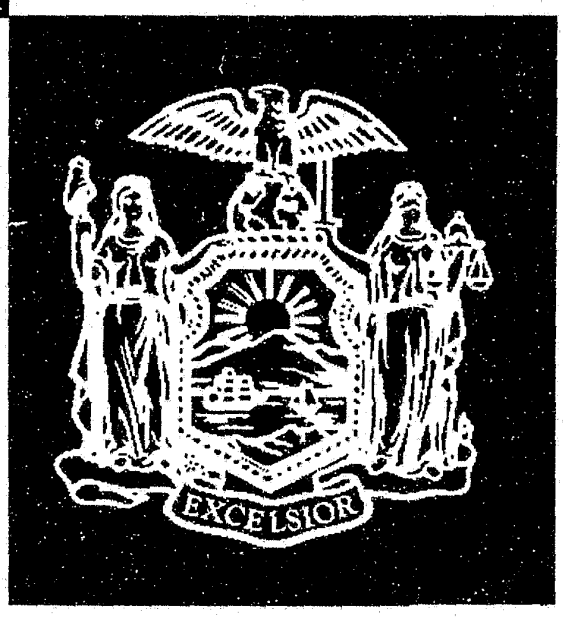
THE LEGISLATURE – STATE OF NEW YORK

Legislative Commission On Expenditure Review

Criminal Justice Information Systems



Program Audit
February 1992

STATE OF NEW YORK
LEGISLATIVE COMMISSION
ON EXPENDITURE REVIEW
111 WASHINGTON AVENUE - - ALBANY, NEW YORK 12210-2277
518-455-7410 FAX 518-449-5907

Legislative Commission On Expenditure Review

Criminal Justice Information Systems

Program Audit
February 1992

Summary and Conclusions

New York's criminal justice system encompasses nine State agencies and thousands of local agencies including the courts, police and sheriffs departments, district attorneys, public defenders, probation departments and local correctional facilities. In 1989, this system handled 1.1 million arrests, 653,978 arrest case filings, 78,377 felony indictments, 26,046 State prison sentences, 53,688 probation sentences and 143,510 admissions to county jails.

Given this substantial volume of work, the ability of criminal justice agencies to accurately collect, store and transmit information in a timely manner is crucial. Decisions about bail, case disposition and subsequent sentencing depend upon the information contained in documents such as criminal histories, arrest reports, and pre-sentence reports.

Responding to a 1982 report criticizing New York State's criminal justice information systems, the Governor proposed and the Legislature approved the Systems Improvements for Enhanced Community Safety Program (SIFECS) in 1985-86. This audit reviews the progress made by SIFECS in improving State and local criminal justice information systems. SIFECS was intended to realize these improvements through increased automation, improved data quality and more data exchange among criminal justice agencies.

SIFECS progress toward its three goals has had both successes and failures. On the positive side, automation of local criminal justice agencies' operations was enhanced by SIFECS information systems while an automated fingerprint identification system has provided law enforcement with an important crime solving tool. A SIFECS supported information system increased the amount and timeliness of criminal history information in New York City. Relative to data exchange, standard data definitions were widely accepted in the law enforcement community while SIFECS developed the structure for a consolidated State criminal justice telecommunication system. These successes were tempered by delays in implementing the fingerprint identification system and in consolidating State criminal justice telecommunications including linkages between criminal justice agencies and State criminal justice data bases. Also significant problems remain in the completeness of criminal history information outside New York City. Insufficient interagency cooperation and coordination has adversely affected the telecommunications and criminal history information projects and must be overcome if further criminal justice information system improvements are to be fully realized.

Program Development and Audit Scope

SIFECS formally began in 1985-86 under the oversight of the State Division of Criminal Justice Services (DCJS). DCJS worked with many State and local criminal justice agencies developing and overseeing program implementation to achieve the following goals:

—To automate and streamline the administrative aspects of criminal justice agencies;

—To improve the quality of information provided by State criminal justice agencies; and

—To promote the exchange of data among criminal justice agencies.

From 1985-86 to 1989-90, SIFECS received $54.6 million of appropriations and expended $38.9 million. The underspending was principally due to the failure of the State Automated Fingerprint Identification System to progress as quickly as anticipated so that $10.3

million was not spent and a reduction of $4.3 million from appropriations to the State Division of the Budget's allocation.

SIFECS funded a variety of State and local projects to realize its three principal goals. Chart S-1 and Table S-1 divide SIFECS expenditures by goal and by agency. Projects whose primary goals were quality of information ($20.0 million) and data exchange ($7.9 million) consumed 72 percent of total expenditures. As Table S-1 demonstrates, SIFECS funds were expended by eight agencies. DCJS (26 percent), project support (21 percent) and the Department of Correctional Services (17 percent) expended almost two-thirds of program dollars.

Reflecting the diversity of SIFECS funding, we used several audit methods. We conducted case studies of selected State agency projects (Exhibit S-I) through interviews, data requests and document analyses supplemented by field work. To assess SIFECS support for local criminal justice agencies, we visited nine counties and New York City observing program operations, interviewing representatives of 68 criminal justice agencies and gathering documentation on SIFECS local impact. In addition, we assessed six SIFECS local information

CHART S-1

SIFECS EXPENDITURES BY OBJECTIVE 1985-86 TO 1989-90

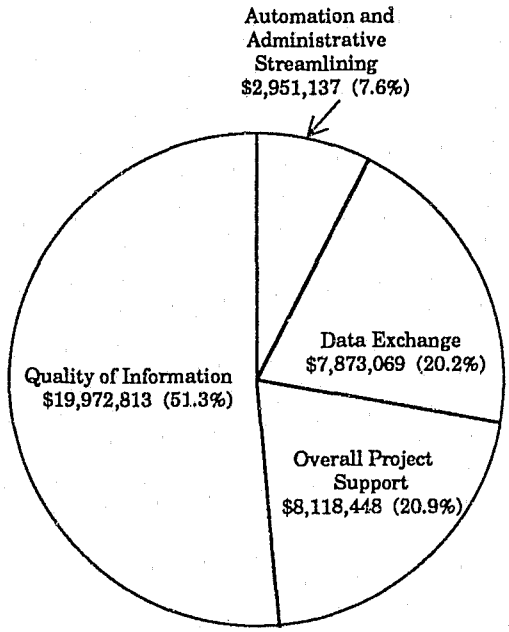


TABLE S-1

STATE AGENCY SIFECS EXPENDITURES

Agency	Expenditures	Percent of Total Expenditures
Division of Criminal Justice Services	$9,916,763	25.5%
Project Support[a]	8,118,448	20.9
Department of Correctional Services	6,535,319	16.8
Division of State Police	4,227,448	10.9
CRIMNET[b]	3,826,607	9.8
Division of Parole	3,041,094	7.8
Division for Youth	1,209,887	3.1
State Commission of Correction	802,159	2.1
Department of Probation and Correctional Alternatives	769,327	2.0
Office of Court Administration	468,415	1.2
Total	$38,915,467	100.1%

[a]Project Support represents DCJS expenditures for SIFECS project support staff and local assistance.
[b]CRIMNET is the Criminal Justice Telecommunications Network.

EXHIBIT S-I

SIFECS
STATE INFORMATION SYSTEMS PROJECTS EVALUATED
1985-86 TO 1989-90

Agency-Project	Expenditures	Overview
DOCS-Mainframe Acquisition and Population Management System (PMS)	$5,720,780	Mainframe was acquired and PMS was operational. DOCS did not complete evaluation measures on PMS software.
DOP-Development of Management Information System	2,875,676	Main system is operational in select offices around State. Of two prototypes, one was successful in providing timely information about parole violators while the second documenting parole officer contacts was abandoned.
DCJS-Remedial Efforts to Improve Disposition Reporting	2,545,134	Three projects collecting or verifying disposition information were somewhat successful though efforts to collect missing dispositions from 1978 to 1984 were abandoned as not cost effective.
DCJS-OCA Criminal Records Information Management System (CRIMS)	468,415	CRIMS provided increased disposition information. However, a lack of sufficient testing and documentation contributed to high error rates after implementation.
DCJS-State Automated Fingerprint Identification System (SAFIS)	6,568,914	SAFIS helped law enforcement agencies identify suspects from crime scene prints. System elements were delayed from one to three years because of over optimistic schedules and vendor staffing problems.
DCJS-State Criminal Justice Telecommunications Network (CRIMNET)	3,826,607	State agencies' linkage into shared telecommunications pathway grew slowly until 1990-91. Direct access of criminal justice agencies to State criminal justice data bases ran into technical problems.

systems. We also surveyed the police departments and local judges in the nine counties and all users of SIFECS software for probation departments and district attorney offices.

STATE AND LOCAL AUTOMATION

This section reviews SIFECS programs to increase automation in State and local criminal justice agencies.

State Agencies

SIFECS entered into agreements with six State agencies to fund improvements in agency information systems. SIFECS projects were governed by agreements between DCJS and the agency specifying the scope, time schedule, reporting requirements and measures to evaluate the project's impact on agency operations. Technical assistance provided by DCJS varied

widely among the agencies. However, the agencies were satisfied with the level of DCJS technical assistance. We reviewed projects funded for the State Department of Correctional Services (DOCS) and the State Division of Parole (DOP) to assess SIFECS impact.

DOCS acquired and installed a mainframe computer and developed the Population Management System (PMS) as its mainframe management information system. This system was delayed about 14 months because of hardware and software conversion difficulties. While it provides new tools to improve agency operations such as the classification of inmates, DOCS failure to produce the evaluation measures required in the project agreement or alternative evaluation measures makes it impossible for us to fully assess project impact at this time.

DOP's three SIFECS projects were the development of an agency management information system, a parolee contact model and a system on parole violations. The management information system known as PARTNER consists of four phases and has been implemented in only selective Parole offices because of competing work load priorities. The parolee contact model, C-POLES, failed because the information system was too cumbersome. A revised version is planned for integration into PARTNER. The system on parole violations, Jail Time, was successfully implemented and became part of PARTNER's last phase. It provided DOCS and DOP with timely information about parole violators. This should enable DOP to expedite inmate Parole Board hearings. Evaluation of PARTNER's impact has not been completed because the system has not been fully operational. Because automated data exchanges between DOCS, DOP and local criminal justice agencies have yet to be developed, local agencies do not have direct access to data on PARTNER or DOCS Population Management System.

Local Agencies

As Exhibit S-II details, SIFECS supported the development of five automated and one manual information system for local criminal justice agencies. According to State agency records, the systems served from 21 percent (Prosecutor Case Tracking System) to 66 percent (Jail Management System) of potential users. However, LCER analysis using survey responses found that DCJS overestimated users of the Criminal Justice Personnel Management System by 47 percent and the Warrant Management System by 52 percent in our sample counties. A November 1991 follow-up telephone survey by DCJS found lower but still significant error rates of 28 percent for Personnel Management and 20 percent for the Warrant Management System.

Reasons for agencies not using the systems varied. Our surveys found local agencies did not use the two warrant systems and the Personnel Management System primarily because of a lack of awareness and a perception that existing systems already met their needs. For the probation and prosecutor information systems and the Jail Management System, agency officials indicated that they were either not aware of the system or that the system did not meet local needs. Officials in larger counties indicated that the systems were not designed to meet their needs.

Local agencies gave DCJS and the State Division of Probation and Correctional Alternatives high marks for technical assistance in system installation and maintenance. Chart S-2 indicates that the vast majority of LCER survey respondents perceived that the information systems had somewhat or greatly improved their agency operations. This finding was reinforced in our field interviews. Specific impacts on local agency operations included:

—Increased warrant clearance rates;

—Expedited preparation of the sheriff's annual report; and

—Expedited processing of inmate readmissions.

