4%	7%	0%	26%	2%	15%	2%	13%	9%	4%	4%	0%	7%	0%	2%	54	3%
10. Adjudication/Appeal	0%	0%	4%	0%	57%	0%	17%	0%	9%	0%	9%	0%	0%	0%	0%	4%	23	1%
11. Supervised Release	0%	0%	56%	0%	0%	0%	22%	0%	11%	0%	0%	0%	0%	0%	0%	11%	9	1%
12. Incarceration	0%	4%	16%	0%	20%	0%	36%	4%	16%	0%	4%	0%	0%	0%	0%	0%	25	2%
13. Parole	0%	0%	25%	0%	50%	0%	25%	0%	0%	0%	0%	0%	0%	0%	0%	0%	4	0%
14. Disposition/Record Link	2%	17%	7%	2%	32%	1%	7%	5%	11%	5%	2%	2%	1%	2%	1%	3%	129	8%
15. Firearm Check	8%	0%	4%	0%	72%	0%	12%	0%	4%	0%	0%	0%	0%	0%	0%	0%	25	2%
16. Employment Check	14%	0%	0%	0%	43%	0%	43%	0%	0%	0%	0%	0%	0%	0%	0%	0%	7	0%
17. State Non-Criminal-Justice Data Sources	0%	0%	0%	0%	75%	0%	0%	0%	0%	0%	25%	0%	0%	0%	0%	0%	16	1%
18. Federal Non-Criminal-Justice Data Sources	0%	0%	0%	0%	100%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2	0%
19. Private Non-Criminal-Justice Data Sources																		
Total Row %	3%	10%	8%	2%	34%	2%	15%	3%	12%	2%	3%	2%	1%	1%	1%	3%	1,552	100%

Exhibit 3-14 Activity Starting and Completion Lag Times

Lag in Months	Lag in Starting an Activity (Difference between planned start time and actual start time)			Lag in Completing an Activity (Difference between planned completion time and actual completion time)		
	Number of Activities	Percent of Activities	Cumulative Percent	Number of Activities	Percent of Activities	Cumulative Percent
0	453	75.2%	75.2%	261	70.7%	70.7%
1	12	2.0%	77.2%	12	3.3%	74.0%
2	7	1.2%	78.4%	7	1.9%	75.9%
3	4	0.7%	79.1%	5	1.4%	77.2%
4	12	2.0%	81.1%	5	1.4%	78.6%
5	12	2.0%	83.1%	4	1.1%	79.7%
6	13	2.2%	85.2%	5	1.4%	81.0%
7	7	1.2%	86.4%	4	1.1%	82.1%
8	5	0.8%	87.2%	7	1.9%	84.0%
9	5	0.8%	88.0%	7	1.9%	85.9%
10	6	1.0%	89.0%	5	1.4%	87.3%
11	6	1.0%	90.0%	7	1.9%	89.2%
12	7	1.2%	91.2%	9	2.4%	91.6%
13	3	0.5%	91.7%	0	0.0%	91.6%
14	0	0.0%	91.7%	1	0.3%	91.9%
15	4	0.7%	92.4%	3	0.8%	92.7%
16	5	0.8%	93.2%	4	1.1%	93.8%
17	2	0.3%	93.5%	4	1.1%	94.9%
18	2	0.3%	93.9%	1	0.3%	95.1%
19	2	0.3%	94.2%	0	0.0%	95.1%
20	0	0.0%	94.2%	0	0.0%	95.1%
21	5	0.8%	95.0%	0	0.0%	95.1%
22	3	0.5%	95.5%	0	0.0%	95.1%
23	1	0.2%	95.7%	2	0.5%	95.7%
24	7	1.2%	96.8%	2	0.5%	96.2%
25 to 36	9	1.5%	98.3%	10	2.7%	98.9%
37 to 48	6	1.0%	99.3%	1	0.3%	99.2%
49 to 60	2	0.3%	99.6%	1	0.3%	99.5%
60 to 72	2	0.3%	100.0%	2	0.5%	100.0%
Total	602	100.0%		369	100.0%	
Mean Lag (Months)	3.2			3.6		

Exhibit 3-15 Intensity of Activity Initiation Over Time



3.3 Goal-Based Analysis

While it would be ideal to assert that every one of the six common federal goals has or has not been met, this is not yet possible. Improving criminal history records is a lengthy process, best assessed with the aid of national aggregate measures which can quantify the state of data quality over time (see Section 4). Until these measures are established, an evaluation of the impact of the three federally funded programs must be based on activities undertaken by the states to achieve the desired goals.

Goal 1: Provide Required Resources

Provide resources to establish the necessary infrastructure for improving criminal history records and related systems.

Whereas common Goals 2 through 6 are derived from the explicit goals of the CHRI, Byrne 5%, and NCHIP programs, Goal 1 underpins all three programs, as indicated in Section 1.2. Certainly, funding is the most basic resource for improving criminal history records.

By providing ongoing funding since the beginning of the CHRI program, the Department of Justice has demonstrated a commitment to improving criminal history records. Between FY 90 and FY 98, the federal government awarded a total of \$389M—\$27M through the CHRI program, \$156M through the Byrne 5% program, and \$206M through the NCHIP program. This represents an annual average of \$0.77M in federal funds awarded to each state, over the past nine years.

Specific financial assistance has also been targeted to states at both ends of the criminal history records automation spectrum. “Priority” states (Maine, Mississippi, New Mexico, Vermont, and West Virginia) each received a supplementary grant of up to \$1 million in NCHIP funds to spend on basic activities to enhance automation of criminal history records. Similarly, the 18 NCHIP “advanced” states, a subset of III states, were eligible, under the Advanced State Award Program (ASAP), to collectively spend an additional \$5 million on extended core activities that would enhance the interface of their computerized criminal history systems with databases of persons other than felons who are ineligible to purchase a firearm.

Finding 1.1: The establishment of federal programs has helped states place a high priority on criminal history records improvement.

Byrne 5% and NCHIP program requirements have heightened awareness of the importance of improving criminal history records. As part of the Byrne 5% requirement, states must: (1) develop a Criminal Justice Records Improvement (CJRI) Plan and update it annually in order to expend their 5% funds, (2) convene a multi-agency criminal justice records improvement task force and, (3) as part of NCHIP, coordinate Byrne 5% and NCHIP funds. In addition, states have target dates for meeting the Attorney General’s timetable for current and sharable records as well as dates for III participation, where applicable.

Further, federal funds have helped leverage state and local funds, targeted at improving the quality of criminal history records.

One-third of the states expended more Byrne funds for criminal justice records improvement than the federally mandated 5% set-aside—evidence that states recognize the need for improving criminal history records. Moreover, states indicate that flexibility in the administration and use of Byrne 5% funds is helpful: it does not require that all projects be equally subsidized and allows the states to put funds to best use.

Finding 1.2: The amount of available federal funds is not excessive.

The question of whether some states may be unable to handle additional workloads associated with a large infusion of funding—precipitating a so-called “saturation phenomenon”—has been raised; for example, between FY 95 and FY 98 states drew down only 36% of their NCHIP awards, on average. There are, however, other possible explanations. First, the typical NCHIP-and Byrne- funded activities (e.g., an AFIS effort) take considerable time to complete; this is to be encouraged, since states may otherwise be unsuccessful in undertaking such major efforts and explains why funds are not being spent. Second, some states strategically accumulate their Byrne funds over several years to purchase “big ticket” items. Third, no state has requested to waive compliance with the requirement to allocate at least 5% of its Byrne funds for improving criminal history records. Finally, new programs, such as the State Identification Systems, come into existence, necessitating additional funding.

Finding 1.3: While there is synergy among the CHRI, Byrne, and NCHIP programs, an attempt should be made to improve coordination with the newer DOJ initiatives and with other federal and state programs that have implications for criminal history.

Byrne 5% and NCHIP funds are coordinated, in the sense that they complement each other in related efforts, rather than supplement one another in the same efforts. A state may fund improvement activities in the judicial branch with one of these two sources, while activities in the executive branch could be underwritten by the other source. Although logically, the Byrne and NCHIP funds could be commingled to implement an interface between a courts information system (judicial) and a computerized criminal history records system (executive), this does not occur because Byrne, unlike NCHIP, requires a match and local pass-through. Commingling the two sources would introduce complexities in administrative and funds tracking.

CHRI and NCHIP also complement each other in related efforts. While any leveraging of NCHIP and CHRI funds to support the same activity is negligible, the two funding sources overlap in the kinds of activities they support, namely, those falling into the System Improvements and Criminal History Records categories. Interestingly, these types of activities are as prevalent under NCHIP as they were under CHRI, implying a continuing need for funding these initiatives.

The difference in allocation of NCHIP and CHRI funds is also understandable. Because the average NCHIP award is much greater

than the average CHRI award, only 16% of NCHIP-funded activities leverage state and/or local funds, compared to over 41% of CHRI-funded activities. By the same token, 41% of all activities are partially funded by NCHIP, whereas the analogous percentage for CHRI is only 17%; this can be attributed to the narrower CHRI focus.

Some state officials feel the greatest barrier to effective coordination of the increasing number of records-related programs is institutional. At the federal level, programs are administered by multiple organizational units within BJA and BJS; this occurs more disparately at the state level, where the respective administrators may be not only in separate agencies but even in different branches of government (i.e., executive vs. judicial). As new programs emerge (e.g., State Identification Systems, which supports AFIS development) and integration initiatives proliferate across agency lines (e.g., Health and Human Services programs requiring selective access to criminal history information), it will become more crucial than ever to coordinate the various federal and state criminal justice programs with federal and state non-criminal justice programs. Organizational changes are being considered at the state level to address this need.

Finding 1.4: The majority of records improvement activities are initiated and completed on schedule.

An overwhelming 75% of activities start on time, and some 70% of activities are completed on time, based on an analysis of activities that included planned and actual start and completion dates. This is commendable, given myriad possible delays—attributed to contractor problems, personnel changes, and political difficulties—not within the control of the department implementing the initiatives. Ongoing activities—including training and auditing—comprise 7% of the total. Only 19 activities experienced starting lags exceeding two years, while only 14 activities experienced completion lags of two years or more. The average criminal history records improvement activity takes 2.7 years to complete. These statistics should help guide states through future planning efforts.

Goal 2: Improve Records Quality

Improve the quality (i.e., completeness, accuracy, timeliness, consistency, accessibility) of criminal history records.

To gain insight into the states' perspective, we administered a questionnaire to state officials, requesting their views on the relative importance of data quality issues and data quality improvement activities. Two pairs of Q.E.D.-designed questions on data quality issues and improvement activities, respectively, were sent to the states in 1994 as part of the CHRIE effort. Because of the excellent response rate and the information we learned about states' views, the questions were reissued in December 1997 and supplemented with recent concerns about individuals disqualified from buying firearms and working as care providers (see Exhibits 3-16 and 3-18). One state official made this remark about the questionnaires: "I use them to think about where we're putting our money and ask myself if we're effectively addressing weaknesses in our system."

Analysis of the questionnaires led to the following findings.

Finding 2.1: The automation of criminal history records systems—especially their interfaces—has made records available on a more timely basis.

Eighty-eight percent of users interviewed see access to criminal history records as being either timely or very timely; 30% perceive that access was either more timely or much more timely in 1997, compared to 1992. Attribution for the improvement was evenly split between improvements in automated systems and in data entry protocol.

Reduction in disposition submission times is one factor contributing to the greater timeliness of record accessibility. Responses to our questionnaire indicate that disposition submission times—deemed problematic by the states in 1994—are no longer a concern. Thanks to the CHRI emphasis on increased automation of disposition reporting, submission times have been successfully reduced. In cases where there is no difficulty linking a disposition to its arrest, the improved disposition submission times lead to the timely availability of a complete record. However, the troubling fact that arrest-to-disposition linking problems remain suggests that automation alone is insufficient to alleviate poor linkage, which is usually a symptom of a more structural problem (e.g., pertinent tracking or control numbers not entered on the arrest/disposition record).

Finding 2.2: More federal funds are needed to substantially improve the quality, and particularly completeness, of criminal history records.

While availability of federal funds has enhanced quality of criminal history records, there is still substantial room for improvement.

Completeness—the extent to which the criminal history record contains available disposition information—remains an acute problem. The degree to which arrests in the criminal history database have a final disposition was cited by states as being the most critical and most problematic issue they face, in both 1994 and 1997. The past decade has witnessed a major increase in automated disposition reporting, but states still find it challenging to link dispositions to associated arrests and charges. While automated disposition reporting has accelerated the rate at which dispositions are received at the repository, this does not necessarily guarantee the linking of a disposition to its corresponding arrest.

The linking task can be especially difficult in states where dispositions are matched to corresponding charges, since charges can be often dropped or modified anytime following an arrest. One manifestation of this linking problem is the increase in suspense files—that is, repository files containing dispositions that cannot be linked to arrests. A procedural change, such as implementing unique identifiers, or Offender Based Transaction Statistics (OBTS) numbers, should be encouraged, since it has been shown to help states alleviate the problem. States should also continue to locate and process disposition reports not submitted to the repository—an activity which many states have cited as improving the quality of records, and which should be implemented on a wider scale.

States assert that upgrading the AFIS and CCH systems and implementing livescan will yield the greatest improvement in data quality, and as such, are among the most frequently undertaken activities. Federal funds have played a key role in subsidizing these costly initiatives (see Finding 4.2). The importance of these efforts is understandable, since the AFIS and CCH are necessarily the two critical components of an efficient repository. Further, legacy AFIS and CCH systems installed in the 1980s need to be replaced with state-of-the-art hardware and software. Livescan, on the other hand, is a newer technology that should be fostered, since it improves arrest reporting and helps build towards a paperless system. The timely focus on livescan and automated arrest reporting is likely related to the fact that automated disposition reporting has made major strides since CHRI, allowing more emphasis on the front end of the records process.

The fact that the average time to complete an improvement activity exceeds two-and-one-half years explains why the need for supplemental funding can also be expected.

Questions on Data Quality Issues

Overall perceptions of which issues are *critical* to operating an effective repository have not changed since 1994. Exhibit 3-16 summarizes the average responses from the states (40 in 1994 and 51 in 1997) to the first pair of questions regarding data quality. “N/A” refers to questions not asked in 1994.

In 1997, several issues received high critical scores (e.g., issue #1, legibility of fingerprints) and others received high problematic scores (e.g., issue #46, degree to which mental health databases can be checked); these are ranked in Exhibit 3-17. A more revealing statistic, however, is the *difference* between Q1, “critical score,” and Q2, “problematic score” for each issue, called the “alignment score,” which highlights how one data quality issue is viewed, *relative* to another. The greater the alignment score, the more the respondent feels that although the issue is critical, it is not a problem for the state, because the state has aligned its priorities to ensure that the critical issue is being addressed. A low alignment score is generally cause for concern *except* when it pertains to a noncritical issue. The two lowest alignment scores in 1997, for example—0.2 and 0.5—pertain to issues #46 and #45, respectively, each having a low criticality score. Clearly, then, the concern lies with those issues that have high criticality scores *and* low alignment scores.

Exhibit 3-17 indicates the highest ranking “Low Alignment and Highly Critical Issues,” in 1994 and 1997. The highest rank is “13,” reflecting the fact that higher ranks 1-12 do not meet the criteria for highly critical and lowest alignment. The issues are:

1. Degree to which arrests in database have a final disposition (#31; 1994 and 1997);
2. Degree to which cards are submitted to the repository (#4; 1997);
3. Delays in entering disposition data in criminal history database (#18; 1994 and 1997);

4. Degree to which final dispositions are submitted to repository (#14; 1994 and 1997);
5. Size of disposition report backlog (#43; 1997);
6. Delays in entering arrest data in criminal history database (#9; 1997);
7. Delays in submitting disposition reports to repository (#15; 1994);
8. Degree to which each offender's felony conviction status can be determined (#33; 1994).

Each of the 1994 issues addresses quality of criminal history records in terms of the linking of arrest and disposition reports. In fact, it is troubling that the disposition issues problematic in 1994 were still problematic in 1997—except for issue #15 because CHRI emphasis on increased automation of disposition reporting has successfully reduced disposition submission times. This is noted in Section 3.2, where one of the most prevalent activities is establishing an electronic connection for transfer of court disposition data to the repository. (At the same time, felony flagging, resulting from FIFS, has minimized the felony conviction status problem, and so issue #33 is no longer a problem.)

Questions on Approaches to Improving Data Quality

Exhibit 3-18 summarizes the average responses to the second pair of questions on approaches to improving data quality. Here, the difference between Q3, “improvement score,” and Q4, “implementation score,” is called the “need score.” The greater the need score, the more the state feels that although the activity might be important, it is not being implemented at a level commensurate with its importance. The highest-ranking “High Need and High Improvement Potential Approaches” are shown in Exhibit 3-19; these include (for 1997):

1. Locate and process disposition reports not submitted to the repository (#49); and
2. Upgrade/install new information systems at local arresting agencies (#32).

Compare these to the top-ranking approaches from 1994:

3. Implement livescan fingerprint systems at local arresting agencies (#33);
4. Upgrade/install new electronic interface between arresting agencies and prosecutors (#39);
5. Upgrade/install new electronic interface between prosecutors and repository (#41); and
6. Upgrade/install new electronic interface between arresting agencies and courts (#40).

In the case of questions Q3 and Q4, there is no overlap between 1994 and 1997, as there is for Q1 and Q2. Nevertheless, in both years, states recognize the need for automating systems and reporting among

agencies, though the focus on specific systems has changed. Also, in 1997 there is a greater focus on missing dispositions.

Are the states implementing activities that they believe yield the greatest improvement in data quality? In the case of 1997 activities, for upgrading/installing new AFIS systems (#27) and upgrading/installing new computerized criminal history system (#25), this is obviously true; that is, while they have high improvement scores, they have low need scores, implying that they are being extensively implemented. Given the increased demand for non-criminal background checks, AFIS systems require updating to support additional workloads, especially in cases where the state is storing civilian fingerprint cards on the AFIS. Personnel in non-criminal justice agencies express frustration in waiting for background check results, which frequently take twice as long as they did even two years ago. Many CCH systems are becoming outdated, having been installed in the 1980s; upgrading or installing new ones is necessary. Indiana and Nevada are using federal funds for completely rewriting their criminal history systems. Both AFIS and CCH activities also support Goal 4: Automate Systems.

However, the states do not believe that a major effort with respect to III participation would improve data quality: although the implementation effort is high, the need value is low. Still, becoming a III participant is a key goal of the NCHIP program, and as discussed earlier, central to the effective operation of the NICS. This explains the importance of federal funds as an incentive to becoming an III participant.

In 1994, the two activities implemented most frequently were developing a long-term data quality improvement plan (#4); and improving inter-agency cooperation and commitment to data quality (#17). Given the requirements of the Byrne 5% program to convene a multi-agency task force and to develop a data quality improvement plan, this implementation finding is not surprising, especially since the Byrne 5% program commenced in 1992, and CHRI funding drew to an end in 1993.

Changes in State Responses

The changes in state responses to the questionnaires between 1994 and 1997 are evidence that perceptions of a number of data quality issues and improvement approaches have evolved. Overall, changes in perceptions mirror shifts in emphasis of the federally funded records improvement programs. Exhibit 3–20 describes score increases that are summed over the 39 states that responded to both rounds of questionnaires. A negative sign indicates a decrease.

Delays in responding to requests by non-criminal justice agencies (#21)—an anticipated result of the increased number of background checks fostered by NCPA—are expected and are shown to be both more critical to an effective repository and more problematic. This matter is discussed further under Goal 6. The most striking results are dramatic increases in the implementation of livescan and AFIS, and increases in the commitment to improving data quality. Leadership commitment is essential for successful, sustained progress in records improvement. Activities, such as conducting needs assessments and

developing long-term plans, have fallen off because these tasks have largely been accomplished.

User Perceptions

We conducted telephone interviews with 50 users of criminal history information in both the criminal justice and non-criminal justice communities and asked for their views on changes in the quality of records between 1992 and 1997. While our sample is limited and somewhat biased—38% of criminal justice users were from local law enforcement—we find that these users are generally content with the state of records quality, although, to the degree they could recollect, they believe that improvements since 1992 have been modest. Conducting similar interviews in the future with a greater number of users across agencies would be beneficial.

Finding 2.3: Records are more accessible and more useful as a result of improvements to criminal history records.

Eighty-five percent of users interviewed feel that records were either accessible or very accessible in 1997; 34% feel that they were either more or much more accessible in 1997, compared to 1992. This latter low percentage may be due to the fact that local law enforcement—a third of the users we interviewed—traditionally has had greatest access to the records, and hence no substantial difference is apparent to them. The majority attributed the improvement to changes in their automated systems, which, as in Goal 5, has been a focal point of federal funds.

Seventy-nine percent find records information useful or very useful, and 34% feel it was either more useful or much more useful in 1997, compared to 1992. The predominant reason for increased usefulness was seen to be the greater completeness of the information.

Goal 3: Improve Reporting

Improve interstate, intrastate, and federal criminal history records-related reporting.

Finding 3.1: Linking dispositions to their associated arrests poses a number of lingering problems.

National goals of making arrest-to-disposition linkage raise concern about state-to-state comparability and data availability. A preliminary list of questions that should be addressed:

- Is a disposition required for every charge, or is one per arrest enough? States which post dispositions for every charge—compared to those that post one disposition for each arrest—are at a disadvantage in attempting to dispose of an arrest.
- How does a state determine whether a disposition is linked to an arrest (or charge)? Is there a field indicating that the disposition has been received and entered, or is a proxy used, such as the date of entry of the disposition? If

neither of these data elements exists, how does the state know this information?

- Does the criminal history records database identify disposed arrest/charges? In some states, prosecutorially disposed arrests are not consistently reported, if at all, to the repository.
- Does the state expunge old, undisposed arrest records? There may be points in time after which “old” arrests whose dispositions have not yet been received by the repository are no longer counted in the arrest base against which the degree of linkage is measured. States that engage in this practice would obviously have better arrest/disposition linking track records than states that have no such requirement.

In addition, since submission timeliness and completeness of criminal history records are important indicators of data quality, the various delays, or time lags, from the making of an arrest to the entry of the associated final disposition(s) in the criminal history repository database are indeed critical process measures (see Exhibit 4-1). More specifically, as depicted in Exhibit 3-22, the key linkage-related events that typically follow an arrest include: (i) its receipt at the repository and subsequent entry in the database; (ii) the rendering of the final disposition which, if court based, is entered in the court information system; and finally, (iii) the receipt of the disposition by the repository and subsequent linkage with the appropriate arrest record.

Graphically, one can visualize a number of issues inherent in the linking of arrests and their dispositions, as illustrated in Exhibit 3-23. The cumulative distribution of disposition entry time lags is based on actual arrest samples collected from states participating in the focused component of the evaluation, while the cumulative distribution of time from arrest to disposition rendered is hypothetical, since sample data are unreliable. As depicted in Exhibit 3-23, four important issues can be identified.

- Issue A: The delay in rendering a disposition pursuant to a felony arrest could be due to prosecutor or defense postponements, and/or to court backlogs.
- Issue B: The delay in entering a rendered final court disposition could be due to a communication delay between the court and the central repository and/or processing backlogs at the central repository.
- Issue C: The long-term difficulty in obtaining dispositions for 100 percent of felony arrests could be due to problems in tracking arrest cases through the criminal justice system as charges are modified and plea bargaining occurs. Prosecutorial dispositions may also not be readily available to the repository.

- Issue D: The long-term difficulty in entering all rendered final dispositions could be due to problems in linking dispositions to appropriate arrests.

Finding 3.2: Setting realistic standards for linking arrest and disposition records remains a challenge.

On average, states continue to view the linking of a disposition to an arrest as problematic. Not only is this troubling for the states, which require complete and accurate records to make informed decisions on bail setting and sentencing, for example, but also because standards helpful in measuring record completeness are difficult to establish. For example, the National Child Protection Act and the Brady Act’s Attorney General’s timetable each refers to objectives in linking dispositions to their corresponding arrests, but a statistical model we formulated showed these to be unrealistic.

Specifically, our model examined the relationship between the *average percent linkage required* and the *average elapsed time* (in weeks) between arrest and disposition linking. An assumption of even modest variability in the elapsed time between arrest and linkage to a disposition suggests that a typical objective of having 80% of criminal history records be “current and shareable” is in practice unattainable. Moreover, our model showed that for that goal to be achievable under even a modest variability assumption would require the average elapsed time between arrest and disposition linking to be less than 10 weeks.

Legislative Objectives

The National Child Protection Act, the Attorney General’s timetable, and the Byrne Formula Grant Program Guidance each refers to national objectives of linking dispositions to their corresponding arrests. Are these objectives, in fact, attainable?

The Brady Act required that the Attorney General “investigate the criminal records system of each state and determine for each state a timetable by which the state should be able to provide criminal records on an on-line capacity basis to the national system...” The Attorney General established such a timetable indicating when states would join III and when they would have *80% of their records “current and shareable.”* Records are considered current and shareable if they come from states that are III members, and if the records of arrests made within the preceding five years—with at least one criterion offense—contain dispositions of those arrests.

The National Child Protection Act required that the Attorney General “determine for each state a timetable by which the state should provide child abuse crime records on an on-line basis through the national criminal history background check system.” It also indicated that the states must have in a computerized criminal history file, by December 1996, at least 80% of the final dispositions that have been rendered in all “identifiable child abuse crime cases in which there has been an event of activity within the last 5 years.”

Finally, the Byrne Formula Grant Program Guidance [1996] specifies criteria for receiving a waiver from having to apply 5% of those funds

towards criminal history records improvement. To qualify for the waiver, ninety-five percent of *current* felony arrest records must contain disposition information, in cases where a disposition has been reached. Further, “a reasonable attempt should be made to improve the availability of disposition information in past records with a goal of achieving disposition information for 90 percent of felony arrest records for the past five years.”

Relevant Issues

Three questions merit examination.

- First, what is actually meant by the linking of a disposition to a corresponding arrest? Some states link one disposition to one arrest record, while others strive to link a disposition to every charge associated with an arrest. It is relatively straightforward to distinguish which states seek to track separately the charges for every arrest and hence link dispositions to every charge (e.g., Missouri, Nevada), as compared to those states which simply track arrests and their dispositions (e.g., California, New Mexico). What remains unclear is how to draw meaningful conclusions at the national level about disposition linking, when some states track arrests, while others track charges. Those states which post dispositions for every charge will appear to have a poorer disposition linking record than those states which post only one disposition for each arrest.
- Second, in determining the extent to which a state’s dispositions and arrests can be considered linked, one must take into account the implications of time elapsed from the arrest, to the rendering of the disposition, to the arrival of the disposition at the repository, and to its ultimate match with the appropriate arrest/charge and entry into the criminal history database. There may be points in time after which “old” arrests whose dispositions have not yet been received by the repository would no longer be counted in the arrest base or pool. In fact, some states have precise criteria for categorizing undisposed arrests. If no disposition has been received 13 months following an arrest, the state of Connecticut designates such an arrest as being “nolle prosequi” (i.e., not processed); if, after 26 months from the date of arrest, the repository has still not received a disposition, the arrest is expunged entirely from the database. Clearly, the existence of such procedures would impact computation of percentage compliance criteria, as in the case of the Byrne 5% waiver. Determining “real time” status of an arrest as it progresses from arrest through its prosecutorial and judicial phases, moreover, may exceed the capability of a state’s current criminal justice information system.
- Third, are the 80%, 90%, and 95% goals for linking dispositions to arrest records, in fact, realistic? Exhibit 3-3 identifies states that have already achieved the 80% standard. Massachusetts claims that 100% of their arrest

records are linked to dispositions and Vermont claims 96%. However, these two states have criminal history records systems that are arraignment-based, meaning that records originate in the courts—very effective for linkage purposes, but problematic with respect to fingerprint-support. That Vermont is one of the least-automated states suggests that automation is not essential to improving disposition reporting and linking, contradicting conventional wisdom.

A Statistical Model Underscores the Importance of Variability

To address the second question, we developed a model to examine the relationship between the *average percent linkage required* and the *average elapsed time* (in weeks) between arrest and disposition linking, $E(t)$, for a range of values of the coefficient of variation, or variability, k , of the elapsed time (see Exhibit 3-24).

The model shows that for a given value of k , as the average elapsed time increases, the average proportion of arrest records within the previous five years, containing dispositions, decreases. For example, for $k=0.5$, a low level of variability, in order to achieve an average percent linkage of 80%, the average elapsed time must be 45 weeks. For $k=1.0$, a modest level of variability, to average 80% linkage, the average elapsed time between arrest and disposition linking must be only 10 weeks! The question is whether a disposition can be rendered and linked in just 10 weeks—certainly, a very challenging and probably unrealistic goal. A 100% goal would require that $E(t)=0$, or the disposition would be required immediately, at the time of arrest—an impossibility for the U.S. system of justice, under which an accused person has the right to an appearance in court, and this is scheduled weeks, if not months, following the arrest.

Thus, the model highlights the impact of the *natural variability* inherent in the process, demonstrating that it is a key factor in determining whether the elapsed average number of weeks between arrest and disposition linking even permits an average percent to be achieved. Approaching the linkage issue in this way is realistic because it does not attempt to *arbitrarily* determine which events need to occur to achieve a particular average.

Finding 3.3: The infusion of federal program funds has increased the ranks of III membership, albeit slowly.

In contrast to CHRI and Byrne 5% efforts, a key goal of NCHIP in support of NICS is participation in the FBI's Interstate Identification Index (III). As such, since the start of the program ten states have become III members under NCHIP—Alabama, Arizona, Arkansas, Indiana, Iowa, Maryland, Mississippi, Nebraska, New Mexico and West Virginia—bringing the total to 39.

While states report that they do not believe that a major effort in III participation will improve data quality, they continue to use federal funds to accomplish this goal, suggesting the importance of federal funds as an incentive for III participation. From a records quality perspective, joining III should be encouraged, since state-supported records are more complete than FBI-supported records.

Participation in III

The federal government understands that increased state participation in III will improve the integrity of a response to a III inquiry because state-held records are more complete than FBI-held records. NCHIP objectives emphasize III participation as an important goal, and NCHIP funds are used by 26 states in two-thirds of the III activities, as shown in Exhibit 3-21. That the Byrne program does not specifically emphasize III-related activities explains why only six states are using it as a funding source.

What is the states' current view of III participation? To begin with, their attitude has changed substantially since 1994. In that year, their responses (see Exhibit 3-18) indicate that they thought that becoming a participant in III (#28) would moderately improve data quality in their state and modest efforts were under way. That year's zero need value says that states, on average, believed that the effort was commensurate with the level of importance. In 1997, however, the III implementation score increased, affirming a significant increase in III activity implementation and suggesting that federal funds have since been instrumental in encouraging these initiatives. This is reinforced in Exhibit 3-21, which shows that *state* funding supports a mere 6 of 61 III activities.

Reporting to the FBI

"Reporting to the FBI" is covered by questionnaire issues #26-#29 in Exhibit 3-16 and addresses submission levels and delays in reporting fingerprint cards and dispositions to the FBI.

States view all these issues as more critical to an effective state repository in 1997 than they did in 1994, but better aligned with state efforts than in 1994—although fingerprint-related matters are better aligned than those related to dispositions. The most critical issue is the degree to which fingerprint cards are submitted to the FBI (#26); not surprisingly, states are aware that fingerprint cards must be submitted in order to become an III participant.

Goal 4: Automate Systems

Automate systems for creating, storing, and sharing criminal history records.

Finding 4.1: Federal funds are responsible for major automation improvements in criminal history records throughout the states.

The importance of automation in improving data quality cannot be overemphasized; the states obviously concur. The three highest ranked federally funded improvement activities are upgrading CCH software, installing livescan, and electronically transmitting dispositions to the repository. Each of these activities falls into the category of automation; collectively, they account for over 11% of all activities. In particular, livescan implementation and electronic disposition reporting are critical in helping states in their efforts to achieve "data entry at the source"—and ultimately a paperless record system.

In addition, the number of NCHIP-funded flagging activities is up over 50%, as compared to those funded by CHRI. This is clearly beneficial, and not only for identifying felons. Eighteen percent of activities focus on flagging disqualifying crimes, such as child abuse, which may include misdemeanors.

Record Flagging

Record flagging is deemed an important NCHIP activity that incorporates not only the flagging of felony records, but also the flagging of persons convicted of specific disqualifying crimes. During the CHRI program, in 21 states, felony flagging activities were under way, explaining why the “degree to which each offender’s felony conviction status can be determined” improved from 1994 to 1997 (Exhibit 3-16, # 33).

The degree to which each offender’s conviction status can be determined relative to domestic violence misdemeanors (#38), disabled abuse (#36), elderly abuse (#35), and child abuse (#34), all are described as problematic in Exhibit 3-18. As Exhibit 3-30 indicates, such activities now comprise 18% of all flagging activities.

Finding 4.2: Without federal funding, the states would not have achieved their current levels of livescan and AFIS implementation.

In 1994, states asserted that livescan implementation was the activity with the greatest potential for improving criminal records but implemented the least. Since then, federal funds have played a major role in the increased levels of livescan implementation. In addition to improving quality of fingerprints, livescan also improves arrest reporting. Implementation of livescan, especially at high-volume arresting agencies and central booking sites, should be fostered.

AFIS-related activities undertaken by 50 states account for over 8% of all activities; NCHIP funds half of these. This level of interest is evidence of the rapidly burgeoning pace of AFIS technology. The large number of AFIS-related activities also reflect the greater-than-ever need for storage in states storing civilian prints in their AFIS, in response to the proliferation of fingerprint-based background checks. In some states, the volume of civilian fingerprint checks surpasses criminal checks.

Future planning of these initiatives should leverage other DOJ funding sources such as SIS (which funds the development of automated fingerprint systems compatible with the FBI’s IAFIS) and LLEBG (which supports procurement of equipment and technology for basic law enforcement functions).

Livescan

During the CHRI program, livescan implementation was noted as the activity with the greatest potential, but implemented the least. This is as expected; CHRI focused on records improvement at the repository, and livescan is implemented mostly at arresting agencies.

Exhibit 3-25 demonstrates that states are now actively acquiring livescan technology; 43 are engaged in 72 activities related to its

acquisition and training. As noted in Section 3.2, Install livescan is one of the most prevalent activities, which explains why its need rank has dropped from #1 in 1994 to #21 in 1997. This major increase in livescan implementation—supported predominantly by federal funds and addressing federal goals of increasing levels of arrest reporting, accuracy, and timeliness—is not restricted to large states.

Undoubtedly, increased livescan implementation will address state concerns about arrest record receipt and entry issues at the repository, noted under Goal 2. However, it will be necessary to continue educating personnel in the use of livescan, and persuading them of its value as a tool for improving criminal history records. Some practices die hard; ink-rolled fingerprints are no exception. “Jailers who have been rolling ink prints for twenty years are often reluctant to switch to a new technology,” comment many state officials. Also, in states where livescan equipment is installed in central booking facilities, personnel do not want to travel to those sites if it means leaving their own office unattended.

AFIS

“A fingerprint and a jumped turnstile lead to a confession spree,” read The New York Times on June 14, 1996. A 22-year old man, whose only criminal record was for jumping a turnstile, confessed to the killing of a dry cleaner owner, the near-fatal beating of a woman in Central Park, and two other brutal assaults on women. How did this happen? By jumping a subway turnstile—a seemingly minor event—John Royster nevertheless had his fingerprints taken; these were subsequently matched with latent fingerprints, lifted from a window and a plastic bag outside the dry cleaning store where the woman was killed, and entered into an AFIS.

Because of its significance and high cost, two AFIS issues—storage capacity and multi-state AFIS consortia—merit discussion. For states that store civilian fingerprints for background checks on their AFIS, storage capacity is fast becoming a concern. In California, 60% of stored fingerprints are civilian, and they are beginning to overwhelm the criminal prints. To exacerbate the storage problem, some arresting agencies that currently do not submit juvenile fingerprint cards, due to restrictions on the dissemination of non-conviction juvenile information, may do so in the future.

Multi-state AFIS agreements are in various phases of development in at least three regions across the nation; given the increasing mobility of offenders and the high cost of the technology, these regional agreements should become commonplace. North and South Dakota entered into an agreement with Minnesota to access its AFIS—now referred to as the Midwest Automated Fingerprint Identification Network (MAFIN). Other regional, multi-state AFIS consortia are being planned; specifically, the Tri-State AFIS is to include Maine, New Hampshire and Vermont, while Rhode Island is piggybacking on Connecticut’s AFIS. These AFIS agreements are, of course, in addition to the first interstate AFIS agreement, in which six states (Idaho, Montana, Nevada, Oregon, Utah, and Wyoming) formed the Western Identification Network (WIN).

AFIS activities are targeted as an area of prime interest. Exhibit 3-26 indicates that 50 states have been or will be undertaking 129 such activities. Indeed, Fingerprint Search is noted in Section 3.2 as being one of the most prevalent activity categories. Due to the rapidly burgeoning pace of AFIS technology, states that have had an AFIS installed for a number of years are now upgrading their systems by installing new versions of the software, and by adding hardware components, such as new workstations or disk capacity.

Prior to NCHIP, almost all AFIS activities were supported by state funds; certainly limited CHRI money did not play a major AFIS role. Now, 50% of AFIS activities use NCHIP funds. As noted in Section 3.2, Byrne- and NCHIP-funded activities tend to complement each other rather than supplement one another in the same effort— underscored by the fact that Byrne funds 35 AFIS activities, but only in six cases are they co-funded by NCHIP.

Exhibit 3-27 lists AFIS vendors by state and shows that Printrak, which dominates the Midwestern market, and NEC are incumbent in 20 and 21 states, respectively.

Finding 4.3 Integration of automated justice systems is becoming increasingly important in improving data quality.

While integration poses formidable challenges, it is critical as we move toward a paperless system, in which data is entered only once at the source (thus reducing the possibility of human error and inconsistent data). Because integration efforts cross agency, and often jurisdictional, lines, their success depends on a top-down commitment from heads of participating agencies. Consensus building is also needed to overcome “turf” issues and to coordinate resource utilization.

The most prominent shift towards integration shows up in the increase in new prosecutor information systems, coupled with an increase in prosecution/repository interface activities. Traditionally, court dispositions have been the funding focus for disposition reporting, and rightfully so. Moreover, in some states, prosecutors are elected and may not be eager to report cases that are not being prosecuted because their constituents would be displeased. Tracking prosecutorial declinations, which will improve completeness of criminal history records, should be fostered.

Interfaces Between Criminal Justice Agencies

In 1994, states believed there was a need for improving interfaces between arresting agencies and both prosecution and courts (Exhibit 3-19, #39 and #40, respectively), making it surprising that little new activity for either is shown in Exhibit 3-28. However, while it would be desirable from the point of view of automating a generic criminal justice information system, it is not critical in the context of criminal history records improvement.

In 1997, two new automation efforts emerged as the most significant: installing information systems at local arresting agencies (#32) and installing new prosecutor information systems (#31).

The substantial increase in activity at the prosecution/repository interface (#41), as shown in Exhibit 3-29, reflects the importance of tracking prosecutorial declinations; this activity, in conjunction with installing prosecutor information systems, is gaining momentum in 11 of the 12 states utilizing federal funds.

Prosecutorial reporting to the repository is traditionally spotty, as prosecutors are elected or appointed officials who do not wish to publicize that they are dropping charges or declining to prosecute offenders. At the same time, they also “think in terms of legal briefs, not in terms of their contribution to criminal history records,” notes one repository official. Clearly, electronically transmitting prosecutor dispositions to the repository will help complete arrest records that would otherwise lack such information. Efforts to improve cooperation between the repository and prosecution would also be beneficial.

The prosecutor-related activities are primarily Byrne-funded, consistent with the Byrne program’s objectives of “full automation of criminal history records” and “completion of criminal histories to include the final disposition of all arrests for felony offenses.” Although one of its key goals is “to improve the level of criminal history records automation,” NCHIP funds only six prosecutor-related activities—probably a consequence of the states’ use of NCHIP funds for fingerprint-related automation activities.

Goal 5: Identify Ineligible Firearm Purchasers

Identify persons ineligible, for criminal and non-criminal reasons, to purchase firearms.

To screen out felons from purchasing firearms, the Anti-Drug Abuse Act of 1988 required the Attorney General to develop a system for immediate and accurate identification of felons who attempt to purchase firearms. To meet this mandate, the FBI implemented the Felon Identification in Firearms Sales (FIFS) Program, which flags state criminal history records with felony convictions and arrests.

States are working towards bringing these flags over to III (see Exhibit 3-21). NICS—by accessing III criminal records—and FIFS should then work together to determine if a potential firearm purchaser has a felony conviction or a pending felony arrest, eliminating the need to investigate details of a criminal history record.

The Brady Act, however, requires identification of several groups of *non*-felons ineligible to purchase firearms, in addition to the identification of convicted felons. Although all states will eventually be faced with addressing these issues, 18 III states have already received additional funding totaling \$3.7M, under the ASAP component of NCHIP, to study and to develop plans in this area.

While the task of ascertaining eligibility has become more complex, each of the nine disqualifying criteria is itself a sufficient ineligibility condition. That is, if a potential firearm purchaser fits in any one of the nine categories, he/she would be disqualified from purchasing a firearm. Moreover, it takes only a single felony conviction for a prospective buyer to be declared ineligible.

Finding 5.1: More firearm sales to ineligible purchasers may occur under NICS than during the interim provisions of Brady.

During the interim provisions of Brady from 1994-1998, all states checked their own records when performing firearm eligibility checks. Under NICS, however, which began in November 1998, state-level checks are performed only by states serving as so-called Points of Contact (POCs)—in which case, a federal firearms licensee (FFL) contacts the state prior to the sale of a firearm. Unfortunately, the majority of states are not POCs—in which case the FFL contacts the FBI, whose criminal records are not as complete as state records. This is particularly an issue in non-POC and non-III states. Further, NICS may not be able to verify certain non-felon information: some state repositories may be permitted access to mental health information for the purpose of conducting a firearm eligibility check, but that same information would be prohibited from being passed on to populate the NICS index.

Another artifact of NICS is the absence of a “cooling off” period prior to the purchase of a firearm. The interim Brady five-day “waiting period” was effectively a “cooling off” period for an individual who wished to buy a gun with the intent to harm. For the state it was a “maximum response” period, since a firearm purchaser did not have to wait five days before buying a handgun, but had to allow up to five days for the CLEO to check his/her records to determine purchase eligibility. Interestingly, even with NICS, there is a feeling in the current federal administration that the five-day waiting period should be reinstated to allow law enforcement officials more time to check noncomputerized records and to help prevent rash acts of violence.

Finding 5.2: The identification of non-felons ineligible to purchase firearms is expected to remain problematic.

As noted earlier, the seven categories of individuals prohibited from purchasing a firearm listed in the Gun Control Act, the Anti-Drug Abuse Act, and the Brady Act are: (i) persons under indictment for or convicted of a felony; (ii) fugitives from justice; (iii) unlawful drug users or addicts; (iv) mental defectives; (v) illegal aliens; (vi) dishonorably discharged; and (vii) citizenship renunciates. The eighth and ninth firearm ineligibility categories—namely, persons who are “subject to a civil restraining order arising out of domestic or child abuse” and those convicted of “domestic violence misdemeanors”—were added as part of the Violent Crime Control Act of 1994 and the Lautenberg Amendment of 1996, respectively.