A warrant clearance rate is the number of warrants executed divided by the number of warrants received during a given period. These impacts were substantiated through a review of local warrant processing statistics and examination of local documentation and local interviews.

Quality of Information

We assessed how SIFECS improved the quality of the following information available from State criminal justice agencies:

—Fingerprint identification
—Criminal history information

Fingerprint Identification System

The State Automated Fingerprint Identification System (SAFIS) was designed to enable law enforcement officials to search latent (crime scene) fingerprints against an automated fingerprint data base and to

EXHIBIT S-II

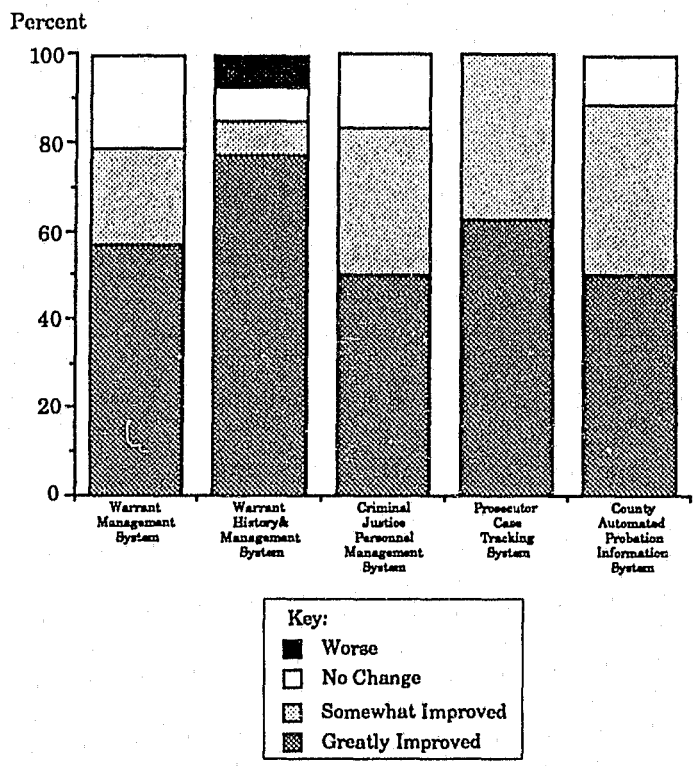
SIFECS LOCAL INFORMATION SYSTEMS EVALUATED

System	Use	Potential Users Percent (Number)	Reasons for Nonuse[c]	Assessment
Warrant Management System	Manual system to track arrest warrants	62%[a] (338)[b]	Need already met (30%) Not aware (22%) Did not meet local needs (14%)	State user records overestimate usage; System organizes warrants; Increases clearance rates.
Warrant History and Management System	Automated system to track arrest warrants	24% (130)	Need already met (28%) Not aware (22%) No local support (15%)	Management tool has increased clearance rates; System can distribute lists of outstanding warrants.
Jail Management System	Aids billing, reporting and other jail operations	66% (38)	Not aware Did not meet local needs	Cuts time to prepare Sheriff's Annual Report and speeds inmate processing.
Prosecutor Case Tracking System	Aids DA's case tracking and reporting operations	21% (12)	Did not meet needs of large counties; Not aware or no need in small counties.	Greatest impact in helping to analyze case dispositions and to manage caseload.
Criminal Justice Personnel Management System	Aids personnel, payroll, inventory and other support operations	46% (253)[b]	Not aware (27%) Need already met (23%) No local support (13%) Currently installing (13%)	Few comments about system's impact; only recently implemented.
County Automated Probation Information System	Stores standard information about various types of probation cases	41% (22)	Did not meet needs of large counties; Not aware or no need in small counties.	Greatest impact in supporting report generation, and supervision of probationers.

[a]Percent of reported users from total population.
[b]Number of users reported probably too high for these systems based on survey results.
[c]Survey results are source for percentages; otherwise field visit interviews.

CHART S-2

IMPACT OF SIFECS SOFTWARE ON LOCAL AGENCY OPERATIONS LCER SURVEYS



streamline the processing of fingerprint arrest cards. Before SAFIS, searches of latent fingerprints against a State data base of four million sets of fingerprints were not usually successful unless a suspect had been identified.

DCJS's planning efforts were consistent with prevailing standards for development of these automated systems. DCJS also extensively evaluated the four vendor proposals but did not assess the vendor's ability to adequately staff the project. This weakness combined with over optimistic time schedules contributed to project delays as the vendor was initially unable to adequately staff the project. The first two project phases (central and remote sites for identifying latent prints) were delayed about a year while the third phase (central arrest fingerprint card processing) is expected to be operational in 1992, about two and one-half years late.

As of August 1991, the central latent site and the 12 remote latent sites (from which law enforcement officials statewide can use SAFIS) are operational.

DCJS terminated the last SAFIS contract phase which involved remote processing of fingerprint arrest cards and substituted a digital facsimile network which was completed in September 1991. DCJS claimed 1991-92 savings of $363,700 from this substitution.

SAFIS has provided law enforcement with a new automated search capacity which has been useful in identifying suspects as demonstrated in the New York City case described below:

> On July 17, 1990, ... a female known to this department answered a knock at her apartment door. The perpetrator displayed a gun and forced his way into the residence. He tied up two other persons who were present in the apartment. He then at gun point took the complainant to one of the rear bedrooms where he raped and sodomized her. Latent prints recovered from the crime scene were entered in SAFIS for a search through the New York City database with negative results. A second inquiry was conducted expanding the search parameters to include the entire New York State database. A positive identification was effected. It turned out that the individual identified had only one arrest which was in Troy, New York. This person was subsequently arrested and charged with this crime and is awaiting trial.

As of August 1991, SAFIS had searched 54,177 latent fingerprints for 35,734 cases and made 1,081 identifications assisting law enforcement in their investigative functions. Delays in SAFIS implementation, however, reduced the expected availability of the system for law enforcement.

Criminal History Information

DCJS is New York State's repository for individual criminal history information and disseminates criminal histories (rap sheets) to law enforcement agencies for use in criminal proceedings. To create the rap sheets, DCJS receives arrest information primarily from law enforcement agencies and disposition or outcome information on those arrests from the State Office of Court Administration (OCA). Information on any sentence and whether it has been satisfied is also on the DCJS computer. A few examples of common dispositions include dismissals, guilty pleas to the arrest charges,

pleas to a reduction from the arrest or indictment charges and a conviction after a trial. OCA's disposition information comes primarily from:

1. The Criminal Records and Information Management System (CRIMS) completed for New York City by August 1990 and expanded to several other high volume courts such as the Nassau County District Courts by July 1991.

2. Paper forms mailed from the remainder of the State's courts except for the town and village courts which began to mail dispositions directly to DCJS as of May 1991.

The quality of criminal history information was criticized in a 1982 report of the Liman Commission and in a September 1990 Office of the State Comptroller audit which found incomplete and inaccurate rap sheets.

Program Initiatives. To improve disposition reporting, $3.5 million was expended on SIFECS initiatives. These projects were either remedial to gather or correct information ($2.5 million) or structural to revise reporting systems ($1.0 million). Three remedial efforts are described below:

1. Based upon a 1979 court decision, DCJS verified and collected missing dispositions for the period from 1974 to January 1977. Approximately half of the 486,323 dispositions verified contained at least one error. Also, 122,000 missing dispositions were collected and processed.

2. The second project collected missing dispositions from 1978 to 1984, primarily from outside New York City. DCJS abandoned the project as not cost effective after dispositions were collected for only 32 percent of the arrests.

3. From March 1987 to October 1990, DCJS sent missing disposition notices for 24,239 arrests to 39 courts and received some disposition information for two-thirds of those arrests.

SIFECS programs to revise disposition reporting were updating the rap sheet format and implementing CRIMS in New York City. DCJS opted not to make major revisions to the rap sheet format awaiting improvements in the quality of criminal history information.

We examined OCA-DCJS correspondence on CRIMS planning and implementation and interviewed DCJS and OCA staff. This review showed that OCA and DCJS had an ongoing and close working relationship for CRIMS. However, it also illustrated that OCA and DCJS were unable to develop and implement common system development standards partly because of differing agency priorities. DCJS requested that OCA provide more extensive system documentation and conduct more tests prior to implementation than OCA believed necessary or possible. For example, OCA had originally agreed to two weeks of parallel testing — entering the same cases into both the old and the new information systems — before implementing CRIMS in Criminal and Superior Court. However, OCA ultimately conducted fewer days of parallel testing because of fiscal constraints. OCA officials stated that their testing and documentation efforts were satisfactory especially since they deemed early implementation essential to reduce case backlogs. Subsequent to implementation, OCA error correction efforts lagged because of programming complexities, resources diverted to implement CRIMS beyond New York City and fiscal cutbacks. The impact of the inability of OCA and DCJS to implement common standards is discussed below.

Program Results. Through interviews, surveys and data requests, we reviewed local criminal justice agencies' access to rap sheets, and obtained their views on rap sheets' accuracy and completeness. Most public defender agencies in the medium and small sized counties we visited complained about problems in obtaining rap sheets for their clients. State law requires that the courts provide defendants or their attorney a copy of their rap sheets.

Chart S-3 reveals that the problem of arrests with missing dispositions is primarily an upstate problem. From 1984 to 1989, the proportion of New York City arrests with missing dispositions averaged between three and four percent compared to over 20 percent for upstate arrests. Town and village courts (30 percent) and other on-line courts (24 percent) had the greatest proportion of missing dispositions from 1989 arrests. Missing disposition information may affect criminal justice operations such as the completion of pre-sentence investigations, plea bargaining and sentencing and elevation of charges.

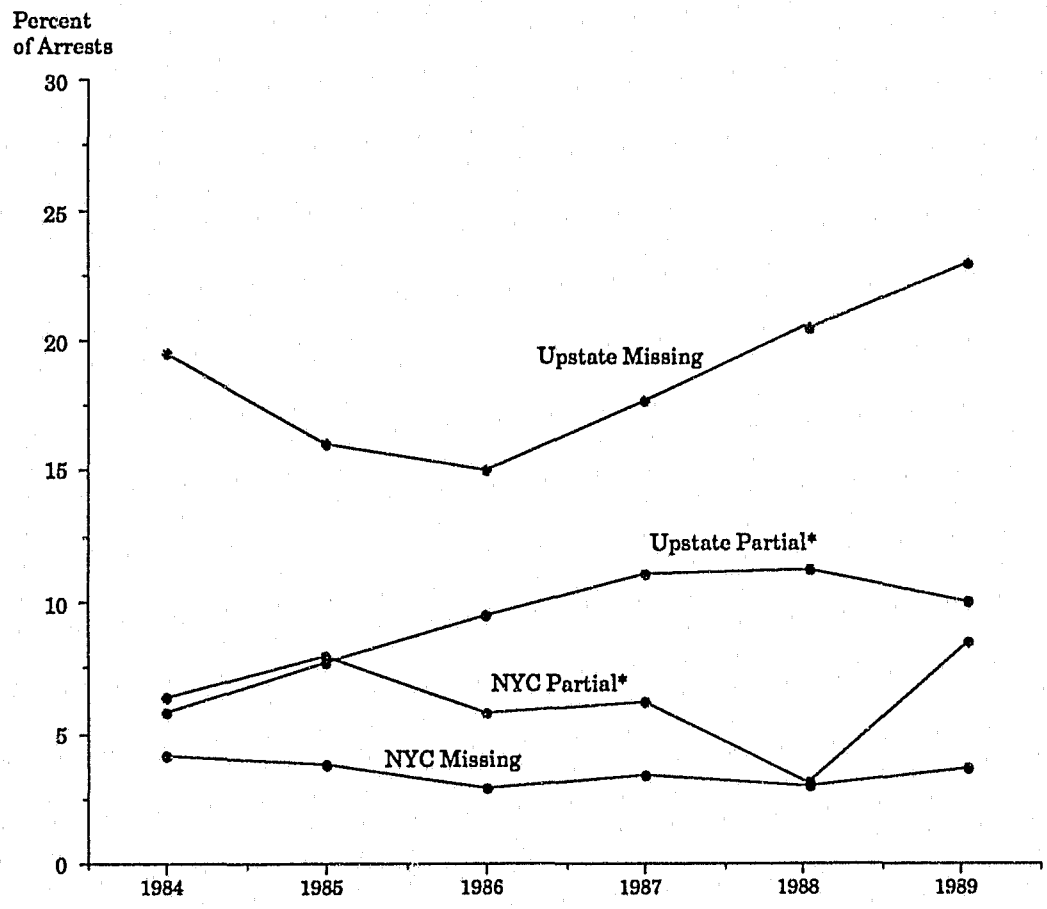
In New York City, CRIMS has provided DCJS with additional disposition information faster than the previous information system. However, the OCA-DCJS disagreement about system development standards reduced the full impact of CRIMS improvements on the criminal history data base. For example, the number of

outstanding errors for CRIMS Criminal Court cases rose from 12,097 in September 1989 to over 200,000 in July 1990 before declining to 97,600 in March 1991. OCA's decision to conduct less extensive testing prior to implementation than requested by DCJS and OCA's reduced priority to error correction contributed to the growth of these errors. Thus while OCA benefited from an early implementation of CRIMS on court operations in New York City and beyond, less than full scale testing exacerbated CRIMS data accuracy problems.

Sources of Upstate Problems. Two factors — lack of local court automation and delays in OCA processing of paper dispositions including those of the town and village courts — have contributed to the disposition reporting problem upstate. Field visit interviews and our review of OCA and DCJS initiatives to improve court automation indicate that many of the town and village courts lack the staff and automated equipment to timely report dispositions. Also, OCA in January 1991 had a four and one-half month backlog in processing paper

CHART S-3

MISSING AND PARTIAL DISPOSITIONS
NEW YORK CITY AND UPSTATE
1984 TO 1989



Note: Percentages taken from reports produced approximately one year after the end of each calendar year.

*Includes cases with some but not final information on case disposition, but excludes bench warrant only cases.

dispositions. This backlog was reduced 32 percent by July 1991 through greater data entry efforts and the transfer of town and village court dispositions to DCJS in May 1991. However, OCA and DCJS have not formally divided responsibility for following up on missing dispositions from these local courts. The absence of a working agreement could lead to inadequate or duplicated efforts.

Implementation of the CRIMS system for entering paper disposition forms was expected to increase productivity in entering these forms. However, using OCA figures, the number of forms entered per full-time equivalent (FTE) staff dropped from 1,111 in a four week term ending in January 1991 to 944 in a July 1991 term, a decline of 15 percent. OCA staff argued that this was an invalid measure of productivity because the time frames were too short, OCA's FTE figures do not reflect data entry hours and other factors such as computer down time and system conversion. Given these OCA concerns, development of a data base to assess the degree of productivity improvements under CRIMS would seem important.

State and Local Data Exchange

Once information is entered and of adequate quality, automated data exchanges among criminal justice agencies require data standardization and linkages among the computers involved to proceed.

Standardization

DCJS promoted standardization through the *Statewide Criminal Justice Data Dictionary* and the issuance of three standard criminal justice data collection forms.

The *Data Dictionary* in its third edition in February 1991 is a cooperative effort among State and major local criminal justice agencies to assure that common definitions and formats are used in automated data exchanges. One hundred and ninety terms have been standardized. The *Data Dictionary* is accepted as a standard by the State and New York City criminal justice agencies and the law enforcement agencies in the counties we visited. However, awareness and usage of the standards was limited among the district attorney offices and the probation departments outside New York City visited which had or were planning automated systems. Greater awareness would support future data exchange efforts.

As of July 1991, the three standardized forms developed by SIFECS — the Standard Arrest Report (371 criminal justice agencies), the DWI Arrest Instrument (42 counties) and the Standard Incident Report (167 criminal justice agencies) — were widely used by local law enforcement agencies. Excluding the Standard Incident Report with which agencies had little operating experience, users perceived the other two forms as concise and comprehensive and meeting their information needs.

Data Exchange

The Criminal Justice Telecommunications Network (CRIMNET) was conceived in 1986 to save monies through consolidating State agency leased telecommunications lines along a high speed pathway. CRIMNET also was intended to provide State and local criminal justice agencies with direct access to various State criminal justice data bases. The pathway is a number of dedicated lines available to transmit data from criminal justice agencies. Prior to the pathway, more than one State criminal justice agency leased separate lines from Albany to New York City.

In April 1988, after the initial installation of the pathway, the State criminal justice agencies considered a proposal to join a telecommunications network being developed by the State Office of General Services (OGS) known as Empire Net. In June 1989, after many meetings and much correspondence with OGS, the agencies decided not to join Empire Net. The agencies concluded that Empire Net would be more costly than CRIMNET and that OGS could not satisfactorily answer many technical questions about the network's operations. Our review of OGS-DCJS Empire Net correspondence substantiates that the conclusions underlying their decision were reasonable.

The statewide network or pathway was originally installed in 1986 and upgraded in 1989. However, the number of State agency leased lines linked to the pathway rose slowly from six in 1985-86 to 31 in 1989-90, before increasing sharply to 95 by the end of 1990-91. Forty-nine percent of eligible agency leased lines were consolidated into the pathway as of March 1991.

Concerns about pathway financing and control delayed State criminal justice agency consolidation of leased lines. DOCS and DOP are the two major agencies which have linked few or no leased lines into the pathway. DOCS is assessing its program voice communications needs before deciding whether to link to the pathway. However, we found that DOCS, and the State, may realize cost savings from consolidating individual leased lines because pathway costs are assumed by SIFECS and room exists for additional lines on the pathway.

State agency leased line costs (including the costs of operating and maintaining the pathway) dropped from an average of $19,136 in 1985-86 to $17,835 in 1990-91, a decline of 6.8 percent. These cost savings occurred primarily because of the availability of lower federal tariff rates to State criminal justice agencies.

CRIMNET's second goal to achieve direct access to State criminal justice data bases for many State and local agencies has progressed slowly. As of July 1991 DCJS was evaluating the proposals of four vendors who responded to a February 1990 Request for Information (RFI). DCJS attributed the slow progress to technical difficulties and vendors reluctance to commit substantial resources because of the State fiscal crisis. Vendors might be reluctant because the RFI contains no State commitment to purchase from the proposals submitted.

Chart S-4 portrays the current automated data exchange linkages among State criminal justice agencies. Of the ten linkages (of a potential of 36), eight have been developed since SIFECS began in 1985. DCJS with six and DOCS with four are involved in the most linkages. Coupled with CRIMNET, additional linkages such as between the State Police and the courts or DOP would move the State toward a more integrated criminal justice information system.

CHART S-4

STATE CRIMINAL JUSTICE AGENCIES COMPUTER DATA INTERFACES[a]
YEAR OF INCEPTION
AUGUST 1991

	DCJS[b]	DSP[b]	DOCS[b]	DOP[b]	OCA[b]	DPCA[b]	SCOC[b]	CVB[b]	DFY[b]	Total
DCJS	X	70	90	91	80	85	85	--	--	6
DOCS	90	--	X	85	91	--	87	--	--	4
DSP	70	X	--	--	--	85	--	--	--	2
DOP	91	--	85	X	--	--	--	--	--	2
OCA	80	--	91	--	X	--	--	--	--	2
DPCA	85	85	--	--	--	X	--	--	--	2
SCOC	85	--	87	--	--	--	X	--	--	2
CVB	--	--	--	--	--	--	--	X	--	0
DFY	--	--	--	--	--	--	--	--	X	0

[a]In addition, the Division of Criminal Justice Services and the Division of State Police have data links to the following local criminal justice computers:

New York City Police Department, Nassau County Police Department, Suffolk County Police Department, Onondaga County centralized police services, Monroe County centralized police services, Erie County centralized police services

These links were established in the late 1970s and early 1980s.
In addition, DCJS established a computer-to-computer link with the New York City Probation Department in 1991.

[b]Abbreviations Used:

DCJS:	Division of Criminal Justice Services	DPCA:	Division of Probation and Correctional Alternatives
DOCS:	Department of Correctional Services	SCOC:	State Commission of Correction
DSP:	Division of State Police	CVB:	Crime Victims Board
DOP:	Division of Parole	DFY:	Division for Youth
OCA:	Office of Court Administration		

Among New York City and the nine counties visited, automated data exchanges among local agencies existed only in New York City and in Erie, Nassau, and Suffolk counties — the three large field visit counties. The existence of separate and unlinked manual and automated warrant systems in the New York City courts, the Police Department, the Probation Department and the Department of Corrections is a significant void in the City's automated data exchanges. Upstate, efforts to create local data exchanges among the medium sized field visit counties failed while no serious local efforts were made to link agencies in the three small field visit counties.

Conclusions

SIFECS progress toward its three goals has had both successes and failures. On the positive side, automation of local criminal justice agencies' operations was enhanced by SIFECS information systems while SAFIS provided law enforcement with an important crime solving tool. Also, CRIMS lays the groundwork for improvements in criminal history information while the *Statewide Criminal Justice Data Dictionary* and CRIMNET provided the foundation for further data exchange among criminal justice agencies. These successes were tempered by project delays in SAFIS and CRIMNET, inadequate implementation of CRIMS and technical difficulties that slowed linkages between State criminal justice data bases and users in State and local criminal justice agencies. Lack of sufficient interagency cooperation and coordination, factors which affected the implementation of CRIMNET and CRIMS, must be overcome if further improvements in criminal justice information systems are to be fully realized.

Findings and Recommendations for Comment

Chapter 58 of the Laws of 1980 requires heads of audited agencies to report within 180 days of receipt of the final program audit to the Chairman of the Legislative Commission on Expenditure Review and the Chairmen and the Ranking Minority Members of the Senate Finance Committee and the Assembly Ways and Means Committee on what steps have been taken in response to findings and conclusions and where no steps were taken, the reasons therefor.

1. Project agreements between DCJS and other State agencies receiving SIFECS funding required evaluation measures to assess project impact. DOCS did not produce the evaluation measures for its Population Management System while Parole has not evaluated its PARTNER information system because the project is not fully operational. Thus, the projects' full impact on agency operations cannot be determined. **As monitoring agency for the project agreements, DCJS should assure that DOCS conducts its evaluation of the Population Management System while Parole completes its PARTNER evaluation when the system is fully operational. (See p. 12).**

2. A significant number of local agencies listed as users for two of the six SIFECS local information systems — DCJS's Criminal Justice Personnel Management System and Warrant Management System — were not currently using the systems. DCJS was responsible for developing and promoting the use of these information systems in local criminal justice agencies. **These discrepancies overstate local agency progress in adopting the information systems. DCJS should develop an accurate list of system users and make further efforts to promote usage. (See pp. 17-18).**

3. Completion of the State Automated Fingerprint Identification System (SAFIS) was delayed because of initial vendor staffing problems and over optimistic time schedules. The first two project phases were delayed about a year while the third phase processing arrest fingerprint cards is expected to be operational in 1992, about two and one-half years late. As of August 1991, SAFIS had searched 54,177 latent prints for 35,734 cases and made 1,081 identifications to assist law enforcement investigations. SAFIS was designed to enable law enforcement to search latent, crime scene fingerprints against an automated data base and to streamline the processing of arrest fingerprint cards. Delays in SAFIS implementation reduced availability of the system for law enforcement usage. (See pp. 30-32).