Identifying non-felons ineligible to purchase firearms is challenging since non-felon information is not readily available to state criminal history record repositories. Also, the dissemination of mental health and drug abuse information raises legal and ethical questions about the rights to privacy and presents new security challenges. It is understandable, therefore, that two of the three dominant NCHIP-funded Advanced State Award Program (ASAP) activities aimed at identifying non-felons are establishing access to mental health records and establishing access to drug abuse records, undertaken by nine and seven states, respectively. (The third most popular ASAP activity, undertaken by 12 states, is incorporating civil protection orders into the

repository database, as discussed below.) The challenges include determining whether databases maintaining this type of non-criminal information exist and, if so, the feasibility and legality of accessing them, especially if they belong to private institutions. New enabling statutes may be required to overcome these obstacles.

Two other ineligibility categories present unique implementation challenges: subjects of restraining orders and domestic violence misdemeanants. States cannot reliably identify individuals for whom Gun Control Act-compliant restraining orders—among the plethora of restraining order categories—have been issued. For this reason, some states deny firearms to subjects of all restraining orders. The challenge with domestic violence misdemeanor convictions is that the law is retroactive; but domestic violence incidents have historically been categorized as assaults, making it difficult to segregate them from other criminal history records.

Waiting Period: Response or Cooling Off Period?

Prior to passage of the Brady Act in 1993, an individual wishing to purchase a firearm was required only to complete federal BATF Form 4473, certifying his/her name and place of residence and attesting that he/she did not fall into one of the seven ineligibility categories. (Subsequently, the seven categories have been expanded to nine, as noted in Section 3.1.) Until then, this had been the sole federal requirement designed to prevent felons and other ineligible individuals from purchasing firearms. In an attempt to screen out disqualifying individuals more effectively, the interim provision of the Brady Act legislated a five-business-day “waiting” period.

Under the interim provisions of the Brady Act, a firearm dealer informs the local CLEO, usually a police chief or sheriff, of a prospective handgun purchaser, and the CLEO makes a “reasonable” effort to determine whether that buyer’s purchase of a handgun would violate the law. This is accomplished by checking local, state, and national criminal and non-criminal records, to the extent possible. (See Exhibits 3-4 and 3-5 for purchase procedures and Exhibit 3-6 for a state-by-state identification of data sources checked.) If the CLEO does not respond by the end of the five-day period, then the dealer is permitted to sell the handgun. (“Brady Alternate” states, in which permits are required to purchase a handgun or point-of-sale check systems are in place, are exempt from the five-day “waiting” period.)

Whether or not the five-day period is truly a “waiting period” depends on both point of view and circumstance. From the perspective of the handgun purchaser, who presumably has to wait the full five days only if results of the record check are inconclusive, the wait may be perceived as a “cooling-off” period if it exceeds a day or two. If the purchaser is ineligible, that fact would be disclosed immediately. Moreover, if the check is completed in less than five days—as would be the case in instant check states—and it is determined that the buyer is eligible, then the sale would be consummated at that time (i.e., in less than five days).

From the perspective of the state, the five-day period is the longest time that a prospective handgun purchaser may be kept waiting for a

response while eligibility checks are carried out. In practice, therefore, the “waiting” period is effectively a “response” period; that is, a firearm purchaser does not literally have to wait five days before purchasing a gun, but must *allow up to* five days for the CLEO to check his/her records to determine purchase eligibility.

The Brady “waiting” period, however, is but an interim provision preceding implementation of the proposed permanent national instant background check system, NICS. When NICS went into effect in November 1998, the FFLs contacted either POCs in their state or the NICS Operations Center directly so that instant checks would be performed and the “waiting” or response period would cease to exist (Exhibit 3-7).

The “cooling off” period would also cease to exist under NICS. This becomes problematic when an individual with no prior disqualifying record wants to buy a gun with intent to harm. Under the interim provision, there was the chance that the waiting period would serve to cool off the individual; under NICS, this is virtually impossible. This plausibly explains why incorporating civil protection orders in the repository accounts for the majority of firearm-specific activities (Exhibit 3-31). The challenge of identifying individuals whose court restraining orders *are subject to* the Gun Control Act (since not all are) is examined in Section 3.1.

As expected, firearm-specific activities are predominantly supported with NCHIP funds.

ASAP activities aimed at identifying non-felons are summarized in Exhibit 3-32. As Dr. Jan Chaiken, BJS Director, stated upon awarding the first ASAP funds: “These grants will help make sure that people who pose a threat to their families or their community cannot legally purchase firearms. It’s important to deny easy access to firearms to spouse abusers and mentally unstable individuals who may act on impulse and cause further harm to their families and the community.” [BJS Press Release, 1996]

The dominant ASAP activities are Incorporate civil protection order (12 states), Establish access to mental health records (9 states), and Establish access to drug abuse records (7 states). With these funds, California is establishing an automatic interface between its domestic violence restraining order system (DVROS) and the FBI’s NCIC. To educate law enforcement officials who contribute to the system, the state will also distribute a User’s Manual. Massachusetts, although not an ASAP state, developed the first-ever statewide civil restraining order registry in 1992, which has since become a model for other states.

Goal 6: Identify Disqualified Care Providers

Identify individuals disqualified from caring for children, the elderly, and the disabled.

The National Child Protection Act, as amended, calls for each state to establish procedures for national criminal background checks on individuals caring for children, the elderly, and the disabled. The states, however, engage in background checking with a much broader purview, including performing routine background checks of numerous

categories of prospective employees and licensees. The extent of background checks is a function of the laws in effect in a specific state.

Finding 6.1: The passage of federal and state legislation has precipitated growth in the volume of requests for background checks of employees, volunteers and licensees—the challenge is how to meet the subsequent demand placed on the resources of state repositories.

Although practices (e.g., statutory mandates and regulations concerning inquiries) vary from state to state regarding background checks, careful planning and explicit procedures are needed to support the high volume of such inquiries, which in some cases surpasses that of criminal checks. The volume of civilian fingerprints is now overwhelming AFIS storage capacities. Moreover, the volume of inquiries can be expected to increase as states continue to pass laws that increase the scope of background checks. In addition, the Volunteers for Children Act, passed as part of the Crime Identification Technology Act of 1998, amends NCPA to authorize qualified volunteer organizations to contact authorized state agencies (e.g., the repository) to request national criminal fingerprint background checks, in the absence of state procedural requirements.

Not surprisingly, the increased volume of fingerprint-based applicant background checks has resulted in longer response times in a number of states. Based on our interviews, we noted a heightened frustration on the part of agencies waiting for responses. Obviously, the demand placed on state repositories for background checks must be appropriately met.

Finding 6.2: There are problems associated with acquiring and interpreting information needed to disqualify prospective care providers.

Incomplete records are especially a problem in states that release conviction-only data to authorized agencies requesting background checks. For example, if the subject of a background check has been arrested and convicted of a disqualifying offense, but the disposition has not yet been received at the repository or has not been linked to its arrest, the conviction will not appear on the record. The repository will not release any information, and the agency will not know that there has been a conviction. The agency will not even know that there has been an arrest, which could otherwise be followed up with the court of jurisdiction.

In addition, agencies requesting background checks do not always know if a particular conviction is disqualifying for employment. Agencies are not necessarily qualified to understand the plethora of violation and conviction codes contained in the reports they receive. For example, sometimes they cannot distinguish whether a felony violation involved a child, and hence whether it is disqualifying.

III Compact

Unlike the laws and policies regarding dissemination of criminal history information for criminal justice purposes, which allows unrestricted

access for authorized users, statutes governing the dissemination of such information for non-criminal justice purposes vary widely from state to state. This makes it difficult, if not impossible, to obtain a nationwide consensus on dissemination of data. As a result, the FBI has called for a uniform standard for interstate dissemination and access with which all state repositories would comply, referred to as the “III Compact.” In 1998, Subtitle A (“Exchange of Criminal History Records for Non-Criminal Justice Purposes”) of the National Criminal History Access and Child Protection Act was passed as part of the Crime Identification Technology Act, enacting the III Compact and preparing the way for it to be ratified by any party states.

Exhibit 3-33 highlights background check activities addressing NCPA requirements and points to proposed efforts, ranging from planning for issues related to children, the elderly, and the disabled, to providing users with direct access to background check information. While earlier CHRI efforts focused explicitly on felony flagging, NCPA requires each state to report criminal child abuse information to the FBI; therefore, crimes against children, the elderly, and the disabled would be identified through record flags. Also, provisions of newer legislation—such as the Jacob Wetterling Act (requiring states to establish sex offender registries)—under the auspices of NCHIP funding, suggest that we can expect to see these and other types of offenders flagged as well.

Exhibit 3-16 Questions on Data Quality Issues

Questions on Data Quality Issues

Q1. On a scale of 1 to 5, to what degree do you feel the following data quality issues are critical to an effective state criminal history repository?
(1 = not critical at all, 3 = fairly critical, 5 = very critical, N/A = not applicable)

Q2. On a scale of 1 to 5, to what degree do you view the following data quality issues as problems in your state?
(1 = not a problem at all, 3 = fairly serious problem, 5 = very serious problem, N/A = not applicable)

	Critical		Problematic		Alignment	
	1997 (N = 51)	1994 (N = 40)	1997 (N = 51)	1994 (N = 40)	1997 (N = 51)	1994 (N = 40)
<i>Fingerprint card reporting by local arresting agencies</i>						
1. Legibility of fingerprints	5.0	4.8	3.0	2.8	2.0	2.0
2. Degree to which all data elements on card are filled in	4.5	4.0	2.5	2.5	2.0	1.5
3. Accuracy of data elements on cards	4.8	4.6	2.5	2.4	2.3	2.3
4. Degree to which cards are submitted to repository	4.8	4.8	3.0	2.8	1.7	2.0
5. Delays in submitting cards to repository	4.4	4.1	3.1	2.9	1.3	1.2
<i>Suspect identification by repository</i>						
6. Accuracy of identification/non-identification decision	4.9	5.0	1.8	1.7	3.1	3.3
7. Delays in making identification/non-identification decision	4.3	4.2	2.5	2.2	1.9	1.9
8. Delays in rap sheet transmittal to arresting agency	4.0	3.5	2.1	2.3	2.0	1.2
<i>Arrest data entry by repository</i>						
9. Delays in entering arrest data in criminal history database	4.5	4.6	2.7	2.4	1.8	2.2
10. Accuracy of data entry of arrest data	4.8	4.9	2.0	1.9	2.8	3.0
<i>Final disposition reporting process by courts or prosecutors</i>						
11. Degree to which all data elements on disposition reports are filled in	4.3	4.5	2.4	2.7	1.9	1.7
12. Degree to which reports indicate whether person was convicted of a felony	4.6	4.2	2.2	2.5	2.4	1.7
13. Accuracy of data elements on report	4.8	4.9	2.2	2.5	2.5	2.3
14. Degree to which final dispositions are submitted to repository	4.8	4.8	3.0	3.1	1.8	1.7
15. Delays in submitting disposition reports to repository	4.4	4.3	2.8	3.1	1.6	1.2
<i>Final disposition data entry by repository</i>						
16. Degree to which dispositions can be linked to corresponding arrests	4.8	4.9	2.5	2.4	2.3	2.5
17. Degree to which dispositions can be linked to corresponding charges	4.4	N/A	2.5	N/A	1.9	N/A
18. Delays in entering disposition data in criminal history database	4.5	4.3	2.7	3.0	1.8	1.3
19. Accuracy of data entry of disposition data	4.9	4.9	1.9	2.0	2.9	2.9
<i>Record request processing by repository</i>						
20. Delays in responding to requests by criminal justice agencies	4.6	4.4	1.8	1.7	2.8	2.7
21. Delays in responding to requests by non-criminal justice agencies	3.8	3.5	2.2	1.6	1.6	1.9
22. Readability/understandability of rap sheet	4.3	4.4	2.0	1.9	2.3	2.4
<i>Alien conviction reporting to the Immigration and Naturalization Service (INS)</i>						
23. Degree to which alien conviction information is reported to INS	3.0	3.1	1.8	2.3	1.2	0.7
24. Delays in reporting alien conviction information to INS	2.7	2.8	1.8	2.2	1.0	0.6
25. Accuracy with which offenders are identified as aliens	3.3	3.3	2.3	2.2	1.0	1.1
<i>Reporting to the FBI</i>						
26. Degree to which fingerprint cards are submitted to the FBI	4.6	4.1	2.0	1.8	2.6	2.3
27. Delays in submitting fingerprint cards to the FBI	4.2	3.8	2.2	1.9	2.0	1.9
28. Degree to which final dispositions are submitted to the FBI	4.0	3.8	2.6	2.7	1.4	1.1
29. Delays in submitting final dispositions to the FBI	3.9	3.7	2.8	2.6	1.2	1.0
<i>Completeness of repository's criminal history database</i>						
30. Degree to which database has all arrests from past five years	4.6	4.7	2.5	2.8	2.1	2.0
31. Degree to which arrests in database have a final disposition	4.7	4.8	3.1	3.7	1.6	1.1
32. Degree to which arrest charges in database have a final disposition	4.4	N/A	2.9	N/A	1.6	N/A
33. Degree to which each offender's felony conviction status can be determined	4.6	4.4	2.6	3.0	2.0	1.4
34. Degree to which each offender's child abuse conviction status can be determined	4.4	N/A	3.0	N/A	1.5	N/A
35. Degree to which each offender's elderly abuse conviction status can be determined	4.3	N/A	3.2	N/A	1.1	N/A
36. Degree to which each offender's disabled abuse conviction status can be determined	4.3	N/A	3.3	N/A	1.0	N/A
37. Degree to which each offender's sex offender conviction status can be determined	4.7	N/A	2.3	N/A	2.4	N/A
38. Degree to which each offender's domestic violence misdemeanor conviction status can be determined	4.4	N/A	3.4	N/A	1.1	N/A
39. Degree to which all records in master name index are automated	4.6	4.5	1.8	1.7	2.8	2.8
40. Degree to which all criminal history records from past 5 years are automated	4.8	4.4	1.8	1.9	3.0	2.4
41. Size of fingerprint card backlog	4.7	4.5	2.3	2.2	2.3	2.3
42. Size of FBI rap sheet backlog (for states that rely on FBI rap sheets)	3.6	3.4	2.0	2.1	1.6	1.3
43. Size of disposition report backlog	4.5	4.3	2.6	2.8	1.8	1.5
<i>Checking non-criminal justice data sources for firearm purchase eligibility</i>						
44. Degree to which restraining/protection/no contact orders are available	4.5	N/A	2.9	N/A	1.6	N/A
45. Degree to which drug abuse databases can be checked	3.9	N/A	3.5	N/A	0.5	N/A
46. Degree to which mental health databases can be checked	3.8	N/A	3.7	N/A	0.2	N/A

Exhibit 3-17 Rank-Ordered Responses to Questions on Data Quality Issues

	1997 Critical Rank	1994 Critical Rank
1997 Highly Critical Issues		
1. Legibility of fingerprints	1	6
6. Accuracy of identification/non-identification decision	2	1
19. Accuracy of data entry of disposition data	2	2
10. Accuracy of data entry of arrest data	4	2
3. Accuracy of data elements on cards	4	11
40. Degree to which all criminal history records from past 5 years are automated	4	16
14. Degree to which final dispositions are submitted to repository	4	6
16. Degree to which dispositions can be linked to corresponding arrests	4	2
4. Degree to which cards are submitted to repository	4	6
13. Accuracy of data elements on report	4	2
	1997 Problematic Rank	1994 Problematic Rank
1997 Highly Problematic Issues		
46. Degree to which mental health databases can be checked	1	N/A
45. Degree to which drug abuse databases can be checked	2	N/A
38. Degree to which each offender's domestic violence misdemeanor conviction status can be determined	3	N/A
36. Degree to which each offender's disabled abuse conviction status can be determined	4	N/A
35. Degree to which each offender's elderly abuse conviction status can be determined	5	N/A
5. Delays in submitting cards to repository	6	6
31. Degree to which arrests in database have a final disposition	6	1
4. Degree to which cards are submitted to repository	8	7
1. Legibility of fingerprints	8	7
34. Degree to which each offender's child abuse conviction status can be determined	8	N/A
14. Degree to which final dispositions are submitted to repository	8	2
	1997 Alignment Rank	1994 Alignment Rank
1997 Highest Ranking 'Low-Alignment and Highly Critical Issues'		
31. Degree to which arrests in database have a final disposition	13	4
4. Degree to which cards are submitted to repository	19	21
18. Delays in entering disposition data in criminal history database	20	10
14. Degree to which final dispositions are submitted to repository	20	15
43. Size of disposition report backlog	20	13
9. Delays in entering arrest data in criminal history database	20	24
	1997 Alignment Rank	1994 Alignment Rank
1994 Highest Ranking 'Low-Alignment and Highly Critical Issues'		
31. Degree to which arrests in database have final disposition	13	4
15. Delays in submitting disposition reports to repository	13	7
18. Delays in entering disposition data in criminal history database	20	10
33. Degree to which each offender's felony conviction status can be determined	27	12
14. Degree to which final dispositions are submitted to repository	20	15

Exhibit 3-18 Questions on Approaches to Improving Data Quality

Questions on Approaches to Improving Data Quality

Q3. On a scale of 1 to 5, to what degree do you think a major effort in the following areas would improve data quality in your state?
(1 = minimal improvement, 3 = moderate improvement, 5 = major improvement, N/A = not applicable)

Q4. On a scale of 1 to 5, to what degree are these approaches to improving data quality being implemented in your state?
(1 = no effort underway, 3 = moderate effort underway, 5 = major effort underway or completed, N/A = not applicable)

	Improvement		Implementation		Need	
	1997 (N = 51)	1994 (N = 40)	1997 (N = 51)	1994 (N = 40)	1997 (N = 51)	1994 (N = 40)
<i>Planning</i>						
1. Conduct a baseline data quality audit	3.3	3.3	3.5	3.1	-0.2	0.2
2. Conduct a repository needs assessment	3.4	3.4	3.1	3.0	0.4	0.4
3. Conduct a criminal justice information user needs assessment	3.3	3.4	3.2	3.2	0.2	0.2
4. Develop a long-term data quality improvement plan	3.7	4.1	3.5	3.8	0.3	0.3
5. Develop a long-term records improvement-related technology plan	3.9	N/A	3.7	N/A	0.2	N/A
6. Develop a long-term records improvement-related training plan	3.6	N/A	2.8	N/A	0.8	N/A
<i>Legislation</i>						
7. Enact legislation requiring reporting of arrest data	2.9	2.5	3.6	2.0	-0.5	0.5
8. Enact legislation requiring reporting of disposition data	3.3	2.5	3.4	2.0	0.1	0.5
9. Enact legislation designating repository as single source of criminal records for FBI	2.9	N/A	3.6	N/A	-0.5	N/A
10. Enact legislation allowing access to/use of criminal history information for background checks	2.9	N/A	3.2	N/A	-0.3	N/A
11. Enact legislation mandating firearm instant check system	2.7	N/A	2.2	N/A	0.5	N/A
12. Enact legislation allowing non-criminal justice data sources to be checked for firearm purchase eligibility	3.0	N/A	2.1	N/A	0.9	N/A
13. Enact legislation regarding storage of civilian fingerprints	2.0	N/A	1.6	N/A	0.4	N/A
<i>Training</i>						
14. Expand training programs in reporting procedures for local arresting agencies	3.5	3.8	3.1	2.8	0.3	1.0
15. Expand training programs in reporting procedures for prosecutors and courts	3.3	3.8	2.9	2.5	0.5	1.3
16. Expand training programs for repository staff	3.1	2.7	3.1	2.4	0.0	0.3
<i>Cooperation and Commitment</i>						
17. Improve inter-agency cooperation	3.9	4.1	3.7	3.7	0.2	0.5
18. Improve leadership commitment to improving data quality	3.8	4.1	3.7	3.7	0.2	0.5
<i>Standardizing Procedures</i>						
19. Implement standardized procedures for arrest reporting	3.8	3.4	4.0	3.0	-0.1	0.3
20. Implement standardized procedures for disposition reporting	4.0	3.8	4.0	3.2	0.1	0.6
21. Implement procedures for improving fingerprint card processing at repository	3.7	3.0	4.1	2.0	-0.3	0.1
22. Implement procedures for improving disposition report processing at repository	3.6	3.0	3.9	3.0	-0.2	0.0
23. Implement standardized procedures for responding to criminal history inquiries at repository	3.1	N/A	4.0	N/A	-0.8	N/A
24. Implement standardized procedures for performing firearm purchase eligibility checks	2.7	N/A	3.1	N/A	-0.3	N/A
<i>Automation</i>						
25. Upgrade/install new computerized criminal history system	4.0	3.4	4.2	3.2	-0.1	0.2
26. Upgrade/install new automated master name index system	3.5	2.5	3.8	2.5	-0.2	0.0
27. Upgrade/install new AFIS system	4.3	3.7	4.7	3.1	-0.3	0.6
28. Become a participant in the Interstate Identification Index (III)	3.9	3.0	4.5	3.0	-0.5	0.0
29. Develop systems to monitor delinquent disposition reports	3.9	3.6	3.6	2.6	0.4	1.0
30. Upgrade/install new court information system	4.2	4.1	3.9	3.2	0.3	0.8
31. Upgrade/install new prosecutor information system	3.9	3.5	3.3	2.4	0.6	1.2
32. Upgrade/install new information systems at local arresting agencies	4.0	3.6	3.1	2.4	0.9	1.2
33. Implement livescan fingerprint systems at local arresting agencies	4.4	4.2	4.2	2.1	0.3	2.1
34. Implement automated firearm purchase eligibility check system	3.2	N/A	2.7	N/A	0.6	N/A
35. Implement automated access to sex offender registry	3.9	N/A	3.6	N/A	0.4	N/A
36. Install store-and-forward system to associate arrest data with criminal history record	4.0	N/A	3.8	N/A	0.3	N/A
37. Automate access to non-criminal justice data sources for firearm purchase eligibility	3.2	N/A	2.2	N/A	1.0	N/A
<i>Electronic Data Sharing</i>						
38. Upgrade/install new electronic interface between arresting agencies and repository	4.2	3.6	3.8	2.3	0.5	1.3
39. Upgrade/install new electronic interface between arresting agencies and prosecutors	3.5	3.6	2.8	1.8	0.8	1.8
40. Upgrade/install new electronic interface between arresting agencies and courts	3.6	3.4	3.0	1.8	0.7	1.6
41. Upgrade/install new electronic interface between prosecutors and repository	3.7	3.6	3.1	1.9	0.7	1.7
42. Upgrade/install new electronic interface between corrections and repository	4.2	3.8	3.8	2.7	0.4	1.1
43. Upgrade/install new electronic interface between courts and repository	4.3	4.3	4.0	3.1	0.4	1.2
44. Upgrade/install new electronic interface between parole/probation and repository	3.6	N/A	3.4	N/A	0.3	N/A
<i>Data Entry</i>						
45. Process fingerprint cards backlogged at repository	4.0	3.0	4.1	2.7	-0.1	0.3
46. Process disposition reports backlogged at repository	4.1	3.0	4.1	3.0	0.0	0.0
47. Process FBI rap sheets backlogged at repository	2.8	2.0	2.6	1.7	0.0	0.3
48. Locate and process fingerprint cards not submitted to repository	3.5	3.4	2.7	2.1	0.9	1.3
49. Locate and process disposition reports not submitted to repository	4.0	4.0	3.0	3.0	1.0	0.9
50. Enter current manual master name index records in an automated system	3.5	2.1	3.8	1.9	-0.1	0.2
51. Enter current manual criminal history records in an automated system	3.5	2.8	3.4	2.4	0.2	0.5

Exhibit 3-19 Rank Ordered Responses to Questions On Approaches to Improving Data Quality

1997 Approach with High Improvement Potential	1997 Improvement Rank	1994 Improvement Rank
33. Implement livescan fingerprint systems at local arresting agencies	1	2
43. Upgrade/install new electronic interface between courts and repository	2	1
27. Upgrade/install new AFIS system	2	12
38. Upgrade/install new electronic interface between arresting agencies and repository	4	13
30. Upgrade/install new court information system	4	3
42. Upgrade/install new electronic interface between corrections and repository	4	N/A
46. Process disposition reports backlogged at repository	7	26
20. Implement standardized procedures for disposition reporting	8	8
25. Upgrade/install new computerized criminal history system	8	19
36. Install store-and-forward system to associate arrest data with criminal history record	8	N/A
49. Locate and process disposition reports not submitted to repository	8	7
45. Process fingerprint cards backlogged at repository	8	26
32. Upgrade/install new information systems at local arresting agencies	8	13

1997 Approach with High Implementation Level	1997 Implementation Rank	1994 Implementation Rank
27. Upgrade/install new AFIS system	1	8
28. Become a participant in the Interstate Identification Index (III)	2	11
25. Upgrade/install new computerized criminal history system	3	4
33. Implement livescan fingerprint systems at local arresting agencies	3	28
45. Process fingerprint cards backlogged at repository	5	18
46. Process disposition reports backlogged at repository	5	11
21. Implement procedures for improving fingerprint card processing at repository	5	30
20. Implement standardized procedures for disposition reporting	8	4
43. Upgrade/install new electronic interface between courts and repository	8	8
23. Implement standardized procedures for responding to criminal history inquiries at repository	8	N/A
19. Implement standardized procedures for arrest reporting	8	11

1997 Highest Ranking 'High Need and High Improvement Potential Approaches'	1997 Need Rank	1994 Need Rank
49. Locate and process disposition reports not submitted to repository	1	14
32. Upgrade/install new information systems at local arresting agencies	3	8
31. Upgrade/install new prosecutor information system	10	8
38. Upgrade/install new electronic interface between arresting agencies and repository	12	5
29. Develop systems to monitor delinquent disposition reports	15	12
42. Upgrade/install new electronic interface between corrections and repository	15	11
43. Upgrade/install new electronic interface between courts and repository	15	8
35. Implement automated access to sex offender registry	15	N/A
30. Upgrade/install new court information system	21	15
33. Implement livescan fingerprint systems at local arresting agencies	21	1

1994 Highest Ranking 'High Need and High Improvement Potential Approaches'	1997 Need Rank	1994 Need Rank
33. Implement livescan fingerprint systems at local arresting agencies	21	1
39. Upgrade/install new electronic interface between arresting agencies and prosecutors	6	2
41. Upgrade/install new electronic interface between prosecutors and repository	8	2
40. Upgrade/install new electronic interface between arresting agencies and courts	8	4
15. Expand training programs in reporting procedures for prosecutors and courts	12	5
38. Upgrade/install new electronic interface between arresting agencies and repository	12	5
48. Locate and process fingerprint cards not submitted to repository	3	5
43. Upgrade/install new electronic interface between courts and repository	15	8
32. Upgrade/install new information systems at local arresting agencies	3	8
31. Upgrade/install new prosecutor information system	10	8

Exhibit 3-20 Changes in State Responses to Questions from 1994 to 1997

**Total of 39 States'
Score Increases
from 1994 to 1997**

Question Regarding Data Quality Issue/Improvement Approach

Q1: Critical

23	21. Delays in responding to requests by non-criminal justice agencies
22	8. Delays in rap sheet transmittal to arresting agency
21	2. Degree to which all data elements on card are filled in
21	26. Degree to which fingerprint cards are submitted to the FBI
19	12. Degree to which reports indicate whether person was convicted of a felony
19	27. Delays in submitting fingerprint cards to the FBI
19	40. Degree to which all criminal history records from past 5 years are automated
-2	11. Degree to which all data elements on disposition reports are filled in
-2	25. Accuracy with which offenders are identified as aliens
-7	24. Delays in reporting alien conviction information to INS
-9	23. Degree to which alien conviction information is reported to INS
-25	30. Degree to which database has all arrests from past five years

Q2: Problematic

16	21. Delays in responding to requests by non-criminal justice agencies
11	5. Delays in submitting cards to repository
10	6. Accuracy of identification/non-identification decision
10	22. Readability/understandability of rap sheet
9	1. Legibility of fingerprints
9	4. Degree to which cards are submitted to repository
-10	30. Degree to which database has all arrests from past five years
-12	40. Degree to which all criminal history records from past 5 years are automated
-14	24. Delays in reporting alien conviction information to INS
-19	31. Degree to which arrests in database have a final disposition
-21	23. Degree to which alien conviction information is reported to INS

Q3: Improvement

31	26. Upgrade/install new automated master name index system
21	25. Upgrade/install new computerized criminal history system
20	46. Process disposition reports backlogged at repository
19	27. Upgrade/install new AFIS system
17	21. Implement procedures for improving fingerprint card processing at repository
-12	4. Develop a long-term data quality improvement plan
-12	15. Expand training programs in reporting procedures for prosecutors and courts
-12	18. Improve leadership commitment to improving data quality
-12	39. Upgrade/install new electronic interface between arresting agencies and prosecutors
-14	14. Expand training programs in reporting procedures for local arresting agencies

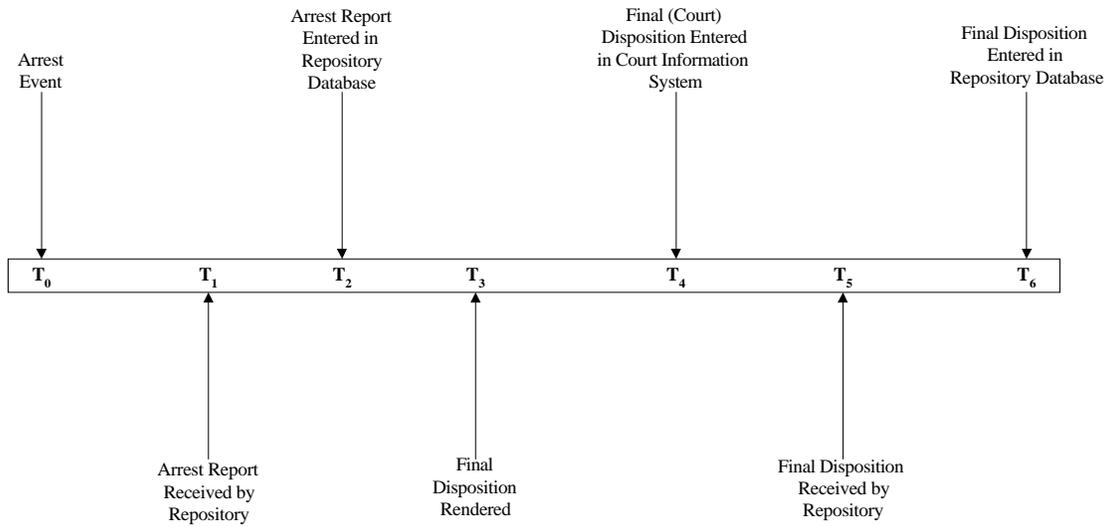
Q4: Implementation

85	33. Implement livescan fingerprint systems at local arresting agencies
59	18. Improve leadership commitment to improving data quality
52	27. Upgrade/install new AFIS system
42	38. Upgrade/install new electronic interface between arresting agencies and repository
41	21. Implement procedures for improving fingerprint card processing at repository
-2	1. Conduct a baseline data quality audit
-3	17. Improve inter-agency cooperation
-9	3. Conduct a criminal justice information user needs assessment
-17	2. Conduct a repository needs assessment
-19	4. Develop a long-term data quality improvement plan

Exhibit 3-21 III Activities by State and Funding Source

Level 3 Activity	State	Planned		Actual		CHRI Funds	Byrne 5%			State Funds	Local Funds
		Planned Start Date	Planned End Date	Actual Start Date	Actual End Date		Set-Aside Funds	NCHIP Funds	Funds		
1.5.5 Develop procedure to participate in III or to achieve NFF status	Missouri	12/97	10/98						X		
	Wisconsin	9/90	9/96	9/90	9/96	X					
7.1.1 Synchronize records	Arkansas									X	
	California	3/97	5/98	3/97					X		
	California	3/97	10/99	3/97					X		
	Connecticut	9/95	9/98	9/95					X		
	New Mexico								X		
	Oklahoma			2/97							
	Utah	1/96	1/97						X		
	Washington	10/90	10/91			X					
	Wisconsin	9/90	9/96			X					
	Wyoming	9/95	10/97		6/97				X		
7.1.2 Set felony and other flags	South Carolina	1/96		1/96						X	
	South Dakota		12/98	4/97				X			
	South Dakota		12/98	4/97				X			
	Virginia	9/90	9/91	1/91	6/92	X					
	Wyoming	9/95	10/96						X		
7.1.3 Assume responsibility for	Missouri	2/91	6/94		12/92	X					
	Missouri	4/97	10/98						X		
	Pennsylvania	3/91	10/92		10/92	X					
	South Dakota		12/98	4/97					X		
	Washington					X					
	West Virginia		12/99				X	X	X	X	
7.1.4 Upgrade message switch communications	American Samoa	10/96	12/96	1/98	1/99		X	X			
	Florida	1/95	10/97	1/95				X			
	Guam							X			
	Idaho	9/95	8/96	9/97	8/97			X			
	Idaho	4/97	5/98	4/97				X			
	Iowa	7/98	7/99					X			
	Kansas	1/98	12/98	2/98					X		
	Kansas	1/96	12/96							X	
	Massachusetts	6/95					X				
	Mississippi				2/98				X		
	Nebraska	1/95			12/96						
	Nevada		6/99			X					
	New Hampshire	1/93		1/96	10/97				X		
	New Mexico	4/96	10/98	4/96					X		
	Rhode Island	1/96	6/96		5/97		X			X	
	South Dakota	9/92	9/94	9/95		X					
South Dakota		12/98	4/97					X			
Vermont								X			
Wyoming								X			
7.1.5 Upgrade III software	Alabama		3/96	3/96					X		
	Alaska	10/90	8/91	10/90	8/91	X					
	Arizona	10/95	10/97	10/97	12/97				X		
	Arkansas		3/95								
	District of Columbia	4/96	12/96						X		
	District of Columbia	11/96	12/97						X		
	Hawaii	1/96	12/99						X		
	Illinois		8/93	8/91	8/93	X					
	Kansas	9/92	9/94			X			X	X	X
	Kansas						X	X			
	Maryland				3/98		X			X	
	Massachusetts	5/98	12/98						X		
	Massachusetts								X		
	Mississippi		11/98		2/98				X		
	Nebraska	7/96	7/98	11/95					X		
	North Dakota	3/91	5/94	3/91	7/94	X					
	Oregon								X		
	Tennessee	1/97	12/98						X		
	Utah								X		
Total Activities		61				13	6	41	6	0	
Total States		38				11	6	26	5	0	
Activities per State		1.6				1.2	1.0	1.6	1.2		

Exhibit 3-22 Event Sequence from Arrest to Arrest/Disposition Record Linkage



$T_2 - T_0$ = Elapsed time between arrest and entry of arrest in repository database
 $T_3 - T_0$ = Elapsed time between arrest and rendering of final disposition
 $T_6 - T_0$ = Elapsed time between arrest and entry of final disposition in repository database

Exhibit 3-23 Issues in Linking Arrest and Disposition Records

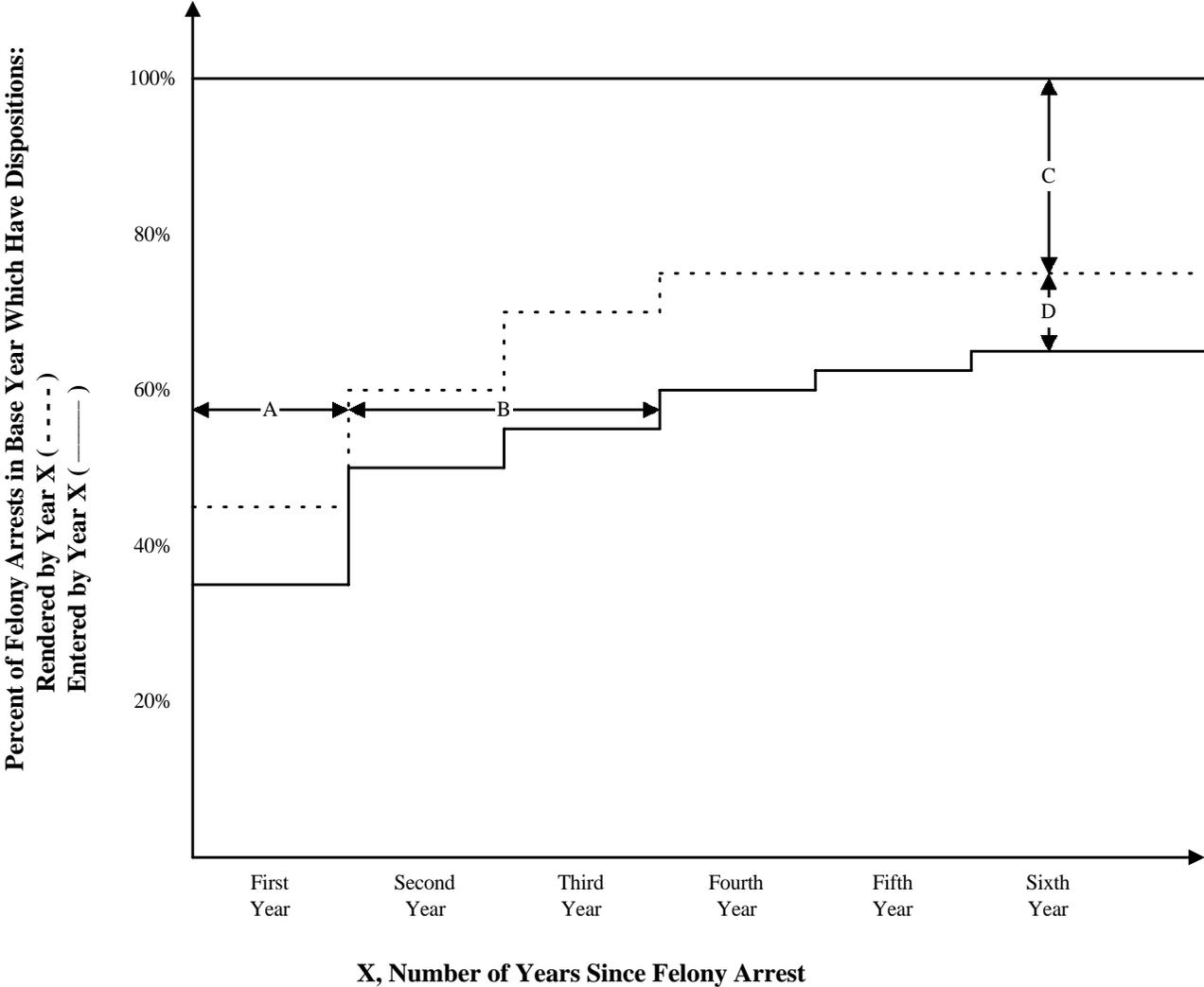


Exhibit 3-24 Impact Analysis of Average Percent of Arrest Records Within Preceding Five Years Containing Dispositions

Derivation:

Let t = number of weeks between record of arrest and record of linked disposition

[E(t) = average of t; S(t) = standard deviation of t = kE(t), where k is the coefficient of variation]

w = time of record of arrest in weeks from start of 5-year period

P = average proportion of arrest records within preceding 5 years containing dispositions
 = Probability [w + t < 5 years]

Assume:

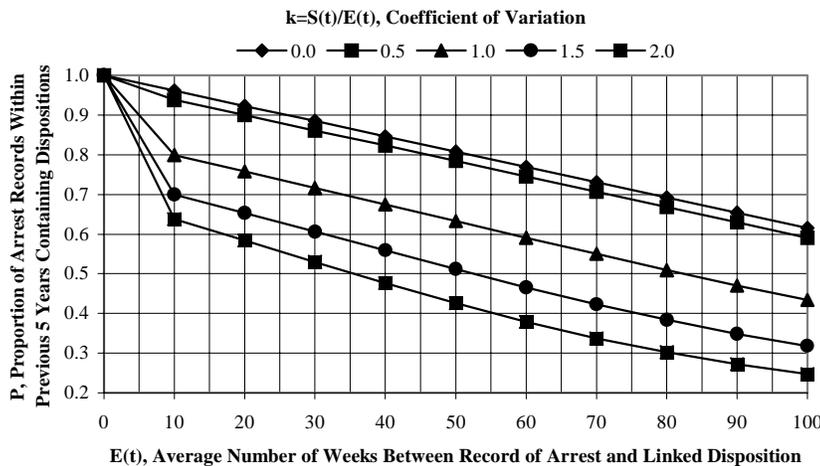
- 1) Distribution of t is normal
- 2) Distribution of w is uniform over the 5 years (i.e., 260 weeks)
- 3) w and t are independent random variables

Under the foregoing assumptions, it can be shown that P is given by the following expression which can be numerically evaluated:

$$P = \frac{1}{260} \int_0^{260} dX \int_0^X \frac{1}{\sqrt{2\pi(kE(t))^2}} e^{-\frac{[Z-E(t)]^2}{2(kE(t))^2}} dZ$$

Results for Proportion, P

k	E(t) in weeks										
	0	10	20	30	40	50	60	70	80	90	100
0.0	1.000	0.962	0.923	0.885	0.846	0.808	0.769	0.731	0.692	0.654	0.615
0.5	1.000	0.938	0.900	0.861	0.823	0.784	0.745	0.707	0.668	0.630	0.591
1.0	1.000	0.799	0.758	0.716	0.675	0.633	0.591	0.550	0.509	0.470	0.434
1.5	1.000	0.700	0.653	0.606	0.559	0.512	0.466	0.423	0.384	0.349	0.318
2.0	1.000	0.638	0.584	0.530	0.477	0.426	0.379	0.337	0.302	0.272	0.247



Example Requirements

- National Child Protection Act (Regarding Child Abuse Records): 80% by 12/96
- Bureau of Justice Assistance Waiver Criterion (Regarding Felony Records): 90%

Exhibit 3-25 Livescan Activities by State and Funding Source

Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds	
							Set-Aside Funds	NCHIP Funds			
1.4.2 Conduct training for livescan and fingerprinting	California	6/91		6/91					X		
	Florida	11/95	10/96	11/95				X			
	Maine							X			
	Michigan	1/94	12/98	1/94					X		
	Missouri	5/95	7/95	1/96	3/96		X	X			
	Pennsylvania							X		X	
	Pennsylvania		10/94			X					
	Tennessee	1/97	12/97	9/97				X			
	Utah	1/92					X		X		
4.3.1 Install livescan	Alabama		2/95		2/95						X
	Alabama	6/95		9/95	11/96		X	X			
	Alabama	9/95	9/96	9/95			X				
	Alaska	4/92	8/98			X		X	X		
	Arizona	5/95	6/95	6/95	4/96		X				X
	Arizona	5/95	12/95	6/95	5/96		X				X
	Arizona	10/97	11/98	1/98				X			
	California	1/91		1/91			X	X	X	X	
	Colorado	1/91	12/91	1/91	12/91		X		X		
	Connecticut	9/95	12/97	9/95	12/97			X			
	Delaware	10/95	1/96	10/95	2/98			X	X		
	Florida	11/95	10/96	11/95	10/96			X			
	Florida	11/95	10/97	11/95	10/97			X			
	Georgia							X			
	Georgia	11/96	5/97	11/96			X	X			
	Idaho	8/94	1/96	8/94	12/96						X
	Illinois	10/91		7/94	9/96		X				
	Illinois		12/96	4/96			X	X			
	Illinois	6/95	6/96	1/96			X				
	Indiana	6/98	12/98					X			
	Iowa	3/98	4/98					X	X	X	
	Kentucky	6/98	10/98					X			
	Kentucky	9/97	11/97	9/97	11/97			X			
	Kentucky	7/98	6/00						X		
	Maine							X			
	Maine							X			
	Massachusetts							X			X
	Massachusetts							X			
	Minnesota	1/93	6/99	7/97				X	X	X	
	Montana	1/97	1/98	1/97				X			
	Nebraska				12/95					X	
	Nevada		6/96	9/96	7/97			X		X	
New Hampshire	1/96	12/98					X	X			
New Jersey	4/96	12/96	4/96	7/97			X				
New Mexico	1/97		1/98					X			
New York	9/97	8/98					X				
North Carolina	1/95	12/96	1/95	12/96						X	
North Dakota	1/98	12/98	1/98				X				
Ohio	1/96	12/97	8/97					X			
Oklahoma	6/98	12/98									
Oregon	1/96	9/96						X			
Pennsylvania	3/91	10/92		10/92		X			X		
Pennsylvania				6/97			X		X		
Pennsylvania				6/97			X	X	X	X	
Rhode Island		9/98					X				

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Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds
							Set-Aside Funds	NCHIP Funds		
	Rhode Island	1/97	9/98					X		
	South Carolina	12/93					X			
	South Dakota	12/97	12/98				X	X		X
	Texas	11/95	8/96	11/95	6/97			X	X	
	Utah	2/98	1/99				X	X		X
	Vermont		7/97					X	X	
	Vermont							X		
	Virginia	7/94	7/95	7/94	7/95		X			
	Virginia	1/96	12/98	1/96			X	X		
	West Virginia	7/97	12/97				X	X		
	Wisconsin	1/96	12/96	3/98				X		
	Wyoming	4/96	9/96					X		
4.3.2 Upgrade livescan	Alabama	9/97						X		
	California	7/98	6/99					X		
	Illinois		4/94	1/96			X			X
	New Mexico							X		
	Utah	1/92	12/92	1/94	3/94		X		X	X
	Wisconsin	10/98	9/99					X		
Total Activities						3	28	45	18	58
Total States						2	18	33	14	38
Activities per State						1.5	1.6	1.4	1.3	1.5

Exhibit 3-26 AFIS Activities by State and Funding Source

Level 3 Activity	State	Planned		Actual Start Date	Actual End Date	CHRI Funds	Byrne 5% Set-Aside Funds	NCHIP Funds	State Funds	Local Funds
		Planned Start Date	Planned End Date							
1.4.4 Conduct AFIS training	North Dakota	3/96	3/96	3/96	3/96		X		X	
	South Dakota	12/96	12/96	1/97	1/97			X		
4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS	Connecticut	10/97	9/98	10/97				X	X	
	Delaware	10/95	6/98	10/95				X	X	
	Florida	11/94	10/95	11/94	10/95		X		X	
	Illinois		12/98	5/97				X		
	Massachusetts							X		
	Massachusetts	6/95	9/98					X		
	Michigan	3/97	12/98	12/97			X		X	
	Minnesota	1/96	12/97	1/96	2/98		X	X	X	
	New Jersey	4/96	5/98	4/96				X		
	New York	4/96	3/00	4/96				X		
	Oklahoma	1/97	1/98							
	Pennsylvania				6/97			X		
	Utah							X		
	Wisconsin	1/97	12/97	12/97				X		
5.2.1 Install AFIS	Alabama		6/95		8/92				X	
	Alaska	11/96	8/98	11/96				X	X	
	Arizona	11/94	11/95						X	
	Arkansas	2/96	9/96						X	
	California	1/86	1/90	1/86	1/90				X	X
	Colorado	1/91	12/91	1/91	8/91				X	
	Delaware	10/95	10/96	10/95	10/96			X	X	
	Delaware	1/87	2/88	1/87	1/88				X	
	Florida	1/89		1/89			X		X	
	Guam									
	Hawaii		8/90		8/90				X	
	Illinois		12/98	5/97				X		
	Indiana	9/96	12/98	9/97				X		
	Kentucky	9/97	11/97	9/97	11/97			X		
	Louisiana		2/96				X		X	
	Mississippi	12/96			12/96		X		X	
	Missouri		12/89		12/89				X	
	Nebraska	1/95			12/95		X			
	New Jersey	1/87	1/91	1/87	1/91				X	
	North Carolina	1/95	12/96	1/95	12/96		X	X		X
Pennsylvania		12/90		12/90				X		
Puerto Rico								X		
South Carolina		9/90		10/90				X		
South Carolina	6/97	3/98					X			
Texas	9/89	9/92	9/89	6/93		X		X		
5.2.2 Upgrade AFIS	Alabama	8/98						X		
	Arizona	5/95	12/95				X		X	X
	Colorado	10/95	9/96	10/95	8/96			X		
	Connecticut	9/95	9/98	9/95				X		
	Connecticut	10/97	9/98	10/97						
	Florida	6/93		6/93			X		X	
	Florida	11/95	11/96	11/95	11/96			X		
	Georgia	7/95	10/96	5/96	5/97			X		
	Illinois		4/95	5/97					X	
	Iowa	1/96	4/98	3/94				X	X	X
	Kansas	12/96	12/97				X		X	
	Kentucky	12/97	6/99					X		
	Maryland	11/98							X	
	Maryland	1/91	12/93						X	

Exhibit 3-26 (page 2 of 3)

Level 3 Activity	State	Planned		Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds
		Start Date	End Date				Set-Aside Funds	NCHIP Funds		
	Maryland	6/98	8/98					X		
	Minnesota		1/92		7/97		X	X	X	
	Montana	1/97	1/98					X		
	New Jersey	1/97	6/98	1/97				X		
	New Jersey	6/98	11/98					X		
	New Mexico	9/91	12/98			X	X		X	
	New Mexico				1/95				X	
	North Carolina	1/96	12/96	1/96	12/96			X		
	Oregon							X		
	Pennsylvania			12/97				X	X	
	Pennsylvania				6/97			X		
	South Carolina								X	
	South Carolina	6/97	3/98					X		
	Tennessee		11/95	2/96	2/96		X			
	Texas	1/97	8/97	1/97				X		
	Utah	1/94					X		X	
	Virginia	6/98	12/99						X	
	Wisconsin	1/97	12/97	12/97				X		
5.2.3 Install remote AFIS workstations	Alabama		10/95		9/96					X
	California	1/86	10/95	1/86	10/95		X		X	X
	Colorado	1/91	12/91	1/91	8/96		X		X	
	Florida	11/95	10/96	11/95				X		
	Georgia		7/95		7/95					X
	Iowa	6/95	6/96	6/95	7/96					X
	Kentucky	9/97	11/97	9/97	11/97		X			
	New Jersey		1/94		1/94					X
	New Mexico		12/98					X		
	North Carolina	1/95	1/96	1/95	1/96		X		X	
	North Carolina	1/95	12/96	1/95	12/96					X
	Rhode Island		10/97		2/98			X		
	South Carolina	12/93					X			
	South Dakota		12/96	6/96	8/97		X		X	
	South Dakota		12/96	6/96	8/97			X		
5.3.1 Automatically link fingerprint card data to criminal history record	Alaska	4/92	9/94	4/92	9/94	X			X	
	California	7/96	6/98	7/96			X		X	
	California	6/93	11/94				X		X	
	California	1/97	1/01	6/95					X	
	California	7/96	6/97	7/97	1/98		X			X
	California	7/92	6/95	7/92	7/93				X	
	Idaho							X		
	Illinois		12/91		12/91				X	
	Kansas	1/96	1/98						X	
	Maine							X		
	Maryland	12/98						X		
	Michigan	12/95	9/97	12/95	6/97		X		X	
	Michigan	1/96	12/96	1/96	12/96			X		
	Minnesota	8/91	12/97	1/96			X	X	X	
	Missouri	5/96	12/96					X		
	Missouri	4/97	10/98	11/97				X	X	
	New Jersey	1/97	4/98	1/97				X		
	Ohio	5/95	8/96	10/96	1/98		X		X	
	Oklahoma			1/93	6/94			X	X	
	Pennsylvania	1/96	1/98		6/97			X		
	Pennsylvania		12/90		12/90				X	
	South Dakota	4/98	4/99					X		
	Vermont		7/97					X	X	
	Virginia	12/95	2/97	12/95			X	X		

Exhibit 3-26 (page 3 of 3)

Level 3 Activity	State	Planned		Actual Start Date	Actual End Date	CHRI Funds	Byrne 5% Set-Aside Funds	NCHIP Funds	State Funds	Local Funds
		Planned Start Date	End Date							
	Wisconsin			12/97				X		
	Wyoming							X		
5.4.1 Join regional AFIS	Maine	9/95	1/97					X		
	Montana		6/92		6/92	X				
	New Hampshire	1/96	1/97		12/97			X		
	North Dakota	7/96	1/97	8/96	1/97		X		X	X
	Oregon		12/88						X	
	Rhode Island		5/98					X		
	Rhode Island	10/95	6/98					X		
	Rhode Island	10/95	2/98					X		
	South Dakota		12/96	2/97	8/97				X	
	South Dakota		12/96	6/96	12/97		X	X		
	South Dakota		12/96	6/96	8/97			X		
	South Dakota		12/96	12/96	1/97		X		X	
	Vermont		7/97	3/97				X		
	West Virginia				12/97		X	X	X	
	Wyoming		11/89		11/89				X	
Total Activities	129					3	35	65	62	12
Total States	50					3	23	36	36	8
Activities per State	2.6					1.0	1.5	1.8	1.7	1.5

Exhibit 3-27 AFIS Vendors by State

<u>NEC</u>	<u>Printrak</u>	<u>Sagem Morpho</u>	<u>Cogent/TRW</u>	<u>Unknown</u>	<u>None</u>
Alabama	Arkansas	Arizona	Ohio	American Samoa	West Virginia ⁶
Alaska ¹	Delaware	Colorado		District of Columbia	
California ¹	Florida	Hawaii		Northern Marianas	
Connecticut ²	Guam	Maryland		Puerto Rico	
Georgia	Iowa	Missouri		Virgin Islands	
Idaho ³	Kansas	New Jersey			
Illinois	Kentucky	New York			
Indiana	Louisiana	Wisconsin			
Massachusetts	Maine ⁴				
Michigan	Minnesota ⁵				
Mississippi	Nebraska				
Montana ³	New Hampshire ⁴				
Nevada ³	New Mexico				
Oregon ³	North Carolina				
Pennsylvania	North Dakota ⁵				
Rhode Island ²	Oklahoma				
Texas	South Carolina				
Utah ³	South Dakota ⁵				
Virginia	Tennessee				
Washington ¹	Vermont ⁴				
Wyoming ³					
Total	21	20	8	1	6

Notes:

1. Has reciprocal access to Western Identification Network (WIN) which is located in Sacramento, CA.
2. Part of AFIS network hosted by Connecticut.
3. Part of Western Identification Network.
4. Part of Tri-State AFIS with host located in Concord, NH.
5. Part of Midwest Automated Fingerprint Identification Network (MAFIN), hosted by Minnesota.
6. RFP has been issued to vendors; expecting procurement within one year.

Exhibit 3-28 Arresting Agencies Interface Activities by State and Funding Source

Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds
							Set-Aside Funds	NCHIP Funds		
3.3.1 Establish electronic connection for transfer of booking data to prosecutor	Michigan	1/96	12/98	6/96				X		
	Missouri	7/93					X		X	
	Utah	11/90				X	X		X	
3.4.1 Establish electronic connection for transfer of booking data to arraignment	Florida		4/94		4/94	X				X
	Texas	10/90	2/92	1/89	2/92	X	X		X	X
	Virginia	9/92	9/94			X	X			
Total Activities	6					4	4	1	3	2
Total States	6					4	4	1	3	2
Activities per State	1.0					1.0	1.0	1.0	1.0	1.0

Exhibit 3-29 Prosecution/Repository Interface Activities by State and Funding Source

Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%			Local Funds
							Set-Aside Funds	NCHIP Funds	State Funds	
14.1.1 Establish electronic connection for transfer of prosecution data to repository	Alaska	4/92	9/94	4/92	9/94	X			X	
	Arizona	5/95	12/95	5/95			X			X
	Arizona	5/95	12/95	5/95			X			X
	Colorado	1/92	12/92	1/92	12/92		X		X	
	Hawaii	1/90	1/91						X	
	Kansas							X		
	Michigan	1/96	12/98	6/96				X		
	Missouri	2/91	7/94			X	X		X	
	Missouri	12/92					X		X	
	New Mexico							X		
	New Mexico	9/91	9/94			X			X	
	New York	6/95		6/95			X			
	North Dakota	11/96	12/98	11/96				X		
	North Dakota	3/91	12/98	3/91		X	X			
	Ohio	1/92	12/98	1/92			X		X	
	Ohio	1/96	6/97	4/97			X		X	
Wisconsin	12/95	12/97				X		X		
14.1.3 Upgrade electronic connection between prosecution and repository	New Mexico	1/97	12/97					X		
	North Dakota	3/96	9/96	3/96				X		
Total Activities	19					4	10	6	9	2
Total States	12					4	7	4	7	1
Activities per State	1.6					1.0	1.4	1.5	1.3	2.0

Exhibit 3-30 Flagging Activities by State and Funding Source

Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds
							Set-Aside Funds	NCHIP Funds		
6.2.1 Establish record flags for felony	Alabama		6/95		6/95					X
	Arkansas		7/90			X				
	California	6/77	8/82	6/77	8/82					X
	Hawaii	11/91	10/92	9/91	11/91	X				
	Iowa	7/93	3/94	1/93		X	X	X		X
	Louisiana		10/93					X		X
	Michigan	9/91	9/92	1/95	6/95					X
	Minnesota	8/91	8/92	8/93	1/94	X				
	Missouri	2/91	6/94	2/91	6/94	X				
	Montana	7/97	12/99						X	
	Montana					X				
	New Jersey	9/97							X	
	New Jersey		1/94		1/94					X
	New Mexico			3/94					X	X
	North Carolina		1/96		1/96		X			X
	Oklahoma	6/98	5/99						X	
	Oregon					X				
	Pennsylvania	3/91	10/94		10/94	X				
	South Carolina	9/91		10/92		X				
	South Dakota		12/98	4/97					X	
	South Dakota		12/98	4/97					X	
	South Dakota		12/98	4/97					X	
	Tennessee	2/92	12/93	2/92	12/93	X				
	Texas	10/90	12/93	10/90	12/93	X				
	Utah	1/96	12/98						X	X
	Virginia	9/90	9/91	1/91	6/92	X	X			
	Washington					X				
	West Virginia			12/95			X	X		
	Wisconsin	9/90	9/94	9/90	9/94	X				
	Wyoming	12/91	9/93		9/93	X				
6.2.2 Establish dynamic record flagging system for felonies	Alaska	10/90	9/94	10/90	9/94	X				X
	Arizona					X				
	California			5/94						
	California	3/97	10/98	3/97				X		
	Delaware	5/96	6/98	5/96				X		
	Florida	6/95	6/95	6/95		X	X			X
	Idaho	3/91	3/94	3/91	3/94	X				
	Illinois	8/91	11/94	8/91	11/93	X				
	Massachusetts								X	
	Massachusetts	6/95							X	
6.2.3 Establish record flags for specific disqualifying crimes	Connecticut	9/95	9/98	9/95				X		
	District of Columbia	4/96	12/98					X		
	Guam							X		
	Indiana	9/96	7/98	9/96				X		
	Maine							X		
	Mississippi				12/97			X		
	Missouri	4/98	9/98					X		
	Nebraska		1/97	6/97				X		
	New Jersey							X		
	New Mexico			1/97				X		
	Oregon							X		
	Virginia	10/97	9/98					X		

Exhibit 3-30 (page 2 of 2)

Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds
							Set-Aside Funds	NCHIP Funds		
6.3.4 Automatically access NIBRS from CCH for flagging purposes	Connecticut	9/95	9/98	9/95				X		
	Delaware	11/94	8/95	11/94	8/95				X	
	Guam							X		
	Massachusetts	6/95						X		
	Missouri	1/98	2/98					X		
	Montana	6/98	12/99					X		
	Ohio	1/97	12/98							
	South Dakota		12/98	4/97				X		
	Texas	3/97	12/98	3/97				X		
	Virginia	1/96	12/98	2/96			X	X		
7.1.2 Set felony and other flags	South Carolina	1/96		1/96					X	
	South Dakota		12/98	4/97				X		
	South Dakota		12/98	4/97				X		
	Virginia	9/90	9/91	1/91	6/92	X				
	Wyoming	9/95	10/96					X		
Total Activities	68					22	7	37	13	0
Total States	41					21	6	23	13	0
Activities per State	1.7					1.0	1.2	1.6	1.0	

Exhibit 3-31 Firearm Check Activities by State and Funding Source

Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds
							Set-Aside Funds	NCHIP Funds		
1.1.12 Study and/or plan for firearm issues	Alaska	11/96						X		
	Alaska	11/96						X		
	Alaska	11/96						X		
	Kansas		12/96					X		
	Maryland	6/95							X	
	Minnesota	1/95								X
	Nevada	11/96	7/99					X		
	Ohio	1/98	12/98							
	Ohio	11/96	12/97	5/97				X		
	Utah	11/96		11/96	7/97			X		
1.6.3 Mandate firearm instant check system	Colorado		12/94	10/93						X
	Delaware	1/91	1/91	1/91	1/91					X
	Idaho	2/94	1/95	2/94	4/94					X
1.6.5 Allow access to state NCJ data sources for firearm checks	Delaware	7/94	7/94	7/94	7/94					X
6.4.2 Incorporate civil protection order	Alabama	6/95		6/95	5/97			X		
	Alaska	11/96	9/98	11/96				X		
	Arizona	1/98		1/98				X		
	California	11/96	12/98	3/97				X		
	Connecticut	7/96	9/98	7/96				X		
	Delaware	11/96	10/97	11/96				X		
	Delaware	2/95	7/95	2/95	7/95					X
	Delaware	5/96	10/97	5/96				X		
	Florida	10/91	7/94	10/91						X
	Florida	11/96		11/96				X		
	Georgia	11/96		11/96				X		
	Hawaii	6/98	3/99					X		
	Illinois			11/96				X		
	Indiana		5/98					X		
	Louisiana							X		
	Maine								X	
	Maryland					10/97			X	
	Massachusetts	6/95					X			
	Minnesota	11/96	2/98	5/95	2/98			X		X
	Nevada	7/95	10/98							X
	Nevada	7/95	10/98							X
	Nevada	7/95	4/99							X
	New York	11/96								X
	North Carolina	11/96		11/96				X		
	North Dakota	11/96	12/98	7/97				X		
	North Dakota	1/97	12/98					X		
	Ohio	7/98							X	X
	Pennsylvania	5/96	9/98	2/97				X		
	Rhode Island				2/97			X		X
	South Carolina	10/97						X		
	Texas	6/93	6/94	6/93	6/94		X			
	Vermont							X	X	
Washington								X		
West Virginia			6/97					X		
Wyoming								X		

Exhibit 3-31 (page 2 of 3)

Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds
							Set-Aside Funds	NCHIP Funds		
6.4.9 Create gun denial (Brady) file	California		7/98	3/97					X	
	Nevada	9/97	10/97		10/97				X	
	Nevada	7/95	9/99						X	
	Nevada	7/95	9/99						X	
	Rhode Island				4/97				X	
15.1.1 Establish call center for answering firearm check queries	Alabama	9/97						X		
	Montana	10/97	10/98					X		
15.1.2 Install firearm check terminals at gun dealers	Florida	11/95	10/96	11/95	10/96			X		
15.1.3 Participate in FIST	Colorado	10/96	9/97	10/96				X		
	District of Columbia	4/97	4/98					X		
	Missouri	7/96	1/97					X		
	Nebraska				2/98		X			
	South Dakota		12/97	4/97				X		
15.1.4 Provide for direct access to firearm check information	Connecticut	10/97	9/98	10/97				X		
	Connecticut	7/96	4/98	7/96				X		
	Delaware	10/95	4/96	10/95				X		
	Delaware	5/96	10/97	5/96				X		
	Florida			2/91					X	
	Massachusetts							X		
	Missouri	7/96	7/97					X		
	Montana	10/97	12/98					X		
	Nebraska	7/96						X		
	Nevada		2/94		2/94					X
	New Hampshire			1/95	1/95					
	New Jersey	11/96			11/96				X	
	North Dakota								X	
	Oregon	11/96							X	
	South Carolina				2/94					X
Utah	3/94				3/94		X		X	
West Virginia	1/97	12/98								
17.1.1 Establish access to mental health records	Connecticut	11/96	9/98	11/96				X		
	Delaware	11/96	12/97	11/96				X		
	Florida	11/96		11/96				X		
	Georgia	11/96	2/97	11/96	2/97			X		
	Illinois	11/96		11/96				X		
	Minnesota	11/96	1/98	6/96				X	X	
	Missouri	11/96		11/96				X	X	
	North Carolina	11/96	12/99					X		
	Oregon	11/96						X		

Exhibit 3-31 (page 3 of 3)

Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds
							Set-Aside Funds	NCHIP Funds		
17.1.2 Establish access to drug abuse records	Florida	11/96						X		
	Georgia	11/96						X		
	Illinois	11/96		11/96				X		
	Minnesota	11/96	1/98	6/96				X	X	
	Missouri	11/96		11/96				X	X	
	North Carolina	11/96	12/99					X		
	Oregon	11/96						X		
18.1.1 Establish access to illegal alien information from INS	Illinois	11/96						X		
	North Carolina	11/96	12/99					X		
Total Activities	97					1	4	71	28	0
Total States	41					1	4	37	14	0
Activities per State	2.4					1.0	1.0	1.9	2.0	

Exhibit 3-32 ASAP Activities by State and Ineligibility Category

Level 3 Activity	----- Ineligibility Categories -----				
	Unlawful User/Addicted to Controlled Substance	Mental Defective/Committed to Mental Institution	Illegal Alien	Indicted for Offense Punishable by More Than One Year	Subject to Civil Protection Order (Domestic/Child Abuse, Stalking, etc.)
1.1.12 Study and/or plan for firearm issues	AK, NV, UT	AK, NV, OH	AK	CT	UT
1.1.13 Study and/or plan for domestic violence issues					NY
1.4.11 Conduct training for law enforcement					CA
6.2.2 Establish dynamic record flagging system for felonies				DE	
6.4.2 Incorporate civil protection order					AK, CA, CT, DE (2), FL, GA, MN, NC, ND, NY, OH, SC
14.1.1 Establish electronic connection for transfer of prosecution data to repository				ND	
15.1.4 Provide state agencies with direct access to firearm check information	OR	OR	OR	CT, OR	DE, OR
17.1.1 Establish access to mental health records		CT, DE, FL, GA, IL, MN, MO, NC, OR			
17.1.2 Establish access to drug abuse records	FL, GA, IL, MN, MO, NC, OR				
18.1.1 Establish access to illegal alien information from INS			NC		
Total Activities	11	13	3	5	18
Total States	10	12	3	4	14
Activities per State	1.1	1.1	1.0	1.3	1.3

Exhibit 3-33 Background Check Activities by State and Funding Source

Level 3 Activity	State	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	CHRI Funds	Byrne 5%		State Funds	Local Funds
							Set-Aside Funds	NCHIP Funds		
1.1.14 Study and/or plan for issues relating to children, the elderly, and/or the disabled	Florida	11/95	10/96						X	
	Kansas		12/97						X	
	New Jersey	12/97	12/98	1/97					X	
6.2.3 Establish record flags for specific disqualifying crimes	Connecticut	9/95	9/98	9/95					X	
	District of Columbia	4/96	12/98						X	
	Guam								X	
	Indiana	9/96	7/98	9/96					X	
	Maine								X	
	Mississippi				12/97				X	
	Missouri	4/98	9/98						X	
	Nebraska		1/97	6/97					X	
	New Jersey								X	
	New Mexico			1/97					X	
	Oregon								X	
Virginia	10/97	9/98						X		
16.1.1 Establish center for processing employment background checks	Florida		5/92		5/92					X
	Vermont							X		
16.1.2 Provide users with direct access to employment background check information	Arkansas		6/95							
	Hawaii									X
	Nebraska		11/98	5/97				X		
	Nevada	7/95	1/97		1/97					X
	Oregon							X		
Total Activities	22					0	0	18	3	0
Total States	18					0	0	15	3	0
Activities per State	1.2							1.2	1.0	

4. Additional Issues

The broad spectrum of records improvement activities undertaken by the states has been classified, as described in Section 2.2, and subjected to ongoing analyses, as reported in Section 3. To appropriately measure the long-term impact of these activities, a three-part measures framework is detailed in Section 4.1. Section 4.2 identifies issues that remain to be addressed regarding criminal history records.

4.1 Measures Framework

Based on Tien [1979; 1990], the data quality measures can be meaningfully grouped into three sets; input, process, and outcome measures, respectively.

- **Input measures** describe the support elements, or the basic building blocks, of data quality. From an evaluation perspective, input measures reflect how funds are being used (e.g., an audit, new reporting procedures, new AFIS, additional resources, etc.) and from a programmatic basis, they suggest a *system's potential for success*.
- **Process measures** reflect a *system's actual performance* and describe how arrest and disposition records are processed. Process measures can identify symptoms, not necessarily underlying causes, of data quality problems; thus, for example, poor arrest/disposition linkage is usually a symptom of some structural problem (e.g., pertinent tracking or control numbers that have not been entered on the arrest/disposition record). From an evaluation perspective, process measures, together with input measures, serve to explain the ultimate impact.
- **Outcome measures** reflect a *system's ultimate impact* and describe how useful criminal history records are to the users of such records (e.g., criminal justice agencies, firearm dealers, employers, repository staff, etc.). We believe that providing useful information is the ultimate goal of maintaining quality records, even though the process measures of timeliness, accuracy, and completeness are seen as the basis for defining data quality. From an evaluation perspective, outcome

measures focus on the accessibility and usability of criminal history records.

Exhibit 4-1 identifies the proposed measures framework—that is, the core set of input, process, and outcome measures. While it may not be possible to obtain or derive every measure, the framework could serve as a guideline for states seeking to measure data quality by clarifying which information is available and where gaps exist. These measures, in conjunction with the desirable attributes of pertinent measures suggested in Exhibit 4-2, serve as a “springboard” for developing another set of measures—namely, pertinent measures for assessing the state of data quality of criminal history records at the *national* level over time, as discussed in Section 4.2.

Input Measures

Starting with measure I1.1 in Exhibit 4-1, and continuing throughout the measures framework, we refer to “arrest reports” as those submitted by local and state law enforcement agencies to the state’s central repository. It is recognized that in some cases, an arrestee’s fingerprints may be submitted separately from the arrest-related textual information (e.g., arrestee name, date of birth, and other demographic attributes; arrest charges; etc.). This occurs when the reporting law enforcement agency has a computerized arrest and booking system, which transmits textual arrest information separately from, say, a scanned image of the associated fingerprint card. Moreover, the prints and text could follow different paths, as they do in Massachusetts, where the state’s AFIS system is managed by the State Police, while the repository is located within the independent Criminal History Systems Board. However, for the sake of clarity and simplicity, the term “arrest reports” refers to fingerprint cards—in use in most jurisdictions—containing both the actual prints and the textual information.

Input measures group I5, Human Resources, addresses the adequacy of agency staffing, at best a very subjective and elusive measure. To avoid grappling with questions of prioritized workloads and worker productivity, we simply ask whether backlogs are increasing.

How big is the repository? The important issue of database size is covered in group I8, Database Scope. While we do ask for the number of all felony and misdemeanor records, for the sake of state-to-state comparability, we focus almost exclusively on felony arrests and dispositions. The exception is domestic violence, where misdemeanors can render the offender ineligible to purchase a firearm. With respect to firearm purchases, both felony convictions and pending felony arrests awaiting disposition are grounds for ineligibility; consequently, we explicitly assess the status of the repository in those terms.

Process Measures

None of the process measures requires a state to furnish a percentage or derived quantity. If it is important to know what fraction of the reported felony arrests is supported by fingerprints, we recommend asking for the number reported *and* the number supported by prints, and *deriving* the percentage. Thus, the accuracy and reliability of the

measures are enhanced; otherwise, when percentage estimates are offered with no supporting numbers, they are of limited use.

To establish a common reference point for measuring submission of arrests and dispositions, we select a specific year as the baseline year; in the next year, the baseline year would advance by one. Due to legal, court processing, and other delays, dispositions associated with a particular arrest may take many years to be rendered. To allow for this eventuality and for consistency with the Attorney General's timetable, we can choose, for example, 1993 as our initial baseline year and examine those dispositions which have occurred in the five intervening years since the 1993 arrest. On the other hand, in measuring the accuracy and timeliness of the identification of arrestees, we can look at current or 1998 arrests, since there is no issue of lag time while disposition reports catch up with the originating arrest report.

Certain measures in Exhibit 4-1 call for sampling the baseline year (i.e., the current year minus five) and the current year arrest and disposition records to get at issues of timeliness and completeness. If we make some simplifying but reasonable assumptions about the records in the repository (i.e., that the parameters associated with a particular record—such as database entry delay or number of completed data elements—are independent of the parameters of the other records but characterized by the same statistical distribution), we can simply relate sample sizes to the desired accuracy of our parameter estimates and to the nature of the distributions.

Outcome Measures

Finally, three groups of outcome measures, taken collectively, reflect the overall impact of the federally funded criminal history records improvement programs being evaluated. Ultimately, it is the *value* of the information contained in the records, as determined by consumers of that information, that gauges how successfully the programs have met their goals.

For the purposes of C-CHRIE, we assume that the records have value if they are *accessible* to their users; if that accessibility is *timely*; and if the information in the records, once obtained, is *useful*. Unlike process measures of accuracy (e.g., correctness of information), timeliness (e.g., delay in submission), or completeness (e.g., percentage of total data elements), which can be reasonably well quantified, the outcome measures are subjective in nature. For this reason, we assess outcome by measuring the accessibility, timeliness, and utility of the records, as determined by key criminal justice and non-criminal justice users of the records. Indeed, as noted in Section 3.3, it was such a group of users from a small number of focused states that shared with us their opinions about record quality.

Exhibit 4-1 Input, Process, and Outcome Measures for C-CHRIE

Input Measures

I1:Enabling Legislation—Degree to which the state has enacted legislation to address criminal history records needs

I1.1—Arrest Reporting

Has the state enacted legislation which requires that arrest information (i.e., fingerprint cards) be reported to the repository?

I1.2—Disposition Reporting

Has the state enacted legislation which requires that disposition information be reported to the repository?

I1.3—Single Source Repository

Has the state enacted legislation which designates the repository as the state’s single source of criminal history records for the FBI?

I1.4—Non-Criminal Justice Purposes

For which non-criminal justice purposes (e.g., teacher employment checks) has the state enacted legislation which allows access to and/or use of criminal history information?

I1.5—Juvenile Records

Has the state enacted legislation which stipulates whether and how juvenile arrest/disposition records shall be maintained by the repository?

I1.6—Firearms Purchase Check

Has the state enacted legislation which mandates a firearm purchase eligibility check system?

I1.7—Non-Criminal Information for Firearm Purchase

For which non-criminal information sources has the state enacted legislation which requires that they must be checked for firearm purchase eligibility?

I1.8—Record Retention

Has the state enacted legislation which affects retention of arrest records for which the repository has not received dispositions within a specified period of time subsequent to the arrest?

I2:Enabling Policies—Degree to which the state has implemented policies/procedures to address criminal history records needs

I2.1—Records Improvement Studies

What policies does the state have on conduct of criminal history records improvement studies?

I2.2—Arrest Reporting

What procedures does the state have for submitting fingerprint cards to the repository?

I2.3—Disposition Reporting

What procedures does the state have for submitting disposition reports to the repository?

I2.4—Non-Criminal Justice Purposes

What policies/procedures does the state have for allowing access to and use of criminal history information for non-criminal justice purposes?

I2.5—Repository Audits

What policies/procedures does the state have for requiring the conduct of audits of repository records?

I2.6—Juvenile Records

What policies/procedures does the state have for governing whether and how juvenile arrest/disposition information shall be maintained by the repository?

I2.7—Interstate Identification Index Compact

What policy does the state have regarding joining the FBI Interstate Identification Index (III) compact?

I2.8—Firearm Purchase Check

What policy does the state have on a firearm purchase eligibility check system?

Exhibit 4-1 (page 2 of 7)

I2.9—Non-Criminal Information for Firearm Purchase

What policies/procedures does the state have for governing access to and use of non-criminal history information for firearm purchase eligibility checks?

I2.10—Civilian Fingerprints

What policy does the state have on storage and use of civilian fingerprints by the repository?

I2.11—Record Retention

What policies does the state have affecting retention of arrest records for which the repository has not received dispositions within a specified period of time subsequent to the arrest?

I3: Appropriate Plans—Degree to which the state has appropriate criminal history records improvement plans to address criminal history records needs

I3.1—Overall Plan

Does the state have an active overall criminal history records improvement plan?

I3.2—Information Technology Plan

Does the state have an active criminal history records improvement-related information technology plan?

I3.3—Telecommunications Plan

Does the state have an active criminal history records improvement-related telecommunications plan?

I3.4—Training Plan

Does the state have an active criminal history records improvement-related training plan?

I3.5—Firearms Plan

Does the state have an active plan for a firearm purchase eligibility checking system?

I3.6—Non-Criminal Justice Checks Plan

Does the state have an active plan for responding to requests to check criminal history backgrounds for non-criminal justice purposes?

I4: Agency Cooperation—Degree to which the various agencies within the state work together to address criminal history records needs

I4.1—Multi-Agency Committees

Does the state have one or more active multi-agency committees/task forces with a criminal justice data quality-related charter?

I4.2—Arrest Information Submission

How much cooperation exists between the agencies responsible for submission of fingerprint cards and the central repository?

I4.3—Disposition Submission

How much cooperation exists between the agencies responsible for submission of dispositions and the central repository?

I5: Top-Down Commitment—Degree to which top administration consider criminal history records a high priority issue

I5.1—Justice Management

Does the state have an active multi-agency records improvement/data quality committee with participating agency heads?

I5.2—Legislative Leadership

Is the state legislature's leadership visibly committed to improving data quality?

I5.3—Information Technology Management

Are information technology agency directors visibly committed to computerizing criminal history data and electronically interfacing relevant systems?

Exhibit 4-1 (page 3 of 7)

I6: Human Resources—Degree to which agencies within the state are adequately staffed, given the current and anticipated volumes of criminal history records improvement work

I6.1—Arrest Recording

Is arrest data entry backlog growing?

I6.2—Disposition Recording

Is disposition entry backlog growing?

I6.3—Request Response

Is response backlog for criminal history information growing?

I7: Technological Resources—Which computer and related information technology systems and equipment are available to address criminal history records needs?

I7.1—Master Name Index

Does the state have an automated Master Name Index (MNI)?

I7.2—Computerized Criminal History System

Does the state have a Computerized Criminal History (CCH) system?

I7.3—Booking Workstations

Does the state have booking workstations with fingerprint scanners installed and operational in state and local law enforcement agencies?

I7.4—Automated Fingerprint Identification System

Does the state have an Automated Fingerprint Identification System (AFIS)?

I7.5—Livescan

Does the state have livescan devices installed and operational in state and local law enforcement agencies?

I7.6—Firearm Purchase Eligibility Checking System

Does the state have an automated system for checking firearm purchase eligibility?

I8: Database Scope—Number of records in criminal history files (which could be either automated or manual)

I8.1—All Criminal Records

Number of persons with one or more arrest records in the repository's criminal history files.

I8.2—Criminal Records with Dispositions

Number of persons with one or more arrest records in the repository's criminal history files with no missing dispositions.

I8.3—Felony Convicted/Pending Records

Number of persons in the repository's criminal history files with a felony conviction or a felony arrest with no final disposition.

I8.4—Felony Records with Dispositions

Number of persons in the repository's criminal history files who have felony arrests with no missing dispositions.

I8.5—Automated Felony Convicted/Pending Records

Number of persons in the repository's CCH who have had a felony conviction or a felony arrest with no final disposition.

I8.6—Automated Felony Records with Complete Dispositions

Number of persons in the repository's CCH who have felony arrests with no missing dispositions.

Exhibit 4-1 (page 4 of 7)

Process Measures

P1:Submission Extent—Degree to which reporting agencies submit felony arrest/disposition reports

P1.1—Felony Arrests

Number of statewide felony arrests in baseline year.

P1.2—Felony Arrests Reported

Number of statewide felony arrests occurring in baseline year that have been reported to the repository.

P1.3—Fingerprint Supported Felony Arrests

Number of reported statewide felony arrests occurring in baseline year that are supported by fingerprints.

P1.4—Felony Dispositions Reported

Number of final dispositions reported to the repository associated with reported statewide felony arrests occurring in baseline year.

P2:Submission Timeliness—Given felony arrest/disposition reports are submitted, time lapse between event occurrence and receipt of report

P2.1—Felony Arrest Submission Delay

Time lapse between felony arrest event and submission of fingerprint card to repository for a sample of N baseline year felony arrests. (Let D be the number of final dispositions received for the sample of N reported baseline year felony arrests.)

P2.2—Final Felony Disposition Delay

Time lapse between rendering of final felony disposition and receipt of final disposition by repository for the D baseline year dispositions.

P3:Submission Completeness—Degree to which felony arrest/disposition reports have complete criminal history information

P3.1—Required Felony Arrest Data Elements

Number of data elements on the standard felony arrest reporting form required to be completed.

P3.2—Completed Felony Arrest Data Elements

Number of completed felony arrest report data elements for the sample of N baseline year arrests.

P3.3—Required Felony Disposition Data Elements

Number of data elements on the standard felony disposition reporting form required to be completed.

P3.4—Completed Felony Disposition Data Elements

Number of completed felony disposition report data elements for the D baseline year dispositions.

P4:Submission Accuracy—Degree to which arrest data, fingerprints, and final court dispositions received at the repository are accurate

P4.1—Acceptable Felony Arrest Reports

Number of baseline year felony fingerprint cards received at the repository and not rejected.

P4.2—Acceptable Felony Disposition Reports

Number of disposition reports for baseline year reported felony arrests received at the repository and not rejected.

Exhibit 4-1 (page 5 of 7)

P5: Identification Timeliness—Time lapse between receipt of fingerprints and identification of the arrestee

P5.1—Criminal Identification Delay

Time lapse between receipt by repository of felony fingerprints and determination that arrestee is known or unknown to the repository for a sample of M current year felony arrests.

P6: Identification Accuracy—Degree to which felony arrestees are accurately identified

P6.1—Match Accuracy

Number of felony arrest fingerprints received by repository for which determination that arrestee is known or unknown to the repository is correct (i.e., true positives and true negatives) for the sample of M current year arrests.

P7: Database Entry Timeliness—Given that felony arrest/disposition reports are received at the repository, the time lapse between receipt of the arrest /disposition reports and entry of the data

P7.1—Felony Arrest Entry Delay

Time lapse between the identification of arrestee, and entry of fingerprint card information into criminal history database for the sample of N baseline year felony arrests

P7.2—Felony Disposition Entry Delay

Time lapse between receipt of felony dispositions by the repository and entry into criminal history database for the D baseline year dispositions.

P8: Database Entry Accuracy—Degree to which discrepancies exist between arrest/disposition data received at the repository and their entry into the criminal history database

P8.1—Felony Arrest Accuracy

Number of felony arrest reports received by the repository whose associated database entries are consistent with the data in the received reports for the sample of N baseline year arrests.

P8.2—Felony Disposition Accuracy

Number of felony disposition reports received by the repository whose associated database entries are consistent with the data in the received reports for the D baseline year dispositions.

P9: Record Linkage—Degree to which dispositions are linked to arrests

P9.1—Record Arrest Linkage Accuracy

Number of felony disposition reports received by the repository and linked to the correct arrest report for the D baseline year dispositions.

P9.2—Felony Charge Linkage Accuracy

Number of disposition reports received by the repository for which all charge dispositions have been linked to the correct arrest charge for the D baseline year dispositions.

P10: Automation—Which criminal justice information processes and interagency interfaces are automated?

P10.1—Automated Felony Arrest Reporting

Is there automated reporting of felony arrest information between law enforcement agencies and the repository?

P10.2—Automated Interface for Felony Dispositions

Is there an automated interface between the courts information (or other) system(s) and the repository which allows automatic reporting of dispositions?

P10.3—Automated Felony Arrest/Disposition Linking

Are felony dispositions and arrests automatically linked?

Exhibit 4-1 (page 6 of 7)

P10.4—Automated Repository/Corrections Interface

Is there an automated interface between the repository and the corrections agency?

P10.5—Automated Repository/Parole or Probation Interface

Is there an automated interface between the repository and the parole or probation agency?

P10.6—Automated Sex Offender Registry

Is there automated access to sex offender registry information?

P10.7—On-Line Inquiries

Can an in-state law enforcement officer make an on-line name/date of birth-based inquiry of the CCH?

P10.8—Non-Criminal Justice Information

Is there automated access to non-criminal information for firearms purchase eligibility checking?

P11: Record Flagging—Are records of persons convicted of felonies, child abuse, and/or sex offense flagged?

P11.1—Felony Flagging

Number of persons in the repository's criminal history files with a felony conviction or a felony arrest with no final disposition who are flagged as felons.

P11.2—Actual Sex Offense Records

Number of persons in the repository's criminal history files with a sex offense conviction or a sex offense arrest with no final disposition.

P11.3—Sex Offense Flagging

Number of persons in the repository's criminal history files with a sex offense conviction or a sex offense arrest with no final disposition who are flagged as sex offenders.

P11.4—Actual Child Abuse Offense Records

Number of persons in the repository's criminal history files with a child abuse offense conviction or a child abuse offense arrest with no final disposition.

P11.5—Child Abuse Offense Flagging

Number of persons in the repository's criminal history files with a child abuse offense conviction or a child abuse offense arrest with no final disposition who are flagged as child abusers.

P11.6—Actual Domestic Violence Offense Records

Number of persons in the repository's criminal history files with a domestic violence offense conviction or a child abuse offense arrest with no final disposition.

P11.7—Domestic Violence Offense Flagging

Number of persons in the repository's criminal history files with a domestic violence offense conviction or a child abuse offense arrest with no final disposition who are flagged as child abusers.

Exhibit 4-1 (page 7 of 7)

Outcome Measures

O1:Record Accessibility—Accessibility of criminal history record information to justice/non-justice users

O1.1—Criminal Justice Access

Perceived accessibility of criminal history information by criminal justice users.

O1.2—Non-Criminal Justice Access

Perceived accessibility of criminal history information by non-criminal justice users.

O2:Accessibility Timeliness—Given the existence of a criminal history record in the database, timeliness of criminal justice/non-criminal justice access to the record

O2.1—Criminal Justice Use

Perceived timeliness of repository's response to current year request for criminal history information by criminal justice users.

O2.2—Non-Criminal Justice Use

Perceived timeliness of repository's response to current year request for criminal history information by non-criminal justice users.

O2.3—Firearms Purchase Eligibility Checks

Perceived timeliness of response (i.e., approval, rejection, pending) to current year request for eligibility information by FFLs.

O3:Record Utility—Degree to which criminal history records information meets the needs of the criminal justice/non-criminal justice users of the information

O3.1—Criminal Justice Users

Perceived usefulness of criminal history information by criminal justice users.

O3.2—Non-Criminal Justice Users

Perceived usefulness of criminal history information by non-criminal justice users.