4. While CRIMS has provided more extensive and timely disposition information, the number of errors for Criminal Court cases rose from 12,097 in September 1989 to over 200,000 in July 1990 before declining to 97,600 in March 1991. Development of an automated information system linking two agencies requires careful planning and testing to assure successful implementation. OCA and DCJS were unable to agree on common system development standards in implementing CRIMS. As a result, OCA, citing fiscal constraints, conducted less testing and provided less extensive documentation than requested by DCJS prior to CRIMS implementation. Subsequent to implementation, OCA gave a reduced priority to error correction. These decisions contributed to the growth in Criminal Court errors. **To assure that future linkages or upgrades of existing linkages are adequately planned, OCA and DCJS should consummate an interagency agreement on system development standards. (See pp. 34-36, 39-42).**

5. Almost all of the public defender agencies in the small and medium sized counties visited cited problems in obtaining rap sheets. Under the Criminal Procedure Law, the courts are required to send to a defendant or his or her attorney the client's criminal history rap sheet. Without the rap sheet, the attorney's ability to fully represent their client is reduced. **OCA should communicate the importance and statutory obligation of providing rap sheets to defendants or their attorneys to the courts. (See p. 36).**

6. Missing dispositions are more prevalent upstate especially in the town and village courts. The lack of automation in those courts and OCA's backlogs in processing paper dispositions have contributed to this problem. DCJS assumed responsibility for processing town and village court dispositions from OCA in May 1991. However, no detailed interagency agreement has been developed to follow up on missing dispositions from these courts. Disposition information is needed for sound bail and sentencing decisions and may be used in court proceedings. The absence of an OCA-DCJS working agreement could lead to an absence or duplication of follow-up efforts. **To forestall this possibility, DCJS and OCA should complete a working agreement in this area. (See pp. 37-39, 44).**

7. OCA productivity in entering paper dispositions dropped from 1,111 per full-time equivalent (FTE) staff in January 1991 to 944 in July 1991, subsequent to implementation of CRIMS for paper dispositions. CRIMS was expected to improve productivity in entering paper dispositions forms from upstate counties. OCA staff contended that the LCER analysis was an invalid productivity measure because of the shortness of the time frame, the insufficiency of FTE as a measure of data entry hours and operational factors such as computer down time. **OCA should conduct a study to measure the extent to which CRIMS has increased the productivity of its paper disposition data entry operations and provide this study to the Legislature. (See p. 45).**

8. The *Statewide Criminal Justice Data Dictionary* now in its third edition is widely accepted as the basis for standardization among State criminal justice agencies, New York City criminal justice agencies and the law enforcement agencies we visited. However, awareness and usage was limited among the district attorney offices and the probation departments outside New York City which had or were planning automated systems. The development of standard data definitions and formats are essential prerequisites to automated data exchanges. Such lack of awareness or use creates a barrier to future data exchanges with those agencies. **DCJS should serve as a clearinghouse to assure that criminal justice agencies developing or modifying automated information systems are aware of the provisions of the *Data Dictionary*. (See pp. 47-48).**

9. The CRIMNET telecommunications pathway was initially installed in 1986 and upgraded in 1989. The number of State criminal justice agency leased lines integrated into the pathway rose slowly from six in 1985-86 to 31 in 1989-90 to 95 in 1990-91 because of concerns about pathway financing and control. DOCS, reassessing its program communications needs, has integrated few of its lines onto the pathway. Development of CRIMNET was intended to save monies and to promote automated data exchange among criminal justice agencies. Because SIFECS pays for the pathway costs, DOCS might save money integrating some of its circuits onto the pathway. **DOCS should reassess the feasibility of linking some of its data circuits to the pathway in light of possible cost savings. (See pp. 50-54).**

10. Progress toward increased data exchanges among State and local criminal justice agencies has been

uneven under SIFECS. The number of automated data linkages among State agencies has grown from two to 10. However, a system to permit State and local criminal justice agencies direct access to State criminal justice data bases is only under development. Also automated linkages among local criminal justice agencies were limited to New York City and the three largest of the nine counties visited. The growth of automated data exchanges was one of SIFECS three principal goals. Growth in automated data exchanges can increase productivity through reduced data entry costs, more timely information and reduced errors. **DCJS should make the linkage between State criminal justice data bases and authorized State and local criminal justice agencies a high agency priority. (See pp. 54-59).**

GLOSSARY

Audit Trail	Computerized function that keeps track of the users of a computer system or software package.
Bits	The basic unit of data in a computer system, a binary digit.
CRIMNET	Criminal Justice Telecommunications Network; system begun in 1986 to consolidate State agency telecommunications lines and to improve access to State criminal justice agency data bases.
CRIMS	Criminal Records Information Management System; new Office of Court Administration information system initially implemented in 1989 to improve court operations and reporting of case disposition information.
Hardware	Physical components or equipment that make up a computer system.
Interfaces	Connections between computers.
Mainframe	The central processing unit of a computer.
On-Line	Pertaining to devices which are in direct communication with the central processing unit of a computer.
OBTS	Offender Based Tracking System; information system which was predecessor to CRIMS.
Parallel Testing	Testing prior to system implementation where cases are entered into both the old and the new information system.
Prototype	A computer, computer system or software package that serves as a model for future development.
SIFECS	Systems Improvements for Enhanced Community Safety; State program begun in 1985-86 designed to improve criminal justice information systems.
Software	The programs or instructions that tell a computer what to do.

TABLE OF CONTENTS

FOREWORD

The Legislative Commission on Expenditure Review (LCER) was established by Chapter 176 of the Laws of 1969 as a permanent agency for among other duties "the purpose of determining whether any such department or agency has efficiently and effectively expended funds appropriated by the Legislature for specific programs and whether such departments or agencies have failed to fulfill the legislative intent." This program audit, *Criminal Justice Information Systems*, is the 217th report.

From 1985-86 to 1989-90, the Legislature, recognizing the importance of timely, accurate and complete information for criminal justice agencies, appropriated $54.9 million to improve criminal justice information systems. As a result, criminal justice agency operations were enhanced through an automated fingerprint identification system and information systems for local agencies. The appropriations also supported improvements in criminal history information and laid the foundation for greater data exchange among criminal justice agencies. These successes were tempered by project delays and inadequate project implementation which reduced opportunities for data exchanges and improvements in criminal history information. Insufficient interagency coordination must be overcome if further enhancements in State and local criminal justice information systems are to be satisfactory implemented.

Appreciation is expressed to the staffs of the nine State criminal justice agencies involved in the audit. We also wish to thank the representatives of local criminal justice agencies in our field visits in nine counties and New York City for their cooperation and the police chiefs, judges and other local officials which responded to our audit surveys.

The audit was conducted by David Rowell, Project Manager, and Ross Segel. Irving Wendrovsky assisted with audit field work. Stuart Graham supervised quality control. Karen McNamara supervised production. Word processing, layout, and graphics services were performed by Dawn Hewitt. Overall supervision was the responsibility of the Acting Director.

The Commission is interested in hearing from the readers of its audits. Any comments or suggestions should be sent to the Acting Director at the address listed on the inside cover of this audit.

The law mandates that the Chairmanship of the Legislative Commission on Expenditure Review alternate in successive years between the Chairman, Senate Finance Committee, and the Chairman, Assembly Ways and Means Committee. Assemblyman Sheldon Silver is Chairman for 1992 and Senator Tarky Lombardi, Jr. is Vice Chairman.

February 18, 1992

James J. Haag, CIA
Acting Director

I LEGISLATIVE INTENT AND PROGRAM BACKGROUND

New York State's criminal justice system encompasses nine State agencies and thousands of local agencies including the courts, police and sheriffs departments, district attorneys, public defenders, probation departments and local correctional facilities responsible for activities ranging from:

—Enforcing laws and investigating crimes;
—Determining an individual's guilt or innocence for a crime and imposing a sentence;
—Supervising individuals sentenced to their custody; and
—Supervising individuals released from State prison.

The volume of 1989 case transactions processed by the system are significant as the numbers below indicate:

Measure	1989 Volume
Arrests	1,106,621
Criminal Trial Court Arrest Filings	653,978
Felony Indictments	78,377
State Prison Sentences	26,046
Probation Sentences	53,688
County Jail Admissions	143,510
New York City Corrections Admissions	139,619
Releases to Parole Supervision	14,005

State and local law enforcement agencies alone employed 80,126 persons in 1989 and expended $3.9 billion.

Given the system's volume, the ability of criminal justice agencies to accurately collect, store and transmit information in a timely manner is crucial. For example, after an arrest, decisions about whether an individual will be released on bail are partly dependent upon information received about his or her past criminal history. Decisions about the individual's guilt or innocence are affected by the information collected on the police arrest report. Finally, information from the pre-sentence report completed by the probation department can affect sentencing decisions and later determinations on whether an inmate will be paroled from State prison.

In a November 1982 report to Governor Hugh Carey, the Liman Commission described the State's criminal justice system as a "kluge" which means "a system (and especially a computer system) made up of components that are poorly matched or were originally intended for some other use." One of its recommendations in its assessment of the State criminal justice information systems was a need for "a mechanism for collecting and disseminating criminal justice information useful to all parts of the system."

This recommendation stemmed from findings that criminal justice agencies were isolated from each other relative to data collection and that top management paid little attention to those concerns. Thus the information available was frequently meaningless while statistics gathered by different agencies were sometimes contradictory.

This audit assesses the impact of the Systems Improvements for Enhanced Community Safety Program (SIFECS) initiated in 1985-86 to address many of the problems identified by the Liman Commission.

Planning and Legislative Intent

In response to the Liman Commission, Governor Mario Cuomo appointed a State Director of Criminal Justice in January 1983. The Director was charged with overseeing improvements in criminal justice information systems. With the State Division of Criminal Justice Services (DCJS) taking the lead role, Governor Cuomo proposed the establishment of SIFECS in 1985-86. According to a February 1985 Program Briefing Book, SIFECS had three principal goals:

—To automate and streamline the administrative aspects of criminal justice;
—To improve the quality of information provided by State criminal justice agencies; and
—To promote the exchange of data among criminal justice agencies.

These objectives essentially are also legislative intent since appropriations language over SIFECS history states only that it is intended to finance criminal justice information system improvements.

Prior to the 1985-86 SIFECS proposal, DCJS coordinated a comprehensive overview of the nature and extent of criminal justice information system problems. Reports were completed beginning in 1984 and involved widespread participation from State and local criminal justice agencies. Ultimately 16 studies known as State I reports were completed with associated findings and recommendations. All but two of these reports were completed before 1987. The only major criminal justice agency not conducting a separate operational study on its operations was the State Office of Court Administration. The public defense study, the last produced, was completed in July 1990. The reports furnished an existing overview of criminal justice information systems to develop priorities for projects to improve the system.

The methodologies used by those reports were consistent and involved walk-throughs of representative criminal justice agencies and information systems. Representatives of State and local criminal justice agencies participated in study development and execution.

Finances and Program Organization

SIFECS was funded from the General Fund and the Criminal Justice Improvement Account. From 1985-86 through 1990-91, the Criminal Justice Improvement Account received $173.3 million. Its principal revenue source was assessments from traffic violations which generated $122.3 million or 70.6 percent of total revenues. Other sources included:

—State fingerprint fees for noncriminal applications — $31.0 million (17.9 percent);
—Penalty assessments for felony and misdemeanor convictions — $16.6 million (9.6 percent); and
—Other sources — $3.4 million (2.0 percent).