Exhibit 4-2 Attributes of Pertinent Data Quality Improvement Measures

Measures Attribute	Comments
Understandability	Are the pertinent measures <i>well-defined</i> and specific? Are they <i>easy-to-interpret</i> and hard-to-dispute?
Measurability	Are the measures, in fact, <i>measurable</i> ? Can they be <i>quantified</i> ?
Availability	Are the pertinent measures <i>available</i> ? Are they easy to obtain?
Consistency	Are the states <i>consistent</i> in the way they define a particular measure? (For example, the percentage of arrests within the past 5 years that have dispositions recorded is interpreted conservatively -- i.e., charge-based -- in some states, while liberally -- i.e., arrest-based -- in other states.)
Validity	Are the measures sufficiently grounded to be deemed <i>valid</i> ? Are basic measures in the form of raw data used to derive more complex measures? (For example, are the number of felony arrest cases disposed <u>and</u> the number of disposed felony arrest cases received by repository used to determine the percentage of disposed felony arrest cases received by the repository?)
Reliability	Are the measures obtained in one period or setting statistically the same as those obtained in another period or setting?
Stability	Are measures derived from two or more other measures (e.g., percentages, averages) subject to <i>instability</i> (i.e., a change in the derived measure cannot be explicitly attributed)? (For example, an increase in the percentage of statewide felony arrests reported to the repository could be due to an increase in the number reported or a decrease in the number of arrests.)
Accuracy	Are the reported statistics <i>accurate</i> -- have they been checked, double-checked, or perhaps even triple-checked?
Independence	Is comparative assessment of state data quality improvements based upon <i>independent</i> measures? (For example, the lack of fingerprint support for arrest records and membership in III would not be independent measures, since the former automatically precludes the latter.)
Robustness	Are the pertinent measures <i>robust</i> in scope? (Averages are not robust because they fail to capture the underlying variability in data; quantile measures may be preferred since they provide a better understanding of inherent variability.)
Completeness	Do the selected measures cover the range of data quality issues?

4.2 Remaining Issues

Future evaluation efforts should build on findings in this report, seeking closure on outstanding issues and assessing more recent BJS and BJA initiatives to further improve criminal history records. More specifically, they should:

1. Continue to assess the impact of federally funded activities.

This report's timeframe precedes the FY 98 NCHIP and Byrne 5% awards and many of the CHRI-, Byrne 5%-, and NCHIP-funded activities are still in progress. Moreover, an evaluation of the State Identification Systems (SIS) and National Sex Offender Registry (NSOR-AP) programs should be initiated. SIS and NSOR-AP are new programs which have yet to be assessed—SIS enhances states' ability to identify offenders by upgrading their information systems and DNA analysis capability, and NSOR-AP promotes establishment of a national sex offender registry. Thus, formal monitoring of all federally funded activities should be ongoing.

2. Continue to develop a measures framework.

Measures must continue to be identified, building on the C-CHRIE study, in which we develop a framework that incorporates a core set of input, process, and outcome measures with which to assess records quality, over time. A related issue is the identification of a set of desirable attributes for pertinent records quality measures which, in the aggregate, can be used to assess the state of records quality over time. As part of the C-CHRIE study, we have identified such attributes as understandability, measurability, availability, consistency, validity, reliability, stability, accuracy, independence, robustness, and completeness.

3. Create a computer-based simulation model of the criminal history records process from arrest-to-disposition linkage.

Building on the measures framework, a simulation model of the arrest-to-disposition linkage process should be developed, using actual system data from a set of focus states. Results would shed light on the interaction and relevance of measures, as well as their impact on national goal setting.

4. Define a set of pertinent measures to assess the aggregate improvement of records quality, over time.

In partnership with BJS, develop a set of pertinent measures to determine the nation's progress in improving criminal history records. These measures should reflect common goals of federally funded criminal history records improvement programs, capture progress over time, and to the extent possible, have the above-mentioned attributes. Once developed and tested—perhaps using the simulation model described above—measures should be updated regularly to determine the extent to which federal goals are being met, to indicate where

deficiencies lie, and to point to activities which could mitigate such deficiencies.

5. Expand the assessment of user perceptions about the value of criminal history records.

We have learned a great deal about the ultimate usefulness of criminal history records by speaking with a small group of records users. They were anxious to share current perceptions of the quality of the records, as well as expectations and concerns for the future. Data quality improvement will benefit from interviews with a larger, more diverse set of users from both the criminal justice and non-criminal justice communities. Ultimately, user perceptions are key to understanding the true value of criminal history records and thus the ultimate success of federally funded improvement programs.

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Appendix A: Glossary

<i>ACN</i>	Arrest Control Number—a state-issued number used at the time of arrest to track the arrest throughout the criminal history records system—sometimes also referred to as arrest tracking number (ATN).
<i>AFIS</i>	Automated Fingerprint Identification System—an automated system for classifying, searching, and maintaining fingerprints.
<i>ASAP</i>	Advanced State Award Program—a part of the NCHIP program designed to help states identify persons other than felons who are prohibited from purchasing firearms; \$3.7M was awarded to 18 III states under this program in FY 96.
<i>ATF</i>	See BATF
<i>ATN</i>	Arrest Tracking Number—see ACN.
<i>BATF</i>	Bureau of Alcohol, Tobacco and Firearms—an agency of the U.S. Department of the Treasury charged with administering federal firearm regulations.
<i>Brady Act</i>	Federal law passed in November 1993 establishing a “waiting” or response period before anyone can buy a handgun, and calling for establishment of a national instant background check system (NICS) for firearms dealers to consult before selling any firearm.
<i>Brady State</i>	A state which must comply with the federal five-day “waiting” period before anyone can buy a handgun.
<i>Brady Alternate</i>	A state which meets one of the alternatives (e.g., permit, other approval-type system, or instant check) to the federal five-day “waiting” period before anyone can buy a handgun.
<i>Byrne 5%</i>	Byrne 5% set-aside program—a BJA-administered program established by an amendment to the Crime Control Act of 1990 which requires states to spend <i>at least 5 percent</i> of their annual Byrne formula grant funds on improving the quality of their criminal history records.
<i>BJA</i>	Bureau of Justice Assistance—an agency of the U.S. Department of Justice.
<i>BJS</i>	Bureau of Justice Statistics—an agency of the U.S. Department of Justice.
<i>CCH</i>	Computerized Criminal History—an automated system used to maintain records on criminal activities of an offender.

<i>CCN</i>	Charge Control Number—a number assigned to each charge at the time of arrest to track the charge(s) and to facilitate linkage to disposition(s).
<i>CHRI</i>	Criminal History Record Improvement Program—a BJS-administered \$27 million, three-year (1990-1992) program focused on improving the quality of the nation’s criminal history records.
<i>CLEO</i>	Chief Law Enforcement Officer—chief of police, sheriff, or an equivalent official, or the designee of any such individual. One agency usually serves as CLEO in a given jurisdiction.
<i>CITA</i>	Crime Identification Technology Act—Passed in 1998, CITA authorizes \$250 million in each of FY 99 through FY 03 to provide for the improvement of interstate criminal justice identification, information, communications, and forensics.
<i>DNA</i>	Deoxyribonucleic acid—a nucleic acid that carries genetic information in the cell and can self-replicate and synthesize RNA (ribonucleic acid). RNA, whose structure is a determinant of protein synthesis and transmits genetic information, is a constituent of all living cells. Found in blood, DNA—like fingerprints—can be used to positively identify an individual.
<i>FBI</i>	Federal Bureau of Investigation—an agency of the U.S. Department of Justice.
<i>FFL</i>	Federal Firearms Licensee—a federally authorized firearms dealer.
<i>FIFS</i>	Felon Identification in Firearm Sales—an FBI-supported system established for the immediate and accurate identification of felons who attempt to purchase firearms. Under FIFS, state criminal history records with felony convictions and pending felony arrests are “flagged”. In this way, felony conviction and pending felony arrest status are ascertained without looking at a criminal history record. These flags are carried over to III.
<i>FIST</i>	Firearm Inquiry STatistical program—a BJS-supported program to develop national data on implementation of the Brady Act and, more specifically, on how firearm check procedures work in the various states.
<i>IAFIS</i>	Integrated Automated Fingerprint Identification System—an FBI-supported system, expected to become operational in 1999. IAFIS will process criminal fingerprints that have been electronically transmitted from the state to the FBI through the Criminal Justice Information Services (CJIS) network. Results will be returned electronically to the originator. The FBI will scan ten-print cards received by mail and convert them to an electronic format to be used in the IAFIS environment. Civil ten-print cards will be submitted electronically, by mail or as machine-readable data on tape. The IAFIS environment will support electronic and hard copy submittal of latent fingerprints. IAFIS will maintain the III files, support the NFF program, and store complete criminal histories of federal offenders. IAFIS will also offer document and image services and direct remote search capabilities to authorized users.
<i>III</i>	Interstate Identification Index (Triple “I”)—a database system maintained by the FBI that contains personal identifiers of offenders and “pointers” to states which maintain criminal history records on these offenders.

<i>III Record Responsibility</i>	A state is responsible for, or “supports”, a particular record if the record has been “synchronized” with its FBI record. Synchronization is a process whereby either the FBI sends a magnetic tape of records to a state, or vice versa, and each field of every record is matched between the state record and the FBI record. If the record cannot be reconciled completely, it is not synchronized and the FBI continues to support it. Some states synchronize periodically, especially when new arrests occur for a prior record and that record is updated
<i>INS</i>	Immigration and Naturalization Service—an agency of the U.S. Department of Justice.
<i>Livescan</i>	Device for obtaining inkless fingerprints.
<i>LLEBG</i>	Local Law Enforcement Block Grants Program—a program administered by the Bureau of Justice Assistance. LLEBG provides funds to units of local government to underwrite projects to reduce crime and improve public safety.
<i>MNI</i>	Master Name Index—a database, either manual or automated, containing personal identifiers of offenders with criminal history records.
<i>NATMS</i>	Networked AFIS Transaction Management System—see <i>Store-and-Forward</i> .
<i>NCHIP</i>	National Criminal History Improvement Program—a BJS-administered \$200 million program initiated in 1994 and focused primarily on improving the quality of the nation’s criminal history records.
<i>NCIC 2000</i>	National Crime Information Center 2000—an FBI developed system designed to provide law enforcement with enhanced and expanded NCIC information, (e.g., wanted, convicted but on supervised release, missing and unidentified persons files). To improve identification of individuals who offer no identification or who are suspected of fraudulent identification, the NCIC 2000 system will provide a single fingerprint-matching capability.
<i>NCJ</i>	Non-Criminal Justice
<i>NCPA</i>	National Child Protection Act—Federal law passed in December 1993; it established procedures for national criminal background checks for child care providers.
<i>NFF</i>	National Fingerprint File—an FBI-supported system. Designed as a component of the III system, the NFF system is intended to decentralize the interstate dissemination of criminal history records. Under NFF, states submit to the FBI only the first set of offender fingerprints resulting from an arrest, together with basic identifying information. The fingerprints are entered in the NFF; the name and identifying information, in the III system. The FBI maintains records on all federal offenders and will continue to maintain an FBI number and S.I.D. numbers for all states in which the offender has a record. No dispositions will be submitted to the FBI; rather, states are required to respond to all authorized criminal and non-criminal inquiries regarding an offender whether or not the release of such data within the state would be permitted for the same purpose.
<i>NIBRS</i>	National Incident-Based Reporting System—an FBI-supported program designed to collect and analyze data for the purpose of reporting crime statistics. To meet the growing diversity and complexity of crime, NIBRS enhances the Uniform Crime Reporting (UCR) system. Some examples of these

enhancements include: using “incident-based” versus “summary” reporting; expanding offense reporting; not implementing a “hierarchy rule”; providing greater correlation among offenses, property, victims, offenders, and arrestees; expanding victim-to-offender relationship data; and providing greater specificity.

<i>NICS</i>	<p>National Instant Criminal Background Check System—a national system developed by the FBI in cooperation with BATF and state and local law enforcement agencies. Operational by November 30, 1998, it checks available records for individuals disqualified from purchasing a firearm. Both federal agencies and states are to contribute information to the following three databases that comprise the NICS and that are to be accessed either by an FFL or state Point of Contact (POC) to determine, virtually instantly in most cases, firearm purchase eligibility:</p> <ol style="list-style-type: none">1. NCIC, e.g., Wanted Persons File, Protection Order File2. III, i.e., criminal history records3. NICS Index, e.g., Denied Persons File, Controlled Substance Abusers.
<i>NIST</i>	<p>National Institute for Standards—an agency of the U.S. Department of Commerce.</p>
<i>NSOR-AP</i>	<p>National Sex Offender Registry Assistance Program—\$25 million effort initiated in 1998 as part of the BJS-administered National Criminal History Improvement Program (NCHIP). Promotes establishment of a national sex offender registry by helping state registries improve quality of information and by creating appropriate interfaces with the FBI’s national system.</p>
<i>OBTS</i>	<p>Offender-Based Transaction System—system designed to collect information by tracking adult offenders from point of entry into the criminal justice system through final disposition. Researchers can then examine how the criminal justice system processes offenders by measuring the volume of offenders in different segments of the system, calculating processing times, etc.</p>
<i>POC</i>	<p>Point of Contact—a state-designated liaison that initiates NICS background checks on individuals to determine firearm purchase eligibility. When NICS operational is operational, FFLs are either to contact the FBI directly or to contact a designated POC. The FBI or the POC will then contact NICS.</p>
<i>Protection Order</i>	<p>As defined in 42 USC Sec. 14040, the term “protection order includes any injunction or any other order issued for the purpose of preventing violent or threatening acts or harassment against, or contact or communication with or physical proximity to, another person, including temporary and final orders issued by civil or criminal courts (other than support or child custody orders) whether obtained by filing an independent action or as a pendente lite order in another proceeding so long as any civil order was issued in response to a complaint, petition, or motion filed by or on behalf of a person seeking protection.”</p>
<i>Q.E.D.</i>	<p>Queues Enforth Development, Inc.—a Massachusetts-based consulting company currently conducting a BJS-funded study, entitled “C-CHRIE: <u>C</u>ontinuing <u>C</u>riminal <u>H</u>istory <u>R</u>ecords <u>I</u>mprovement <u>E</u>valuation,” which assesses the impact of federal funds on criminal history records improvement.</p>
<i>REJIS</i>	<p>Regional Justice Information Service—Under the NCHIP program, BJS has funded a grant to REJIS to conduct the Firearm Inquiry Statistics (FIST)</p>

program. FIST is designed to collect annual data describing number of inquiries in connection with presale handgun and long gun checks, and the number and basis for rejection of such inquiries.

<i>SAC</i>	Statistical Analysis Center—By providing statistical services and conducting research, evaluations, and policy analyses, the state-based SACs contribute to effective policy development. In addition, they address both statewide and system-wide criminal justice policy issues to help meet critical planning needs. Initiated in 1972, the SAC program began as a component of the National Criminal Justice Information and Statistics Service. Now, SACs are funded predominantly by their states, while special research is supported by BJS.
<i>SEARCH</i>	The National Consortium for Justice Information and Statistics—under the NCHIP program, BJS has funded a grant to SEARCH Group, Inc. to help states that have received funds upgrade their record systems.
<i>SID</i>	State IDentification—A number assigned to uniquely identify an offender within a particular state.
<i>SIS</i>	State Identification Systems—A BJA-administered, FBI-funded formula grant program initiated in 1997 to enhance the capability of state and local governments to identify and prosecute offenders by establishing or upgrading information systems and DNA analysis. It is also intended to advance efforts to integrate these systems with national databases operated by the FBI.
<i>Store-and-Forward</i>	An umbrella term describing automated systems performing one or more of the following functions: (i) receiving electronic fingerprint images (i.e., from livescan systems); (ii) storing and managing the images; (iii) integrating image- and text-based arrest information; and (iv) interfacing electronic booking systems to the CCH and/or AFIS.
<i>UCR</i>	Uniform Crime Reporting—an FBI-supported records system, established in 1930, used to collect and analyze data about offenses and to report crime statistics.

Appendix B: State-by-State Activity Summaries

Appendix B presents 56 state-by-state summaries of past, current, and planned criminal history records improvement activities in the 50 United States, District of Columbia, American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and Virgin Islands. The summaries, which are contained in Exhibits B-1 through B-56, are designed to inform states about what other states are doing to improve their criminal history records.

Each summary begins with a list of 9 records-related state background characteristics, such as III membership status. Improvement activities are listed in numerical order according to their Level 3 activity classifications. Where possible, we identify, each activity's *planned* and *actual* start and completion dates. We also specify the federal funding sources supporting each activity and whether these are supplemented by state and/or local funds.

We have attempted to develop as complete and accurate a profile of the states' records improvement activities as possible. However, some information gaps remain (e.g., in the actual as well as planned start and completion dates), and some activities may not be captured or may be presented in an incomplete or inaccurate manner. For this reason, we have requested that the states review our source data and make every effort to correct any deficiencies.

Exhibit B-1 Alabama

Background Characteristics

State Population (thousands)?	4,273	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	1,091	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$5.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		o	T	r	o	H	y C t o
		m	o	m	o	r H r H a c	e P e l
1	1.1.3 Study and/or plan for disposition reporting process <i>AOC and CJIC work out plan for dispo reporting</i>		1/88		11/93		X
2	1.4.3 Conduct training for court information system <i>Board of Pardon & Paroles establishes training program for dispo acquisition</i>	9/96		6/96			X
3	1.5.7 Create standard training procedure <i>Standardize training for local agencies</i>		6/95		9/96		X
4	1.6.7 Legislate criminal history record keeping systems <i>Legislate sharing of rap sheets with other states</i>						X
5	4.1.1 Preprint ACN on fingerprint card <i>Court clerks place unique tracking number on R-84 form</i>		6/95	6/95			X
6	4.3.1 Install livescan <i>Install two livescan and plan to install three more each year</i>	9/95	9/96	9/95		X	
7	4.3.1 Install livescan <i>Install livescan at inmate intake and 10-printer in records section</i>	6/95		9/95	11/96	X	X
8	4.3.1 Install livescan <i>Mobile and Jefferson County purchase livescan</i>		2/95		2/95		X
9	4.3.2 Upgrade livescan <i>DOC updates livescan</i>	9/97				X	
10	5.2.1 Install AFIS <i>Install AFIS</i>		6/95		8/92		X
11	5.2.2 Upgrade AFIS <i>Upgrade AFIS to allow transmission of elect. FP information from remote sites</i>	8/98				X	
12	5.2.3 Install remote AFIS workstations <i>Birmingham law enforcement establishes access to AFIS</i>		10/95		9/96		X
13	6.1.4 Upgrade CCH software <i>Enhance ACJIC SW linkages to allow automated updates/inquiries from record users/contributors</i>	9/96				X	
14	6.1.4 Upgrade CCH software <i>DPS expands computer support to ACJIC</i>	9/96				X	
15	6.1.4 Upgrade CCH software <i>DPS expands computer support to repository</i>	9/97				X	
16	6.2.1 Establish record flags for felony <i>Flag offenses punishable by imprisonment for one year or more</i>		6/95		6/95		X
17	6.4.1 Create juvenile database <i>Implement new juvenile tracking system</i>		1/95				X
18	6.4.2 Incorporate civil protection order <i>AOC collects data on felony convictions and restraining orders</i>	6/95		6/95	5/97		X
19	6.4.7 Process disposition backlog <i>Parole/Probation/Court Referral officers get missing dispos & report info electronically</i>	9/95		10/95	9/98		X
20	6.4.7 Process disposition backlog <i>CJIC temp personnel process 37k dispos and will continue efforts</i>	1/91				X	X
21	6.6.1 Provide periodic paper reports to INS <i>Provide INS with rap sheets for arrested foreigners</i>		6/94		11/93		X
22	7.1.5 Upgrade III software <i>Make programming changes in order to become III participant</i>		3/96	3/96			X
23	9.1.1 Computerize court data <i>Computerize case tracking in all 67 circuit courts</i>	1/91	8/95	1/91	9/95	X	X
24	9.2.3 Establish electronic connection between courts and corrections <i>Link Pardon & Parole computers to AOC</i>	9/96			6/97		X
25	10.1.3 Upgrade court information system for disposition purposes <i>AOC installs computer terminals statewide for automated dispo reporting</i>	9/96					X
26	10.1.3 Upgrade court information system for disposition purposes <i>Enhance automated dispo reporting system operated by ACJIC</i>	9/95					X
27	13.1.1 Computerize parole data <i>Board of Pardon & Parole automates docket unit</i>	9/97			10/97		X
28	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>AOC completes automation of dispo reporting</i>	9/97					X
29	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Add communication link to DOC</i>	6/95					X
30	15.1.1 Establish call center for answering firearm check queries <i>ACJIC establishes state NICS center</i>	9/97					X

Exhibit B-2 Alaska

Background Characteristics

State Population (thousands)?	607	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	202	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	85.1%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$3.7	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	5/94	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned	Actual	Planned	Actual	F	N	S	L
		F	F	C	B	N	S	L	
		o	r	H	y	r	H	a	
		m	t	I	e	P	e	e	
1	1.1.4 Study ACN and/or CCN <i>Design charge tracking system</i>	1/96	6/98				X		
2	1.1.4 Study ACN and/or CCN <i>DPS identifies steps necessary to integrate ATN in each agency</i>	4/92	9/94	4/92	9/94	X		X	
3	1.1.5 Study fingerprinting and identification process <i>Perform Fingerprinting and AAFIS Workload studies</i>	4/92	9/94	4/92	9/94	X		X	
4	1.1.5 Study fingerprinting and identification process <i>Plan for criminal justice data usage and fingerprinting</i>	4/92	9/94	4/92	9/94	X		X	
5	1.1.8 Study user needs <i>Recommend changes and replacement strategies</i>	4/92	9/94	4/91	9/94			X	
6	1.1.9 Study prosecutor information system <i>Perform PROMIS re-engineering study</i>	12/95	6/96	12/95	2/96			X	
7	1.1.11 Study and/or plan for system-wide issues <i>Create integration plan for criminal justice automated systems</i>	4/92	5/94	7/93	5/94	X		X	
8	1.1.12 Study and/or plan for firearm issues <i>Assess availability of drug abuse info</i>	11/96					X		
9	1.1.12 Study and/or plan for firearm issues <i>Assess availability of illegal alien info</i>	11/96					X		
10	1.1.12 Study and/or plan for firearm issues <i>Assess availability of mental health info for Brady checks</i>	11/96					X		
11	1.2.1 Audit criminal history data quality <i>Conduct audit using new structure/manual</i>	3/97	3/98	3/97	3/98	X			
12	1.2.1 Audit criminal history data quality <i>Conduct baseline audit</i>	4/92	3/93	4/92	3/93	X		X	
13	1.3.2 Establish ad-hoc committee <i>Statute establishes Criminal Justice Info Advisory Board</i>	4/92	9/94	4/92	6/94	X		X	
14	1.3.3 Hire staff <i>Hire DPS criminal justice planner/coordinator</i>	10/95	10/96	10/95	10/96		X	X	
15	1.5.1 Upgrade arrest process procedures <i>Improve fingerprint procedures</i>	1/98	12/98				X		
16	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>CARDS database tracks FP card processing</i>	4/92	9/94	4/92	9/94	X		X	
17	1.5.4 Develop data standards <i>Incorporate legislated rules in regulations</i>	6/95	9/96	6/95	1/97		X		
18	1.5.6 Create audit procedure <i>Create comprehensive audit structure and manual</i>	4/96	12/97	4/96	3/97		X		
19	1.7.2 Upgrade in-state communications <i>Redesign APSIN</i>	1/98	12/98				X		
20	3.1.2 Computerize charge code table <i>Develop and program uniform offense citation table</i>	2/96	6/98	2/96			X		
21	3.1.4 Upgrade booking system <i>Anchorage police department designs new municipal police records mgt system</i>	4/96	6/98				X	X	
22	4.1.1 Preprint ACN on fingerprint card <i>Include pre-printed ATN on modified CCID form</i>	10/90	9/94			X			
23	4.3.1 Install livescan <i>Install four livescan units in correction facilities</i>	4/92	8/98			X	X	X	
24	5.2.1 Install AFIS <i>Replace AFIS</i>	11/96	8/98	11/96			X	X	
25	5.3.1 Automatically link fingerprint card data to criminal history record <i>Create APSIN function to identify demographic discrepancies with AAFIS</i>	4/92	9/94	4/92	9/94	X		X	
26	6.1.4 Upgrade CCH software <i>Add "date-of-entry" field to measure timeliness</i>	10/95	12/95	10/95	12/95		X		
27	6.1.4 Upgrade CCH software <i>Write APSIN interface specifications and central software</i>	4/96	12/97	4/96	12/97		X		
28	6.2.2 Establish dynamic record flagging system for felonies <i>Define "felony", create felony index and automate flagging</i>	10/90	9/94	10/90	9/94	X		X	
29	6.4.2 Incorporate civil protection order <i>Develop system to identify individuals subject to court restraining order</i>	11/96	9/98	11/96			X		
30	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Upgrade to machine readable dispo reporting to FBI</i>	4/92	9/94	4/92	9/94	X		X	

Exhibit B-2 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		C y R I	N H n e	S H I P	L a t a l
		F o r m	T o	F o r m	T o				
31	7.1.5 Upgrade III software <i>Modify software to become full III participant</i>	10/90	8/91	10/90	8/91	X			
32	8.1.2 Upgrade prosecutor information system <i>Replace PROMIS</i>	6/96	9/98	6/96				X	
33	9.1.2 Upgrade court information system <i>Add ATN to court info system</i>	4/92	9/94	4/92	9/94	X		X	
34	12.1.2 Upgrade corrections information system <i>Integrate ATN in corrections</i>	4/92	9/94	4/92	9/94	X		X	
35	12.1.2 Upgrade corrections information system <i>Replace OBSCIS with new computerized system</i>	5/95	9/98	5/95			X	X	
36	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Prosecutors send monthly 'decline to prosecute' tapes</i>	4/92	9/94	4/92	9/94	X		X	
37	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement automated interface between CCH and courts</i>	10/95	8/98	10/95				X	
38	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Connect 30 court sites to state WAN</i>	7/96	8/97	7/96	8/97	X	X	X	

Exhibit B-3 American Samoa

Background Characteristics

State Population (thousands)?	54	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	1	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	25.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$0.6	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BIS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	3/99	Date when at least 80% of all records are current and shareable; Source: BIS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	H	R	I
		o	m	o	o	R	n	I	t
		m				I	e	P	a
									c
									e
									l
1	1.2.1 Audit criminal history data quality <i>Independent entity conducts system audit</i>	10/97	12/97	3/97	3/97				X
2	1.4.10 Conduct training for data entry <i>Train data entry staff</i>	4/97	6/97	5/95	8/96				X
3	6.1.2 Computerize criminal history records <i>Enter data in new CCH</i>	10/91	9/93	12/94		X		X	
4	6.1.2 Computerize criminal history records <i>Install baseline CCH</i>	10/91	9/93	12/94		X		X	
5	7.1.4 Upgrade message switch communications <i>Upgrade NCIC/NLETS equipment</i>	10/96	12/96	1/98	1/99		X	X	

Exhibit B-4 Arizona

Background Characteristics

State Population (thousands)?	4,428	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	799	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$6.1	Includes CHRI (all), Byrne 5% (92-'98), NCHIP (95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/96	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	B	N	S	L
		F	F	C	H	R	I
		r	r	R	r	n	I
		o	o	T	H	I	t
		m	m	R	r	I	a
				I	e	P	c
				e	P	e	l
1	1.1.3 Study and/or plan for disposition reporting process <i>Study problem of missing dispos</i>	10/95	10/98			X	X
2	1.1.8 Study user needs <i>Perform needs assessment of ACCH</i>				X		
3	1.1.11 Study and/or plan for system-wide issues <i>Study ways to reduce paper flow statewide</i>	10/96	10/97			X	X
4	1.3.2 Establish ad-hoc committee <i>Form multi-agency planning task force</i>			6/92	X	X	X
5	1.3.3 Hire staff <i>Hire coordinator to monitor NCHIP projects</i>	10/95	10/98	6/95		X	
6	1.4.6 Conduct multi-agency state-wide training <i>Conduct statewide training program for 824 users from 173 agencies</i>				X		
7	1.5.3 Upgrade OBTS process <i>Develop and implement unique offense ID number</i>	10/95	10/96	5/96	7/96		X
8	1.5.6 Create audit procedure <i>Develop auditing process for ACCH system</i>		12/92		12/92	X	
9	1.5.8 Revise repository procedures <i>Convert rapsheet to national model</i>	1/98	1/99	1/98			X
10	1.7.1 Integrate criminal justice agencies county-wide <i>Oro Valley Police and Pima Co Sheriff share data</i>			6/95	2/96	X	X
11	3.1.3 Upgrade digital photography <i>Yavapai Co implements electronic photo imaging</i>	5/95	12/95	6/95	11/95	X	X
12	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Develop interfaces for electronic arrest data transfer</i>						X
13	4.1.1 Preprint ACN on fingerprint card <i>Implement process control number</i>	10/97	11/98	1/98		X	
14	4.3.1 Install livescan <i>Maricopa Co buys three livescan units</i>	5/95	6/95	6/95	4/96	X	X
15	4.3.1 Install livescan <i>Pima Co and Phoenix implement livescan</i>	5/95	12/95	6/95	5/96	X	X
16	4.3.1 Install livescan <i>Maricopa Co purchases 2 livescan units and 1 scanner</i>	10/97	11/98	1/98		X	
17	5.2.1 Install AFIS <i>Install AZAFIS</i>	11/94	11/95				X
18	5.2.2 Upgrade AFIS <i>Maricopa Co buys AFIS server equipment upgrades</i>	5/95	12/95			X	X X
19	5.4.3 Process fingerprint card backlog <i>Eliminate 21k non-AZAFIS and 9k AZAFIS card backlog</i>	10/95	10/96	6/95	12/96		X
20	6.1.3 Upgrade CCH hardware <i>DPS buys HW to modify ACCH</i>	10/95	10/96				X X
21	6.1.4 Upgrade CCH software <i>Modify data entry screens and rap sheet format in ACCH</i>					X	
22	6.1.4 Upgrade CCH software <i>Include new conviction fields in ACCH</i>					X	
23	6.1.4 Upgrade CCH software <i>Include improved name searches in ACCH</i>		7/94			X	
24	6.1.4 Upgrade CCH software <i>DPS modifies ACCH to allow on-line transfer of dispo information</i>	10/95	10/97				X X
25	6.2.2 Establish dynamic record flagging system for felonies <i>Implement felony flags in ACCH</i>					X	
26	6.4.2 Incorporate civil protection order <i>Automate storage/retrieval of protection and stalking orders</i>	1/98		1/98			X
27	6.4.7 Process disposition backlog <i>Eliminate 95k dispo backlog</i>					X	
28	6.4.7 Process disposition backlog <i>Eliminate criminal history records backlog by processing 64k dispos</i>	10/95	10/98	10/95			X
29	7.1.5 Upgrade III software <i>DPS makes programming changes to become III participant</i>	10/95	10/97	10/97	12/97		X
30	8.1.2 Upgrade prosecutor information system	5/95	12/95	5/95	1/96	X	X

Exhibit B-4 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	y	C	t
o	m	o	o	R	n	I	t		
m				I	e	P	e		
	<i>Navajo Co Attorney's office upgrades case tracking system</i>								
31	9.1.1 Computerize court data	5/95	12/95	5/95	12/97	X			X
	<i>Yavapai and Mohave Co implement court case tracking systems</i>								
32	9.1.2 Upgrade court information system	5/95	12/95	5/95		X			X
	<i>Pima Co upgrades court case tracking system</i>								
33	9.1.2 Upgrade court information system	5/95	12/95	5/95		X			X
	<i>Yuma Co upgrades court case tracking system</i>								
34	9.1.2 Upgrade court information system	5/95	12/95	5/95	6/96	X			X
	<i>Maricopa Co upgrades court case tracking system</i>								
35	12.1.2 Upgrade corrections information system					X			
	<i>Link DOC inmate number to AIMS</i>								
36	14.1.1 Establish electronic connection for transfer of prosecution data to repository	5/95	12/95	5/95		X			X
	<i>Mohave, Pima and Yavapai Co DAs implement electronic dispo transfer</i>								
37	14.1.1 Establish electronic connection for transfer of prosecution data to repository	5/95	12/95	5/95		X			X
	<i>Maricopa Co DA automates dispo transfer</i>								
38	14.2.2 Establish electronic connection for transfer of court disposition data to repository					X			
	<i>Develop interfaces for electronic transfer of dispo data</i>								
39	14.2.2 Establish electronic connection for transfer of court disposition data to repository	10/95	10/96	10/95	10/96		X		
	<i>Maricopa Co purchases file transfer equipment for dispo transfer</i>								
40	14.2.2 Establish electronic connection for transfer of court disposition data to repository	10/95	10/96				X	X	
	<i>AOC automates dispo transfer from courts to repository</i>								
41	14.2.4 Automatically link court dispositions to criminal history record via ACN/CCNs		7/94			X			
	<i>Improve linkage of amended counts to original counts</i>								
42	14.2.5 Upgrade electronic connection between courts and repository	5/95	3/96	5/95		X			X
	<i>Pima and Maricopa Co upgrade electronic dispo transfer</i>								

Exhibit B-5 Arkansas

Background Characteristics

State Population (thousands)?	2,510	Source: US Census Bureau population estimates (December 1996)
Number of Persons with Arrest Records in Central Repository (thousands)?	485	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	54.8%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.7	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP (95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	6/99	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
				H	R	H	A
				I	R	I	T
				E	P	E	L
1	1.1.11 Study and/or plan for system-wide issues <i>Develop statewide master automation plan</i>	10/90		X	X		
2	1.5.1 Upgrade arrest process procedures <i>Create new FP card with felony flag for each charge</i>		7/90			X	X
3	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Search for missing dispos</i>	10/97					X
4	1.5.4 Develop data standards <i>Develop data dictionary</i>	10/90		X	X		
5	4.1.1 Preprint ACN on fingerprint card <i>Create new FP card with unique arrest control number</i>		7/90 7/90	X			
6	5.2.1 Install AFIS <i>State Police install AFIS</i>	2/96	9/96				X
7	5.4.3 Process fingerprint card backlog <i>Process 37k manual card backlog</i>	7/90				X	
8	6.1.2 Computerize criminal history records <i>ACIC installs CCH</i>	6/88	7/90				X
9	6.1.2 Computerize criminal history records <i>Automate 236k criminal records at CCH</i>		6/95	X	X		
10	6.1.4 Upgrade CCH software <i>Restructure CCH to relational database</i>	10/97				X	
11	6.2.1 Establish record flags for felony <i>Implement system for flagging felons</i>		7/90	X			
12	6.3.3 Computerize NIBRS <i>Submit NIBRS test tapes to FBI</i>	12/94					X
13	6.4.7 Process disposition backlog <i>Enter approx 126k dispos</i>	10/90	11/93	X	X		
14	6.4.7 Process disposition backlog <i>Process backlog of 5.7k municipal court dispos</i>					X	
15	6.4.7 Process disposition backlog <i>Complete backlog of dispo data entry</i>	10/97				X	
16	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Send mag tape to FBI monthly</i>		7/92	X			
17	6.6.1 Provide periodic paper reports to INS <i>Send monthly printout to border patrol office</i>		3/92				
18	7.1.1 Synchronize records <i>Work on 42k backlog of FBI numbers</i>					X	
19	7.1.5 Upgrade III software <i>Become III participant following automation of CCH file</i>		3/95				
20	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Automate municipal court dispo reporting</i>	12/96	12/97			X	
21	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Automate circuit court dispo reporting</i>		9/90	X			
22	16.1.2 Provide users with direct access to employment background check information <i>ACIC provides info to AR Dept of Human Services</i>		6/95				

Exhibit B-6 California

Background Characteristics

State Population (thousands)?	31,878	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	5,350	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	83.6%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$34.8	Includes CHRI (all), Byrne 5% (92-'98), NCHIP (95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/98	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources						
		Planned	Actual	F	F	C	B	N	S	L
		Month	Month	Yr	Yr	R	H	I	P	I
1	1.1.2 Study and/or plan for arrest reporting process <i>Survey shows citations resulting in misdemeanors are not FP-supported</i>	1/93		1/93	1/93					X
2	1.1.6 Study CCH system and/or interfaces thereto <i>Evaluate repository status</i>	1/92	12/92							X
3	1.1.8 Study user needs <i>Survey system users to assess needs</i>	4/92	4/92							X
4	1.1.11 Study and/or plan for system-wide issues <i>Develop data quality improvement plan</i>	3/91	11/92	3/91	2/93	X				X
5	1.3.1 Establish five-percent set-aside task force <i>Establish Criminal Justice Improvement Task Force</i>	6/93	6/02	9/92			X			X
6	1.3.1 Establish five-percent set-aside task force <i>Council on Criminal Justice, formed in 1987, becomes approval body for Byrne</i>	1/87					X			X
7	1.3.2 Establish ad-hoc committee <i>Establish numerous advisory committees</i>	1/83		1/83			X			X
8	1.3.3 Hire staff <i>Hire staff to coordinate NCHIP activities</i>	7/95	10/99	7/95				X		
9	1.3.3 Hire staff <i>Hire staff to coordinate Byrne improvement activities</i>	6/93	6/94	6/93	6/94	X				X
10	1.4.2 Conduct training for livescan and fingerprinting <i>Train livescan users</i>	6/91		6/91						X
11	1.4.6 Conduct multi-agency state-wide training <i>Develop and staff coordinated training program</i>	1/93					X			X
12	1.4.11 Conduct training for law enforcement <i>Update and redistribute DVROS user manual to law enforcement</i>	11/96	12/98	3/97				X		
13	1.6.1 Specify reporting requirements for arrests <i>Legislate sending original FP card to repository</i>	1/71		1/71	1/73					X
14	1.6.9 Legislate printing of selected misdemeanants <i>Legislate printing of selected misdemeanants</i>	1/72		1/67	1/67					X
15	1.7.2 Upgrade in-state communications <i>Connect local agencies to statewide livescan communication network</i>	7/98	6/99					X		
16	1.7.2 Upgrade in-state communications <i>Provide electronic data to counties via Full Use Agency Access tapes</i>	1/89	12/92							X
17	3.1.2 Computerize charge code table <i>Standardize charge table</i>	1/95	6/96	1/95	6/97					X
18	4.3.1 Install livescan <i>Purchase livescan workstations</i>	1/91		1/91			X	X	X	X
19	4.3.2 Upgrade livescan <i>Enhance Printrak livescan software</i>	7/98	6/99					X		
20	5.2.1 Install AFIS <i>Install six full systems</i>	1/86	1/90	1/86	1/90				X	X
21	5.2.3 Install remote AFIS workstations <i>Connect 28/58 counties to state AFIS</i>	1/86	10/95	1/86	10/95			X	X	X
22	5.3.1 Automatically link fingerprint card data to criminal history record <i>Develop processor and interface to receive livescan data from NATMS and update ACHS</i>	6/93	11/94				X			X
23	5.3.1 Automatically link fingerprint card data to criminal history record <i>Purchase optical character reader to be used for entering for FP card data in ACHS</i>	7/92	6/95	7/92	7/93					X
24	5.3.1 Automatically link fingerprint card data to criminal history record <i>Upgrade AFIS software for NATMS in order to update ACHS</i>	1/97	1/01	6/95						X
25	5.3.1 Automatically link fingerprint card data to criminal history record <i>Assist purchase of NATMS equipment for large counties</i>	7/96	6/97	7/97	1/98		X			X
26	5.3.1 Automatically link fingerprint card data to criminal history record <i>Implement NATMS to automatically update Automated Criminal History System (ACHS)</i>	7/96	6/98	7/96			X			X
27	6.1.1 Computerize MNI <i>Automate Master Folder File/Optical Storage</i>	7/94	6/02	7/94			X			X
28	6.1.2 Computerize criminal history records <i>Convert the 100k still-active manual records</i>	6/94	12/97	7/95	1/98			X		X
29	6.1.3 Upgrade CCH hardware <i>Buy new terminals for data entry</i>	6/93	3/95	6/93	1/95		X			X
30	6.1.4 Upgrade CCH software <i>Replicate local criminal history data fields in ACHS</i>	6/93					X			X

Exhibit B-6 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	H	R	H
31	6.1.4 Upgrade CCH software <i>Initiate Year 2000 upgrade</i>		9/99	1/98					X
32	6.2.1 Establish record flags for felony <i>System undergoes redesign to reflect charge and court action status</i>	6/77	8/82	6/77	8/82				X
33	6.2.2 Establish dynamic record flagging system for felonies <i>Flag criminal aliens</i>				5/94				
34	6.2.2 Establish dynamic record flagging system for felonies <i>Generate flags to identify felony and misdemeanors for firearm checks</i>	3/97	10/98	3/97				X	
35	6.4.2 Incorporate civil protection order <i>Interface DVROS to NCIC</i>	11/96	12/98	3/97				X	
36	6.4.7 Process disposition backlog <i>Process dispo backlog</i>	3/91		3/91	8/97	X			X
37	6.4.9 Create gun denial (Brady) file <i>Develop pre-certified conviction file</i>		7/98	3/97					X
38	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Send FBI arrest data via telecommunication lines</i>	1/91	6/96	1/93	5/97	X			X
39	7.1.1 Synchronize records <i>Programmatically match ACHS and Ill records</i>	3/97	5/98	3/97				X	
40	7.1.1 Synchronize records <i>Initially submit 315k cards to FBI for synchronization and then submit an additional 770k cards</i>	3/97	10/99	3/97				X	
41	7.2.2 Comply with NIST standards <i>Upgrade 78 Identix workstations to NIST standard</i>	1/95	5/96	7/95			X		X
42	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>State develops programs for counties to test automated mag tape dispo reporting</i>	1/88		1/88	12/88				X
43	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement electronic dispo transfer</i>	6/93				X	X	X	X

Exhibit B-7 Colorado

Background Characteristics

State Population (thousands)?	3,823	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	900	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$5.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/99	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		m	o	T	m	H	r H a c
						I	n I t a
						e	P e l
1	1.1.13 Study and/or plan for domestic violence issues <i>Conduct stalking/domestic violence database connectivity feasibility study</i>	10/97					X
2	1.2.5 Audit local agencies <i>Team of auditors visit over 300 reporting agencies</i>	10/90	6/93			X	X
3	1.3.3 Hire staff <i>Hire planning officer to administrate III participation and CICJIS support</i>	10/97		2/97			X
4	1.4.6 Conduct multi-agency state-wide training <i>Develop local agency training programs</i>	10/90	6/93			X	X
5	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Implement compliance and monitoring</i>	10/96	9/97				X
6	1.6.3 Mandate firearm instant check system <i>Mandate instant check system</i>		12/94	10/93			X
7	1.6.8 Legislate unique ACN <i>Legislature mandates charge tracking number</i>			1/95			X
8	4.3.1 Install livescan <i>Establish remote livescan sites</i>	1/91	12/91	1/91	12/91	X	X
9	5.2.1 Install AFIS <i>Replace AFIS</i>	1/91	12/91	1/91	8/91		X
10	5.2.2 Upgrade AFIS <i>Expand AFIS processing capacity to 2M and thruput to within 72 hrs</i>	10/95	9/96	10/95	8/96		X
11	5.2.3 Install remote AFIS workstations <i>Establish remote AFIS workstations</i>	1/91	12/91	1/91	8/96	X	X
12	6.1.2 Computerize criminal history records <i>Automate remaining arrest offense records</i>	10/97		10/97			X
13	8.1.2 Upgrade prosecutor information system <i>Include DA case reporting in prosecution mgt support system</i>	1/92	12/92			X	X
14	9.1.2 Upgrade court information system <i>Install Judicial Department Criminal Justice Info Mgt Sys (CJIMS)</i>	1/92	12/92	1/92	12/92		X
15	10.1.3 Upgrade court information system for disposition purposes <i>Judicial Branch cleans data and enhances records being transferred to CCIC/NCIC system</i>	10/97		10/97			X
16	11.1.1 Computerize probation data <i>Install judicial probation system</i>	1/92	12/92	1/92	12/92	X	X
17	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Upgrade prosecution info system to enable electronic interface</i>	1/92	12/92	1/92	12/92	X	X
18	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>CJIMS enables electronic dispo reporting</i>	1/92	12/92	1/92			X
19	14.3.1 Establish electronic connection for transfer of probation data to repository <i>Probation judicial system enables electronic interface</i>	1/92	12/92	1/92	12/92	X	X
20	15.1.3 Participate in FIST <i>Participate in FIST</i>	10/96	9/97	10/96			X