SIFECS was appropriated $54,568,700 from 1985-86 to 1989-90 from the Criminal Justice Improvement Account ($44,123,200) and the General Fund ($10,445,500). This

includes a $6.8 million 1989-90 General Fund appropriation for the State Automated Fingerprint Identification System (SAFIS).

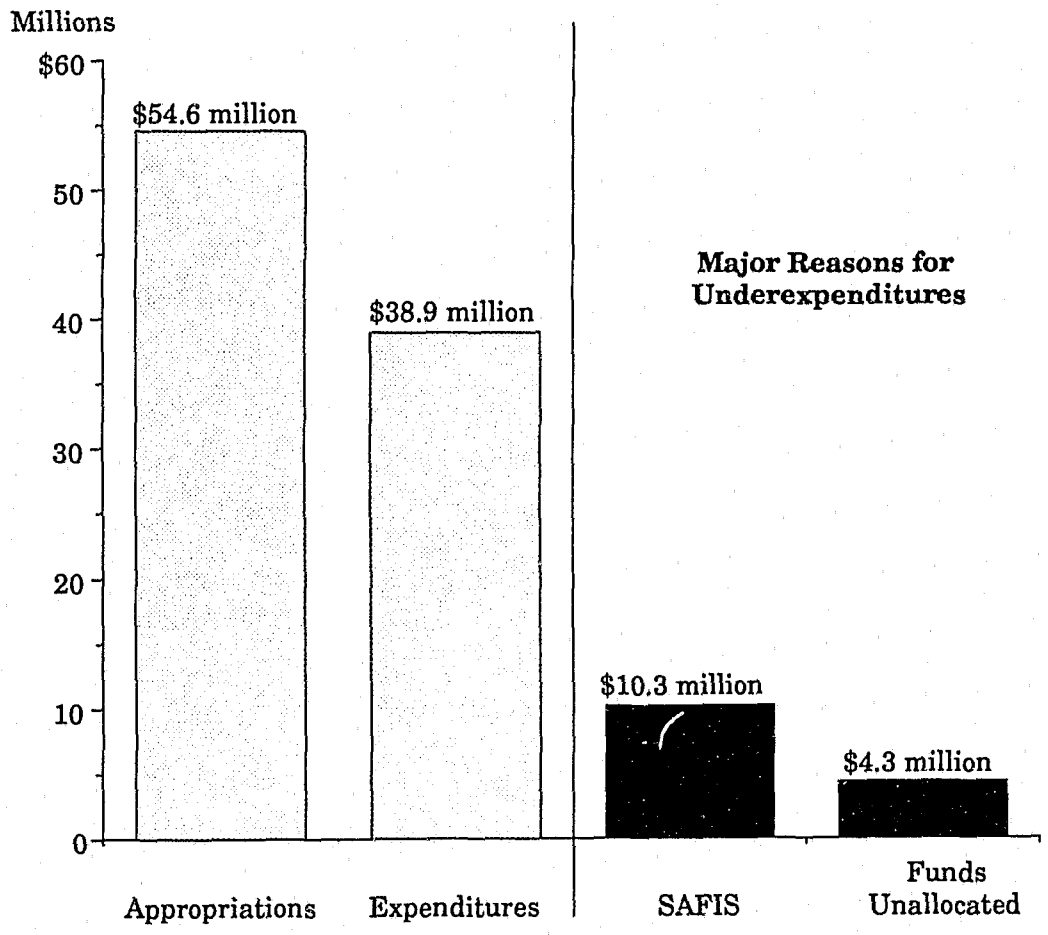
Only $38.9 million of these appropriations were expended (Chart 1). The underexpenditures were caused primarily by:

1. A reduction of $4.3 million from appropriations to State Division of the Budget (DOB) allocation; and

2. An underexpenditure of $10.3 million because SAFIS did not progress as quickly as anticipated.

CHART 1

SIFECS
APPROPRIATIONS AND EXPENDITURES



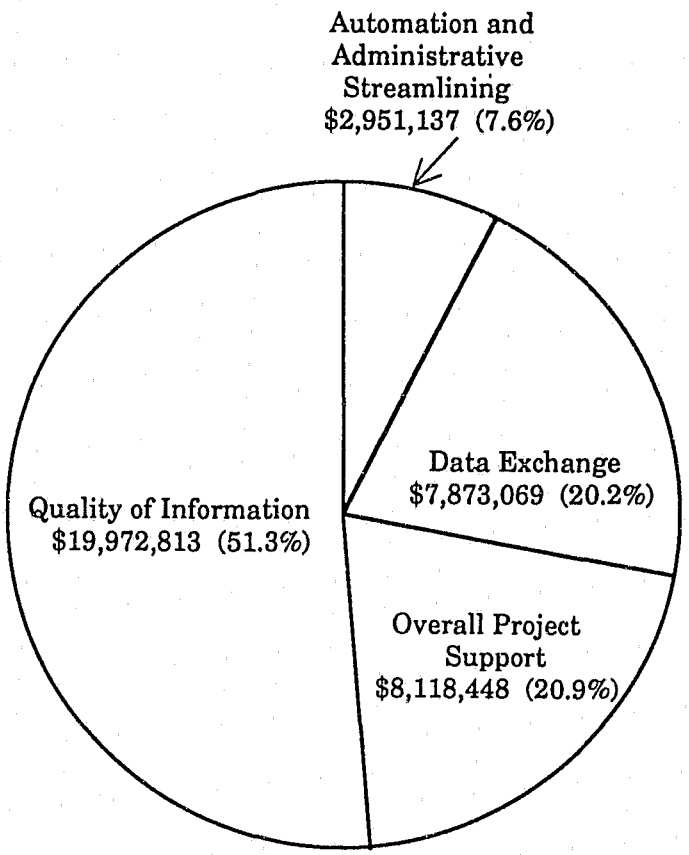
Source: LCER analysis of DCJS data, January 1991.

Chart 2 demonstrates that the projects whose primary goal was quality of information spent $20 million. Data exchange projects expended the second highest amount ($7.8 million) while programs for automation and administrative streamlining spent $3.0 million. Overall project support, the expenses of the SIFECS Task Force responsible for program administration and expenses for local assistance projects, consumed $8.1 million. This categorization is based solely on each project's primary goal and does not reflect other project goals.

LCER staff reviewed the list of SIFECS projects as of January 1989 and compared them to the thrusts of the recommendations in the 14 State I reports completed prior to 1987. With a few exceptions, the projects implemented responded to the principal thrusts of those recommendations.

CHART 2

SIFECS EXPENDITURES BY OBJECTIVE
1985-86 TO 1989-90



Total $38,915,467

Source: LCER analysis of DCJS data, January 1991.

Program Organization

After approval of the 1985-86 appropriation creating SIFECS, the Task Force of DCJS staff responsible for coordinating the State I study process assumed responsibility for providing technical assistance to State and local agencies and for monitoring SIFECS funded projects. Monitoring also involved the development and monitoring of project agreements. Other Task Force priorities included software development for local criminal justice agencies and the promotion of standardized data definitions. With the completion of SIFECS as a formal program in 1989-90, the former SIFECS Task Force staff is now known as the Integrated Systems Development unit of DCJS.

AUDIT SCOPE AND METHODOLOGY

The audit assesses achievement of the principal SIFECS goals of increased State and local automation, improved data quality from State criminal justice agencies and increased data exchange among State and local criminal justice agencies. To conduct this analysis, we used these methodologies:

1. Interviews and data requests of the State criminal justice agencies to assess agencies' involvement and the program's impact on agencies' operations. This included several case studies of SIFECS programs.

2. Field work was conducted in nine counties and New York City. During field work, we interviewed representatives of all of the major local criminal justice agencies observed SIFECS operations and gathered information on SIFECS' impact on agency operations.

3. In the sample counties, a survey was also sent to all municipal police departments and local court justices to obtain their views on SIFECS' impact, especially regarding quality of criminal history information.

4. For two SIFECS developed software packages for probation departments and district attorney offices, LCER surveyed all users statewide.

Appendix A details our field work sample design and discusses our survey methodology and response rates.

The audit analyzes SIFECS progress toward achievement of its three principal goals. Chapter II reviews the efforts to automate and streamline administrative functions in State and local criminal justice agencies. Chapter III assesses programs to improve fingerprint identification for law enforcement agencies and to enhance the quality of State criminal history information. These projects sought to better the quality of information provided by State criminal justice agencies. Chapter IV reviews the promotion of linkages among State and local criminal justice information systems through standardization of data collection and the development of automated data exchanges.

Separating these projects under the three goals is somewhat artificial since projects generally have multiple goals. For example, standardization of information promotes data exchange but it also improves the quality of information available to agencies receiving the

information. Nevertheless, the division is a useful analytical tool to assess the changes in criminal justice information systems under SIFECS.

CHAPTER SUMMARY

- SIFECS completed 16 reports to assess the information needs of various elements of the criminal justice system. The methodologies used by those reports were consistent and involved walk-throughs of criminal justice agencies' information systems and extensive participation by State and local criminal justice agencies.

- SIFECS' goals were to increase automation among State and local criminal justice agencies, improve the quality of information provided by State criminal justice agencies and to promote data exchange among State and local criminal justice agencies.

- Only $38.9 million of the $54.6 million appropriated for SIFECS were expended. Underexpenditures were primarily caused by reduced DOB allocations and the failure of SAFIS to progress as anticipated.

- Among the three SIFECS goals, more funds were spent on projects involving quality of information ($20.0 million). Data exchange projects expended the second highest amount ($7.8 million) while programs for automation and administrative streamlining spent $3.0 million. In addition, $8.1 million was expended for overall project support.

II STATE AND LOCAL AUTOMATION

Before State and local criminal justice agencies can have automated data exchanges to satisfy their respective information needs, the agencies must develop automated data bases. This chapter reviews SIFECS funded efforts to increase automation in selected State and local criminal justice agencies including:

—State agency working relationships with SIFECS staff;

—Case studies of SIFECS projects in the State Department of Correctional Services and the State Division of Parole; and

—The development, promotion, installation and impact of SIFECS funded information systems for local criminal justice agencies.

STATE AGENCY RELATIONSHIPS WITH SIFECS

As previously mentioned, the State I Reports defined State criminal justice agencies' information system needs. Subsequently, SIFECS staff in conjunction with the State Division of the Budget made decisions about project funding. These decisions considered the amounts, the importance of the project to the agency and SIFECS staff, the project's impact on the overall criminal justice system and each project's relationship to other funded projects. From 1985-86 to 1989-90, six State criminal justice agencies expended $12.8 million in SIFECS funding (Table 1). The State Department of Correctional Services ($6.0 million) and the State Division of Parole ($3.0 million) expended 71 percent of these funds. The project or projects funded were intended to improve agency operations by increasing automation capabilities and in some cases, its linkage to local departments overseen by the agencies. Exhibit I briefly describes each project funded.

TABLE 1

STATE AGENCY EXPENDITURES
SIFECS PROJECTS, 1985-86 TO 1989-90

Agency	Expenditures
Department of Correctional Services	$6,043,947
Division of Parole	3,041,094
Division for Youth	1,209,887
Division of State Police	958,186
Commission of Correction	802,160
Division of Probation and Correctional Alternatives	766,181
Total	$12,821,455

Source: DCJS response to LCER data request, November 1990.