Exhibit B-8 Connecticut

Background Characteristics

State Population (thousands)?	3,274	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	811	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	61.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$5.7	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	6/95	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned	Actual	Planned	Actual	F	N	S	L
		F	F	C	B	N	S	L	
		o	r	H	y	C	t	o	
		m	m	I	e	P	e	I	
		o	o	e					
		T	T						
		m	m						
1	1.1.6 Study CCH system and/or interfaces thereto <i>Conduct COLLECT/CJIS Study</i>	10/91	9/95	10/91	9/95	X			
2	1.1.6 Study CCH system and/or interfaces thereto <i>Perform requirements study of CR/MVS to CCH interface</i>	1/91	9/92	1/91	9/92		X		
3	1.1.11 Study and/or plan for system-wide issues <i>Study/upgrade NCIC/COLLECT workstation: Phase 1</i>	10/97	9/98	10/97					
4	1.1.11 Study and/or plan for system-wide issues <i>Update 1988 CJIS study</i>	10/91	6/94	10/91	6/94	X			
5	1.1.11 Study and/or plan for system-wide issues <i>Develop CJIS-OBTS System Master Plan</i>	10/91	6/95	10/91	6/95	X	X		
6	1.2.1 Audit criminal history data quality <i>Conduct baseline audit</i>	10/91	6/94	10/91	6/94	X			
7	1.3.3 Hire staff <i>Support CJIS project management: module 1</i>	10/93	9/97				X		
8	1.3.3 Hire staff <i>Support CJIS project management: module 2</i>	10/94	9/98	10/94			X		
9	1.5.1 Upgrade arrest process procedures <i>Implement Uniform Arrest Report</i>	10/91	6/95	10/91	6/95	X			
10	1.5.3 Upgrade OBTS process <i>Implement CJIS/OBTS System Master Plan</i>	1/94	6/01	1/94			X	X	
11	1.5.4 Develop data standards <i>Create CJIS data dictionary</i>	10/91	9/95	10/91	9/95	X	X		
12	1.7.2 Upgrade in-state communications <i>Install automated gateway</i>	10/91	6/95	10/91	6/95	X			
13	3.1.1 Computerize booking data <i>Implement on-line booking in two sites on pilot basis</i>	10/96	9/98	10/96			X		
14	3.1.1 Computerize booking data <i>Plan/design on-line booking system</i>	9/95	9/98	9/95			X		
15	3.1.4 Upgrade booking system <i>Expand on-line booking: Phase 1</i>	10/97	9/98	10/97			X		
16	4.1.1 Preprint ACN on fingerprint card <i>Implement new arrest FP card with unique tracking CAN</i>	10/91	6/94	10/91	6/94	X			
17	4.3.1 Install livescan <i>Install livescan workstations at selected local sites: Phase 1</i>	9/95	12/97	9/95	12/97		X		
18	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Purchase Networked AFIS Transaction Management System (NATMS)</i>	10/97	9/98	10/97			X	X	
19	5.2.2 Upgrade AFIS <i>Upgrade AFIS to interface with other New England states</i>	9/95	9/98	9/95			X		
20	5.2.2 Upgrade AFIS <i>Enhance AFIS crime linkage</i>	10/97	9/98	10/97					
21	6.1.3 Upgrade CCH hardware <i>Buy terminals for DPS</i>	10/91	9/95	10/91	9/95	X			
22	6.1.4 Upgrade CCH software <i>Interface weapons permit system with CCH and other systems</i>	9/95	9/98	9/95			X		
23	6.1.4 Upgrade CCH software <i>Merge State Police CCH data file with JIS and CR/MVS to form new CCH</i>	10/91	3/96	10/91	3/96	X			
24	6.1.4 Upgrade CCH software <i>Redesign CCH application systems</i>	1/91	9/92	1/91	9/92	X			
25	6.1.4 Upgrade CCH software <i>Test conversion programming and modify rap sheet</i>	10/91	6/95	10/91	6/95	X			
26	6.2.3 Establish record flags for specific disqualifying crimes <i>Flag arrestees charged with child, elder or disabled abuse</i>	9/95	9/98	9/95			X		
27	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Study/design NIBRS expansion analysis</i>	9/95	9/98	9/95			X		
28	6.3.6 Upgrade NIBRS software <i>Develop NIBRS expansion application</i>	9/96	9/98	9/96			X		
29	6.4.2 Incorporate civil protection order <i>Design and develop protective, restraining and no contact order registry</i>	7/96	9/98	7/96			X		
30	6.4.3 Convert juvenile records to adult records	9/95	9/98	9/95			X		

Exhibit B-8 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	H	C	I
				R	R	I	T		
		m	o	m	o	I	e	P	
	<i>Convert juvenile records to adult</i>								
31	7.1.1 Synchronize records	9/95	9/98	9/95				X	
	<i>Synchronize FBI and state records</i>								
32	8.1.1 Computerize prosecution data	10/92	9/97	10/92	9/97			X	
	<i>Implement Automated Public Defender Info Sys (APDIS) in at least five more offices</i>								
33	8.2.1 Establish electronic connection between court and prosecutor information systems	10/91	9/95	10/91	9/95			X	
	<i>Add new terminal server for dial-back communications to enable access to JIS</i>								
34	8.2.1 Establish electronic connection between court and prosecutor information systems	10/91	9/95	10/91	9/95			X	X
	<i>Give 22 State Attorney offices direct access to JIS case info</i>								
35	9.1.1 Computerize court data	10/91	9/96	10/91	9/96			X	
	<i>Expand APDIS to 23 public defender offices</i>								
36	11.1.1 Computerize probation data	10/94	9/98	10/94				X	
	<i>Bail Commission expands/designs automated case notes system</i>								
37	13.1.1 Computerize parole data	10/94	9/98	10/94				X	
	<i>Install automated case notes system for parole/probation</i>								
38	14.2.2 Establish electronic connection for transfer of court disposition data to repository	10/91	6/94	10/91	6/94			X	
	<i>Test interface between CCH and judicial info system</i>								
39	14.2.4 Automatically link court dispositions to criminal history record via ACN/CCNs	10/97	9/98	10/97				X	
	<i>Establish judicial person/CCH file consistency</i>								
40	15.1.4 Provide for direct access to firearm check information	7/96	4/98	7/96				X	
	<i>Access non-conviction data for weapons permitting</i>								
41	15.1.4 Provide for direct access to firearm check information	10/97	9/98	10/97				X	
	<i>Develop NICS interface</i>								
42	17.1.1 Establish access to mental health records	11/96	9/98	11/96				X	
	<i>Include mental health info for weapons permitting</i>								

Exhibit B-9 Delaware

Background Characteristics

State Population (thousands)?	725	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	567	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	91.6%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$3.8	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/97	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned	Actual	Planned	Actual	F	N	S	L
		F	F	C	B	N	S	L	
		o	r	H	y	C	t	o	
		m	m	I	e	P	e	i	
1	1.1.3 Study and/or plan for disposition reporting process <i>SAC research/updates dispos and sentence orders</i>	1/97	12/97	1/97			X		
2	1.1.11 Study and/or plan for system-wide issues <i>Develop master plan to automate criminal justice agencies</i>	1/84	1/85	1/84	1/85			X	
3	1.2.1 Audit criminal history data quality <i>Complete functional audit</i>	10/95	12/97	10/95	11/97		X		
4	1.2.1 Audit criminal history data quality <i>Follow-up CJIS audit with corrections</i>	1/97	12/97	1/97			X		
5	1.2.1 Audit criminal history data quality <i>Audit criminal history system</i>	1/92	1/93	1/92	1/93	X			
6	1.4.10 Conduct training for data entry <i>Upgrade process of entering stalking/domestic violence data in local/state/national databases</i>	4/98	6/99				X		
7	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Obtain unreported dispos for felony charges</i>	10/90	3/92	10/90	3/92	X			
8	1.5.8 Revise repository procedures <i>Redesign/automate workflow associated with processing criminal record checks by SBI</i>	1/99	6/99				X		
9	1.6.3 Mandate firearm instant check system <i>Pass firearm instant check legislation</i>	1/91	1/91	1/91	1/91			X	
10	1.6.5 Allow access to state NCJ data sources for firearm checks <i>Legislate access to mental health records</i>	7/94	7/94	7/94	7/94			X	
11	1.7.2 Upgrade in-state communications <i>Authorized CJIS users check rap sheets using Intranet or Internet with browser</i>	1/99	6/99				X		
12	2.1.1 Access wanted/warrants search via local computer <i>Computerize warrant system statewide</i>	1/88	1/90	1/88	1/90			X	
13	4.3.1 Install livescan <i>Install four livescan units</i>	10/95	1/96	10/95	2/98		X	X	
14	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Enable livescan networking and FP submission</i>	10/95	6/98	10/95			X	X	
15	5.2.1 Install AFIS <i>SBI installs 2nd AFIS</i>	10/95	10/96	10/95	10/96		X	X	
16	5.2.1 Install AFIS <i>SBI installs first AFIS</i>	1/87	2/88	1/87	1/88			X	
17	6.1.1 Computerize MNI <i>Automate MNI</i>	10/90	3/92	10/90	3/92	X			
18	6.1.4 Upgrade CCH software <i>Restructure CJIS sentence data</i>	1/97	12/97				X		
19	6.1.4 Upgrade CCH software <i>Begin CJIS system improvements</i>	1/97	12/97	1/97	11/97		X		
20	6.1.4 Upgrade CCH software <i>Merge CCH and dispo reporting system to form statewide CJIS</i>	1/89	1/90	1/89	1/90			X	
21	6.1.5 Automatically retrieve criminal history based on MNI search <i>Integrate MNI and CCH</i>	10/95	1/98	10/95			X		
22	6.2.2 Establish dynamic record flagging system for felonies <i>Enhance DOJ indictment in CJIS</i>	5/96	6/98	5/96			X		
23	6.3.2 Establish state NIBRS <i>Redesign UCR system to meet NIBRS standards</i>	1/89	6/96	1/89	6/96	X		X	
24	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Redesign NIBRS/Complaint file to enhance data sharing</i>	11/94	8/95	11/94	8/95			X	
25	6.4.2 Incorporate civil protection order <i>Access information on no-contact orders</i>	11/96	10/97	11/96			X		
26	6.4.2 Incorporate civil protection order <i>Enhance Protection From Abuse (PFA) Order in CJIS</i>	5/96	10/97	5/96			X		
27	6.4.2 Incorporate civil protection order <i>Produce and provide access to 'Protection from Abuse' restraining orders</i>	2/95	7/95	2/95	7/95			X	
28	8.1.1 Computerize prosecution data <i>Develop case tracking system for AG and Public Defender</i>	1/92	1/93	1/92	1/93			X	
29	9.1.1 Computerize court data <i>Create court mgt system for higher courts</i>	1/95	2/96	1/95	2/96			X	
30	9.1.1 Computerize court data <i>Create Justice of the Peace court mgt system</i>	10/90	3/92	10/90	3/92	X	X	X	

Exhibit B-9 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	H	C	I
		o	m	o	o	R	r	H	t
		m				I	e	P	a
31	10.1.3 Upgrade court information system for disposition purposes <i>Capture dispos through automation of sentence order</i>	1/93	2/96	1/93	2/96			X	
32	12.1.1 Computerize corrections data <i>DELJIS develops DOC system</i>	1/92	1/94	1/92	1/94				X
33	14.2.4 Automatically link court dispositions to criminal history record via ACN/CCNs <i>Integrate CJIS and JIC so that information is electronically submitted/updated simultaneously</i>	10/90	3/94	10/90	3/94	X			

Exhibit B-10 District of Columbia

Background Characteristics

State Population (thousands)?	543	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	#VALUE!	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	#VALUE!	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$2.4	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/98	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame			Funding Sources				
		Planned	Actual		F	N	S	L	
		F	F		C	B	N	S	L
		o	r		H	y	C	t	o
		m	m		I	e	P	e	I
1	1.1.11 Study and/or plan for system-wide issues <i>Criminal justice agencies create CJIS plan by 1996</i>	12/88	12/88	12/95					X
2	1.1.11 Study and/or plan for system-wide issues <i>Plan global network infrastructure</i>	1/95	12/98	6/95		X		X	
3	1.1.15 Study and/or plan for federal compatibility issues <i>Document formal requirements analysis for III participation</i>	4/96	12/96				X		
4	1.2.1 Audit criminal history data quality <i>Prepare MPD audits</i>	10/93	12/93	12/93					X
5	1.2.3 Audit superior court <i>Prepare audits for Superior Court</i>	10/93	10/96						X
6	1.5.4 Develop data standards <i>Complete common CJIS data dictionary</i>	1/95	12/96	1/95	12/96	X		X	
7	1.7.1 Integrate criminal justice agencies county-wide <i>Create software to pass data between all criminal justice agencies</i>	9/90		9/90	1/93	X	X		X
8	1.7.1 Integrate criminal justice agencies county-wide <i>Complete integration of all criminal justice agencies</i>	1/96	12/96				X		
9	1.7.1 Integrate criminal justice agencies county-wide <i>Implement DOC Info Exchange to track info on escapees</i>	1/95	12/96	1/95		X		X	
10	6.1.2 Computerize criminal history records <i>Consolidate records and enter in database</i>	9/90		1/90	1/93	X	X		X
11	6.1.2 Computerize criminal history records <i>Install CCH</i>	9/90	9/93	9/90	9/93	X	X		X
12	6.1.6 Consolidate duplicate records in CCH <i>Reconcile MPD criminal history records</i>	1/95	12/96	1/95	12/96	X		X	
13	6.2.3 Establish record flags for specific disqualifying crimes <i>Flag crimes involving children, domestic violence and stalking</i>	4/96	12/98				X		
14	6.4.1 Create juvenile database <i>Integrate Juvenile Justice Agencies systems</i>	4/96	12/98	4/96	10/96	X		X	
15	7.1.5 Upgrade III software <i>Install and test III software</i>	4/96	12/96				X		
16	7.1.5 Upgrade III software <i>Buy, install and test communication front end processor for III participation</i>	11/96	12/97				X		
17	9.1.2 Upgrade court information system <i>Redesign Pretrial Automated Bail System</i>	1/95	12/96	1/95	10/97	X		X	
18	10.1.3 Upgrade court information system for disposition purposes <i>Continue to improve data quality at the District Superior Court</i>	1/96	12/98				X		
19	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Integrate Pretrial Services Agency System</i>	4/96	12/96				X		
20	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Integrate federal court data for CJIS to obtain and record federal arrest data</i>	4/97	4/98				X		
21	14.4.2 Automatically link corrections status to criminal history record <i>Integrate District DOC to CJIS to append correctional dispo info to CJIS record</i>	1/96	12/96				X		
22	15.1.3 Participate in FIST <i>Participate in FIST</i>	4/97	4/98				X		

Exhibit B-11 Florida

Background Characteristics

State Population (thousands)?	14,400	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	3,370	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$14.2	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	Yes	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		m	o	r	t	R	y C t o
						I	r H a c
						e	P e l
1	1.1.2 Study and/or plan for arrest reporting process <i>Create long-range plan for electronic submission of arrest data</i>	2/93	10/94			X	X
2	1.1.11 Study and/or plan for system-wide issues <i>FDLE conducts security assessment of FCIC network</i>						X
3	1.1.14 Study and/or plan for issues relating to children, the elderly, and/or the disabled <i>Study issue of providing record checks under NCPA</i>	11/95	10/96				X
4	1.1.17 Study and/or plan for juvenile issues <i>Submit juvenile data to FDLE for adult-equivalent felonies</i>	1/96	1/96				X
5	1.1.17 Study and/or plan for juvenile issues <i>FL Association of Court Clerks studies impact on clerks to add juvenile records to repository</i>						X
6	1.2.1 Audit criminal history data quality <i>Audit sealed and expunged records</i>	1/94	12/94			X	X
7	1.2.1 Audit criminal history data quality <i>FDLE validates felony arrest and dispo data</i>	1/94	12/94	1/94		X	X
8	1.2.1 Audit criminal history data quality <i>FDLE conducts bi-annual audit</i>	1/94	1/94			X	X
9	1.2.3 Audit superior court <i>OSCA checks Clerks of the Court OBTS data</i>	1/94	1/94			X	X
10	1.2.5 Audit local agencies <i>FDLE analyzes criminal FP cards</i>	1/94	12/94	1/94	12/94	X	X
11	1.2.5 Audit local agencies <i>FDLE conducts FCIC/NCIC audits in local criminal justice agencies</i>	1/92	1/92			X	X
12	1.3.2 Establish ad-hoc committee <i>Form Criminal and Juvenile Justice Information System Council</i>	3/74					X
13	1.4.2 Conduct training for livescan and fingerprinting <i>Conduct livescan FP training</i>	11/95	10/96	11/95			X
14	1.4.9 Conduct training for OBTS <i>Train law enforcement and court clerks in use of OBTS</i>	9/93	9/93			X	X
15	1.4.10 Conduct training for data entry <i>Establish internal computer training laboratory</i>	11/94	10/95			X	
16	1.4.11 Conduct training for law enforcement <i>Train local law enforcement in use of CCH file records</i>	3/93	3/93			X	X X
17	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Acquire missing dispos from 15 largest counties for felony arrests made from 1983-1987</i>	12/90	12/90			X	X X X
18	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Write software program to identify missing dispos</i>	1/94	12/94	1/94	12/94	X	X
19	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Obtain missing dispos required for firearm purchase</i>	1/94	1/94			X	X
20	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Create 'Gap' report to alert potential problems in record numbering sequence</i>	1/94	12/94	1/94	12/94	X	X
21	1.5.3 Upgrade OBTS process <i>Data is submitted by Clerks of Court to OSCA via magnetic tape/disk for verification, then to FDLE for OBTS matching</i>		6/95		6/95	X	X X
22	1.5.3 Upgrade OBTS process <i>Improve CCH records and OBTS data processing</i>	7/92	7/92			X	X
23	1.5.3 Upgrade OBTS process <i>Implement OBTS number</i>	1/85	10/87				X
24	1.5.3 Upgrade OBTS process <i>Conform OBTS to state sentencing reporting requirements</i>	1/94	4/94	1/94	4/94	X	
25	1.5.4 Develop data standards <i>Create and refine data dictionary</i>	1/85	10/87	1/85	10/87		X
26	1.5.4 Develop data standards <i>FDLE creates minimum standards for livescan data</i>	1/94	12/94	1/94	12/94	X	X
27	1.5.8 Revise repository procedures <i>Create Temporary File Report of records-in-process</i>	1/94	12/94	1/94	12/94	X	X
28	1.5.8 Revise repository procedures <i>Compare FP cards at repository to UCR reporting</i>	1/94	12/94			X	X
29	1.5.8 Revise repository procedures <i>FDLE evaluates incoming FP cards</i>	1/94	1/94			X	X
30	3.1.2 Computerize charge code table <i>Publish list of standard charge codes</i>	3/93	6/93	3/93	6/93	X	

Exhibit B-11 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		C R I M	Y R H I C	S T A T E	L O C A L
		F r o m	T o	F r o m	T o				
31	3.1.3 Upgrade digital photography <i>Purchase digital photo imaging equipment</i>	11/95	10/97	11/95	10/97				X
32	3.4.1 Establish electronic connection for transfer of booking data to arraignment <i>Interface county-based booking centers and court's OBTS system</i>		4/94		4/94	X			X
33	4.3.1 Install livescan <i>Purchase ten livescan terminals</i>	11/95	10/97	11/95	10/97			X	
34	4.3.1 Install livescan <i>Pilot test livescan</i>	11/95	10/96	11/95	10/96			X	
35	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Five arresting agencies transmit livescan images directly to AFIS</i>	11/94	10/95	11/94	10/95		X		X
36	5.2.1 Install AFIS <i>Install AFIS</i>	1/89		1/89			X		X
37	5.2.2 Upgrade AFIS <i>Purchase additional AFIS storage capacity</i>	6/93		6/93			X		X
38	5.2.2 Upgrade AFIS <i>Upgrade AFIS and prevent duplication of FP files</i>	11/95	11/96	11/95	11/96			X	
39	5.2.3 Install remote AFIS workstations <i>Purchase additional AFIS workstations</i>	11/95	10/96	11/95				X	
40	5.4.3 Process fingerprint card backlog <i>Process 16k FP card backlog in 5/94</i>	5/94		5/94			X		
41	6.1.3 Upgrade CCH hardware <i>Purchase eight microfilm readers and printers</i>	2/93	10/94	2/93	10/94		X		X
42	6.1.4 Upgrade CCH software <i>Set charge levels from literals for all arrest records in CCH file</i>		1/88		1/88				X
43	6.1.6 Consolidate duplicate records in CCH <i>Consolidate CCH records through FDLE AFIS</i>	12/90		12/90		X	X		X
44	6.2.2 Establish dynamic record flagging system for felonies <i>Flag felons programmatically based on arrest and conviction charges</i>	6/95	6/95	6/95		X	X		X
45	6.4.2 Incorporate civil protection order <i>System collects domestic violence info and provides on-line access to law enforcement</i>	10/91	7/94	10/91					X
46	6.4.2 Incorporate civil protection order <i>Design mechanism to allow statewide access to restraining order info</i>	11/96		11/96				X	
47	6.4.7 Process disposition backlog <i>Process 260k dispo backlog in 5/94</i>		5/94		5/94		X		X
48	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>FBI reciprocates on-line updates to FDLE for individual with unknown national status</i>	1/94	12/94	1/94	12/94		X		X
49	7.1.4 Upgrade message switch communications <i>Overhaul FCIC network, message switch and host computer</i>	1/95	10/97	1/95				X	
50	7.2.1 Sign III compact <i>Become NFF state</i>		4/91		4/91				X
51	9.1.1 Computerize court data <i>Computerize criminal case mgt system</i>		6/95		6/95		X		X
52	10.1.3 Upgrade court information system for disposition purposes <i>OSCA purchases PCs for local judges to access FCIC network to update/inquire about records</i>							X	
53	14.2.5 Upgrade electronic connection between courts and repository <i>FDLE connects court clerks to FCIC to update and inquire about records</i>							X	
54	15.1.2 Install firearm check terminals at gun dealers <i>Pilot test on-line access by firearm dealers and applicant</i>	11/95	10/96	11/95	10/96			X	
55	15.1.4 Provide for direct access to firearm check information <i>Create Firearm Purchase Program</i>			2/91					X
56	16.1.1 Establish center for processing employment background checks <i>Automate criminal record check system by having customers submit record check requests on diskette or via modem</i>		5/92		5/92				X
57	17.1.1 Establish access to mental health records <i>Design mechanism to allow statewide access to mental health info</i>	11/96		11/96				X	

Exhibit B-12 Georgia

Background Characteristics

State Population (thousands)?	7,353	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	1,922	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$8.7	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		F	N	S	L
		F	T	F	T	C	H	R	I
		o	o	r	o	H	r	H	I
		m	m	m	m	I	e	P	e
1	3.1.1 Computerize booking data <i>Install remote booking station</i>	11/96	5/97	11/96	5/97			X	
2	4.3.1 Install livescan <i>Install 8 livescan and one deadscan device</i>								X
3	4.3.1 Install livescan <i>Install remote livescan workstations</i>	11/96	5/97	11/96			X	X	
4	5.2.2 Upgrade AFIS <i>Upgrade AFIS to handle remote site input of FP images</i>	7/95	10/96	5/96	5/97			X	
5	5.2.3 Install remote AFIS workstations <i>Purchase remote AFIS workstations for Dougherty and Atlanta</i>		7/95		7/95				X
6	5.4.3 Process fingerprint card backlog <i>Process 320k FP backlog in 1990</i>	10/90	9/91	10/90	10/91	X	X		
7	6.4.2 Incorporate civil protection order <i>Allow statewide access to restraining order info</i>	11/96		11/96				X	
8	6.4.7 Process disposition backlog <i>Process 550k dispo backlog in 1990</i>	10/90	9/91	10/90	10/91	X	X		
9	9.1.1 Computerize court data <i>Install case mgt software in superior courts in two judicial circuits</i>	10/91	9/93	10/91	10/93	X	X		X
10	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Begin implementation of electronic court-repository interface for dispo reporting</i>	10/91	9/93	10/91	10/93	X	X	X	X
11	17.1.1 Establish access to mental health records <i>Design mechanism to allow statewide access to mental health info</i>	11/96	2/97	11/96	2/97			X	

Exhibit B-13 Guam

Background Characteristics

State Population (thousands)?	133	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	12	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$0.6	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	No	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	N	S	L
		r	r	C	H	H	C
		T	T	R	n	I	t
		m	o	I	e	P	e
1	1.3.3 Hire staff <i>Hire system integrator to implement system</i>		10/97			X	
2	1.4.6 Conduct multi-agency state-wide training <i>Conduct training and provide seminars</i>					X	
3	1.4.11 Conduct training for law enforcement <i>Provide law enforcement training in PMIS reporting</i>						X
4	1.7.2 Upgrade in-state communications <i>Install government-owned communication infrastructure</i>		10/97			X	
5	3.1.1 Computerize booking data <i>Establish PMIS</i>					X	
6	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Upgrade hardware for PMIS and CCH integration</i>					X	
7	5.2.1 Install AFIS <i>Install AFIS</i>						
8	6.1.2 Computerize criminal history records <i>Install CCH</i>					X	
9	6.1.2 Computerize criminal history records <i>Automate criminal history records</i>		10/97			X	
10	6.1.4 Upgrade CCH software <i>Integrate firearm registration system with CCH</i>					X	
11	6.2.3 Establish record flags for specific disqualifying crimes <i>Flag records involving child abuse</i>					X	
12	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Interface CCH and NIBRS</i>					X	
13	7.1.4 Upgrade message switch communications <i>Become III participant by providing NCIC link with CCH</i>					X	
14	9.1.1 Computerize court data <i>Implement Judicial Mgt Info Sys</i>		10/97				
15	10.1.1 Computerize disposition data <i>Automate court dispo data</i>					X	X

Exhibit B-14 Hawaii

Background Characteristics

State Population (thousands)?	1,184	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	360	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$3.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/99	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources				
		Planned		Actual		F	B	N	S	L
		F	T	F	T	C	H	R	I	A
		m	o	m	o	I	e	P	e	I
1	1.1.3 Study and/or plan for disposition reporting process <i>Analyze delinquent dispo problem</i>	1/90	1/91	10/89	12/90					X
2	1.1.6 Study CCH system and/or interfaces thereto <i>Develop long-range strategic plan for OBTS/CCH</i>	1/90	6/90	1/90	6/90					X
3	1.2.1 Audit criminal history data quality <i>Conduct baseline data quality audit</i>	11/91	8/92	7/91	8/92	X				
4	1.2.2 Conduct legislative audit <i>Produce legislative auditors report</i>		2/89		2/89					X
5	1.5.3 Upgrade OBTS process <i>Prepare requirements and design alternatives for OBTS redesign</i>	10/92	10/93	10/92	10/93		X			X
6	1.5.3 Upgrade OBTS process <i>Commence technical design and prototype development for OBTS/CCH redesign</i>	6/94	6/95	6/94	6/95		X			X
7	1.7.2 Upgrade in-state communications <i>Upgrade communication network</i>	11/96	6/98	11/96			X	X	X	
8	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Establish on-line booking interface with Honolulu PD</i>	6/90	6/91	7/90	11/90					X
9	5.2.1 Install AFIS <i>Implement AFIS statewide</i>		8/90		8/90					X
10	6.1.3 Upgrade CCH hardware <i>Develop/implement core OBTS/CCH system</i>	8/98	9/99						X	
11	6.1.3 Upgrade CCH hardware <i>Purchase hardware and begin migration to client/server for OBTS/CCH redesign</i>	11/96	6/98	11/96			X	X	X	
12	6.1.4 Upgrade CCH software <i>Allow non-sequential data entry</i>	1/90	1/91	1/90	1/91					X
13	6.2.1 Establish record flags for felony <i>Set felony flags</i>	11/91	10/92	9/91	11/91	X				
14	6.4.2 Incorporate civil protection order <i>Develop/implement Temporary Restraining Order (TRO) /Warrants system</i>	6/98	3/99						X	
15	6.4.7 Process disposition backlog <i>Locate and enter over 50k unreported dispos</i>	10/90	6/93	10/90	8/92	X	X			X
16	6.6.2 Computerize INS reporting <i>Generate INS monthly report on convicted offenders</i>	10/92	10/93	1/95	2/95		X			X
17	7.1.5 Upgrade III software <i>Integrate III in OBTS/CCH system</i>	1/96	12/99						X	
18	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Post data from Honolulu prosecutor</i>	1/90	1/91							X
19	14.2.1 Establish bi-directional electronic connection between repository and courts <i>Create bi-directional link between repository and circuit courts to enable record linkage</i>	11/91	10/92	1/91	10/92	X				
20	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Install rural court batch interface</i>	11/91	10/92	11/91	10/92	X				
21	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Install TRAVIS batch interface for criminal traffic offenses</i>	1/90	1/91	1/90	1/91					X
22	16.1.2 Provide users with direct access to employment background check information <i>Give authorized non-criminal justice agencies access to OBTS/CCH</i>									X

Exhibit B-16 Illinois

Background Characteristics

State Population (thousands)?	11,847	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	3,043	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	93.4%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$15.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	8/97	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		o	T	o	T	R	H r H a c
		m	o	m	o	I	e P e l
1	1.1.11 Study and/or plan for system-wide issues <i>ICJIA develops infrastructure master plan</i>	10/92	9/93			X	
2	1.2.1 Audit criminal history data quality <i>Conduct second large-scale audit</i>	1/97	12/97				X
3	1.2.1 Audit criminal history data quality <i>Perform 1st CJIA audit</i>	10/91	9/94	8/93	8/95	X	
4	1.2.4 Audit missing dispositions <i>Audit missing dispo</i>		12/96				X
5	1.3.2 Establish ad-hoc committee <i>Convene multi-agency task force to study dispo reporting problem</i>	8/91		8/91		X	X
6	1.4.5 Conduct training for CCH <i>Publish and distribute CCH manual</i>		9/95	7/93	4/96	X	
7	1.4.6 Conduct multi-agency state-wide training <i>State Police hold county workshops</i>	10/91	9/94	7/93		X	
8	1.7.2 Upgrade in-state communications <i>Install front end processor for State's Law Enforcement Arrest/Dispo Sys (LEADS)</i>			5/97			X
9	1.7.2 Upgrade in-state communications <i>Upgrade network which services LEADS and the criminal history records system</i>			5/97			X
10	4.3.1 Install livescan <i>Install livescan in 6th district, Cook, Winnebago, and Peoria counties</i>	10/91		7/94	9/96	X	
11	4.3.1 Install livescan <i>Purchase ten livescan workstations</i>		12/96	4/96		X	X
12	4.3.1 Install livescan <i>Install livescan in prisons</i>	6/95	6/96	1/96		X	
13	4.3.2 Upgrade livescan <i>Upgrade livescan in all Chicago PD booking facilities</i>		4/94	1/96		X	X
14	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Interface AFIS and livescan (NATMS)</i>		12/98	5/97			X
15	5.2.1 Install AFIS <i>Install new AFIS</i>		12/98	5/97			X
16	5.2.2 Upgrade AFIS <i>Upgrade AFIS with improved processing capability</i>		4/95	5/97			X
17	5.3.1 Automatically link fingerprint card data to criminal history record <i>Interface Chicago PD livescan with CCH process control files</i>		12/91		12/91		X
18	5.4.3 Process fingerprint card backlog <i>Eliminate FP card backlog</i>	8/91	9/95	4/94	6/96	X	X
19	6.1.4 Upgrade CCH software <i>Clean up/convert CHRI database for new design</i>			5/97			X
20	6.1.4 Upgrade CCH software <i>Design new CCH</i>		12/98	5/97			X
21	6.2.2 Establish dynamic record flagging system for felonies <i>Develop program to automatically flag felons</i>	8/91	11/94	8/91	11/93	X	
22	6.4.2 Incorporate civil protection order <i>Develop/implement protective order/restraining file</i>			11/96			X
23	6.4.7 Process disposition backlog <i>Eliminate 140k dispo backlog</i>	8/91	9/95	8/91	9/96	X	X
24	7.1.5 Upgrade III software <i>Become III participant by making necessary software modifications</i>		8/93	8/91	8/93	X	
25	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>ISP accepts on-line dispo reporting from circuit court clerks</i>	10/92	6/96	5/95	6/96	X	
26	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Enable on-line court dispo reporting for 80% of all dispos</i>		12/96	5/96			X
27	17.1.1 Establish access to mental health records <i>Design mechanism to allow statewide access to mental health info</i>	11/96		11/96			X
28	17.1.2 Establish access to drug abuse records <i>Design mechanism to allow statewide access to drug abuse info</i>	11/96		11/96			X
29	18.1.1 Establish access to illegal alien information from INS <i>Design mechanism to allow statewide access to illegal alien info</i>	11/96					X

Exhibit B-17 Indiana

Background Characteristics

State Population (thousands)?	5,841	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	850	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	94.1%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$7.8	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	6/95	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		F	N	S	L
		F	T	F	T	C	H	R	I
		m	o	m	o	R	n	I	e
						I	e	P	e
1	1.1.6 Study CCH system and/or interfaces thereto <i>Design central repository upgrade</i>	11/94	11/95	11/94	11/95			X	
2	1.2.1 Audit criminal history data quality <i>Conduct baseline audit and needs assessment</i>	4/92	9/93	4/92	9/93	X	X		
3	3.1.1 Computerize booking data <i>Develop system for collecting arrest data</i>							X	
4	4.3.1 Install livescan <i>Purchase 17 livescan systems</i>	6/98	12/98						X
5	5.2.1 Install AFIS <i>Replace AFIS at state police</i>	9/96	12/98	9/97					X
6	5.4.3 Process fingerprint card backlog <i>Reduce FP backlog to 9.8k</i>	4/92	9/93	4/92	9/93	X	X		
7	6.1.3 Upgrade CCH hardware <i>Upgrade hardware to transition CCH to UNIX client/server architecture</i>	10/95	9/96	9/96	7/97		X	X	
8	6.1.4 Upgrade CCH software <i>Upgrade software to transition CCH to UNIX client/server architecture</i>	10/95	12/98	9/96	7/97		X	X	
9	6.2.3 Establish record flags for specific disqualifying crimes <i>Flag persons convicted of domestic violence misdemeanors and sex offenses</i>	9/96	7/98	9/96					X
10	6.3.1 Establish local NIBRS <i>Implement NIBRS for local law enforcement</i>								X
11	6.3.2 Establish state NIBRS <i>Design and implement NIBRS central repository</i>					X	X		
12	6.4.2 Incorporate civil protection order <i>Include protective orders in criminal history record system</i>		5/98						X
13	8.1.1 Computerize prosecution data <i>Build statewide prosecution case mgt and data collection sys</i>							X	X

Exhibit B-18 Iowa

Background Characteristics

State Population (thousands)?	2,852	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	363	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	91.3%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.8	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	7/95	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources						
		Planned		Actual		F	F	C	B	N	S	L
		o	T	o	T	R	H	I	y	r	C	t
		m	o	m	o	I	e	e	C	H	a	o
1	1.1.8 Study user needs <i>Dept of Human Rights surveys criminal history info users</i>	9/91	4/94	9/91	10/91	X						
2	1.2.1 Audit criminal history data quality <i>Audit repository</i>	11/97	3/98	11/97			X			X		
3	1.2.1 Audit criminal history data quality <i>Dept of Human Rights audits criminal history reporting system</i>	7/93	4/94	7/95	9/96	X						
4	1.2.1 Audit criminal history data quality <i>FBI performs audit in 1995</i>	9/94	9/94	9/95	9/95							
5	1.3.2 Establish ad-hoc committee <i>Form ad hoc committee on records improvement</i>	1/91	6/95	1/91							X	
6	1.3.3 Hire staff <i>Hire two computer programmers</i>	1/92		1/92			X			X		
7	1.3.3 Hire staff <i>Hire one FP technician and two data entry operators</i>	1/96		1/96					X			
8	1.3.3 Hire staff <i>Hire three data entry operators and one FP technician</i>	7/93		7/93			X			X		
9	1.4.6 Conduct multi-agency state-wide training <i>Two DCI special agents provide training</i>	1/92	7/98	1/92			X					
10	1.4.6 Conduct multi-agency state-wide training <i>Conduct 15 regional training sessions</i>	10/93	6/95	10/93	11/93						X	
11	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Local agencies assist in retrieving unobtained dispos</i>	1/94	12/94	1/93			X			X		
12	1.6.1 Specify reporting requirements for arrests <i>Enact new reporting laws subsequent to audit</i>	12/92	4/94	1/94	4/94						X	
13	1.6.2 Specify reporting requirements for dispositions <i>Mandate that county attorneys receive and forward dispos to clerk of court and eventually to repository</i>	1/94	6/95	1/94	4/94						X	
14	4.1.1 Preprint ACN on fingerprint card <i>Include pre-printed ACN on dispo forms</i>	1/93	4/94	1/93		X	X				X	
15	4.3.1 Install livescan <i>Install livescan in Linn and Scott counties</i>	3/98	4/98						X	X	X	
16	5.1.1 Create procedure to make repository single source <i>Require new AFIS and staff in order to become single-source state</i>	1/96	12/96	1/91	1/97		X	X	X	X		
17	5.2.2 Upgrade AFIS <i>AFIS undergoes partial upgrade</i>	1/96	4/98	3/94					X	X	X	
18	5.2.3 Install remote AFIS workstations <i>Purchase one NCIC 2000 latent print terminal</i>	6/95	6/96	6/95	7/96							X
19	5.4.3 Process fingerprint card backlog <i>Process 25 day FP backlog in 1995</i>	1/95	12/95	1/96	5/97		X	X	X			
20	5.4.5 Purge fingerprint cards that no longer meet requirements for storage <i>Purge juvenile case histories if there is no contact with law enforcement between 18 and 21</i>	7/98									X	
21	6.1.3 Upgrade CCH hardware <i>Expand number of servers on ORACLE database mgt system</i>	6/98	11/98						X	X		
22	6.2.1 Establish record flags for felony <i>Flag felons</i>	7/93	3/94	1/93		X	X	X	X			
23	6.4.7 Process disposition backlog <i>Four temporary personnel process 80k dispo backlog</i>	1/94	4/94	5/95	6/95		X	X	X			
24	7.1.4 Upgrade message switch communications <i>Purchase hardware and software for message switcher linking on-line booking and IPS</i>	7/98	7/99						X			
25	9.2.3 Establish electronic connection between courts and corrections <i>Enable electronic transfer of admission info from courts to corrections</i>	4/94		4/94			X	X	X			
26	14.2.1 Establish bi-directional electronic connection between repository and courts <i>Create bi-directional link between courts and repository</i>	4/94	5/95	7/96		X	X			X		
27	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Enable electronic transfer of inmate admissions and releases to repository</i>		4/94			X	X					

Exhibit B-19 Kansas

Background Characteristics

State Population (thousands)?	2,572	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	748	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	41.1%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	1/98	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame			Funding Sources				
		Planned	Actual		F	N	S	L	
		F	F		C	B	N	S	L
		r	r		H	y	C	t	o
		o	o	T	R	n	H	a	c
		m	m	o	I	e	P	e	l
1	1.1.11 Study and/or plan for system-wide issues <i>Council directs subcommittee to form CJIS plan</i>	12/94	12/94	7/97					X
2	1.1.11 Study and/or plan for system-wide issues <i>Initiate two studies to formulate plan for statewide info system</i>	9/95	2/96			X			
3	1.1.12 Study and/or plan for firearm issues <i>Study crimes committed with firearms</i>		12/96				X		
4	1.1.13 Study and/or plan for domestic violence issues <i>Study perpetrators and victims of domestic violence</i>		12/96				X		
5	1.1.13 Study and/or plan for domestic violence issues <i>Develop plan to incorporate domestic violence misdemeanors in new KCJIS</i>								
6	1.1.13 Study and/or plan for domestic violence issues <i>Study violence against women trends</i>		12/97				X		
7	1.1.14 Study and/or plan for issues relating to children, the elderly, and/or the disabled <i>Study child and elderly abuse trends</i>		12/97				X		
8	1.3.1 Establish five-percent set-aside task force <i>Form KS Criminal Justice Coordinating Council (CJCC)</i>		12/94	1/94	5/94				
9	1.7.2 Upgrade in-state communications <i>Implement remote access to repository</i>	1/97	12/98				X		
10	3.1.1 Computerize booking data <i>Develop PC-based law enforcement info sys</i>	10/97	12/98	2/98			X		
11	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Assist automated law enforcement agencies to interface with the repository</i>		12/98				X		
12	5.2.2 Upgrade AFIS <i>Upgrade AFIS</i>	12/96	12/97			X		X	
13	5.3.1 Automatically link fingerprint card data to criminal history record <i>Implement CCH and AFIS integration</i>	1/96	1/98					X	
14	6.1.2 Computerize criminal history records <i>Automate manual records</i>	9/92	9/94		X	X		X	
15	7.1.4 Upgrade message switch communications <i>Upgrade general purpose message switching software</i>	1/98	12/98	2/98			X		
16	7.1.4 Upgrade message switch communications <i>Acquire new message switch communications for III participation</i>	1/96	12/96					X	
17	7.1.5 Upgrade III software <i>Interface CCH to State's law enforcement telecommunication system for III participation</i>	9/92	9/94		X		X	X	
18	7.1.5 Upgrade III software <i>Defray expenses necessary for KS to achieve III participation</i>					X	X		
19	8.1.1 Computerize prosecution data <i>Develop PC-based prosecutor case mgt system</i>	10/97	12/98	2/98					
20	10.1.1 Computerize disposition data <i>Develop PC-based court service officer mgt system to transfer dispo info to repository</i>	10/97	12/98	2/98				X	
21	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Install PCs in local prosecutor agencies to implement automated dispo reporting</i>							X	
22	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Install 10 PCs to initiate automated dispo reporting from court service officers</i>							X	
23	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Interface Corrections and CCH</i>	9/92	9/94		X				

Exhibit B-20 Kentucky

Background Characteristics

State Population (thousands)?	3,884	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	644	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$5.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	1/98	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		F	N	S	L
		F	T	F	T	C	R	H	I
		o	m	o	o	H	r	H	I
		m		m		I	e	P	e
1	1.1.5 Study fingerprinting and identification process <i>Review RFP responses and conduct benchmark tests</i>	6/96	12/96	6/96	12/96	X		X	
2	1.1.5 Study fingerprinting and identification process <i>Draft RFP for distribution to prospective vendors</i>	11/95	5/96	11/95	5/96	X		X	
3	1.1.5 Study fingerprinting and identification process <i>Perform needs analysis for AFIS installation</i>	10/95	9/96	10/95	9/96	X			
4	1.1.6 Study CCH system and/or interfaces thereto <i>Procure consultant to conduct study/develop RFP to link AOC Corrections and KSP with updated dispo/offender info</i>	10/97	6/98					X	
5	1.3.3 Hire staff <i>Hire AFIS integrator</i>	10/95	9/96	10/95	9/96	X			
6	4.1.1 Preprint ACN on fingerprint card <i>FP card amendment includes uniform citation number</i>			12/88					X
7	4.3.1 Install livescan <i>Install livescan in Louisville, Lexington and Frankfort State Police</i>	9/97	11/97	9/97	11/97		X		
8	4.3.1 Install livescan <i>Install livescan at each remaining Full Service Jail facility throughout Commonwealth</i>	7/98	6/00						X
9	4.3.1 Install livescan <i>Install livescan at 13 regional sites</i>	6/98	10/98					X	
10	5.2.1 Install AFIS <i>Install AFIS</i>	9/97	11/97	9/97	11/97		X		
11	5.2.2 Upgrade AFIS <i>Upgrade AFIS host to allow additional livescan</i>	12/97	6/99					X	
12	5.2.3 Install remote AFIS workstations <i>Install latent station in Louisville, Lexington and Frankfort State Police</i>	9/97	11/97	9/97	11/97	X			
13	9.1.1 Computerize court data <i>Install SUSTAIN court mgt system in all 120 counties</i>	7/91	6/95			X	X		X
14	9.2.1 Establish electronic connections between/among courts <i>Upgrade AOC info system to link to county systems</i>	7/91	7/92		6/95	X	X		X
15	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Report dispos via mag tape every 90 days</i>			6/95					
16	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>DOC installs LAN to provide ability to access ORION and other offender info</i>	7/96	9/97				X		

Exhibit B-21 Louisiana

Background Characteristics

State Population (thousands)?	4,351	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	1,730	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	50.5%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$5.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/96	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
				H	R	H	A
				I	R	I	C
				E	T	P	O
				I	R	E	L
				E	T	P	O
				I	R	E	L
1	1.1.7 Study data quality <i>Assess data quality</i>	6/93				X	X
2	1.1.11 Study and/or plan for system-wide issues <i>Develop data quality improvement plan</i>	9/91	9/92		X		
3	1.1.11 Study and/or plan for system-wide issues <i>Develop CCJIS Strategic Plan</i>	1/96	12/96			X	
4	1.4.11 Conduct training for law enforcement <i>Train local law enforcement</i>		3/96			X	X
5	1.5.1 Upgrade arrest process procedures <i>Upgrade arrest and dispo reporting process</i>		6/94			X	X
6	1.7.1 Integrate criminal justice agencies county-wide <i>Implement multi-agency LEMIS pilot test</i>						X
7	2.1.1 Access wanted/warrants search via local computer <i>Create Criminal Warrants/Holds Database system</i>						X
8	5.1.1 Create procedure to make repository single source <i>Initiate process for repository to become single source for III participation</i>	2/96				X	X
9	5.2.1 Install AFIS <i>AFIS network becomes operational</i>	2/96				X	X
10	6.1.2 Computerize criminal history records <i>Automate criminal history records</i>	6/94				X	X
11	6.2.1 Establish record flags for felony <i>Flag felons</i>	10/93				X	X
12	6.4.2 Incorporate civil protection order <i>Develop/ implement protective order system which will provide data to repository</i>						X
13	6.4.6 Establish DNA databank <i>Establish DNA databank</i>	12/96				X	X
14	6.4.7 Process disposition backlog <i>Eliminate dispo backlog</i>	12/93				X	X
15	6.4.7 Process disposition backlog <i>Remediate backlog of expungement records</i>						X
16	10.1.1 Computerize disposition data <i>Design/implement automated case dispo reporting system (CMIS)</i>						X
17	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Automate court dispo reporting</i>	6/96				X	X

Exhibit B-22 Maine

Background Characteristics

State Population (thousands)?	1,243	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	350	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	0.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$5.0	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	10/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	N	S	L
				C	B	N	S
				H	r	H	a
				I	e	P	e
				r	o	r	o
				T	o	T	o
				o	I	r	n
				I	e	P	e
				m	o	r	o
1	1.1.7 Study data quality <i>Analyze data quality needs of SBI</i>				X		X
2	1.2.1 Audit criminal history data quality <i>Conduct initial baseline audit of data quality levels and procedures</i>					X	X
3	1.3.2 Establish ad-hoc committee <i>Establish task force on data quality</i>				X		X
4	1.4.2 Conduct training for livescan and fingerprinting <i>Train in the use of cardscan workstations</i>					X	
5	1.5.4 Develop data standards <i>Establish data quality as state priority</i>				X		X
6	4.3.1 Install livescan <i>Install 34 cardscan workstations</i>					X	
7	4.3.1 Install livescan <i>Install 4 livescan workstations</i>					X	
8	5.3.1 Automatically link fingerprint card data to criminal history record <i>Develop interface for electronic data transfer from livescan /cardscan to MNI/CCH</i>					X	
9	5.4.1 Join regional AFIS <i>Enter into tri-state agreement with NH and VT</i>	9/95	1/97			X	
10	6.1.1 Computerize MNI <i>Automate manual records and convert manual soundex</i>				X	X	X
11	6.1.1 Computerize MNI <i>Complete MNI</i>				X		
12	6.1.2 Computerize criminal history records <i>Install CCH</i>				X	X	X
13	6.1.2 Computerize criminal history records <i>Convert existing records</i>					X	
14	6.2.3 Establish record flags for specific disqualifying crimes <i>Add flagging functionality to MNI/CCH for child and domestic abuse and stalking</i>					X	
15	6.4.2 Incorporate civil protection order <i>Develop/implement protective, harassment, and stalking order databases</i>					X	
16	9.1.1 Computerize court data <i>AOC installs computer as central repository for court generated info</i>				X		
17	9.2.1 Establish electronic connections between/among courts <i>Interface district courts and AOC's central computer</i>				X		
18	9.2.1 Establish electronic connections between/among courts <i>AOC upgrades network and impacts 33 district courts</i>						
19	10.1.1 Computerize disposition data <i>Automate District Court case docketing system in order to report dispo electronically</i>						X
20	10.1.3 Upgrade court information system for disposition purposes <i>AOC improves criminal history record system</i>	10/94	6/95		X		X
21	11.1.1 Computerize probation data <i>Automate supervised release programs</i>	1/93				X	
22	12.1.2 Upgrade corrections information system <i>Improve Correctional Mgt Info System</i>	3/94	10/95			X	X
23	14.2.1 Establish bi-directional electronic connection between repository and courts <i>AOC creates criminal justice data interface</i>	8/92	4/94			X	X

Exhibit B-23 Maryland

Background Characteristics

State Population (thousands)?	5,072	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	724	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$7.0	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/97	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
				R	T	R	y C t o
				H	o	I	r H a c
				I	o	e	n I t a
							e P e l
1	1.1.5 Study fingerprinting and identification process <i>Create specifications for RIRS and ID processing interface</i>					X	X
2	1.1.12 Study and/or plan for firearm issues <i>Office of Legislative Audits studies compliance with Brady and NCPA standards</i>	6/95					X
3	1.1.16 Study and/or plan for computerized court information system <i>Steering committee develops conceptual design of warrant system</i>	1/85	3/88				X
4	1.1.16 Study and/or plan for computerized court information system <i>Evaluation committee studies Circuit Court Case Mgt software</i>	10/93	6/94				X
5	1.1.16 Study and/or plan for computerized court information system <i>Pilot study automated circuit court case mgt reporting</i>	6/94	6/95			X	X
6	1.2.1 Audit criminal history data quality <i>Perform on-going annual CJIS audits</i>	1/90					X
7	1.2.1 Audit criminal history data quality <i>Submit final report of independent CJIS audit</i>	1/87	2/90				X
8	1.2.2 Conduct legislative audit <i>Office of Legislative Audits conducts CJIS audit</i>		12/92				X
9	1.2.5 Audit local agencies <i>QAL Team conducts field audits and creates working relationships</i>	9/90		X			
10	1.3.1 Establish five-percent set-aside task force <i>Form Criminal Justice Information Advisory Board</i>	1/90					X
11	1.3.3 Hire staff <i>Fund NCHIP project coordinator</i>						X
12	3.1.4 Upgrade booking system <i>Use barcodes to track forms for juvenile offenders</i>		9/94			X	X
13	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Install on-line Arrest Booking System (ABS) first in three counties and then two more</i>				6/96		X
14	3.5.2 Establish electronic connection for transfer of rap sheet data from repository to law enforcement <i>Implement remote booking project enabling collection/retrieval of criminal history records</i>	9/90	9/95			X	X
15	4.1.1 Preprint ACN on fingerprint card <i>Replace eight character alpha-numeric with 12-digit numeric tracking number</i>	1/91	7/94		5/93	X	X
16	5.2.2 Upgrade AFIS <i>Upgrade livescan thruput of MAFIS</i>	11/98					X
17	5.2.2 Upgrade AFIS <i>Upgrade MAFIS RAID subsystem</i>	6/98	8/98				X
18	5.2.2 Upgrade AFIS <i>Implement MAFIS and upgrade capacity</i>	1/91	12/93				X
19	5.3.1 Automatically link fingerprint card data to criminal history record <i>Install gateway service provider with store-and-forward and demographic data server as AFIS subsystem</i>	12/98				X	
20	6.1.4 Upgrade CCH software <i>Upgrade Ident/Index database from IMS to DB2</i>	6/94	5/95	6/94			X
21	6.1.4 Upgrade CCH software <i>Convert ADR to relational database</i>	1/96	9/96			X	
22	6.3.2 Establish state NIBRS <i>Collect and analyze MIBRS data particularly for crimes involving children, elderly and disabled</i>					X	X
23	6.4.2 Incorporate civil protection order <i>Flag domestic violence and stalking subjects</i>			10/97		X	
24	7.1.5 Upgrade III software <i>Implement computer programs to enable III participation</i>			3/98		X	X
25	9.2.1 Establish electronic connections between/among courts <i>Install frame relay WAN to connect all 24 circuit courts</i>	9/95	8/96				X
26	14.2.5 Upgrade electronic connection between courts and repository <i>Upgrade court data transfer</i>	1/92	7/94			X	

Exhibit B-24 Massachusetts

Background Characteristics

State Population (thousands)?	6,092	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	2,345	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	69.5%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$10.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources						
		Planned	Actual	F	F	B	N	S	L	
				r	r	C	y	C	t	o
				o	o	H	r	H	a	c
				m	m	R	I	n	I	t
						e	P	e		
1	1.1.11 Study and/or plan for system-wide issues <i>Create long-term data quality improvement plan</i>	10/90	10/93			X				
2	1.1.15 Study and/or plan for federal compatibility issues <i>CHSB authorizes third party study to determine III design needs</i>	1/98	4/98					X		
3	1.2.1 Audit criminal history data quality <i>MA Committee on Criminal Justice conducts on-going evaluation and data audits</i>	6/95	9/98					X		
4	1.3.2 Establish ad-hoc committee <i>Establish criminal justice improvement task force</i>	10/90	10/93			X				
5	1.4.11 Conduct training for law enforcement <i>Develop Computer-Based Training (CBT) module for local police</i>								X	
6	1.7.1 Integrate criminal justice agencies county-wide <i>Extend frame relay network to enable DA domestic violence/stalker CJIS data transfer</i>								X	
7	1.7.2 Upgrade in-state communications <i>CJIS data transfer effort creates statewide frame relay network for interagency communication</i>	6/96						X		
8	1.7.2 Upgrade in-state communications <i>State Police improve LAN/WAN information systems</i>							X		
9	1.7.2 Upgrade in-state communications <i>Enhance automation at Executive Office of Public Safety to improve data sharing across state agencies</i>	6/95						X		
10	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Upgrade MBTA equipment to provide electronic transmission of arrest data to repository</i>	6/95						X		
11	4.1.1 Preprint ACN on fingerprint card <i>CHSB introduces Offense Based Tracking Numbers</i>							X	X	
12	4.3.1 Install livescan <i>Purchase livescan units for 2nd through 5th largest local police departments</i>								X	X
13	4.3.1 Install livescan <i>Procure 68 cardscan devices</i>								X	
14	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Implement store-and-forward to handle livescan images</i>	6/95	9/98						X	
15	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Expand CHSB store-and-forward network</i>								X	
16	5.4.3 Process fingerprint card backlog <i>Process 80k FP backlog</i>	10/90	10/93			X				
17	6.1.3 Upgrade CCH hardware <i>Enable LTC/FID imaging and automate entry/retrieval of firearm license data</i>								X	
18	6.1.4 Upgrade CCH software <i>Develop Firearms Records Bureau (FRB) software</i>								X	
19	6.2.2 Establish dynamic record flagging system for felonies <i>Enable FRB/CCH cross-match to identify persons convicted of felony after LTC issue</i>								X	
20	6.2.2 Establish dynamic record flagging system for felonies <i>CHSB develops flagging system to enhance Court Activity Record Information (CARI)</i>	6/95							X	
21	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Create NIBRS/CCH interface</i>	6/95							X	
22	6.4.2 Incorporate civil protection order <i>Create homicide tracking database for State Police</i>	6/95						X		
23	7.1.4 Upgrade message switch communications <i>State Police improve intelligence info systems and develop MNI and integrated message system</i>	6/95						X		
24	7.1.5 Upgrade III software <i>Provide system integration necessary to meet III Interface Specification</i>	5/98	12/98						X	
25	7.1.5 Upgrade III software <i>Enable communication between CJIS mainframe and III server</i>								X	
26	12.1.2 Upgrade corrections information system <i>DOC improves corrections information system infrastructure</i>	6/95						X		
27	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Transmit dispos nightly to repository</i>	10/90				X	X	X		
28	14.3.1 Establish electronic connection for transfer of probation data to repository <i>Submit probation data monthly to repository</i>	10/90	10/93			X				
29	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Repository receives monthly release reports electronically</i>	10/90	10/93			X				
30	14.5.1 Establish electronic connection for transfer of parole data to repository <i>Repository receives monthly parole data electronically</i>	10/90	10/93			X				
31	15.1.4 Provide for direct access to firearmcheck information <i>Establish electronic firearms licensing system</i>								X	

Exhibit B-26 Minnesota

Background Characteristics

State Population (thousands)?	4,658	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	334	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	82.3%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$6.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/96	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources								
		Planned	Actual	F	F	C	B	N	S	L		
				R	T	H	y	r	C	t	o	
				I	o	R	n	H	a	c		
				e	m	I	e	P	e			
1	1.1.2 Study and/or plan for arrest reporting process <i>Data model recommends recodifying criminal code</i>	1/95									X	
2	1.1.5 Study fingerprinting and identification process <i>Task force recommends livescan terminal purchase</i>		6/99	7/97					X	X		
3	1.1.5 Study fingerprinting and identification process <i>1994 legislature mandates FP study</i>	1/94	2/96		1/96	X					X	
4	1.1.6 Study CCH system and/or interfaces thereto <i>Task force report recommends cross-checking sex offender registry and CCH files</i>	1/95									X	
5	1.1.6 Study CCH system and/or interfaces thereto <i>Study feasibility of developing central system for tracking DWI offenses</i>	1/95		11/95	5/96						X	
6	1.1.11 Study and/or plan for system-wide issues <i>Create community data model</i>	1/92	1/94	4/94	6/95	X					X	
7	1.1.11 Study and/or plan for system-wide issues <i>Study feasibility of using fax and internet to disseminate crime info to public</i>	1/95	10/96								X	
8	1.1.12 Study and/or plan for firearm issues <i>Collect and study weapons and crime info</i>	1/95						X			X	
9	1.2.1 Audit criminal history data quality <i>Audit serves as "wake-up" call to legislature regarding incomplete records</i>	8/91	4/92	8/91	4/92	X					X	
10	1.3.1 Establish five-percent set-aside task force <i>Convene multi-agency task force</i>				1/95			X			X	
11	1.3.2 Establish ad-hoc committee <i>Establish Criminal and Juvenile Justice Information Policy Group</i>	1/92	1/93	5/93							X	
12	1.4.5 Conduct training for CCH <i>Publish CCH manual</i>	8/92	8/94		3/95	X					X	
13	1.4.6 Conduct multi-agency state-wide training <i>Develop and staff coordinated training program</i>	8/92		6/93	12/93	X					X	
14	1.5.1 Upgrade arrest process procedures <i>Improve use of offense codes</i>	1/95						X			X	
15	1.6.7 Legislate criminal history record keeping systems <i>Legislate collection of race and ethnicity data</i>	1/95									X	
16	1.6.10 Legislate gun purchase waiting period for juveniles <i>Legislate gun purchase waiting period for juveniles</i>	1/94	8/95		5/95						X	
17	1.7.2 Upgrade in-state communications <i>Move network from SNA/SDLC protocol to MNET communication standards</i>	1/95		1/95				X			X	
18	2.1.1 Access wanted/warrants search via local computer <i>Require counties to report outstanding warrants</i>			1/96							X	X
19	3.1.3 Upgrade digital photography <i>Implement electronic transfer of photo images</i>	1/95	1/96	6/95							X	
20	4.3.1 Install livescan <i>Purchase livescan workstations</i>	1/93	6/99	7/97					X	X	X	
21	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Purchase store-and-forward to receive and process livescan cards</i>	1/96	12/97	1/96	2/98	X	X	X				
22	5.2.2 Upgrade AFIS <i>AFIS undergoes enhancements</i>		1/92		7/97	X	X	X				
23	5.3.1 Automatically link fingerprint card data to criminal history record <i>Interface AFIS and CCH</i>	8/91	12/97	1/96		X	X	X				
24	5.4.3 Process fingerprint card backlog <i>Expand staff and hours for processing FPs</i>	1/93	12/93	6/93	12/93	X					X	
25	6.2.1 Establish record flags for felony <i>Set felony flags</i>	8/91	8/92	8/93	1/94	X						
26	6.3.5 Upgrade NIBRS hardware <i>Upgrade to meet NIBRS standard</i>	1/95									X	
27	6.4.1 Create juvenile database <i>Develop repository for juvenile records</i>	1/93	12/97	1/93	1/98	X	X	X				
28	6.4.2 Incorporate civil protection order <i>Allow statewide access to restraining order info</i>	11/96	2/98	5/95	2/98			X	X			
29	6.4.5 Create gang index <i>Develop violent offender/gang index</i>	1/95	10/97	7/97	2/98						X	
30	6.4.7 Process disposition backlog <i>Hire new staff to enter dispos and prevent future backlogs</i>	8/91	8/92	6/93	12/93						X	

Exhibit B-26 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	F	F	F	C	H	C	S
		r	r	r	r	H	r	H	a
		o	o	o	o	R	n	I	t
		m	o	m	o	I	e	P	e
31	6.4.7 Process disposition backlog <i>Process 110k dispo backlog</i>	8/91	8/92	6/93	12/93	X			X
32	6.4.10 Include misdemeanors in criminal histories <i>Add certain misdemeanors to CCH, including domestic assault</i>	1/93	6/99	1/93					
33	6.4.11 Create file of supervised offenders <i>Create file of supervised offenders</i>	1/95		7/97					X
34	6.6.2 Computerize INS reporting <i>Computerize reporting of arrested aliens to INS</i>		8/94	12/93	6/94		X		
35	8.1.1 Computerize prosecution data <i>Develop state-wide prosecutor case management tool</i>	1/95							X
36	10.1.3 Upgrade court information system for disposition purposes <i>Re-engineer sentence form</i>	1/95		1/95					X
37	12.1.1 Computerize corrections data <i>Bring Ramsey, Northeast Regional, Hennepin, HC and RC workhouse jails on-line</i>	1/95							X
38	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement electronic dispo transfer</i>	8/91	8/94		1/94	X	X		X
39	14.3.1 Establish electronic connection for transfer of probation data to repository <i>Complete programming to enable electronic receipt of probation data for CCH</i>	8/92	8/94		8/94	X	X		X
40	17.1.1 Establish access to mental health records <i>Allow statewide access to mental health info</i>	11/96	1/98	6/96				X	X
41	17.1.2 Establish access to drug abuse records <i>Allow statewide access to drug abuse info</i>	11/96	1/98	6/96				X	X

Exhibit B-27 Mississippi

Background Characteristics

State Population (thousands)?	2,716	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	368	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	7.1%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.7	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources				
		Planned	Actual	F	N	S	L	
		F	F	C	B	N	S	L
		r	r	H	r	H	a	c
		o	o	R	n	I	t	a
		m	m	I	e	P	e	l
		o	o					
1	1.1.11 Study and/or plan for system-wide issues <i>Develop data quality improvement plan</i>				X			
2	1.2.1 Audit criminal history data quality <i>Conduct audit</i>				X			
3	1.3.2 Establish ad-hoc committee <i>Establish NCHIP Steering Committee</i>					X		
4	1.4.6 Conduct multi-agency state-wide training <i>Conduct trainings, seminars and meetings</i>					X		
5	1.7.2 Upgrade in-state communications <i>Update intrastate telecommunication network</i>		1/98	X		X		
6	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Develop on-line booking capacity connected to DPS</i>		12/97			X		
7	5.2.1 Install AFIS <i>Purchase AFIS</i>	12/96	12/96		X		X	
8	6.1.2 Computerize criminal history records <i>Use day-one approach to automate records</i>		12/97			X		
9	6.1.4 Upgrade CCH software <i>Add capability to perform inquiry based on SID, FBI number or name search</i>					X		
10	6.2.3 Establish record flags for specific disqualifying crimes <i>Establish flagged record to identify felony, domestic violence and sex convictions</i>		12/97			X		
11	7.1.4 Upgrade message switch communications <i>Upgrade message switcher to enable III participation</i>		2/98			X		
12	7.1.5 Upgrade III software <i>Acquire store-and-forward controller to electronically share data and enable III participation</i>		11/98	2/98		X		
13	9.1.1 Computerize court data <i>Obtain "off-the-shelf" court case mgt software</i>					X		
14	9.1.2 Upgrade court information system <i>Purchase 40 PCs for courts</i>					X		
15	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Design and implement on-line dispo reporting</i>					X		

Exhibit B-28 Missouri

Background Characteristics

State Population (thousands)?	5,359	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	824	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	79.7%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$7.6	Includes CHRI (all), Byrne 5% (92-98), NCHIP (95-98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/99	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources							
		Planned	Actual	F	F	C	B	N	S	L	
				R	T	H	y	r	C	t	o
				I	o	R	n	H	a	c	
				e		I	e	P	e		
1	1.1.2 Study and/or plan for arrest reporting process <i>SAC conducts analysis of arrest/incident/investigation report</i>		12/92								X
2	1.1.11 Study and/or plan for system-wide issues <i>Study effectiveness of criminal history improvement activities</i>	4/96	10/98	8/96					X		
3	1.2.1 Audit criminal history data quality <i>Conduct internal audit of criminal history record system</i>		12/93		12/93						X
4	1.2.1 Audit criminal history data quality <i>Conduct comprehensive outside audit</i>			12/96	1/98			X			X
5	1.3.3 Hire staff <i>Staff position for enhancing criminal history operations to meet NCHIP requirements</i>										X
6	1.3.3 Hire staff <i>Hire FP Services Coordinator for field training</i>				8/97						X
7	1.4.2 Conduct training for livescan and fingerprinting <i>Conduct statewide FP/CHR training -MSHP and OSCA</i>	5/95	7/95	1/96	3/96			X	X		
8	1.4.3 Conduct training for court information system <i>Train OSCA on dispo submission and tracking procedures</i>	4/95	5/98	10/95	12/95					X	
9	1.4.5 Conduct training for CCH <i>Conduct statewide training on upgraded CHRS</i>	8/97	2/98	1/98					X	X	
10	1.4.6 Conduct multi-agency state-wide training <i>Develop and distribute MO Crime Index and MO Charge Code Manual</i>										X
11	1.4.6 Conduct multi-agency state-wide training <i>Conduct training at local agencies</i>	2/91	7/94	2/91	6/92	X					X
12	1.5.1 Upgrade arrest process procedures <i>Develop standards and procedures regarding offense cycle numbers</i>	1/97	10/97	9/97						X	
13	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Identify dispo backlog</i>	10/96	3/98						X		
14	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Locate offense cycle numbers for 73% of 64k disposed charges</i>	4/96	5/97	11/96						X	
15	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Develop on-going monitoring program</i>	2/91	7/94	6/91	2/94	X					
16	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Develop procedures to identify number of arrests showing final dispo</i>					X					
17	1.5.3 Upgrade OBTS process <i>Upgrade OBTS system</i>	7/92				X					
18	1.5.5 Develop procedure to participate in III or to achieve NFF status <i>Develop procedures to participate in NFF</i>	12/97	10/98							X	
19	1.6.2 Specify reporting requirements for dispositions <i>Legislate mandatory CHRI reporting</i>	11/87									X
20	1.7.1 Integrate criminal justice agencies county-wide <i>Conduct mid-size integration project in Boone Co</i>	7/92	3/96	7/92	3/96			X			X
21	1.7.1 Integrate criminal justice agencies county-wide <i>Install LAN as part of small integration project in Osage Co</i>	7/93	3/96	7/93	3/96			X			X
22	1.7.1 Integrate criminal justice agencies county-wide <i>Install circuits between repository and county seat for electronic collection of events</i>	10/96	1/97						X	X	X
23	1.7.2 Upgrade in-state communications <i>Install tail circuits between large municipalities and county hub to facilitate electronic data transfer</i>	7/97	10/98						X		
24	1.7.2 Upgrade in-state communications <i>Update MSHP/IS-D communication controllers</i>	5/96								X	
25	3.1.4 Upgrade booking system <i>Install PCs in law enforcement agencies</i>	1/96	10/96							X	
26	3.3.1 Establish electronic connection for transfer of booking data to prosecutor <i>MOLEMIS installation enables electronic transfer of info to prosecuting attorneys</i>	7/93						X			X
27	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Install MOLEMIS and interface CCH</i>	7/93						X			X
28	5.2.1 Install AFIS <i>Install AFIS</i>		12/89		12/89						X
29	5.3.1 Automatically link fingerprint card data to criminal history record <i>Develop interface integration programs for MOLEMIS, CHRS, and livescan</i>	4/97	10/98	11/97						X	X
30	5.3.1 Automatically link fingerprint card data to criminal history record <i>Integrate images with upgraded CHRS</i>	5/96	12/96							X	

Exhibit B-28 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	H	R	I
o	m	o	o	R	n	I	t	a	
m				I	e	P	e		
31	5.4.4 Convert manual fingerprint cards to automated system <i>Refile master FP files from Henry classification to SID order</i>			1/91	6/93				X
32	6.1.2 Computerize criminal history records <i>Automate CHRS</i>	11/80			11/82				X
33	6.1.3 Upgrade CCH hardware <i>Increase DASD to accommodate increased record retention on patrol mainframe</i>	4/97	6/97	4/97	6/97				X
34	6.1.3 Upgrade CCH hardware <i>Upgrade MSHP CPU</i>	5/95	1/96		3/96			X	
35	6.1.3 Upgrade CCH hardware <i>Upgrade CCH</i>	2/91	7/94	2/91	7/94	X			
36	6.1.4 Upgrade CCH software <i>Convert CHRS hierarchical database to relational DBMS</i>	5/96	12/96					X	
37	6.1.4 Upgrade CCH software <i>Interface PC and mainframe DBMSs to enable dispo capture</i>	6/96	10/96					X	
38	6.1.4 Upgrade CCH software <i>Upgrade CHRS</i>	4/96	10/96					X	
39	6.2.1 Establish record flags for felony <i>Set felony flags in existing records</i>	2/91	6/94	2/91	6/94	X			
40	6.2.3 Establish record flags for specific disqualifying crimes <i>Flag child abuse, domestic violence, stalking and sex offense records</i>	4/98	9/98					X	
41	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Port MOLEMIS to mainframe and interface NIBRS</i>	1/98	2/98					X	
42	6.4.7 Process disposition backlog <i>Conduct CRID overtime to reduce criminal history backlog</i>				7/97				X
43	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Automate disposition reporting to FBI</i>	7/92	6/94			X			
44	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>MHSP enhances dispo reporting to FBI</i>	9/98	7/99					X	
45	7.1.3 Assume responsibility for additional III records <i>Assume responsibility for 14k additional III records</i>	2/91	6/94		12/92	X			
46	7.1.3 Assume responsibility for additional III records <i>Assume responsibility for an additional 133k records</i>	4/97	10/98					X	
47	7.2.2 Comply with NIST standards <i>Develop necessary software to interface CCH with NFF program and be NIST compliant</i>	6/97	10/98					X	
48	8.1.2 Upgrade prosecutor information system <i>Port MOPICS 2 to mainframe to provide statewide access for prosecuting attorneys</i>	5/96	6/96					X	
49	8.1.2 Upgrade prosecutor information system <i>Install PCs in all prosecution offices</i>	10/96	1/97				X	X	
50	8.1.2 Upgrade prosecutor information system <i>Upgrade MOPICS</i>	2/91	7/94	2/91	7/94	X	X		X
51	8.1.2 Upgrade prosecutor information system <i>Implement MOPICS 2 in another five counties</i>	7/93					X		X
52	9.1.1 Computerize court data <i>Implement state court criminal case mgt system in thirteen counties</i>	1/92					X		X
53	9.1.2 Upgrade court information system <i>Install PCs at Office of State Courts Administrator</i>	5/95	7/95	11/95	1/96			X	
54	9.1.2 Upgrade court information system <i>New court sys interfaces with MULES and facilitates on-line data entry of Orders of Protection</i>	2/98	10/98					X	
55	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Interface prosecutor and CCH</i>	2/91	7/94			X	X		X
56	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Implement MOPICS 2 program to interface with CCH</i>	12/92					X		X
57	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Interface court and CHRS to enable electronic dispo transfer</i>	7/96	12/96					X	
58	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Install communication circuits between MSHP and OSCA to support electronic dispo transfer</i>	9/96	10/96					X	
59	14.4.3 Upgrade electronic connection between corrections and repository <i>DOC improves automated interface to MSHP</i>	7/98	3/99					X	
60	15.1.3 Participate in FIST <i>Develop standards and procedures for FIST</i>	7/96	1/97					X	
61	15.1.4 Provide for direct access to firearm check information <i>Develop and pilot instant check prototype application</i>	7/96	7/97					X	
62	17.1.1 Establish access to mental health records <i>Allow statewide access to mental health info</i>	11/96		11/96				X	X
63	17.1.2 Establish access to drug abuse records <i>Allow statewide access to drug abuse info</i>	11/96		11/96				X	X

Exhibit B-29 Montana

Background Characteristics

State Population (thousands)?	879	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	153	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$3.0	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	5/94	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	R	I	E
		o	m	o	o	r	n	n	t
		10/96	6/97	12/96	6/97	12/96	6/97	10/98	6/97
1	1.1.6 Study CCH system and/or interfaces thereto <i>Conduct C.JIN, CHRS and livescan barcoding analysis and define requirements</i>								X
2	1.1.8 Study user needs <i>Conduct initial user needs assessment</i>							X	
3	1.1.8 Study user needs <i>Conduct detailed user needs assessment</i>	12/96	3/97	1/97	4/97				X
4	1.1.11 Study and/or plan for system-wide issues <i>Conduct evaluations and report research</i>	10/96	6/97	12/96	6/97				X
5	1.1.11 Study and/or plan for system-wide issues <i>Initiate planning of state segment of NICS</i>	6/97	10/98						X
6	1.1.11 Study and/or plan for system-wide issues <i>Maintain SEARCH membership</i>	1/96		1/96					X
7	1.2.1 Audit criminal history data quality <i>Perform audits</i>	1/96	12/98	1/96					X
8	1.3.2 Establish ad-hoc committee <i>Form state level task force</i>	1/96	12/98	1/96					X
9	1.3.2 Establish ad-hoc committee <i>Establish NICS task force</i>	6/96	6/98	6/96					X
10	1.4.6 Conduct multi-agency state-wide training <i>Conduct shared development system training</i>	6/96	10/98	4/97					X
11	1.4.6 Conduct multi-agency state-wide training <i>Conduct training at local agencies</i>	6/96		6/96				X	X
12	1.4.6 Conduct multi-agency state-wide training <i>Conduct training at local agencies</i>					X			
13	1.4.7 Conduct training for NICS <i>Develop NICS training module</i>	10/97	10/98						X
14	1.5.8 Revise repository procedures <i>Develop quality control procedures</i>	10/97	10/98	3/97					X
15	1.6.1 Specify reporting requirements for arrests <i>Enact mandatory reporting legislation</i>							X	
16	1.7.1 Integrate criminal justice agencies county-wide <i>Establish electronic connections among corrections, courts and other agencies</i>	6/96	10/98	1/97					X
17	1.7.2 Upgrade in-state communications <i>Upgrade in-state communications for countywide agency integration</i>	6/96	10/98	1/97					X
18	4.1.1 Preprint ACN on fingerprint card <i>Implement unique tracking number</i>	6/93	7/93	6/93	7/93	X			
19	4.3.1 Install livescan <i>Purchase two livescan units</i>	1/97	1/98	1/97					X
20	5.2.2 Upgrade AFIS <i>Upgrade AFIS to include barcoding</i>	1/97	1/98						X
21	5.4.1 Join regional AFIS <i>Connect to WIN AFIS network</i>		6/92		6/92	X			
22	6.1.4 Upgrade CCH software <i>Modify data collection system</i>	6/98	12/98	12/97					X
23	6.1.4 Upgrade CCH software <i>Implement modifications to criminal history record system</i>	1/96	12/98	6/96					X
24	6.2.1 Establish record flags for felony <i>Set felony flags in existing records</i>							X	
25	6.2.1 Establish record flags for felony <i>Set felony flags</i>	7/97	12/99						X
26	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Initiate statistical/verification linkage between NIBRS and CHRS</i>	6/98	12/99						X
27	6.3.6 Upgrade NIBRS software <i>Implement NIBRS program changes centrally and locally</i>	1/98	12/99						X X
28	6.3.6 Upgrade NIBRS software <i>Upgrade NIBRS to establish record level linkage</i>	1/98	6/99						X
29	15.1.1 Establish call center for answering firearm check queries <i>Establish NICS central state office</i>	10/97	10/98						X
30	15.1.4 Provide for direct access to firearm check information <i>Initiate programming changes relevant to NICS development</i>	10/97	12/98						X

Exhibit B-30 Nebraska

Background Characteristics

State Population (thousands)?	1,652	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	325	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	95.4%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/98	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame			Funding Sources				
		Planned	Actual		F	N	S	L	
		F	F		C	B	N	S	L
		o	o		H	y	C	t	o
		m	m		r	r	H	a	c
					I	e	P	e	l
1	1.1.5 Study fingerprinting and identification process <i>Conduct AFIS feasibility study</i>	1/93	1/93	6/93		X		X	
2	1.1.11 Study and/or plan for system-wide issues <i>Develop data quality improvement plan</i>			1/94	X				
3	1.1.11 Study and/or plan for system-wide issues <i>Develop Criminal Justice Records Improvement Plan</i>		3/92	1/93		X		X	
4	1.1.11 Study and/or plan for system-wide issues <i>Develop statewide criminal justice system architecture</i>		1/96	6/96	1/97			X	
5	1.2.1 Audit criminal history data quality <i>Conduct baseline criminal history audit</i>	4/92		4/92	X				
6	1.3.1 Establish five-percent set-aside task force <i>Establish CJIS advisory committee</i>			12/94		X			
7	1.3.2 Establish ad-hoc committee <i>Establish criminal history improvement project committee</i>	10/92							
8	1.3.4 Expand office space <i>Renovate criminal ID facilities</i>	10/92		4/94	X				
9	1.4.6 Conduct multi-agency state-wide training <i>Conduct state-wide criminal history training</i>	1/93	12/94	1/93	12/94		X		X
10	1.4.6 Conduct multi-agency state-wide training <i>Conduct training at local agencies</i>					X			
11	1.5.8 Revise repository procedures <i>Revise central repository procedures</i>			4/94	X				
12	1.7.1 Integrate criminal justice agencies county-wide <i>Procure and install County Automation Project and Justice System</i>	1/89	12/95	1/89					X
13	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Interface booking facilities and CCH</i>	11/96	12/97					X	
14	4.3.1 Install livescan <i>Purchase ten livescan units at same time as AFIS</i>			12/95					X
15	4.4.1 Establish electronic connection for transfer of fingerprint image to repository printer <i>Install ten high grade facsimiles for FP transmission</i>	5/94		4/94		X			
16	4.4.1 Establish electronic connection for transfer of fingerprint image to repository printer <i>Implement PCH electronic arrest module for data received via livescan</i>	6/96	1/98					X	
17	5.2.1 Install AFIS <i>Purchase AFIS</i>	1/95		12/95		X			
18	6.1.2 Computerize criminal history records <i>Automate manual records</i>	4/93		4/93		X			X
19	6.1.3 Upgrade CCH hardware <i>Design and procure CID/Intelligence Division LAN with 24 PCs</i>			4/93					X
20	6.1.3 Upgrade CCH hardware <i>Upgrade CCH</i>			12/93	3/94	X	X		X
21	6.1.4 Upgrade CCH software <i>Create robust criminal history relational database</i>	12/94		12/93	11/94		X		
22	6.1.4 Upgrade CCH software <i>Change criminal history file to accommodate revised FBI FP card format</i>							X	
23	6.2.3 Establish record flags for specific disqualifying crimes <i>Flag records involving stalking, domestic abuse, elderly and disabled</i>		1/97	6/97				X	
24	6.3.1 Establish local NIBRS <i>Sixteen more counties plan for NIBRS</i>								X
25	6.4.7 Process disposition backlog <i>Eliminate 25k dispo backlog</i>	1/94				X			X
26	6.4.7 Process disposition backlog <i>Process 40k dispo backlog</i>					X			
27	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Automate dispo reporting to FBI</i>			10/95	X				
28	6.6.1 Provide periodic paper reports to INS <i>Transfer records of convicted aliens to INS</i>						X		
29	7.1.4 Upgrade message switch communications <i>Install new telecommunication message switcher</i>	1/95		12/96					
30	7.1.5 Upgrade III software <i>Participate in III</i>	7/96	7/98	11/95				X	

Exhibit B-30 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	H	C	I
				R	R	I	T		
		m	o	m	o	I	e	P	
31	7.2.1 Sign III compact <i>Achieve NFF Status</i>	11/95	4/98	11/95				X	
32	11.1.1 Computerize probation data <i>Design and implement statewide probation mgt info system</i>	8/93	8/98				X		
33	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Interface courts and CCH</i>					X			
34	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Improve arrest/dispo linkage by implementing interface between PCH and Justice</i>	6/97	1/99				X		
35	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Interface district courts to CCH to enable automated dispo reporting</i>						X		
36	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Interface supervisory agencies and CCH</i>					X			
37	14.4.3 Upgrade electronic connection between corrections and repository <i>Interface Department of Correctional Services and CCH</i>					X			
38	14.5.2 Automatically link parole status to criminal history record <i>Implement DOC tracking to facilitate annotation of parole information</i>	4/97	12/98				X	X	
39	15.1.3 Participate in FIST <i>Participate in FIST</i>				2/98	X			
40	15.1.4 Provide for direct access to firearm check information <i>Develop NE Instant Gun Check capabilities</i>	7/96					X		
41	16.1.2 Provide users with direct access to employment background check information <i>Automate non-criminal record check</i>		11/98	5/97			X		

Exhibit B-31 Nevada

Background Characteristics

State Population (thousands)?	1,603	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	246	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$2.7	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/97	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame			Funding Sources				
		Planned	Actual		F	N	S	L	
		F	F		C	B	N	S	L
		r	r		H	y	C	t	o
		m	m		I	r	H	a	c
		o	o		R	n	I	t	a
		T	T		e	P	e	e	l
		o	o						
1	1.1.11 Study and/or plan for system-wide issues <i>NCJIS Implementation Team develops improvement plan</i>	5/94	8/93	9/94	X			X	
2	1.1.12 Study and/or plan for firearm issues <i>Assess CJIS ability to index non-criminal firearm purchase eligibility info</i>	11/96	7/99				X		
3	1.2.1 Audit criminal history data quality <i>Consultant conducts baseline data quality audit</i>	12/93		11/93	X				
4	4.3.1 Install livescan <i>Install livescan in Las Vegas, Henderson and six other locations</i>	6/96	9/96	7/97		X		X	
5	5.4.2 Include civilian fingerprints in file <i>Create civil work card file</i>	7/95	9/99					X	
6	5.4.3 Process fingerprint card backlog <i>Eliminate 43k FP card backlog</i>		8/95	6/95	X				
7	6.1.2 Computerize criminal history records <i>Add non-fingerprint supported history records</i>	7/95	10/98					X	
8	6.1.3 Upgrade CCH hardware <i>Upgrade CCH hardware</i>	7/95	12/98				X		
9	6.1.4 Upgrade CCH software <i>Create statewide missing persons file</i>	10/97	6/99					X	
10	6.1.4 Upgrade CCH software <i>Rewrite CCH as relational database</i>	7/95	10/98				X		
11	6.1.4 Upgrade CCH software <i>Create no-charges-filed utility</i>	7/95	10/98					X	
12	6.1.4 Upgrade CCH software <i>Create warrant/criminal history interface</i>	7/95	7/99					X	
13	6.1.4 Upgrade CCH software <i>Create wrong-subject-booked utility</i>	7/95	10/98					X	
14	6.4.1 Create juvenile database <i>Create juvenile offender file</i>	7/95	10/98					X	
15	6.4.2 Incorporate civil protection order <i>Create child abuse tracking utility</i>	7/95	10/98					X	
16	6.4.2 Incorporate civil protection order <i>Create temp protection order/protective order utility</i>	7/95	4/99					X	
17	6.4.2 Incorporate civil protection order <i>Create pre-trial spousal abuse utility</i>	7/95	10/98					X	
18	6.4.4 Establish sex offender registry <i>Create sexual offender registration utility</i>	7/95	3/99					X	
19	6.4.7 Process disposition backlog <i>Process 30k dispo backlog</i>	10/95	9/96	10/97		X		X	
20	6.4.8 Create concealed weapon file <i>Create carry concealed weapon file</i>	7/95	8/99					X	
21	6.4.9 Create gun denial (Brady) file <i>Initiate private party gun checks</i>	9/97	10/97	10/97				X	
22	6.4.9 Create gun denial (Brady) file <i>Add gun denial file</i>	7/95	9/99					X	
23	6.4.9 Create gun denial (Brady) file <i>Create convicted person registration utility</i>	7/95	9/99					X	
24	6.4.11 Create file of supervised offenders <i>Add prison component to repository</i>	7/95	8/99					X	
25	6.4.11 Create file of supervised offenders <i>Add probation component to repository</i>	7/95	1/97	9/96				X	
26	6.4.11 Create file of supervised offenders <i>Add parole component to repository</i>	7/95	1/97	9/96				X	
27	6.6.2 Computerize INS reporting <i>Create INS reporting mechanism</i>	7/95	10/98					X	
28	7.1.4 Upgrade message switch communications <i>Modify state message switch</i>		6/99		X				
29	7.2.1 Sign III compact <i>Participate in NFF</i>	7/95	1/99					X	
30	15.1.4 Provide for direct access to firearm check information <i>Install point-of-sale firearms program</i>		2/94	2/94				X	
31	16.1.2 Provide users with direct access to employment background check information <i>Provide access to civil users for conviction-only data</i>	7/95	1/97	1/97				X	