EXHIBIT I

DESCRIPTION OF STATE AGENCY SIFECS PROJECTS

Agency	Project	Project Description
Department of Correctional Services (DOCS)	Mainframe Acquisition	Move off Office of General Services' computer by acquiring own mainframe.
	Population Management Syste m	Enable DOCS to better manage inmate population.
Division of Parole (DOP)	Parole Transmission Netwo·k and Retrieval (PARTNER)	Enable DOP to better manage parolee tracking operations.
	Contact-Posting On-Line Entry System (C-POLES)	Monitor parole officer contacts.
	Jail Time	Provide information on parole violators.
Division for Youth (DFY)	Client Classification and Movement system	Enable DFY to better manage their operations for classifying and moving youths.
Division of State Police	New York State Police Information Network (NYSPIN) Improvement Project	Enhance the user friendliness of the NYSPIN system.
State Commission of Correction (SCOC)	Dynamic Alert System	Identify priorities for the mandated efforts of SCOC to review correctional facilities.
Probation and Correctional Alternatives (DPCA)	Internal System	Automate agency and enhance its ability to monitor local probation departments.
	County Automated Probation Information System	Designed by DPCA to automate functions of local probation departments.

Source: DCJS, Report to the Senat . Finance Committee and the Assembly Ways and Means Committee on the Systems Improvements for Enhanced Community Safety Program, January 1989.

Project Monitoring

Within the State Division of Criminal Justice Services (DCJS), the Task Force monitored the projects through individual agreements. The agreements included three levels of oversight:

1. Prior to the project's inception, each agency had to develop a project description, schedule and milestones.

2. During implementation, each agency had to produce regular status reports on each project.

3. After implementation, agencies had to complete specific evaluation measures assessing each project's impact on agency operations.

Technical Assistance

The Task Force provided technical assistance and liaisons according to the needs of each State criminal justice agency. The State Department of Correctional Services and the Division of State Police had sufficient technical capabilities and required no substantial technical assistance.

The State Commission of Correction (SCOC), however, was a large recipient of SIFECS support. SCOC's SIFECS liaison assisted with development of a five year plan, provided monitoring and technical assistance, and responded to any questions or problems. When it was needed, the State agencies were satisfied with the SIFECS technical assistance and/or the liaison support received.

Development of State Agency SIFECS Projects

LCER staff selected the State Department of Correctional Services (DOCS) and the State Division of Parole (DOP) for case studies to assess the development and impact of the SIFECS State agency projects. DOCS was selected since it constituted almost 50 percent of State agency expenditures while Parole was randomly selected from the other agencies funded. As presented in Exhibit I, DOCS' mainframe and Population Management System and the Parole's PARTNER, C-Poles and Jail Time systems were funded through SIFECS.

DOCS Mainframe and Population Management System

Before obtaining its mainframe computer, DOCS was on the State Office of General Services' (OGS) Honeywell System. This system caused DOCS several problems:

1. The Division of State Police, DCJS and other criminal justice agencies could not communicate directly (computer to computer) with DOCS or Parole because the shared OGS computer did not meet the necessary security requirements.

2. The response time of the OGS system was poor.

3. Maintenance and system development were hampered because the system was not in-house.

In 1984, DOCS and Parole (which shares the mainframe with DOCS) conducted a feasibility study which concluded that acquisition of a mainframe computer system was the best way to meet the agencies' information systems needs. After completion of a competitive bid, the mainframe was installed in March 1986.

The Population Management System is DOCS' primary mainframe information system. The system is designed to assist DOCS in tracking inmates and managing cell space in the State's prisons and consists of 16 subsystems, as shown in Exhibit II.

EXHIBIT II

DEPARTMENT OF CORRECTIONAL SERVICES
POPULATION MANAGEMENT SYSTEM SUBSYSTEMS

Subsystem	Description
State Ready	Records information regarding those inmates in local jails that are ready for transfer to State prisons.
Returned Parole Violator State Ready System	Records information regarding those parole violators ready for transfer to State prisons.
Facility Placement System	Collects, retrieves and reports inmate placement data as the inmate progresses through the reception process.
Reception Classification System	Provides for the computerized processing of inmate crime and sentence data, release eligibility data, personal history data, classification, test and medical data.
Locator System	Designed to record inmate location information at the cell/bed level within a facility.
Health Services System	An on-line data collection operation for the gathering of sick calls, chronic disease and dental information.
Guidance Information Management System	Prints schedules for guidance operations and enables identification of guidance staffing patterns at each correctional facility.
Transfer Order System	Maintains a continual pool of transfer eligible inmates for access by the Central Office Classification and Movement Division for individual inmate transfer decisions and space utilization management.

EXHIBIT II CONT'D

Subsystem	Description
Unusual Incident System	Generates a series of statistical reports which are used to provide DOCS executive staff and the Commission of Correction with monthly analyses regarding the types of incidents encountered, number of occurrences, number of inmates involved, use of force, inmate deaths and location of incidents.
Visitor and Package Registration System	Replaces the manual process of recording visits on visitor cards and tracks the receipt of inmate packages. The report allows management to review the visitor and package activity for all inmates.
Inmate Drug Testing System	Records the results of inmate drug tests and will provide management reports that summarize the results of tests administered and will provide a random selection of inmates to be tested on each scheduled testing day.
Inmate Disciplinary System	Collects, retrieves and reports inmate disciplinary information.
Academic Education Information System	Aids in the record keeping and reporting required to operate the Academic Education Programs at correctional facilities.
Occupational Training	Provides record keeping and reporting to effectively manage the Department's programs to enhance the vocational skills of inmates.
Universal Inquiry	An umbrella application that allows authorized users to look up information about an inmate.
Separation System	Maintains an on-line central file of negative and positive inmate relationships with the capability of readily updating and cross-referencing these records.

Source: LCER staff review of Department of Correctional Services' Three Year Plan, September, 1991.

A June 1989 Office of the State Comptroller report cited delays in the development of the Inmate Disciplinary and the Education subsystems of the Population Management System as of 1988. DOCS attributed the delays to problems with converting software from the OGS Honeywell System to the new IBM mainframe. DOCS cited the following conversion problems:

1. DOCS programmers had to become familiar with programming in the IBM system.

2. A major amount of hiring and subsequent training was needed for DOCS to convert from a mainframe user to a mainframe operator.

3. Converting programs was a major process while concurrently converting hardware.

As of September 1990, the Disciplinary and the Education subsystems as well as the other 14 subsystems of the Population Management System were operational.

SIFECS Staff Role. SIFECS staff assisted DOCS during system development by aiding in the site selection process for the mainframe. SIFECS did not provide DOCS with any substantial assistance in system development as the DOCS Management Information System department had the technical capabilities to perform that task.

The DOCS-DCJS mainframe agreement evaluated project completion through a schedule of installation dates. The agreement also required DOCS' submission of quarterly reports. The Comptroller's report cited that conversion of all the programs to the mainframe was 14 months beyond the January 1987 scheduled date. Responding to the report, DOCS noted that this delay included the conversion of the Industries subsystem which was not included in the project agreement and is not part of the Population Management System.

According to the Comptroller, the project evaluation criteria to measure system effectiveness for the Population Management System were not completed. For example, the criteria for the Separation System subsystem evaluation were the improved availability and accuracy of information, a decline in the number of incidents involving enemies and a reduction of enemies related to transfers.

DOCS explained the failure by indicating:

1. Their development backlog is so large that they focus their resources on development. Similarly, DOCS' focus for establishing system development standards has been from the beginning of the project. A DOCS Management Information System employee said, "It will be a long while, given current work load and resources, before we develop standards at the end of the [project]."

2. With every system they develop, a close relationship is maintained between the users of the system and the analysts supporting the system. Problems with a system are quickly identified and then corrected.

DOCS' rationale indicates that it is difficult to develop standards at the end of a project. However, the evaluation measures which DOCS failed to produce were included in the initial project agreement.

Division of Parole Projects

DOP began developing the Parole Transmission Network and Retrieval System (PARTNER) in 1985-86. PARTNER now serves as the DOP's management information system. It is designed to encompass the parole process from the results of Board hearings to discharge planning to supervision upon release to termination of parole. For example, the Parole Board hearing determines if an inmate will be released. If the inmate's release is approved, steps are taken to prepare for release and a supervising parole officer is assigned. Subsequently, the final stage involves termination either by release from parole or by return to prison due to violation of parole. To parallel this structure, PARTNER was divided into the following four phases as illustrated in Chart 3:

Phase I	Results of Board conducted release hearings
Phase II	Interviews and investigation of prospective parolees
Phase III	Parole Supervision
Phase IV	Termination from Parole

Implementation of this system followed the dictates of operational needs, community safety and the volume of activity at each stage. The system is working as of July 1991 only in certain units and offices around the State. Full implementation has not occurred because of competing workload priorities.

DOP also developed two other SIFECS funded prototypes known as C-Poles and Jail Time.

C-Poles (Contact-Posting On-Line Entry System) was designed to track and monitor parole officer contacts. However, the prototype failed. According to DOP and SIFECS Task Force staff, the system had a slow response time, lacked sufficient capacity and was cumbersome due to excessive data entry needs. The system also had an inadequate indexing capability and experienced problems with transferring information to and from the system. Because of these problems, DOP staff lost confidence in C-Poles and decided to fold the system into PARTNER. C-Poles' intended functions are planned to be included in PARTNER Phase III, the supervision component.

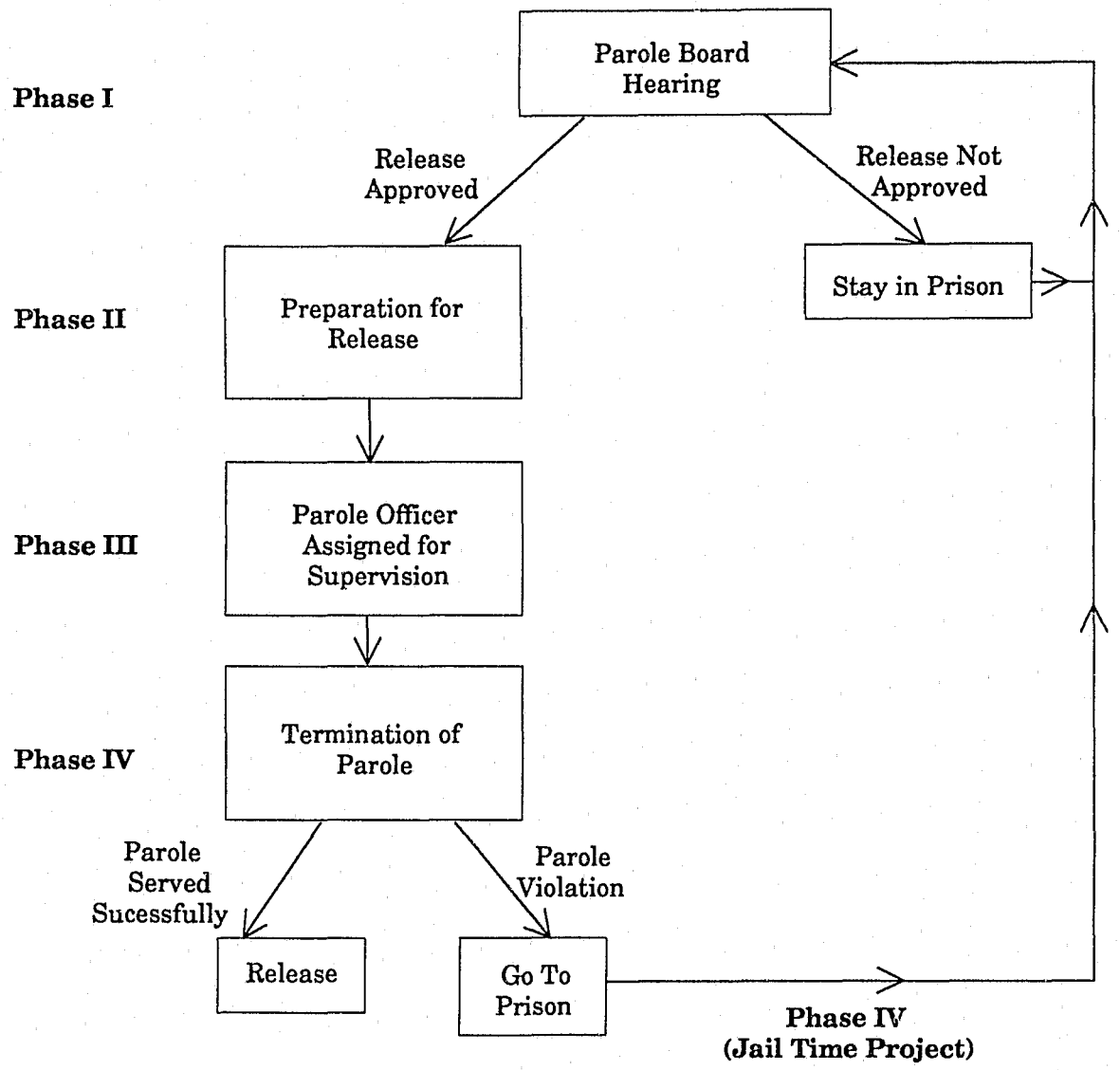
The Jail Time project was designed to expedite the information flow between DOP and DOCS facilities regarding parole violators. This prototype was successful and it has been subsumed under PARTNER Phase IV, the termination component.