Exhibit B-32 New Hampshire

Background Characteristics

State Population (thousands)?	1,162	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	393	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		m	m	o	o	H	r H a c
						I	e P e l
1	1.1.11 Study and/or plan for system-wide issues <i>Develop quality goals for local participation</i>	1/96	1/97				X
2	1.1.11 Study and/or plan for system-wide issues <i>Develop CJIS Master Plan</i>	1/93	2/95			X	
3	1.2.1 Audit criminal history data quality <i>Conduct baseline audit</i>	1/93	11/94			X	
4	1.3.1 Establish five-percent set-aside task force <i>Establish CHRI Task Force</i>	1/93				X	
5	1.4.5 Conduct training for CCH <i>Conduct CJIS training on FPs and tracking numbers</i>	1/96					X
6	1.6.8 Legislate unique ACN <i>Legislation requires use of arrest control number</i>	1/96					
7	3.1.1 Computerize booking data <i>Implement arrest and criminal incident module</i>	1/96	7/97	4/98			X
8	4.3.1 Install livescan <i>Install 25 automated livescan booking stations</i>	1/96	12/98			X	X
9	5.4.1 Join regional AFIS <i>Complete tri-state AFIS installations</i>	1/96	1/97	12/97			X
10	5.4.3 Process fingerprint card backlog <i>Process arrest card backlog</i>					X	X
11	6.1.2 Computerize criminal history records <i>Convert 100k manual records</i>	1/93				X	X
12	6.1.3 Upgrade CCH hardware <i>Upgrade CCH hardware</i>			3/96	9/97	X	X
13	6.1.4 Upgrade CCH software <i>Enhance CCH software</i>	1/96				X	
14	7.1.4 Upgrade message switch communications <i>Upgrade telecommunication message switch</i>	1/93		1/96	10/97		X
15	8.1.1 Computerize prosecution data <i>Implement prosecution, case scheduling and court hearing module</i>	1/96	1/99				X
16	9.1.2 Upgrade court information system <i>Implement bench warrants and restraining order module</i>	1/96	1/99	10/97	2/98		X
17	9.1.2 Upgrade court information system <i>Implement pre-sentence investigation module</i>	1/96	12/98	10/97			X X
18	9.2.3 Establish electronic connection between courts and corrections <i>Implement dispo and sentencing module to enable data transfer to DOC</i>	1/96	5/98			X	
19	10.1.1 Computerize disposition data <i>Computerize dispo data and begin dispo and sentencing module implementation</i>	1/96	5/98				X X
20	11.1.1 Computerize probation data <i>Computerize probation data and implement incarceration, probation, and parole module</i>	1/96	12/98	10/97			X
21	12.1.1 Computerize corrections data <i>Computerize corrections data and implement incarceration, probation, and parole module</i>	1/96	12/98				X
22	13.1.1 Computerize parole data <i>Computerize parole data and implement incarceration, probation, and parole module</i>	1/96	12/98				X
23	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement dispo and sentencing module to enable electronic dispo data transfer to repository</i>	1/96	5/98				X
24	15.1.4 Provide for direct access to firearm check information <i>NH implements Instant Check system</i>		1/95	1/95			

Exhibit B-33 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	H	R	I
		r	o	r	o	R	n	I	t
		m	m	m	m	I	e	P	e
31	12.1.2 Upgrade corrections information system <i>Develop quick inquiry screen to ease queries to CCIS</i>	1/96	6/96	1/96	6/96				X
32	12.1.2 Upgrade corrections information system <i>Enhance CCIS to allow inmate classification</i>	5/96	12/96	5/96					X
33	12.1.2 Upgrade corrections information system <i>Upgrade CCIS to run on AOC mainframe</i>	1/89	12/89	1/89	12/89				X
34	12.1.2 Upgrade corrections information system <i>Complete CCIS-Objective Classification by fingerprinting county inmates where required</i>	9/97							X X
35	12.1.2 Upgrade corrections information system <i>Interface CCIS statewide system to local jail systems</i>	5/97	2/98	5/97					X
36	12.2.1 Establish electronic connection between corrections and parole <i>DOC notifies Parole of state prisoner status change via CCIS</i>	8/98	11/98						X
37	14.2.4 Automatically link court dispositions to criminal history record via ACN/CCNs <i>Interface between Promis/Gavel and CCH facilitates linking dispo to arrest</i>	1/92	1/94	1/92	1/94	X			
38	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Enhance CCIS to electronically report dispo to CCH</i>	1/97	10/97	1/97					X
39	14.4.2 Automatically link corrections status to criminal history record <i>CCH and OBCIS interface ensures link between offender's record on both systems</i>	1/92	1/93	1/92	1/93	X			
40	15.1.4 Provide for direct access to firearm check information <i>Design and test biometric smart card firearm purchaser system</i>	11/96		11/96					X

Exhibit B-34 New Mexico

Background Characteristics

State Population (thousands)?	1,713	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	310	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$5.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		o	m	T	R	H	r H a c
		m	o	o	I	n	I t a
						P	e l
1	1.1.11 Study and/or plan for system-wide issues <i>Interagency Information Exchange forms users group</i>						X
2	1.1.17 Study and/or plan for juvenile issues <i>Conduct analysis regarding conversion of juvenile records</i>						X
3	1.2.1 Audit criminal history data quality <i>Conduct audit of central repository</i>	9/91	9/94	9/94	X		
4	1.3.3 Hire staff <i>Hire NCHIP program manager</i>	1/96					X
5	1.4.1 Conduct training for arrest process <i>Train law enforcement in use of tracking number</i>	4/96	6/96			X	X X
6	1.4.3 Conduct training for court information system <i>Train seven sites in use of new court system</i>	1/96				X	X
7	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Collect paper dispo from courts</i>	3/95					X
8	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Process dispo backlog</i>	1/95					X
9	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Collect paper dispo from District Attorneys</i>	1/96					X
10	1.6.1 Specify reporting requirements for arrests <i>Legislate improved manual FP card submission to DPS</i>	1/95				X	X
11	1.7.1 Integrate criminal justice agencies county-wide <i>Acquire hardware and software for interagency access</i>						X
12	1.7.2 Upgrade in-state communications <i>Install communication lines to eight regional computer servers at State Police</i>	3/94		12/96		X	X
13	3.1.4 Upgrade booking system <i>Convert to bar coding for agencies not using Livescan for State Tracking Numbers</i>						X
14	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Interface Albuquerque Police and CCH</i>	1/95		6/96		X	X
15	4.1.1 Preprint ACN on fingerprint card <i>Implement tracking number (STN) at time of arrest</i>	4/96		4/96		X	X
16	4.3.1 Install livescan <i>Install livescan in six selected sites</i>	1/97		1/98			X
17	4.3.2 Upgrade livescan <i>Buy 9 signature upgrades for livescans to capture subject's signature and link to arrest</i>						X
18	5.2.2 Upgrade AFIS <i>Purchase resident AFIS equipment</i>			1/95			X
19	5.2.2 Upgrade AFIS <i>Upgrade AFIS</i>	9/91	12/98		X	X	X
20	5.2.3 Install remote AFIS workstations <i>Purchase AFIS workstation</i>		12/98				X
21	6.1.2 Computerize criminal history records <i>DPS hires four personnel to create and update CCH records</i>	1/95		1/95		X	X X
22	6.1.2 Computerize criminal history records <i>Automate felony arrests for last five years</i>			3/94			X X
23	6.1.2 Computerize criminal history records <i>Install CCH</i>	9/91	3/94	3/94	X	X	X
24	6.1.2 Computerize criminal history records <i>Enter arrests of repeat offenders in CCH</i>			3/94			X X
25	6.1.2 Computerize criminal history records <i>Create CCH by posting data from merged external databases, not by converting records</i>	9/91	9/94	6/93	3/94	X	
26	6.1.3 Upgrade CCH hardware <i>Upgrade storage capacity on CJIS/CCH system</i>						X
27	6.2.1 Establish record flags for felony <i>Flag felony convictions</i>			3/94			X X
28	6.2.3 Establish record flags for specific disqualifying crimes <i>Upgrade records accessibility for pre-employment checks</i>			1/97			X
29	7.1.1 Synchronize records <i>Consolidate arrest records with updated FBI rap sheets</i>						X
30	7.1.4 Upgrade message switch communications <i>Purchase message routing computer and software</i>	4/96	10/98	4/96			X

Exhibit B-34 (page 2 of 2)

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	B	N	S	L
		F	F	C	C	C	C
		r	r	H	r	H	a
		o	o	R	n	I	t
		m	m	I	e	P	e
31	8.1.2 Upgrade prosecutor information system <i>Update 60k case files with dispo info at DA's office in preparation for transfer to CCH</i>	1/95	12/96		X		X
32	8.1.2 Upgrade prosecutor information system <i>DA purchases hardware and updates case info for last five years</i>	9/96	12/96			X	
33	9.1.1 Computerize court data <i>Purchase hardware and automate case info generated by courts</i>	1/96			X		X
34	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Interface prosecutor and CCH</i>	9/91	9/94	X			X
35	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Integrate AODA and DPS systems that electronically download dispo info</i>					X	
36	14.1.3 Upgrade electronic connection between prosecution and repository <i>Upgrade electronic transfer of DA data to CCH</i>	1/97	12/97			X	

Exhibit B-35 New York

Background Characteristics

State Population (thousands)?	18,185	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	4,564	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	99.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$24.4	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	6/95	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		o	T	o	T	R	H r H a c
		m	o	m	o	I	e P e l
1	1.1.3 Study and/or plan for disposition reporting process <i>Develop specs for dispo submission via floppy</i>	1/92	4/95	4/95		X	
2	1.1.6 Study CCH system and/or interfaces thereto <i>Document CCH problems</i>	3/92	4/94	3/92	4/94	X	
3	1.1.11 Study and/or plan for system-wide issues <i>Data sharing group creates matrix for NYC data sharing</i>	4/93	9/94	4/93	9/94		X
4	1.1.11 Study and/or plan for system-wide issues <i>DCJS performs comprehensive assessment of criminal history system</i>	10/92	8/94	10/92	8/94		X
5	1.1.13 Study and/or plan for domestic violence issues <i>Conduct interstate conference on domestic violence registry</i>	11/96		11/97			X
6	1.2.1 Audit criminal history data quality <i>Compare UCR and CCH arrest records</i>	1/92	3/96				X
7	1.2.1 Audit criminal history data quality <i>Two defender agencies analyze defendant rap sheets and report inaccuracies</i>	7/94	1/97	7/94	1/97		X
8	1.3.2 Establish ad-hoc committee <i>Form OCA Criminal Disposition Reporting Committee to study reporting</i>	6/94	7/95		7/95		X
9	1.3.2 Establish ad-hoc committee <i>Form OCA Judicial/Agency committee</i>	4/93		4/93			X
10	1.3.3 Hire staff <i>Hire programmer to identify corrupted records</i>	9/94	5/95	9/94	5/95	X	
11	1.4.6 Conduct multi-agency state-wide training <i>Conduct user training in criminal justice system</i>	4/93					X
12	1.5.4 Develop data standards <i>Update Statewide Criminal Justice Data Dictionary</i>	1/90					X
13	1.5.8 Revise repository procedures <i>Develop criminal history standards and practices</i>	5/96					X
14	1.7.1 Integrate criminal justice agencies county-wide <i>Local criminal justice agency users correct CCH records on-line via CRIMNET</i>	10/93	2/97	10/94			X
15	3.1.4 Upgrade booking system <i>Add domestic violence module to SPECTRUM Justice System consistent with FBI requirements</i>	9/97	9/99				X
16	3.1.4 Upgrade booking system <i>Upgrade equipment in law enforcement agencies using SPECTRUM (SJS)</i>	6/97	6/98	6/97			X
17	3.1.4 Upgrade booking system <i>Law enforcement agencies receive \$4.5k grants for purchasing PCs</i>	4/93	11/95	4/93	11/95		X
18	3.1.4 Upgrade booking system <i>Redesign SPECTRUM Justice System</i>	6/98	5/99				X
19	3.5.3 Update electronic connection between law enforcement and repository <i>Upgrade law enforcement software for electronic transfer of IBR data to DCJS</i>	9/97	7/98		12/97		X
20	4.3.1 Install livescan <i>Provide FP imaging technology for local law enforcement</i>	9/97	8/98				X
21	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Create SAFIS/livescan interface to enable electronic image transfer</i>	4/96	3/00	4/96			X
22	6.1.3 Upgrade CCH hardware <i>Migrate CCH from mainframe to distributed PCs</i>	4/96	3/00	4/96			X
23	6.1.4 Upgrade CCH software <i>Revise ISS for dispos from court and expanded DA reporting</i>	5/95	12/97				X
24	6.1.6 Consolidate duplicate records in CCH <i>Eliminate 10k duplicate arrest records</i>	10/90	6/91		12/92	X	X
25	6.4.1 Create juvenile database <i>DCJS accepts NYC juvenile justice dispo info via tape</i>	8/96	7/97	7/97	12/97		X
26	6.4.2 Incorporate civil protection order <i>Assist victims of domestic abuse by identifying persons assigned protective orders</i>	11/96					X
27	6.4.7 Process disposition backlog <i>Collect 130k dispos from OCA via tape</i>	10/90				X	X
28	8.1.1 Computerize prosecution data <i>Develop defender's case record mgt system</i>	7/96	12/97				X
29	8.1.2 Upgrade prosecutor information system <i>Upgrade NY, King, Nassau and Erie Co prosecution case mgt software</i>	12/94	12/96	12/94	12/96		X
30	8.1.2 Upgrade prosecutor information system <i>Provide equipment to Prosecutor's office for use of ALDS</i>	2/97	1/98	2/97	3/98		X

Exhibit B-35 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources				
		Planned		Actual		C	B	N	S	L
		F	T	F	T					
		m	o	m	o	I	e	P	e	I
31	8.1.2 Upgrade prosecutor information system <i>Develop Prosecutors Automated Legal Document System</i>	12/97	6/98							X
32	9.1.2 Upgrade court information system <i>Town and village courts receive \$5.6k in grants for purchasing computers</i>	10/94	4/95	10/94	4/95					X
33	9.1.2 Upgrade court information system <i>Purchase PCs for local courts</i>	1/97	6/97	1/97	6/97					X
34	9.2.1 Establish electronic connections between/among courts <i>Enable electronic dispo transfer to CRIMS from last 50 manual counties</i>	5/96	3/97							X
35	10.1.3 Upgrade court information system for disposition purposes <i>OCA upgrades Criminal Records Info Mgt Sys (CRIMS) used in courts</i>	4/96								X
36	11.1.1 Computerize probation data <i>Develop local probation record mgt system</i>	1/97	1/98							X
37	11.1.2 Upgrade probation information system <i>Interface NYC probation system with NYS probation system</i>	1/96	9/98	5/97						X
38	12.1.2 Upgrade corrections information system <i>Purchase PC's for local Correctional facilities</i>	8/97	12/97		2/98					X
39	12.1.2 Upgrade corrections information system <i>Revamp JMS</i>	11/97	11/98	11/97						X
40	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Enable electronic reporting of DA Decline to Prosecute Information</i>	6/95		6/95						X
41	14.2.3 Establish electronic connection for transfer of criminal history records to courts <i>Provide town and village courts with fax-on-demand access to criminal records</i>	1/97	12/97							X
42	14.2.3 Establish electronic connection for transfer of criminal history records to courts <i>DCJS designs product allowing court PC users electronic rap sheet access via CRIMNET</i>	4/91	10/94	4/91	10/94					X
43	14.2.5 Upgrade electronic connection between courts and repository <i>Correct OCA/DCJS interface flaws, reconcile criminal history data and reduce rejections of OCA transactions</i>	4/93								X X

Exhibit B-36 North Carolina

Background Characteristics

State Population (thousands)?	7,323	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	697	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	98.9%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$8.1	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	5/94	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	Yes	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		F	N	S	L
		F	F	C	B	N	S	L	
		o	r	H	y	r	C	t	
		m	m	I	e	P	e	e	
1	1.1.11 Study and/or plan for system-wide issues <i>Price Waterhouse completes CJIN study</i>	12/94	4/95	12/94	4/95			X	
2	1.2.6 Audit ACN and/or CCN usage <i>Audit court cases to determine number of felony offenses having unique tracking number</i>	1/94	1/96	1/94	1/96	X		X	
3	1.3.2 Establish ad-hoc committee <i>Create committee to study electronic reporting</i>	1/95	1/96	1/95	1/96	X		X	
4	1.4.10 Conduct training for data entry <i>Conduct technical training for SBI data processing staff</i>	1/96	3/96	1/96	3/96		X		
5	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Establish mechanism to permit SBI to search for missing dispos</i>						X		
6	1.6.9 Legislate printing of selected misdemeanants <i>Legislate printing of selected misdemeanants</i>	1/81		1/81				X	
7	3.1.3 Upgrade digital photography <i>Purchase photo-imaging workstation for Chowan Co</i>	1/95	12/96	1/95	12/96	X			X
8	4.3.1 Install livescan <i>Install livescan in Beaufort, Rocky Mount, Cumberland, Chowan and Mecklenburg</i>	1/95	12/96	1/95	12/96				X
9	5.2.1 Install AFIS <i>Install AFIS in Mecklenburg Co</i>	1/95	12/96	1/95	12/96	X	X		X
10	5.2.2 Upgrade AFIS <i>Upgrade SBI AFIS</i>	1/96	12/96	1/96	12/96		X		
11	5.2.3 Install remote AFIS workstations <i>Install AFIS workstation at DOC to access state centralized FP database</i>	1/95	1/96	1/95	1/96	X		X	
12	5.2.3 Install remote AFIS workstations <i>Install AFIS workstation in Beaufort Co</i>	1/95	12/96	1/95	12/96				X
13	6.1.2 Computerize criminal history records <i>Automate manual records</i>	10/92	4/94	10/92	4/94	X			
14	6.1.3 Upgrade CCH hardware <i>Install document imaging system</i>	1/96	7/97	1/96	7/97		X		
15	6.1.4 Upgrade CCH software <i>Improve law enforcement access to court records using new software and SBI terminal</i>	10/92	4/94	10/92	4/94	X			
16	6.2.1 Establish record flags for felony <i>Add felony flag to CCH record</i>		1/96		1/96	X		X	
17	6.4.2 Incorporate civil protection order <i>Provide access to data on restraining orders</i>	11/96		11/96			X		
18	12.1.1 Computerize corrections data <i>Automate DOC records</i>		1/74		1/74			X	
19	14.2.1 Establish bi-directional electronic connection between repository and courts <i>Repository sends arrest data to courts via two-way computer link</i>		1/93		1/93	X		X	
20	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Automate Mecklenburg Co dispo reporting to be compatible with state</i>	1/94	4/96	1/94	4/96	X		X	X
21	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement electronic dispo transfer</i>	1/80	1/92	1/80	1/92			X	
22	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Send criminal case dispos weekly via magnetic tape</i>	1/83	1/90	1/83	1/90			X	
23	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Complete dispo reporting efforts by the courts</i>							X	
24	14.2.5 Upgrade electronic connection between courts and repository <i>Improve state/Mecklenberg interface for electronic arrest/dispo reporting</i>							X	
25	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Automate corrections release reports transfer to SBI/DCI</i>	4/92	4/94	4/92	4/94				X
26	17.1.1 Establish access to mental health records <i>Provide access to data on mental health</i>	11/96	12/99				X		
27	17.1.2 Establish access to drug abuse records <i>Provide access to data on drug abuse</i>	11/96	12/99				X		
28	18.1.1 Establish access to illegal alien information from INS <i>Provide access to data on illegal aliens</i>	11/96	12/99				X		

Exhibit B-37 North Dakota

Background Characteristics

State Population (thousands)?	644	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	224	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	34.2%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$3.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned	Actual	Planned	Actual	F	N	S	L
		F	F	C	B	N	S	L	
		r	r	H	r	H	a	c	
		o	o	R	n	I	t	a	
		m	m	I	e	P	e	l	
		o	o						
1	1.1.11 Study and/or plan for system-wide issues <i>Hold criminal justice data conference</i>								
2	1.4.4 Conduct AFIS training <i>Conduct out-of-state AFIS training with Minnesota officials</i>	3/96	3/96	3/96	3/96	X		X	
3	1.4.5 Conduct training for CCH <i>Conduct SYNON training</i>	3/96	6/96	2/96	3/96			X	
4	1.4.6 Conduct multi-agency state-wide training <i>Train local agencies</i>	1/96	12/98	1/96				X	
5	1.7.1 Integrate criminal justice agencies county-wide <i>Establish electronic link between CHR, SAMS and UCIS</i>	1/96	12/97	1/96				X	
6	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Link repository to jail admin/booking system</i>	11/96						X	
7	4.3.1 Install livescan <i>Acquire five livescan units</i>	1/98	12/98	1/98		X			
8	5.4.1 Join regional AFIS <i>Share AFIS with Minnesota and South Dakota</i>	7/96	1/97	8/96	1/97	X		X	X
9	5.4.4 Convert manual fingerprint cards to automated system <i>Prepare FP cards for AFIS entry</i>	1/96	12/98	5/95	3/96			X	
10	6.1.3 Upgrade CCH hardware <i>Upgrade AS400 hardware</i>	1/96	5/96	1/96	5/96			X	
11	6.1.4 Upgrade CCH software <i>Modify and migrate CHR system</i>	1/96	12/98	1/96				X	
12	6.1.4 Upgrade CCH software <i>Upgrade AS400 software</i>	1/96	5/96	1/96	10/96			X	
13	6.1.4 Upgrade CCH software <i>Rewrite CCH</i>	3/91	7/94	3/91	7/94	X			
14	6.3.6 Upgrade NIBRS software <i>Modify IBUCR</i>	9/97	3/98	3/98				X	
15	6.4.2 Incorporate civil protection order <i>Develop restraining/protection order system</i>	11/96	12/98	7/97				X	
16	6.4.2 Incorporate civil protection order <i>Establish hot file network links</i>	1/97	12/98					X	
17	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Automate dispo reporting to FBI</i>	5/91	7/94	3/91	7/94	X			
18	7.1.5 Upgrade III software <i>Participate in III</i>	3/91	5/94	3/91	7/94	X			
19	8.1.1 Computerize prosecution data <i>Install prosecution info system</i>	3/91	12/98	3/91		X	X		X
20	12.1.1 Computerize corrections data <i>Acquire EDEN FP and arrest tracking system for correctional facilities</i>	1/96	3/96					X	
21	13.1.2 Upgrade parole information system <i>Upgrade parole info system to facilitate transfer of data to CHR</i>	1/97	12/97	1/97				X	
22	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Link criminal history records system to State Attorney's system</i>	11/96	12/98	11/96				X	
23	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Enable electronic transfer of prosecution data to CCH</i>	3/91	12/98	3/91		X	X		
24	14.1.3 Upgrade electronic connection between prosecution and repository <i>Upgrade electronic link between CHR and SAMS</i>	3/96	9/96	3/96				X	
25	14.3.1 Establish electronic connection for transfer of probation data to repository <i>Enable electronic transfer of probation data to CHR</i>	1/97	12/97	1/97				X	
26	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Enable electronic transfer of DOC data to CHR</i>	1/97	12/97	1/97				X	
27	14.5.1 Establish electronic connection for transfer of parole data to repository <i>Enable electronic transfer of parole data to CHR</i>	1/97	12/97	1/97				X	
28	15.1.4 Provide for direct access to firearm check information <i>Establish firearm instant check system</i>							X	

Exhibit B-38 Northern Mariana Islands

Background Characteristics

State Population (thousands)?	43	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	7	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	0.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$0.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?		Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources				
		Planned	Actual	C	B	N	S	L
		F	F	H	R	H	I	T
		o	o	r	n	a	e	a
		m	m	t	I	P	e	l
		o	o	o	e	e	l	l
1	1.1.11 Study and/or plan for system-wide issues <i>Develop data quality improvement plan</i>				X	X		X
2	6.1.2 Computerize criminal history records <i>Install CCH</i>				X	X		X

Exhibit B-39 Ohio

Background Characteristics

State Population (thousands)?	11,173	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	1,483	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	80.9%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$14.1	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/97	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources							
		Planned	Actual	F	F	C	B	N	S	L	
		m	o	r	T	R	I	e	P	e	I
1	1.1.5 Study fingerprinting and identification process <i>Study feasibility of real time ID services to support pretrial release decisions</i>	1/97	9/97	7/97							
2	1.1.6 Study CCH system and/or interfaces thereto <i>Design common transactions and interfaces</i>	12/96	9/97	12/96					X		
3	1.1.8 Study user needs <i>Conduct user needs benefit assessment</i>	1/95	3/96	6/95	6/96				X		
4	1.1.10 Study and/or plan for arrest and disposition reporting processes <i>Define reporting policies and procedures</i>	3/96	9/97	8/96	5/97				X		
5	1.1.10 Study and/or plan for arrest and disposition reporting processes <i>Create criminal history coordinating monitoring and analysis program to determine agency operations and reporting</i>	1/96	3/97	1/96				X		X	
6	1.1.11 Study and/or plan for system-wide issues <i>CJIS Steering Committee develops Criminal History Records Improvement Plan</i>	3/95	5/95	3/95	5/95			X		X	
7	1.1.11 Study and/or plan for system-wide issues <i>Document administrative policies and procedures</i>	3/96	3/97	8/96	1/97			X			
8	1.1.12 Study and/or plan for firearm issues <i>Study approaches for capturing info relating to mental incompetency</i>	11/96	12/97	5/97				X			
9	1.1.12 Study and/or plan for firearm issues <i>BCI&I researches alternatives to Instant Check system</i>	1/98	12/98								
10	1.1.17 Study and/or plan for juvenile issues <i>Study needs and develop requirements for interfacing Corrections and Youth Services</i>	4/95	3/96	1/96	3/97						X
11	1.1.17 Study and/or plan for juvenile issues <i>Develop methodology for inclusion of additional juvenile records</i>	6/95	12/96								X
12	1.1.17 Study and/or plan for juvenile issues <i>Pilot sites for Juvenile Data Network</i>	11/94		11/94				X		X	
13	1.1.18 Study and/or plan for corrections issues <i>Study Community Corrections Monitoring System</i>	9/96	9/97								
14	1.2.1 Audit criminal history data quality <i>Conduct audit</i>	9/91	9/94	9/91	9/94	X					
15	1.3.1 Establish five-percent set-aside task force <i>Form CJIS Steering Committee</i>	3/95		3/95				X		X	
16	1.3.3 Hire staff <i>Administer NCHIP</i>									X	
17	1.4.6 Conduct multi-agency state-wide training <i>Provide CJIS technical support/clearinghouse</i>	1/97									
18	1.5.4 Develop data standards <i>Initiate CJIS Integration Architecture and Standards</i>	9/96	12/97	3/98				X			
19	1.5.6 Create audit procedure <i>Develop criminal history audit program</i>	3/97	12/98	3/98				X			
20	1.5.7 Create standard training procedure <i>Develop criminal history training program</i>	8/96	6/97	8/96	5/97			X			
21	1.6.1 Specify reporting requirements for arrests <i>Review and revise statutes related to criminal history records to better support reporting</i>	2/96	9/97	1/96	1/98			X			
22	1.7.1 Integrate criminal justice agencies county-wide <i>Initiate local integration pilot</i>	9/96	12/97	1/97				X			
23	1.7.1 Integrate criminal justice agencies county-wide <i>Expedite local integration and interface development</i>	1/97	12/98	1/97				X			
24	1.7.2 Upgrade in-state communications <i>Upgrade LEADS network for new criminal history traffic</i>	1/96	8/99	12/97				X			
25	1.7.2 Upgrade in-state communications <i>Implement NCIC 2000 services</i>	6/95	7/00	4/94						X	
26	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Develop and distribute EATS software</i>	1/96	12/98	8/96				X			
27	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Implement SJLS interface</i>	3/96	12/96					X			X
28	4.1.1 Preprint ACN on fingerprint card <i>Implement incident tracking number</i>	3/95		3/95				X	X	X	X
29	4.3.1 Install livescan <i>Support livescan/cardscan technology</i>	1/96	12/97	8/97				X			
30	5.3.1 Automatically link fingerprint card data to criminal history record <i>Implement state AFIS/CCH repository</i>	5/95	8/96	10/96	1/98			X		X	

Exhibit B-39 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		C	B	N	S
		F	T	F	T				
o	m	o	o	H	I	R	I	P	
31	6.1.3 Upgrade CCH hardware <i>Implement document imaging at central repository</i>	1/97	12/97						
32	6.3.1 Establish local NIBRS <i>Provide IBRS support</i>	1/91		1/91		X		X	
33	6.3.2 Establish state NIBRS <i>Develop and support Law Enforcement Tool Kit software</i>	8/93		8/93		X		X	
34	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Integrate IBRS and CCH</i>	1/97	12/98						
35	6.4.2 Incorporate civil protection order <i>Establish database for restraining orders</i>	7/98					X	X	
36	6.4.7 Process disposition backlog <i>Eliminate backlog at central repository</i>	9/91	11/98			X			
37	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Automate dispo reporting to FBI</i>	9/91	9/94	7/97		X	X	X	
38	7.2.1 Sign III compact <i>Become NFF state</i>	6/97	1/98						
39	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Develop and implement COPS interface</i>	1/96	6/97	4/97		X		X	
40	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Expedite implementation of COPS</i>	1/92	12/98	1/92		X		X	
41	14.2.1 Establish bi-directional electronic connection between repository and courts <i>Improve RCIC interface for arrest and dispo transfer</i>	3/96	12/96						X
42	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement CRIS dispo interface</i>					X			
43	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement RCIC interface for dispo transfer</i>					X			
44	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement NORIS dispo interface</i>	3/95	3/97			X		X	
45	14.2.5 Upgrade electronic connection between courts and repository <i>Implement improvements to CRIS dispo interface</i>	10/96	5/97	10/96	6/97	X			
46	14.2.5 Upgrade electronic connection between courts and repository <i>Develop and initiate court interface with CCH</i>	2/96	12/97	1/97			X		
47	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Develop custody and supervision interface to CCH</i>	5/95	3/97					X	

Exhibit B-40 Oklahoma

Background Characteristics

State Population (thousands)?	3,301	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	710	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	70.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/99	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources						
		Planned	Actual	F	F	C	B	N	S	L
		o	T	r	T	R	H	r	H	a
		m	o	m	o	I	e	P	e	l
1	1.1.8 Study user needs <i>CHRI Task Force conducts user needs assessment</i>				6/95					
2	1.2.1 Audit criminal history data quality <i>Implement audit program</i>	1/99	12/99					X		
3	1.2.1 Audit criminal history data quality <i>FBI conducts OSBI audit</i>			10/94	10/94	10/94				X
4	1.3.1 Establish five-percent set-aside task force <i>Establish OK Criminal History Records Improvement Task Force</i>	12/92		12/92			X		X	
5	1.3.2 Establish ad-hoc committee <i>Create Audit Unit within OSBI</i>	9/96					X		X	
6	1.4.6 Conduct multi-agency state-wide training <i>Continue statewide training and education</i>	1/96	12/96				X		X	
7	1.7.2 Upgrade in-state communications <i>Upgrade OLETS</i>	1/96	12/99				X	X	X	
8	1.7.2 Upgrade in-state communications <i>Install UPS at OLETS</i>						X		X	
9	4.3.1 Install livescan <i>Install livescan in three municipalities</i>	6/98	12/98							
10	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Interface three livescan to AFIS</i>	1/97	1/98							
11	5.3.1 Automatically link fingerprint card data to criminal history record <i>Establish integrated AFIS/CCH</i>			1/93	6/94		X		X	
12	6.1.2 Computerize criminal history records <i>SCR fully automates all criminal history records since 1980</i>	9/96	8/97					X		
13	6.1.4 Upgrade CCH software <i>Establish statewide mugshot repository of digitized criminal photos</i>	9/98	12/98						X	
14	6.2.1 Establish record flags for felony <i>Set felony flags</i>	6/98	5/99					X		
15	7.1.1 Synchronize records <i>Synchronize with FBI criminal history records</i>				2/97					
16	7.2.2 Comply with NIST standards <i>Upgrade OSBI AFIS/CCH compliant to IAFIS</i>	1/99	12/99							X
17	8.1.1 Computerize prosecution data <i>Automate DA charge and dispo info in OK Co</i>	1/98	12/98				X		X	
18	8.1.2 Upgrade prosecutor information system <i>Revamp ADRS</i>	6/97	12/98					X		
19	12.1.2 Upgrade corrections information system <i>Enhance quality of DOC offender records</i>									X
20	14.2.4 Automatically link court dispositions to criminal history record via ACN/CCNs <i>Merge ADRS into CCH to improve record completeness</i>		12/94	6/94			X			

Exhibit B-41 Oregon

Background Characteristics

State Population (thousands)?	3,204	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	879	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$5.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	Yes	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources				
		Planned	Actual	F	N	S	L	
		F	F	C	B	N	S	L
		o	r	H	y	C	t	o
		m	o	R	n	H	a	c
			T	I	e	P	e	
			o					
1	1.2.1 Audit criminal history data quality <i>Conduct Criminal History Baseline Audit</i>			X				
2	1.2.1 Audit criminal history data quality <i>Conduct State Police criminal history audit</i>	2/94			X		X	
3	1.3.1 Establish five-percent set-aside task force <i>CJIS Advisory Board becomes Criminal Justice Records Improvement Task Force</i>	6/93					X	
4	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Implement monitoring system</i>			X				
5	1.5.4 Develop data standards <i>Review and develop data standards</i>				X		X	
6	1.7.1 Integrate criminal justice agencies county-wide <i>Install fully integrated NIBRS-compliant criminal justice data system in Benton Co</i>				X			
7	1.7.2 Upgrade in-state communications <i>Upgrade Law Enforcement Data System (LEDS) to facilitate NICS participation</i>				X	X		
8	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Transmit booking data to the ISS via telephone lines</i>					X		
9	4.3.1 Install livescan <i>Purchase 30 livescan devices</i>	1/96	9/96			X		
10	5.2.2 Upgrade AFIS <i>Design and develop transaction controller for automated identification functions</i>					X		
11	5.4.1 Join regional AFIS <i>OR joins WIN</i>	12/88					X	
12	6.1.4 Upgrade CCH software <i>Upgrade and convert manual microfilm offender info document archive system</i>					X		
13	6.2.1 Establish record flags for felony <i>Flag felons in CCH</i>			X				
14	6.2.3 Establish record flags for specific disqualifying crimes <i>Flag domestic violence and stalking incidents</i>					X		
15	6.4.7 Process disposition backlog <i>Process dispo backlog</i>			X			X	
16	6.4.11 Create file of supervised offenders <i>Upgrade CCH to include "In-Custody" database</i>				X		X	
17	7.1.5 Upgrade III software <i>Provide domestic restraining order info to NCIC</i>					X		
18	7.2.1 Sign III compact <i>OR participates in NFF</i>	5/94					X	
19	14.2.1 Establish bi-directional electronic connection between repository and courts <i>Create bi-directional link between courts and CCH</i>			X			X	
20	15.1.4 Provide for direct access to firearm check information <i>Acquire hardware and software for instant eligibility check system</i>	11/96				X		
21	16.1.2 Provide users with direct access to employment background check information <i>Establish public access to criminal record info</i>					X		
22	17.1.1 Establish access to mental health records <i>Analyze feasibility/test methods of providing Oregon Mental Commitment info on national basis</i>	11/96				X		
23	17.1.2 Establish access to drug abuse records <i>Test methods to provide drug abuse info on national basis</i>	11/96				X		

Exhibit B-42 Pennsylvania

Background Characteristics

State Population (thousands)?	12,056	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	1,551	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	70.8%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$16.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/97	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources						
		Planned	Actual	F	F	C	B	N	S	L
		o	o	R	H	r	n	I	P	e
		m	m	I	e	t	a	t	a	i
1	1.1.6 Study CCH system and/or interfaces thereto <i>Conduct study to identify weaknesses in PSP mainframe</i>	9/94								X
2	1.2.1 Audit criminal history data quality <i>Conduct baseline audit</i>	3/94	12/94	X	X				X	
3	1.3.1 Establish five-percent set-aside task force <i>PCCD establishes Technology and Automation Advisory Committee</i>		10/96			X				
4	1.4.2 Conduct training for livescan and fingerprinting <i>Conduct one-day regional FP training seminars</i>	10/94			X					
5	1.4.2 Conduct training for livescan and fingerprinting <i>Conduct FP training and continue awareness campaigns</i>					X			X	
6	1.4.3 Conduct training for court information system <i>Conduct PFA workshops</i>	7/97	9/97					X		
7	1.4.6 Conduct multi-agency state-wide training <i>Train local agencies in criminal history record information reporting</i>					X				
8	1.5.1 Upgrade arrest process procedures <i>Improve quality of FPs by developing central booking sites</i>	7/96				X		X	X	X
9	1.7.1 Integrate criminal justice agencies county-wide <i>Provide for final development and implementation of integrated system among agencies</i>	6/98				X		X		
10	1.7.2 Upgrade in-state communications <i>Establish CLEAN</i>		12/71						X	
11	3.1.3 Upgrade digital photography <i>Use imaging technology statewide</i>	10/97	9/98	10/97		X	X	X	X	X
12	3.1.4 Upgrade booking system <i>Enhance PA-LEMIS to include required data elements</i>	2/96	7/96	7/96				X		
13	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Interface PSP and Philadelphia PD</i>			12/96		X		X	X	X
14	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Establish electronic link between PA-LEMIS and CCH</i>	7/96	10/96					X		
15	4.1.1 Preprint ACN on fingerprint card <i>Implement Offense Tracking Number</i>		12/76	12/76					X	
16	4.3.1 Install livescan <i>Install 43 livescan at local law enforcement agencies</i>			6/97		X	X	X	X	X
17	4.3.1 Install livescan <i>Install four livescan units at high volume PSP troop barracks</i>	3/91	10/92	10/92	X					
18	4.3.1 Install livescan <i>Acquire two or three livescan; one designated to DOC central inmate reception site</i>			6/97		X		X		
19	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Interface livescan to store-and-forward</i>			6/97				X		
20	5.2.1 Install AFIS <i>Install AFIS</i>		12/90	12/90					X	
21	5.2.2 Upgrade AFIS <i>Purchase AFIS 21 to enable inter-AFIS communication and improve FP classifications</i>			12/97				X	X	
22	5.2.2 Upgrade AFIS <i>Interface Philadelphia AFIS with PSPCR AFIS</i>			6/97				X		
23	5.3.1 Automatically link fingerprint card data to criminal history record <i>Interface AFIS and CCH</i>		12/90	12/90					X	
24	5.3.1 Automatically link fingerprint card data to criminal history record <i>Upgrade AFIS with store-and-forward device</i>	1/96	1/98	6/97				X		
25	5.4.3 Process fingerprint card backlog <i>Process 30k Corrections FP card backlog</i>					X				
26	5.4.4 Convert manual fingerprint cards to automated system <i>Enter old age FP cards in AFIS</i>	2/96		2/97				X		
27	5.4.5 Purge fingerprint cards that no longer meet requirements for storage <i>File or purge master FP file to improve accuracy and completeness of criminal jacket file</i>	2/96	7/96	7/96				X		
28	6.1.2 Computerize criminal history records <i>Automate manual records</i>	3/91	9/92	9/92	X	X			X	
29	6.1.2 Computerize criminal history records <i>Improve CFROS files by automating 126k records</i>	4/96	10/96	10/96				X		
30	6.1.2 Computerize criminal history records <i>Install CCH</i>		12/84	12/84					X	

Exhibit B-42 (page 2 of 2)

#	Activity Classification and Description	Time Frame		Funding Sources					
		Planned		Actual		B	N	S	L
		F	T	F	T	C	H	C	I
o	m	o	o	R	n	I	t	a	
m				I	e	P	e	e	
31	6.1.3 Upgrade CCH hardware <i>Improve capacity of PSP mainframe by upgrading tape and cache subsystems</i>	8/96	8/97	8/97			X		
32	6.1.3 Upgrade CCH hardware <i>Provide PSP CCH with ability to receive new data from PA-LEMIS</i>	6/96	7/96					X	
33	6.1.3 Upgrade CCH hardware <i>Install gateway server to enable electronic criminal history record transfer to certain agencies</i>		9/98					X	
34	6.2.1 Establish record flags for felony <i>Set 280k felony flags in existing records</i>	3/91	10/94	10/94	X				
35	6.3.2 Establish state NIBRS <i>Implement NIBRS</i>		11/95						X
36	6.4.2 Incorporate civil protection order <i>Phase I develops Protection From Abuse (PFA) automated system at CCH</i>	5/96	9/98	2/97				X	
37	6.4.7 Process disposition backlog <i>Process 59k dispo report backlog</i>	3/91	10/94	10/94	X				X
38	7.1.3 Assume responsibility for additional III records <i>Assume responsibility for 15k III records</i>	3/91	10/92	10/92	X				
39	9.1.1 Computerize court data <i>Automate District Justice System</i>	1/90	12/93	12/93					X
40	14.2.5 Upgrade electronic connection between courts and repository <i>Phase II requires counties to acquire equipment to connect to PFA automated system</i>	1/97	6/98					X	

Exhibit B-43 Puerto Rico

Background Characteristics

State Population (thousands)?	3,522	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	#VALUE!	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	#VALUE!	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$2.7	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?		Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources							
		Planned	Actual	F	T	C	B	N	S	L	
		o	m	o	T	o	H	r	H	a	c
		m	o	I	e	P	e	l			
1	1.2.1 Audit criminal history data quality <i>Conduct audits</i>	8/95	7/96				X		X		
2	5.2.1 Install AFIS <i>Buy AFIS</i>									X	
3	6.1.3 Upgrade CCH hardware <i>Purchase hardware for NCIC 2000</i>	10/94	9/96				X		X		
4	6.1.4 Upgrade CCH software <i>Initiate privacy and security initiatives</i>	8/95	7/96				X		X		

Exhibit B-44 Rhode Island

Background Characteristics

State Population (thousands)?	990	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	225	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$2.9	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/98	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		o	o	R	H r H a c	R n I t a	I e P e l
		m	m	I	e	P	
1	1.1.11 Study and/or plan for system-wide issues <i>Develop blueprint for statewide Justice Link</i>		1/02	1/96			X
2	1.3.3 Hire staff <i>Administer NCHIP effort</i>	10/95	12/99				X
3	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Database tracks non-FP supported arrest and conviction records</i>		9/95		X		
4	1.7.2 Upgrade in-state communications <i>Purchase 300 PCs from 1996-1998 to be used system-wide</i>	1/96	12/99				
5	4.3.1 Install livescan <i>Install livescan workstations at remote locations</i>		9/98			X	
6	4.3.1 Install livescan <i>Install livescan in seven sites</i>	1/97	9/98				X
7	5.2.3 Install remote AFIS workstations <i>Install two AFIS workstations at BCI and State Police</i>		10/97	2/98			X
8	5.4.1 Join regional AFIS <i>RI pays user fee to make use of CT AFIS</i>		5/98				X
9	5.4.1 Join regional AFIS <i>Cover line charge between Providence and Meridan, CT</i>	10/95	6/98				X
10	5.4.1 Join regional AFIS <i>Buy six modems to connect RI to CT</i>	10/95	2/98				X
11	5.4.3 Process fingerprint card backlog <i>Enter FP classifications and update for 70k offenders</i>	6/96	12/97		X		
12	5.4.4 Convert manual fingerprint cards to automated system <i>Hire FP specialist to aid in conversion to auto system</i>	4/96	4/97				X
13	5.4.4 Convert manual fingerprint cards to automated system <i>Convert 160k FP cards for inclusion on CT system</i>	6/96	5/98				X
14	6.1.2 Computerize criminal history records <i>Convert manual criminal history records to computerized format</i>	1/98	6/99				X
15	6.1.3 Upgrade CCH hardware <i>Purchase COMPAQ server to serve as redundant fault tolerant system for CCH</i>	1/98	6/99				X
16	6.1.4 Upgrade CCH software <i>Rewrite CCH</i>				X		
17	6.1.4 Upgrade CCH software <i>Install ORACLE database management system for CCH</i>	1/98	6/99				X
18	6.3.2 Establish state NIBRS <i>Purchase software for local police to coincide with statewide NIBRS implementation</i>	1/95	3/99		X		X
19	6.4.2 Incorporate civil protection order <i>Develop statewide restraining order system</i>			2/97		X	X
20	6.4.4 Establish sex offender registry <i>Develop inquiry link between sex offender registry and CCH</i>	1/98	6/99			X	
21	6.4.7 Process disposition backlog <i>Verify and modify 90k arrest records with dispos provided by Supreme Court</i>	9/91	9/95		X		
22	6.4.9 Create gun denial (Brady) file <i>Develop database to identify people prohibited from buying guns</i>			4/97			X
23	7.1.4 Upgrade message switch communications <i>Buy and install new switcher at State Police HQ</i>	1/96	6/96	5/97	X		X
24	9.1.1 Computerize court data <i>Purchase PCs and implement relational database in courts</i>	6/96	6/99		X		X
25	9.1.2 Upgrade court information system <i>Supreme Court replaces existing case processing system</i>	6/95	12/98				X
26	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Interface courts and CCH</i>				X		

Exhibit B-45 South Carolina

Background Characteristics

State Population (thousands)?	3,699	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	902	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$6.1	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	5/94	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		o	T	r	T	H	r H a c
		m	o	m	o	I	e P e l
1	1.2.1 Audit criminal history data quality <i>Conduct statewide criminal history audit program</i>	1/78	12/80	7/78			X
2	1.3.1 Establish five-percent set-aside task force <i>Establish Criminal Justice Records Improvement Task Force</i>	1/91				X	X
3	3.5.2 Establish electronic connection for transfer of rap sheet data from repository to law enforcement <i>Enable law enforcement to request criminal records check electronically</i>			2/77			X
4	4.3.1 Install livescan <i>Install livescan at four law enforcement agencies</i>	12/93				X	
5	5.2.1 Install AFIS <i>Install AFIS</i>		9/90	10/90			X
6	5.2.1 Install AFIS <i>Replace and improve AFIS to permit expansion of FP card arrest processing operations</i>	6/97	3/98			X	
7	5.2.2 Upgrade AFIS <i>Improve AFIS Search/match subsystem and expand storage</i>	6/97	3/98			X	
8	5.2.2 Upgrade AFIS <i>Fund various AFIS equipment upgrades</i>						X
9	5.2.3 Install remote AFIS workstations <i>Aiken Co Sheriff becomes on-line user of AFIS</i>	12/93				X	
10	6.1.2 Computerize criminal history records <i>Automate records submitted to CCR</i>						X
11	6.2.1 Establish record flags for felony <i>Set felony flags in existing records</i>	9/91		10/92		X	
12	6.3.3 Computerize NIBRS <i>Automate NIBRS within requesting agencies</i>					X	
13	6.4.2 Incorporate civil protection order <i>Access data on restraining orders</i>	10/97					X
14	6.4.4 Establish sex offender registry <i>Implement Convicted Sex Offender Registry</i>	7/94		1/95			X
15	6.4.7 Process disposition backlog <i>Process dispo backlog</i>	9/91		7/92	12/92	X	
16	6.4.7 Process disposition backlog <i>Hire temporary employee to process dispo backlog</i>	7/97		7/97			X
17	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Initiate on-line submission of MRD to FBI</i>			6/90			X
18	6.6.1 Provide periodic paper reports to INS <i>CCH submits conviction reports of suspected aliens to INS</i>			5/92			X
19	7.1.2 Set felony and other flags <i>Send flag notifications to III</i>	1/96		1/96			X
20	10.1.1 Computerize disposition data <i>Continue automation of court dispo info</i>					X	X
21	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Interface courts and CCH</i>	9/91		9/91		X	X
22	15.1.4 Provide for direct access to firearm check information <i>Implement Instant Presale Handgun Program</i>	2/94		2/94			X

Exhibit B-46 South Dakota

Background Characteristics

State Population (thousands)?	732	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	139	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	81.8%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$2.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/98	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources				
		Planned		Actual		F	N	S	L	
		F	T	F	T	C	B	N	S	L
		o	o	o	o	H	r	H	a	c
		m	m	m	m	I	e	P	e	I
1	1.4.4 Conduct AFIS training <i>Conduct AFIS training</i>	12/96	12/96	1/97	1/97			X		
2	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Locate and post all delinquent dispos</i>	1/96	12/98	7/97				X		
3	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Obtain unreported felony dispos</i>	9/92	9/94	9/95		X				
4	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Implement systematic reports of missing dispo data</i>		12/97	7/97	7/98			X		
5	4.3.1 Install livescan <i>Install remote livescan for locals</i>	12/97	12/98				X	X		X
6	5.2.3 Install remote AFIS workstations <i>Purchase one AFIS-compatible remote latent workstation for Forensic Lab</i>		12/96	6/96	8/97		X		X	
7	5.2.3 Install remote AFIS workstations <i>Purchase AFIS remote ten-print input station (IS2000)</i>		12/96	6/96	8/97			X		
8	5.3.1 Automatically link fingerprint card data to criminal history record <i>Purchase server to interface with CCH for livescan and be store-and-forward for IAFIS</i>	4/98	4/99					X		
9	5.4.1 Join regional AFIS <i>Cover AFIS operating fees and service</i>		12/96	6/96	12/97		X	X		
10	5.4.1 Join regional AFIS <i>Share in cost of upgrade to MN AFIS processor</i>		12/96	6/96	8/97			X		
11	5.4.1 Join regional AFIS <i>Initiate MAFIN participation</i>		12/96	2/97	8/97				X	
12	5.4.1 Join regional AFIS <i>Purchase supplies for AFIS implementation</i>		12/96	12/96	1/97		X		X	
13	5.4.3 Process fingerprint card backlog <i>Process FP backlog</i>		12/96	2/97	8/97			X	X	
14	5.4.4 Convert manual fingerprint cards to automated system <i>Convert manual FP cards to automated system</i>		12/96	10/96	12/96			X		
15	6.1.3 Upgrade CCH hardware <i>Upgrade to mobile repository file system</i>		12/96	6/96	8/96		X		X	
16	6.2.1 Establish record flags for felony <i>Set felony flags in CCH</i>		12/98	4/97				X		
17	6.2.1 Establish record flags for felony <i>Set felony flags for old format probation records</i>		12/98	4/97				X		
18	6.2.1 Establish record flags for felony <i>Set felony flags for penitentiary records</i>		12/98	4/97				X		
19	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Enable electronic link between CCH and SAC/NIBRS</i>		12/98	4/97				X		
20	7.1.2 Set felony and other flags <i>Send EHN messages to III to set weapon disqualifier/felony conviction</i>		12/98	4/97				X		
21	7.1.2 Set felony and other flags <i>Set flags for past state pointer records</i>		12/98	4/97				X		
22	7.1.3 Assume responsibility for additional III records <i>Assume responsibility for more III records</i>		12/98	4/97				X		
23	7.1.4 Upgrade message switch communications <i>Upgrade message switch to enable participation in III</i>	9/92	9/94	9/95		X				
24	7.1.4 Upgrade message switch communications <i>Upgrade message switch to modify SDLETS response for purpose code "F"</i>		12/98	4/97				X		
25	9.1.2 Upgrade court information system <i>Upgrade Court Automated Tracking System (CATS)</i>	4/98	4/99						X	
26	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Interface courts with CCH</i>	9/92	9/94	9/92	9/94	X				
27	15.1.3 Participate in FIST <i>Obtain count of weapons-related inquiries to improve participation in FIST</i>		12/97	4/97				X		

Exhibit B-47 Tennessee

Background Characteristics

State Population (thousands)?	5,320	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	728	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	61.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$6.7	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources							
		Planned	Actual	F	F	C	B	N	S	L	
				R	T	H	y	r	C	t	o
				I	o	R	e	n	H	a	c
				e		I	e	P	t	a	
1	1.1.5 Study fingerprinting and identification process <i>Assess FP card submission levels</i>	8/97	3/98	2/98					X		
2	1.3.3 Hire staff <i>Administer NCHIP improvement activities</i>	4/95	12/98						X		
3	1.4.2 Conduct training for livescan and fingerprinting <i>Conduct FP training for law enforcement</i>	1/97	12/97	9/97					X		
4	1.5.1 Upgrade arrest process procedures <i>Revise criminal FP card</i>	4/95	2/96	4/95	2/96					X	
5	1.5.1 Upgrade arrest process procedures <i>Improve submission level of FP cards</i>	1/93		1/93				X			X
6	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>TBI monitors FP card submission compliance</i>	1/97		1/97				X	X		
7	4.4.1 Establish electronic connection for transfer of fingerprint image to repository printer <i>Upgrade TDOC livescans to interface with TBI state repository</i>	4/98	9/98								
8	5.2.2 Upgrade AFIS <i>Upgrade AFIS</i>		11/95	2/96	2/96			X			
9	6.1.2 Computerize criminal history records <i>Install CCH</i>		12/89		4/92	X				X	
10	6.1.2 Computerize criminal history records <i>Automate criminal history records</i>	2/92	12/93			X	X				
11	6.1.3 Upgrade CCH hardware <i>Install new CCH</i>	1/97	12/98						X	X	
12	6.2.1 Establish record flags for felony <i>Set felony flags in existing records</i>	2/92	12/93	2/92	12/93	X					
13	6.3.2 Establish state NIBRS <i>Implement NIBRS</i>	1/97	12/97	1/97				X			X
14	6.3.3 Computerize NIBRS <i>Provide law enforcement with NIBRS software</i>	1/93	12/97	1/93				X	X	X	
15	7.1.5 Upgrade III software <i>Acquire resources necessary for III participation</i>	1/97	12/98						X		
16	8.2.1 Establish electronic connection between court and prosecutor information systems <i>TDAGC expands dispo reporting between local DAs and state court system</i>	1/97	12/97					X	X		
17	9.1.1 Computerize court data <i>Develop rural court info system</i>	1/96	12/98	1/96						X	
18	14.2.5 Upgrade electronic connection between courts and repository <i>TBI improves dispo data processing capabilities between CCH and reporting agencies</i>								X		
19	14.4.3 Upgrade electronic connection between corrections and repository <i>Upgrade TDOC interface to CCH for reporting felony sentence status info</i>	1/97	12/97	1/97					X		

Exhibit B-48 Texas

Background Characteristics

State Population (thousands)?	19,128	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	5,556	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$25.0	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	6/98	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources					
		Planned	Actual	Planned	Actual	F	C	B	N	S	L
		F	F	C	B	N	S	L			
		o	r	H	r	H	a	c			
		m	t	I	n	I	t	a			
1	1.1.8 Study user needs <i>Conduct regional public hearings</i>	4/92	9/92	4/92	5/92					X	X
2	1.1.8 Study user needs <i>Conduct CJIS Statewide Workshops</i>	12/89	12/91	12/89	12/91			X		X	
3	1.1.11 Study and/or plan for system-wide issues <i>Create simulation to model impacts of laws</i>	1/85	12/86	1/85	5/89					X	
4	1.1.11 Study and/or plan for system-wide issues <i>Finalize Strategic Implementation Plan</i>	9/91	12/91	9/91	12/91					X	
5	1.2.1 Audit criminal history data quality <i>Criminal Justice Policy Council conducts audit</i>	1/88	1/89	1/88	10/88					X	
6	1.3.1 Establish five-percent set-aside task force <i>Establish CJIS Planning Board</i>	1/92	12/92	1/92	12/92					X	X
7	1.3.2 Establish ad-hoc committee <i>Form Telecommunications Advisory Committee</i>	1/90	12/90	1/90	12/90					X	X
8	1.3.2 Establish ad-hoc committee <i>Form Technical Subcommittee</i>	1/90	11/90	4/90	11/90			X		X	
9	1.3.2 Establish ad-hoc committee <i>Form Reporting Study Committee</i>	1/90	11/90	1/90	11/90					X	X
10	1.6.2 Specify reporting requirements for dispositions <i>Legislate reporting of felony class A and B dispos</i>	1/89	6/89	1/89	6/89					X	
11	1.6.7 Legislate criminal history record keeping systems <i>Legislate and install corrections tracking system (CTS)</i>	1/89	1/94	1/89	6/96					X	
12	1.6.7 Legislate criminal history record keeping systems <i>Legislate collection of parole data</i>	1/89	6/89	1/89	6/89					X	
13	1.6.7 Legislate criminal history record keeping systems <i>Legislate collecting start and end dates for each offender</i>	1/89	6/89	1/89	6/89					X	
14	1.6.8 Legislate unique ACN <i>Legislate and implement charge-specific tracking number</i>	1/89	2/92	1/89	1/92	X				X	
15	1.7.2 Upgrade in-state communications <i>Install upgraded livescan telecommunications lines</i>	12/96	8/97	2/97	9/97				X		
16	3.4.1 Establish electronic connection for transfer of booking data to arraignment <i>Connect sheriffs to new court info system</i>	10/90	2/92	1/89	2/92	X	X			X	X
17	4.2.1 Preprint CCNs on fingerprint card <i>Implement new FP card</i>	9/89	1/92	9/89	1/92	X					
18	4.3.1 Install livescan <i>Install livescan as effort to implement electronic arrest reporting (EAR)</i>	11/95	8/96	11/95	6/97				X	X	
19	5.2.1 Install AFIS <i>Install AFIS</i>	9/89	9/92	9/89	6/93			X		X	
20	5.2.2 Upgrade AFIS <i>Upgrade central site AFIS</i>	1/97	8/97	1/97					X		
21	6.1.3 Upgrade CCH hardware <i>Build image archival system</i>	10/97	6/98	10/97					X		
22	6.1.4 Upgrade CCH software <i>Update CCH to allow new reports to link all modules together</i>	10/90	12/93	10/90	6/96	X					
23	6.2.1 Establish record flags for felony <i>Enable felony identification</i>	10/90	12/93	10/90	12/93	X					
24	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Interface CCH and NIBRS databases</i>	3/97	12/98	3/97					X		
25	6.4.2 Incorporate civil protection order <i>CCH accesses convictions of crimes against children, elderly, disabled, domestic, stalking</i>	6/93	6/94	6/93	6/94	X					
26	11.1.1 Computerize probation data <i>Implement probation module of Corrections Tracking System (CTS) to collect data</i>	9/89	1/94	1/89	6/96	X				X	X
27	14.2.1 Establish bi-directional electronic connection between repository and courts <i>Create bi-directional link and implement electronic transfer of dispos (EDR)</i>	10/90	10/92	10/90	3/95	X	X				X
28	14.4.2 Automatically link corrections status to criminal history record <i>Implement electronic transfer of release reports to CCH and automatic record update</i>	10/90	12/93	10/90	12/93	X				X	
29	14.5.1 Establish electronic connection for transfer of parole data to repository <i>Implement parole module of Corrections Tracking System (CTS) to collect data</i>	9/89	10/90	10/89	10/90	X				X	

Exhibit B-49 Utah

Background Characteristics

State Population (thousands)?	2,000	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	346	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$3.9	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/97	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame			Funding Sources				
		Planned	Actual		F	N	S	L	
		F	F		C	B	N	S	L
		o	r	T	H	y	r	H	a
		m	m	o	I	e	P	e	i
1	1.1.11 Study and/or plan for system-wide issues <i>Explore technology for dedicated criminal justice switch</i>								X
2	1.1.12 Study and/or plan for firearm issues <i>Research existence and accessibility of firearm check info</i>	11/96	11/96	7/97				X	
3	1.2.1 Audit criminal history data quality <i>Conduct criminal history audit (OTN)</i>	7/98	9/98	4/98					
4	1.2.1 Audit criminal history data quality <i>Complete comprehensive data audit</i>							X	X
5	1.4.2 Conduct training for livescan and fingerprinting <i>Provide FP training to law enforcement</i>	1/92					X		X
6	1.4.5 Conduct training for CCH <i>Train in-house programming staff to assume maintenance duties from consultants</i>							X	
7	1.4.6 Conduct multi-agency state-wide training <i>Train local prosecutors in criminal history process</i>	1/92	12/92	1/92	12/92		X		X
8	1.4.6 Conduct multi-agency state-wide training <i>Conduct statewide training in criminal history process</i>	1/93					X	X	X
9	1.4.9 Conduct training for OBTS <i>Conduct statewide training in use of Offense Tracking Number</i>	1/92					X		X
10	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Research and update missing dispo to match arrests</i>	4/93					X	X	X
11	1.5.3 Upgrade OBTS process <i>Regularly send prosecution declinations to BCI/courts to aid in dispo reporting</i>	8/94					X		X
12	1.5.4 Develop data standards <i>Produce data dictionary</i>		1/92	8/96			X		X
13	1.6.2 Specify reporting requirements for dispositions <i>Develop Digital Signature law to assist in electronic filing of court documents and data flow to CCH</i>	7/91	7/91	5/95	X				X
14	1.7.1 Integrate criminal justice agencies county-wide <i>Weber Co integrates criminal justice info data flow</i>	1/94	11/94	7/95			X		X
15	3.3.1 Establish electronic connection for transfer of booking data to prosecutor <i>Interface booking system and prosecutor</i>	11/90				X	X		X
16	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Electronically transfer arrest info from local law enforcement to CCH</i>	1/98	12/98					X	
17	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Davis Co electronically sends booking info to repository</i>	9/97	12/98				X	X	X
18	4.3.1 Install livescan <i>Purchase livescan for electronic arrest reporting</i>	2/98	1/99				X	X	X
19	4.3.2 Upgrade livescan <i>Purchase livescan printer to tie to Salt Lake City Jail's livescan system</i>	1/92	12/92	1/94	3/94		X		X
20	4.4.1 Establish electronic connection for transfer of fingerprint image to repository printer <i>Davis Co integrates livescan and booking and electronically transmit FP cards to BCI</i>	9/97	8/98	2/98			X		X
21	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Purchase store-and-forward hardware</i>							X	
22	5.2.2 Upgrade AFIS <i>Upgrade AFIS with FP technology enhancements</i>	1/94					X		X
23	6.1.3 Upgrade CCH hardware <i>Purchase PC to produce graphical reports and statistics</i>		12/95	12/95	12/95			X	
24	6.1.4 Upgrade CCH software <i>Rewrite complete criminal history file</i>	2/91	12/92	2/91	12/92	X	X		X
25	6.1.4 Upgrade CCH software <i>Upgrade CCH to accommodate new interfaces</i>	11/90	12/93	11/90	6/94	X	X		X
26	6.1.4 Upgrade CCH software <i>Hire consultant for basic system development</i>	1/96	7/96	1/96	7/96			X	
27	6.1.4 Upgrade CCH software <i>DPS transaction controls on line</i>	7/98	12/98				X		
28	6.1.4 Upgrade CCH software <i>Purchase non-proprietary tools to perform maintenance and upgrades</i>			12/95	12/95				X
29	6.1.4 Upgrade CCH software <i>Create extended capacity in existing data warehouse</i>								X
30	6.1.4 Upgrade CCH software <i>Develop phonetic search capabilities for searching CCH and Warrants system</i>	1/96	12/98	1/96	5/96			X	

Exhibit B-49 (page 2 of 2)

#	Activity Classification and Description	Time Frame				Funding Sources			
		Planned		Actual		B	N	S	L
		F	T	F	T	C	H	R	I
o	m	o	o	R	n	I	t	a	
m				I	e	P	e	e	
31	6.2.1 Establish record flags for felony <i>Update database on felony convictions not having felony flags</i>	1/96	12/98				X	X	
32	6.3.1 Establish local NIBRS <i>Assist at least one law enforcement agency/year to convert to NIBRS</i>	7/95				X		X	X
33	7.1.1 Synchronize records <i>Synchronize III file with Utah file</i>	1/96	1/97				X		
34	7.1.5 Upgrade III software <i>Develop system to enter protective orders into NCIC</i>							X	
35	8.1.2 Upgrade prosecutor information system <i>Create integrated system for prosecutor case mgt</i>	10/96	1/98			X		X	X
36	8.2.1 Establish electronic connection between court and prosecutor information systems <i>Interface prosecutor and courts</i>	11/90				X	X		X
37	9.1.2 Upgrade court information system <i>Upgrade court info system</i>	7/91		7/91		X	X	X	X
38	10.1.3 Upgrade court information system for disposition purposes <i>Develop software to improve dispo reporting</i>							X	
39	12.1.2 Upgrade corrections information system <i>DOC develops electronic pre-sentence investigation report for use in sentencing offenders</i>	1/94	1/98			X		X	
40	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Interface courts and CCH</i>	11/90	12/93			X			
41	14.2.3 Establish electronic connection for transfer of criminal history records to courts <i>Provide direct access to criminal history data by court personnel</i>						X		X
42	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Automate collection of dispo info on prison admissions</i>							X	
43	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Interface corrections and CCH</i>	11/90	12/93	11/90		X			X
44	14.5.1 Establish electronic connection for transfer of parole data to repository <i>Automate collection and transfer of parole violation arrest dispo data</i>							X	
45	15.1.4 Provide for direct access to firearmcheck information <i>Implement Instant Check System</i>	3/94		3/94		X			X

Exhibit B-50 Vermont

Background Characteristics

State Population (thousands)?	589	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	151	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	36.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.9	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources						
		Planned	Actual	F	F	C	B	N	S	L
		o	o	H	R	n	I	H	a	c
		m	m	I	e	P	e			
1	1.1.5 Study fingerprinting and identification process <i>Plan for AFIS</i>		12/95		12/95		X		X	
2	1.1.6 Study CCH system and/or interfaces thereto <i>Conduct database analyses and provide statistical reports</i>	1/97		1/97				X		
3	1.1.8 Study user needs <i>Conduct criminal justice survey</i>	7/95			11/95		X			
4	1.1.8 Study user needs <i>Conduct needs assessment for diversion</i>	7/97			12/97		X			
5	1.1.9 Study prosecutor information system <i>Develop plans to automate 15 state attorney locations</i>		7/96		7/96		X		X	
6	1.1.11 Study and/or plan for system-wide issues <i>Attend conference on justice information systems</i>	7/96			6/97		X			
7	1.1.17 Study and/or plan for juvenile issues <i>Attend conference on juvenile records</i>	7/96	7/96	7/96	7/96		X			
8	1.2.1 Audit criminal history data quality <i>Perform data quality audit</i>		12/93		12/93		X		X	
9	1.3.1 Establish five-percent set-aside task force <i>Continue funding Criminal History Record Improvement Task Force</i>		12/94		12/94		X		X	
10	1.3.3 Hire staff <i>Hire personnel for data entry and conversion</i>						X	X		
11	1.5.4 Develop data standards <i>Develop common data dictionary</i>		12/95		12/95		X		X	
12	1.5.8 Revise repository procedures <i>Rewrite and update Rules and Regulations of VT Crime Info Centre</i>		7/97		7/97		X		X	
13	1.7.1 Integrate criminal justice agencies county-wide <i>Establish GOVnet connections for states attorneys</i>	8/96			10/97		X			
14	1.7.1 Integrate criminal justice agencies county-wide <i>Establish connection of Courts, Corrections and Public Safety to GOVnet</i>	2/95	7/96		7/96		X		X	
15	4.3.1 Install livescan <i>Purchase and install 15 cardscan workstations</i>							X		
16	4.3.1 Install livescan <i>Establish one livescan site</i>	7/97						X	X	
17	5.3.1 Automatically link fingerprint card data to criminal history record <i>One livescan site transfers FPs electronically to VCIC and links FP card to criminal history</i>	7/97						X	X	
18	5.4.1 Join regional AFIS <i>Share multi-state AFIS</i>		7/97		3/97			X		
19	6.1.2 Computerize criminal history records <i>Install CCH</i>	9/91	9/94	9/91	8/96	X				
20	6.1.2 Computerize criminal history records <i>Complete criminal history repository automation in order to achieve III participation status</i>		7/97					X		
21	6.1.2 Computerize criminal history records <i>Automate 50K manual records</i>	9/91	9/94	9/91	8/96	X				
22	6.1.3 Upgrade CCH hardware <i>Purchase fax machine for repository (VCIC)</i>	2/95			6/95		X			
23	6.1.3 Upgrade CCH hardware <i>Upgrade computers at repository</i>	12/95	12/98	2/96				X		
24	6.3.1 Establish local NIBRS <i>Expand NIBRS repository</i>		1/97	1/97				X		
25	6.3.5 Upgrade NIBRS hardware <i>Purchase frame relay for VIBRS</i>	10/95			11/95		X			
26	6.4.2 Incorporate civil protection order <i>Establish automated database of restraining/protective orders accessible statewide</i>						X	X		
27	6.4.4 Establish sex offender registry <i>Establish sex offender registry</i>	6/96			7/97		X		X	
28	7.1.4 Upgrade message switch communications <i>Replace message switch</i>							X		
29	8.1.1 Computerize prosecution data <i>Develop state attorney case mgt software</i>	9/96					X		X	
30	8.1.2 Upgrade prosecutor information system <i>Purchase fax machines for states attorneys</i>	2/95			10/95		X			

Exhibit 50 (page 2 of 2)

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	B	N	S	L
		F	F	C	y	C	t
		r	r	H	r	H	a
		o	o	R	n	I	t
		m	o	I	e	P	e
31	9.1.2 Upgrade court information system <i>Purchase fax machines for courts</i>	10/95	10/95			X	
32	12.1.2 Upgrade corrections information system <i>Upgrade corrections computer in St. Albans</i>	2/96	9/96			X	X
33	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Enable electronic data transfer from courts</i>	7/97					
34	16.1.1 Establish center for processing employment background checks <i>Create fund to defray costs of FP-supported background checks for childcare/elderly</i>						X

Exhibit B-51 Virgin Islands

Background Characteristics

State Population (thousands)?	102	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	#VALUE!	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	#VALUE!	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$0.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BIS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/98	Date when at least 80% of all records are current and shareable; Source: BIS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Exhibit B-52 Virginia

Background Characteristics

State Population (thousands)?	6,675	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	1,124	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	83.8%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$9.3	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	5/94	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Full	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame				Funding Sources				
		Planned	Actual	Planned	Actual	F	B	N	S	L
		F	F	C	B	N	S	L		
		o	r	H	y	H	t	o		
		m	o	I	e	P	e	I		
1	1.3.3 Hire staff <i>Coordinate NCHIP activities</i>	10/95	9/98	1/97	1/98				X	
2	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Locate missing felony dispos from automated systems</i>	5/95	9/98	1/96					X	
3	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Implement CCH monitoring/tracking for arrest and dispo data</i>	1/96	12/98	3/96					X	
4	1.5.4 Develop data standards <i>CJIS subcommittee forms arrest data standards</i>	7/94								X
5	3.1.2 Computerize charge code table <i>Automate Code of VA citations consistently in CJIS</i>	1/96	12/98	10/95					X	
6	3.4.1 Establish electronic connection for transfer of booking data to arraignment <i>Interface booking system and courts</i>	9/92	9/94			X	X			
7	4.3.1 Install livescan <i>Implement livescan in top volume arresting agencies</i>	1/96	12/98	1/96		X	X			
8	4.3.1 Install livescan <i>Install livescan in Henrico Co and Newport News</i>	7/94	7/95	7/94	7/95	X				
9	5.2.2 Upgrade AFIS <i>Upgrade AFIS</i>	6/98	12/99							X
10	5.3.1 Automatically link fingerprint card data to criminal history record <i>Store-and-forward receives FPs and interfaces arrest data to CCH and AFIS</i>	12/95	2/97	12/95		X	X			
11	6.1.3 Upgrade CCH hardware <i>Add new CPU to CCH mainframe</i>	10/97	9/98					X	X	
12	6.1.4 Upgrade CCH software <i>Upgrade CCH</i>	9/91	9/92	9/91	9/92	X				
13	6.2.1 Establish record flags for felony <i>Set felony flags in existing records</i>	9/90	9/91	1/91	6/92	X	X			
14	6.2.3 Establish record flags for specific disqualifying crimes <i>Establish mechanism to "flag" domestic violence misdemeanors</i>	10/97	9/98					X		
15	6.3.4 Automatically access NIBRS from CCH for flagging purposes <i>Interface CCH and NIBRS</i>	1/96	12/98	2/96		X	X			
16	6.4.7 Process disposition backlog <i>Data entry clerks use new PCs and data circuit to obtain missing dispos from Supreme Court</i>	5/95	5/95	11/95					X	
17	6.4.7 Process disposition backlog <i>Process 80k dispo backlog</i>	9/90	9/91	1/91	6/92	X				
18	7.1.2 Set felony and other flags <i>Set felony flags in III records</i>	9/90	9/91	1/91	6/92	X				
19	9.1.2 Upgrade court information system <i>Implement magistrate system in all localities</i>	1/96	12/98	1/91	9/97	X	X	X		
20	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Interface CCH with Juvenile and Domestic Relations Courts to enable dispo reporting</i>	1/96	12/98	1/96				X	X	
21	14.2.5 Upgrade electronic connection between courts and repository <i>Expand interface between CCH and all circuit and general district courts</i>	1/96	12/98	1/96		X	X	X		
22	14.4.2 Automatically link corrections status to criminal history record <i>Develop correctional status update interface</i>	1/97	12/98	7/97		X				

Exhibit B-53 Washington

Background Characteristics

State Population (thousands)?	5,607	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	885	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$7.8	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/96	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources							
		Planned	Actual	F	F	C	B	N	S	L	
		m	o	r	T	R	H	r	H	a	c
1	1.1.5 Study fingerprinting and identification process <i>Conduct AFIS store-and-forward study</i>										X
2	1.1.10 Study and/or plan for arrest and disposition reporting processes <i>Develop CJIS blueprint for data flow from point of arrest to sentence completion</i>										X
3	1.1.11 Study and/or plan for system-wide issues <i>Develop Criminal Justice Info Strategic Plan</i>		12/91			11/95					X
4	1.1.11 Study and/or plan for system-wide issues <i>Develop data quality improvement plan</i>	10/90	10/91								X
5	1.1.15 Study and/or plan for federal compatibility issues <i>Develop INS reporting plan</i>										X
6	1.2.1 Audit criminal history data quality <i>Perform criminal history audits</i>	10/96	8/97	10/96							X
7	1.3.3 Hire staff <i>Fund criminal history improvement program coordinator</i>	1/96	8/99	10/95							X
8	1.3.3 Hire staff <i>Administer the Justice Information System (JIN) project</i>										
9	1.4.6 Conduct multi-agency state-wide training <i>Conduct training at local agencies</i>	10/90	10/91				X	X			X
10	1.5.8 Revise repository procedures <i>Design procedures to improve ID section</i>					12/96					X
11	1.5.8 Revise repository procedures <i>Revise repository procedures</i>	10/91	10/92				X	X			X
12	1.7.2 Upgrade in-state communications <i>Upgrade ACCESS telecommunications network</i>	1/96				6/97					X
13	2.1.1 Access wanted/warrants search via local computer <i>AOC automates exchange of bench warrants between courts and law enforcement</i>										X
14	3.1.4 Upgrade booking system <i>Implement Electronic Arrest Reporting to WSP and provide jail population info</i>	1/96									X
15	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Interface booking system and CCH</i>	10/91	10/92				X	X			X
16	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Complete implementation of EARS</i>										X
17	4.1.1 Preprint ACN on fingerprint card <i>Maintain, produce and deliver PCN packages to local law enforcement</i>	1/96				6/96					X
18	4.1.1 Preprint ACN on fingerprint card <i>King Co develops and implements optimal PCN procedures</i>	1/96		1/96	3/97						X
19	4.1.1 Preprint ACN on fingerprint card <i>Fund local criminal justice agencies to support PCN implementation</i>	1/96	12/96	1/96							X
20	6.1.4 Upgrade CCH software <i>Enhance WASIS database</i>	1/96	8/99	6/97							X
21	6.2.1 Establish record flags for felony <i>Set felony flags in existing records</i>										X
22	6.3.2 Establish state NIBRS <i>Develop Washington State Incident Based Reporting System plan for interfaces</i>										X
23	6.4.2 Incorporate civil protection order <i>Implement domestic violence subsystem</i>										X
24	6.4.7 Process disposition backlog <i>Process dispo report backlog</i>	10/90	12/92								X
25	6.4.7 Process disposition backlog <i>Support efforts against domestic violence through criminal history record backlog reduction</i>										X
26	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>WSP provides FBI with older dispos in electronic format</i>	1/96		1/96							X
27	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Modify WASIS to allow for automated exchange of info between FBI and repository</i>			2/93							X
28	7.1.1 Synchronize records <i>Process FBI numbers backlog</i>	10/90	10/91								X
29	7.1.3 Assume responsibility for additional III records <i>Become III participant</i>										X
30	10.1.3 Upgrade court information system for disposition purposes <i>AOC modifies Superior Court Mgt Info System as part of Electronic Dispo Reporting (EDR) project</i>	1/96									X

Exhibit B-53 (page 2 of 2)

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	B	N	S	L
		F	F	C	H	C	I
		r	r	H	r	H	a
		o	o	R	n	I	t
		m	o	I	e	P	a
31	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Interface courts and CCH</i>	10/91	10/92	X	X	X	
32	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement electronic submission of judgment and sentencing info</i>		12/90		X	X	
33	14.2.4 Automatically link court dispositions to criminal history record via ACN/CCNs <i>AOC client server info system allows electronic link between dispo and repository</i>	1/96				X	
34	14.2.5 Upgrade electronic connection between courts and repository <i>Develop alternate system configurations for electronic judgment and sentence reporting</i>				X		

Exhibit B-54 Wisconsin

Background Characteristics

State Population (thousands)?	5,160	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	752	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	81.2%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$7.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	No	Source: FBI [January 1999]
Attorney General's Timeline Date?	12/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	Partial	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		o	o	H	R	I	e P e l
		m	m	I	n	e	
1	1.1.6 Study CCH system and/or interfaces thereto <i>Assist local agencies in specifying electronic interfaces for direct reporting to CCH</i>	6/96	6/96			X	X
2	1.2.1 Audit criminal history data quality <i>Conduct audit</i>	9/94	9/94	X			
3	1.4.9 Conduct training for OBTS <i>Conduct training on tracking number</i>	6/96	6/97	6/96	6/97	X	
4	1.5.2 Implement monitoring to identify missing arrests and dispositions <i>Implement monitoring system to flag dispositions that have been open for long time</i>	9/90	9/94	9/90	9/94	X	
5	1.5.5 Develop procedure to participate in III or to achieve NFF status <i>Develop procedure to participate in III</i>	9/90	9/96	9/90	9/96	X	
6	1.5.8 Revise repository procedures <i>Establish one-to-one correspondence between DOC number and SID</i>	3/99				X	X
7	3.1.4 Upgrade booking system <i>Assist local agencies to incorporate tracking numbers in case mgt systems</i>	6/96				X	
8	3.5.1 Establish electronic connection for transfer of booking data to repository <i>Implement electronic arrest reporting</i>	6/97	3/98			X	X
9	4.3.1 Install livescan <i>Purchase four livescan and ten cardscan for local law enforcement</i>	1/96	12/96	3/98			X
10	4.3.2 Upgrade livescan <i>Upgrade eight livescan workstations</i>	10/98	9/99				X
11	4.4.2 Establish electronic connection for transfer of fingerprint image to AFIS <i>Purchase store-and-forward system for electronic FP reporting</i>	1/97	12/97	12/97			X
12	5.2.2 Upgrade AFIS <i>Modify AFIS to accept remote electronic reporting</i>	1/97	12/97	12/97			X
13	5.3.1 Automatically link fingerprint card data to criminal history record <i>Purchase store-and-forward to take data from booking systems and bring text to CCH</i>			12/97			X
14	6.1.3 Upgrade CCH hardware <i>Purchase new CCH database server</i>	1/97	12/97	10/97		X	X
15	6.1.3 Upgrade CCH hardware <i>Install new CCH hardware</i>		12/97	12/97	1/98	X	X
16	6.1.4 Upgrade CCH software <i>Modify CCH to interface with store-and-forward</i>		7/98	10/97		X	X X
17	6.1.4 Upgrade CCH software <i>Begin CCH data conversion</i>	6/96	7/98	10/97		X	X
18	6.2.1 Establish record flags for felony <i>Set felony flags in existing records</i>	9/90	9/94	9/90	9/94	X	
19	6.4.7 Process disposition backlog <i>Process dispo backlog</i>	9/90	9/94	7/95	2/96	X X	X
20	7.1.1 Synchronize records <i>Process FBI numbers backlog</i>	9/90	9/96			X	
21	14.1.1 Establish electronic connection for transfer of prosecution data to repository <i>Enable electronic reporting of prosecutor filings and dispo</i>	12/95	12/97			X	X
22	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Implement electronic dispo reporting</i>	7/98	6/99			X	X
23	14.4.1 Establish electronic connection for transfer of corrections data to repository <i>Implement electronic corrections reporting to CCH</i>	6/98	6/98			X	X

Exhibit B-55 West Virginia

Background Characteristics

State Population (thousands)?	1,826	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	479	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	13.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$4.5	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	1/00	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources			
		Planned	Actual	F	F	C	B N S L
		m	o	T	o	R	H r H a c
							e P e l
1	1.1.18 Study and/or plan for corrections issues <i>Conduct corrections analysis</i>	6/97	10/97				X
2	1.1.18 Study and/or plan for corrections issues <i>Develop PS2 form to improve correctional status report</i>	4/97	12/97	4/97			X
3	1.2.1 Audit criminal history data quality <i>Conduct evaluations to measure progress in achieving NCHIP goals</i>		12/97				
4	1.3.3 Hire staff <i>Hire quality control staff</i>	6/98					
5	1.3.3 Hire staff <i>Hire staff for III</i>	1/98	7/97	7/97			X
6	1.3.3 Hire staff <i>Hire staff for AFIS support</i>	1/98					X
7	1.3.3 Hire staff <i>Hire records improvement administrator</i>	1/96	12/98	7/96		X	X
8	1.3.3 Hire staff <i>Engage system analysis services</i>	4/97	12/98	3/97	3/98		X
9	1.4.1 Conduct training for arrest process <i>Conduct training for arrest packet</i>					X	
10	1.5.1 Upgrade arrest process procedures <i>Develop and utilize arrest packet</i>					X	
11	1.5.8 Revise repository procedures <i>Write repository regulations</i>	4/97	6/98				X
12	1.7.2 Upgrade in-state communications <i>Upgrade WEAPON SYSTEM</i>			6/93	6/95	X	X X X X
13	3.1.2 Computerize charge code table <i>Automate WV offense codes</i>	7/97	12/97				X X
14	4.3.1 Install livescan <i>Install livescan terminals</i>	7/97	12/97			X	X
15	4.4.1 Establish electronic connection for transfer of fingerprint image to repository printer <i>Purchase store-and-forward server to transfer livescan FP images to repository</i>						X
16	4.4.1 Establish electronic connection for transfer of fingerprint image to repository printer <i>Accept FP submissions by regional jail facilities</i>	1/98					X
17	5.4.1 Join regional AFIS <i>Explore possibility of sharing AFIS with another state</i>			12/97		X	X X
18	6.1.1 Computerize MNI <i>Automate MNI</i>		1/95	1/95		X	
19	6.1.2 Computerize criminal history records <i>Automate records</i>	1/96	12/97	12/95			X X
20	6.1.2 Computerize criminal history records <i>Install CCH</i>		6/95	6/95		X	X X
21	6.1.4 Upgrade CCH software <i>Upgrade automation at repository</i>	6/97	10/97			X	
22	6.2.1 Establish record flags for felony <i>Flag felons</i>			12/95		X	X
23	6.4.2 Incorporate civil protection order <i>Create stalking reduction/domestic violence registry</i>			6/97			X
24	7.1.3 Assume responsibility for additional III records <i>Participate in III</i>		12/99			X	X X
25	9.1.2 Upgrade court information system <i>Upgrade software in automated courts</i>			8/97		X	X
26	10.1.3 Upgrade court information system for disposition purposes <i>Upgrade court system to enable 80% automated dispo reporting</i>	4/97	4/98	6/97			X
27	12.1.1 Computerize corrections data <i>Initiate regional jail automation and provide for correctional status interface to CCH</i>	4/97	12/97			X	
28	15.1.4 Provide for direct access to firearm check information <i>Purchase, install and test instant check system</i>	1/97	12/98				

Exhibit B-56 Wyoming

Background Characteristics

State Population (thousands)?	481	Source: US Census Bureau population estimates [December 1996]
Number of Persons with Arrest Records in Central Repository (thousands)?	90	Source: SEARCH [1998]
Percentage of Arrest Records that are Automated?	100.0%	Source: SEARCH [1998]
Federal Records Improvement Funds Awarded to State (\$ millions)?	\$1.7	Includes CHRI (all), Byrne 5% ('92-'98), NCHIP ('95-'98); Source: BJS [October 1998]
III Participant?	Yes	Source: FBI [January 1999]
Attorney General's Timeline Date?	5/94	Date when at least 80% of all records are current and shareable; Source: BJS [August 1996]
NFF State?	No	Source: FBI [January 1999]
State's AFIS Consortium Membership?	--	Source: State NCHIP Grant Application [1995], as updated
NICS POC Participation?	None	Source: FBI [January 1999]

Criminal History Records Improvement Activities

#	Activity Classification and Description	Time Frame		Funding Sources							
		Planned	Actual	F	F	C	B	N	S	L	
				R	R	H	y	r	C	t	o
				I	T	I	e	P	e	I	a
				e	o	e	r	r	a	c	e
1	1.1.11 Study and/or plan for system-wide issues <i>Initiate CJS design</i>	12/86									X
2	1.2.1 Audit criminal history data quality <i>WY and FBI evaluate criminal history audit program</i>	8/95		8/95							X
3	1.4.1 Conduct training for arrest process <i>Train records mgt personnel</i>	12/91	9/93	12/91	9/93	X					
4	1.4.10 Conduct training for data entry <i>Train personnel to audit and update III records as part of synchronization effort</i>	9/95	10/97						X		
5	1.5.6 Create audit procedure <i>Establish audits for problem agencies</i>	12/91	9/93	12/91	9/93	X					
6	1.6.7 Legislate criminal history record keeping systems <i>Enact Criminal History Record Act</i>		5/87	5/87							X
7	1.7.2 Upgrade in-state communications <i>Install 10 network controllers to improve CCH accessibility</i>	12/91	9/93	12/91	9/93	X					
8	3.1.1 Computerize booking data <i>Natrona Co and Weston Co Sheriffs' Offices complete records system automation</i>	4/93		3/95		X					X
9	3.5.3 Update electronic connection between law enforcement and repository <i>Convert 25 local agencies to WCJIN using communication establishment controllers</i>	4/93		7/97		X			X		X
10	4.3.1 Install livescan <i>Place livescan devices at four key locations</i>	4/96	9/96						X		
11	5.1.1 Create procedure to make repository single source <i>Become sole source participating III</i>		12/79	12/79						X	
12	5.3.1 Automatically link fingerprint card data to criminal history record <i>Establish AFIS/CCH interface</i>								X		
13	5.4.1 Join regional AFIS <i>Participate in WIN</i>		11/89	11/89						X	
14	6.1.2 Computerize criminal history records <i>Automate 7.8k manual state records</i>	12/91	9/93	6/93	X						
15	6.2.1 Establish record flags for felony <i>Modify programs to identify convicted felons</i>	12/91	9/93	9/93	X						
16	6.4.2 Incorporate civil protection order <i>Develop protection order file</i>								X		
17	6.5.1 Establish electronic connection for transfer of booking and disposition data to FBI <i>Contribute dispo data to FBI via magnetic tape</i>		11/90	11/90						X	
18	7.1.1 Synchronize records <i>Design programming enhancements to process FBI III audit synchronization tapes</i>	9/95	10/97	6/97					X		
19	7.1.2 Set felony and other flags <i>Complete flagging in FBI files</i>	9/95	10/96						X		
20	7.1.4 Upgrade message switch communications <i>Upgrade message switch system</i>								X		
21	9.1.1 Computerize court data <i>Support municipal courts in court automation project</i>	2/94						X		X	
22	9.1.1 Computerize court data <i>Buffalo and Torrington participate in court automation project</i>			6/97						X	
23	9.2.1 Establish electronic connections between/among courts <i>County, Justice and Municipal Courts access court database on state's mainframe</i>	9/95	12/96	12/96					X		
24	14.2.2 Establish electronic connection for transfer of court disposition data to repository <i>Create "programming bridge" to access court system</i>	10/95	12/95	4/97					X		
25	14.4.2 Automatically link corrections status to criminal history record <i>DOC and criminal records section automate inmate status and link to criminal history record</i>	10/95	2/96						X		