Role of SIFECS Staff. DOP staff was satisfied with SIFECS technical assistance and oversight. They received technical assistance for specific system conversions, for the research and policy process and during the problems with C-Poles development. Agency staff cited the State I process as being particularly beneficial for planning PARTNER. The Division still uses the State I report for planning and is considering updating the report.

DOP provided periodic status reports for PARTNER and Jail Time. Project evaluation criteria measures have not been completed for PARTNER because the system has not been fully implemented. DOP provided LCER staff with evaluation measures for the Jail Time project. Evaluation measures in the project agreements delineate results expected from implementation.

CHART 3

DIVISION OF PAROLE
PAROLE TRANSMISSION NETWORK AND RETRIEVAL (PARTNER)



Source: LCER staff analysis of Division of Parole documentation, August 1991.

Computer System Security

We reviewed selected computer security policies for DOCS and DOP. Both agencies' policies include passwords and access limitations to the computers. DOCS also has procedures for securing computer rooms and instruction manuals from inmates. The agency employs a Computer Security Coordinator to oversee enforcement of the above guidelines. DOCS' policies seek to ensure the accuracy and reliability of their data through edit checks. For example, if

a field must contain numeric characters only, the screen format is coded so that the user cannot type any non-numeric characters into it. DOP's security guidelines also include audit trails and routine matches with DCJS data to ensure the accuracy of the information. Both agencies' policies provide adequate guidelines to maintain the security of their computer data bases. However, we did not review agency implementation of these policies.

Impact of State Agency SIFECS Projects

Department of Correctional Services

As mentioned above, the DOCS mainframe, installed in 1986 has enabled the agency to operate its own computer rather than being a user of the OGS Honeywell System. The mainframe and the Population Management System have contributed to a decline in the Department's Management Information System budget cost per inmate of 15 percent from 1987 to 1990. The overall Management Information System budget over that period increased from $4.8 million to $5.8 million. DOCS' Three Year Plan reports how the system is used to classify inmates:

> This system enables DOCS to efficiently manage its State Ready Population and their arrival into DOCS. When an inmate arrives at a reception center, critical information is collected and cell assignments entered...[A] placement system helps agency staff determine where the inmate will be sent. The Locator system records that initial placement and subsequent moves. The computer system even prints the fingerprint cards and soon admission and release information will be sent to the Division of Criminal Justice Services automatically.

LCER staff thus were provided sufficient information to describe the operations of the system. However, DOCS' failure to complete the evaluation measures for the Population Management System or provide substitute measures of impact limits our ability to ascertain the system's impact on agency operations.

Division of Parole

When completed, DOP's PARTNER system is intended to ensure the monitoring of each parolee to parole throughout their period of supervision. The evaluation measures for the Jail Time project, which is part of the termination phase of PARTNER, were completed and provided coherent examples of the system's impact. Jail Time has improved report generation and computer system access and enhanced the timeliness of information. For example, DOCS and DOP staff now can learn the status of parole violators much earlier than previously. Previously, a returned parole violator could wait for months before their new jail time was computed due to delays in receiving the necessary information. Violators might thus miss Parole Board hearings for which they were eligible and thus could be held in prison longer than necessary. One DOP employee indicated:

> Since implementation of the project [Jail Time]...DOCS knows immediately the new Conditional Release date, the new Minimum Expiration date, and Board-eligible dates. The inmates can learn their status immediately, Parole can do what it needs to do to schedule Board-eligibles, and DOCS can immediately release those who have reached their dates.

Software for Local Criminal Justice Agencies

Local criminal justice agencies must gather and maintain information on events such as arrests, warrants and criminal prosecutions and data on individuals under their supervision or custody. This section reviews efforts by DCJS and the State Division of Probation and Correctional Alternatives (DPCA) to develop, promote, install and maintain information systems for local criminal justice agencies.

Information Systems Development

DCJS developed four software packages and a related manual control system for local agencies as described below:

Manual System

Warrant Management System (WMS): This manual system begun in 1985 consists of a series of standard forms and procedures for the maintenance and clearance of arrest warrants by law enforcement agencies. An arrest warrant is a court order authorizing the arrest of an individual. According to DCJS staff, many departments before installing the system did not have good controls over their warrant backlogs. Through this control system, DCJS hoped to promote officer safety (through knowledge of outstanding warrants), due diligence in serving warrants and reductions in warrant backlogs.

Software Packages

Warrant History and Management System (WHAMS): This warrant control system developed in 1985 is designed to be an automated tool of law enforcement agencies to provide officers with information on outstanding warrants and to permit department management to track progress in warrant clearance through statistical reports. DCJS preferred that departments install WHAMS after using WMS as a manual system. DCJS staff expect that WHAMS will eventually be integrated into a comprehensive Law Enforcement Records Management System. In 1991, a new version of WHAMS called the Spectrum Justice System was released to local agencies.

Jails Management System (JMS): This system developed in 1985 is designed to provide administrative support to county correctional facilities to perform functions such as the preparation of the sheriff's annual report (a State required statistical report), the admission and release of inmates, and the provision of reports for billing the State for housing certain felons who are awaiting prison placement.

Prosecutor Case Tracking System (PCTS): This system completed in 1989 is a modification of a software package developed by a national criminal justice organization. It evolved from the failure of an earlier DCJS effort to contract out for a case tracking system for driving while intoxicated cases. PCTS key functions include tracking individual cases, generating management reports on case processing including pleas and developing reminders on case deadlines.

Criminal Justice Personnel Management System: This software package released in early 1989 is intended to meet administrative needs of local criminal justice agencies such as personnel and payroll, equipment and special skills inventories, and officer training records.

Besides the above systems, DPCA developed and installed the County Automated Probation Information System (CAPIS). CAPIS was developed as a prototype model in Franklin County in 1984. CAPIS provides standard information for investigation, supervision, violation, restitution and other cases for probation departments. This additional software system also generates a number of management reports and notices to remind probation officers of legal requirements for individual cases.

To ascertain whether DPCA and DCJS had adequately programmed and maintained the five software packages distributed to local criminal justice agencies, we requested the following documentation:

—Testing done to assure each system's validity and reliability;
—Mechanisms to assure data security; and
—Technical assistance to provide ongoing support for system users.

LCER review found that DPCA and DCJS followed appropriate procedures to assure the validity, reliability and security of the software packages. For initial testing, both agencies did internal and field testing of software packages using standard procedures. The current versions of the software packages are distributed so that users cannot modify the software programs. User security is maintained through passwords supplemented by audit trails or logs for two of the software packages. JMS, Personnel Management and CAPIS do not have audit trails. DCJS stated that audit trails will be considered in the next versions of JMS and Personnel Management. DPCA indicated that CAPIS did not have an audit log because of the few system users in a given county and the limited capacity of the computers housing the software. A telephone trouble line was the most common, though not only, means through which the agencies provided technical assistance.

Installation and Maintenance of Software

Table 2 lists the number of local users of the five software packages and the one manual system as of July 1991. The two warrant systems and the Criminal Justice Personnel Management System have the largest numbers of users drawing primarily from the population of law enforcement agencies. CAPIS, PCTS and JMS are designed for use only by county offices (probation, district attorneys and jails). As the table reveals, JMS reached the largest proportion of its population — 66 percent — while the manual Warrant Management System was installed in 62 percent of the user agencies according to DCJS records.

To assess the accuracy of DPCA and DCJS user lists, LCER staff cross-checked the lists against the responses to our police department survey in the field visit counties, our statewide CAPIS and PCTS user surveys and field visit interviews. Table 3 shows few or no discrepancies for WHAMS, CAPIS and PCTS and no discrepancies were found between our field interviews and DCJS records on JMS' usage. DCJS records overestimated the number of users among our police survey respondents by 52 percent for WMS and by 47 percent for the Criminal Justice Personnel Management System (Table 3). Table 2 thus probably overstates the number of

WMS and Criminal Justice Personnel Management System users. A November 1991 follow-up telephone survey by DCJS in the sample counties found lower but still significant error rates of 20 percent for WMS and 28 percent for Personnel Management.

LCER staff also inquired why agencies did not use the available SIFECS systems. For JMS, CAPIS and PCTS, we interviewed non-users in our field visits. For the two warrant systems and for the Criminal Justice Personnel Management System, our local police department survey was our primary source which was supplemented by field visit interviews.

For CAPIS and PCTS, the three largest counties had their own systems. They stated that the software was too small for their operations since the SIFECS systems operate off a personal computer and could not be linked to other computers. While there was no clear response pattern among non-users for the medium sized counties, non-users for the small counties indicated a lack of awareness and/or need for PCTS or CAPIS.

Among the five non-users of JMS, a lack of awareness and an inability of the system to meet agency needs were the reasons cited. One sheriff's department noted that the system could not be linked with the rest of their jail management records.

TABLE 2

LOCAL CRIMINAL JUSTICE AGENCY USE
SIFECS SOFTWARE SYSTEMS
JULY 1991

System	Number of Users	Potential Users	Percent Using
Warrant Management System (WMS)	338	546	61.9%
Warrant History and Management System (WHAMS)*	130	546	23.8
Jail Management System (JMS)	38	58	65.5
Computerized Automated Probation Information System (CAPIS)	22	58	37.9
Prosecutor Case Tracking System (PCTS)	12	62	20.7
Criminal Justice Personnel Management System	253	546	46.3

*This list also include those WHAMS users who have upgraded their system to the Spectrum Justice System software.

Source: DCJS response to LCER data request, July 1991 and State Division of Probation and Correctional Alternatives response to LCER data request, May 1991 revised by response to LCER survey on CAPIS, June 1991, and 1989 Crime and Justice Report.

TABLE 3

COMPARISON OF STATE AND LOCAL AGENCY RECORDS[1]
SELECTED SIFECS SYSTEMS
LCER SURVEYS

	State Records Indicate: Agency Uses System — Survey Responses Indicate			State Records Indicate: Agency Does Not Use System — Survey Responses Indicate		
System	Agency Uses System	Agency Does Not Use	Total N	Agency Uses System	Agency Does Not Use	Total N
Warrant Management System	48.5%	51.5%	33	2.0%	98.0%	50
Warrant History and Management System	87.5	12.5	16	--	100.0	67
Criminal Justice Personnel Management System	53.4	46.6	15	2.4	97.6	68
Prosecutor Case Tracking System	90.0	10.0	10	NA[2]	NA[2]	NA[2]
County Automated Probation Information System	95.0	5.0	20	NA[2]	100.0	5

[1]For all systems except for the County Automated Probation Information System (CAPIS) the State Division of Criminal Justice Services is the source of user information. The State Division of Probation and Correctional Alternatives (DPCA) is the source for CAPIS.

[2]Category is not applicable since LCER surveyed only users as identified by State agency records. The only exceptions were that five initial users of CAPIS were surveyed for which DPCA records had indicated that the county had stopped using the system.

Source: Responses to LCER Survey of Local Police, April and May 1991 and LCER Surveys of Prosecutor Case Tracking System and County Automated Probation Information System Users, June 1991.

For the two warrant systems and the Personnel Management System, the table below reveals that "need already met" and "not aware" constituted about one-half of the reasons for non-use. Beyond that 11 percent to 15 percent of respondents listed "no local support" (from local governing agencies) while 10 percent to 14 percent believed that the systems "did not meet local needs."

Reason for Non-use	WHAMS	WMS	Personnel Management
Need already met	28%	30%	23%
Not aware	22	22	27
No local support	15	11	13
System did not meet local needs	11	14	10
Currently implementing	5	4	13
Implementation not successful	1	0	0
Other	8	19	15
Total	100%	100%	101%
N=	(79)	(73)	(83)

LCER staff also interviewed and surveyed local agencies about the technical assistance provided by DPCA and DCJS to install and maintain the information systems. With few exceptions, those interviewed about WHAMS, WMS and PCTS gave positive comments about DCJS technical assistance. Because so few law enforcement agencies visited had implemented the Criminal Justice Personnel Management System, we can draw no conclusion about the quality of DCJS assistance in system implementation. Table 4 reveals that all PCTS users gave DCJS "excellent" or "good" ratings for system installation and maintenance. For CAPIS, the proportion of "excellent" or "good" ratings were 86 percent for installation and 75 percent for maintenance.

Impact of Systems on Agency Operations

Impact of the systems on agency operations was assessed through several measures. For all but the Jail Management System, user survey data were used. CAPIS and PCTS user survey responses provided additional information about agency use and suggestions for improvement. For the two warrant systems and JMS, information was also gathered through interviews and review of local agency documentation. Local agency interviews and documentation were not available for PCTS and CAPIS because few agencies were users in the field visit counties.

The vast majority of local agencies responding perceived that the five SIFECS information systems included in our user surveys had somewhat or greatly improved their operations (Table 5). The proportion of these responses (somewhat or greatly improved) ranged from 79 percent for WMS to all respondents for PCTS. The responses for the Criminal Justice Personnel Management System, however, represent only six users. Though there were only eight PCTS respondents, that represents two-thirds of PCTS users statewide.

TABLE 4

TECHNICAL ASSISTANCE RATINGS SELECTED SIFECS SOFTWARE LCER SURVEYS

Rating	Prosecutor Case Tracking System (PCTS)				County Automated Probation Information System (CAPIS)			
	Installation		Maintenance		Installation		Maintenance	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Excellent	7	77.8%	7	77.8%	13	59.1%	9	45.0%
Good	2	22.2	2	22.2	6	27.3	6	30.0
Fair	--	--	--	--	1	4.5	3	15.0
Poor	--	--	--	--	1	4.5	--	--
No Opinion	--	--	--	--	1	4.5	2	10.0
Total	9	100.0%	9	100.0%	22	99.9%	20	100.0%

Source: Response to LCER Surveys of PCTS and CAPIS users, June 1991.

TABLE 5

IMPACT OF SIFECS SOFTWARE ON LOCAL AGENCY OPERATIONS LCER SURVEYS

System	Greatly Improved		Somewhat Improved		No Change		Worse		Total	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Warrant Management System	8	57.1%	3	21.4%	3	21.4%	--	--	14	99.9%
Warrant History and Management System	10	76.9	1	7.7	1	7.7	1	7.7%	13	100.0
Criminal Justice Personnel Management System	3	50.0	2	33.3	1	16.7	--	--	6	100.0
Prosecutor Case Tracking System	5	62.5	3	37.5	--	--	--	--	8	100.0
County Automated Probation Information System	9	50.0	7	38.9	2	11.1	--	--	18	100.0

Source: Responses to LCER Survey of Local Police, April and May 1991 and LCER Survey of users of Prosecutor Case Tracking System and County Automated Probation Information System, June 1991.

Below are more detailed impact assessments of each information system:

Warrant Systems. Local agencies we interviewed spoke positively about the impact of the warrant systems on their operations. All who implemented WMS indicated that it helped them to gain control over their warrants and provided better documentation and assisted in quicker execution. Departments mentioned losing warrants previously because of a lack of central control. The automated system allowed agency dispatchers and deputies on patrol to access a list of outstanding warrants — a hot sheet. One sheriff's department exchanges a hot sheet with a local police department on a routine basis.

Beyond the interview comments, LCER gathered information on warrant clearance rates and the average execution time frames shown in Tables 6 and 7. A warrant clearance rate is the number of warrants executed divided by the number of warrants received during a given period. With a warrant backlog from past years, a department could have an annual clearance rate greater than 100 percent. The average execution time frames were calculated from the law enforcement warrant receipt date to the execution date. Warrants may be executed by several means including arrest, voluntary surrender and vacating of the warrant by the court. LCER staff tested samples of the aggregate data used to assure its validity. No base line warrant clearance data was available prior to implementation of WMS and/or WHAMS for the departments reviewed making a complete pre-post comparison impossible.

Table 6 shows a mixed though slightly upward trend in warrant clearance rates among the departments. The overall average ranged from 106 percent for the Albany County Sheriff's Department to 76 percent for the Otsego County Sheriff's Department. In 1987, clearance rates ranged from 69 percent to 98 percent while in 1990 the lower and upper clearance rates were 81 percent to 160 percent.

Table 7 on page 24 reveals another mixed but slightly downward trend on the average execution time frames for WHAMS users. Those data were not available in aggregate form for WMS users. For the entire period, the proportion of warrants executed within 30 days ranged from 61 percent for the Albany Police Department to 35 percent for the Albany County Sheriff's Department. In 1987, the three departments reporting executing 69 percent (Albany Police), 64 percent (Broome County Sheriff) and 49 percent (Binghamton Police) of their warrants within 30 days. The corresponding figures for the same three departments in 1990 were 50 percent (Albany Police), 56 percent (Broome County Sheriffs) and 41 percent (Binghamton Police). Thus the average clearance time among the departments has become somewhat longer.

The tables by themselves do not provide definitive indicators of the systems' successes. Other factors than just a warrant system's organizational structure can affect an agency's performance such as departmental workload priorities. Combining the results of survey responses and the LCER interviews, however, the warrant systems appear to have had a positive impact on local law enforcement operations.

Probation Tracking System. Since only one field visit county had used CAPIS, the LCER survey is the primary source for assessing the system's impact. Of the 19 responding departments operating CAPIS as of June 1991, supervision (18) and violations (13) were the modules most frequently used followed by intake (10), investigations (10) and restitution (9). Evaluating these five functions and the impact of CAPIS on generating reports as shown on the following page, supervision, report generation and restitution received the strongest ratings.

However, at least 60 percent of respondents indicated that CAPIS had greatly or somewhat improved agency performance of each of the six functions.

Function	Greatly Improved	Somewhat Improved	No Change	Worse	No Opinion	N
Supervision	81.3%	18.7%	—	—	—	16
Report Generation	52.9	35.3	5.9%	—	—	17
Restitution	50.0	25.0	12.5	12.5%	—	8
Investigation	44.4	22.2	22.2	—	11.1%	9
Intake	37.5	25.0	25.0	—	12.5	8
Violations	25.0	58.3	16.7	—	—	12

TABLE 6

CLEARANCE RATES FOR WARRANT SYSTEMS USERS
LCER FIELD VISIT COUNTIES
1986-90

Department	Percent of Warrants Cleared 1986	1987	1988	1989	1990	Overall
Albany Police	88.4[a]%	78.5%	79.0%	74.8%	86.2%	81.3%
	(1,907)[b]	(1,833)	(2,061)	(2,305)	(2,391)	(10,497)
Albany Sheriff	NA[c]	98.4[a]	87.9[a]	94.5[a]	159.5	106.1
		(122)	(99)	(128)	(79)	(428)
Binghamton Police	75.6[a]	95.9	80.1	80.5	80.8	81.8
	(716)	(603)	(789)	(1,029)	(1,179)	(4,316)
Broome Sheriff	NA	81.7	90.6	103.6	106.0	97.3
		(491)	(753)	(880)	(811)	(2,935)
Otsego Sheriff	NA	69.3[a]	77.3[a]	69.9[a]	95.2	75.8
		(75)	(110)	(83)	(42)	(310)
Seneca Sheriff	NA	NA	NA	78.2	85.4	82.8
				(156)	(281)	(437)

Note: The clearance rate is the number of warrants executed during a year divided by the number of warrants received during a year. A rate over 100 percent is possible because warrants received in previous years may be executed in subsequent years.

[a]Represents warrant clearance rates based upon users of the manual Warrant Management System (WMS). Otherwise the figures are based upon use of the automated Warrant History and Management System (WHAMS).
[b]Number in parentheses represents the number of warrants received during that year.
[c]Not applicable as SIFECS system was not in operation.

Source: LCER staff review of local law enforcement warrant clearance records in sample counties, May and June 1991.

TABLE 7

EXECUTION TIME FRAMES
WHAMS USERS IN LCER FIELD VISIT COUNTIES
1986-1990

Time Frame	1986 Percent	1987 Percent	1988 Percent	1989 Percent	1990 Percent	Overall Percent
			Albany Police Department			
0-10 Days	NA[a]	49%	47%	44%	37%	44%
11-30		20	20	17	13	17
31-60		7	9	9	10	9
61-120		8	8	9	10	9
Over 120		16	16	21	31	22
		(1,438)[b]	(1,628)	(1,725)	(2,060)	(6,851)
			Albany Sheriff's Department			
0-10 Days	NA	NA	NA	NA	25	25
11-30					10	10
31-60					7	7
61-120					6	6
Over 120					52	52
					(126)	(126)
			Binghamton Police Department			
0-10 Days	NA	29	28	27	18	25
11-30		20	25	25	23	24
31-60		11	13	13	18	14
61-120		11	12	12	14	13
Over 120		29	23	23	26	25
		(578)	(632)	(828)	(953)	(2,991)
			Broome Sheriff's Department			
0-10 Days	NA	44	42	36	37	39
11-30		20	17	20	19	19
31-60		11	10	9	11	10
61-120		9	12	12	12	12
Over 120		16	19	22	21	20
		(401)	(682)	(912)	(860)	(2,855)

Note: The warrant execution time frame is the number of days it takes to execute a warrant after it is received by the law enforcement agency.

[a]Not applicable as WHAMS system was not in operation.
[b]Number in parentheses represents number of warrants executed.

Source: LCER staff review of WHAMS statistical reports, May and June 1991.

Reviewing agency comments about technical or functional improvements to CAPIS, users most frequently indicated wanting the improved capacity to directly generate the State monthly reports. CAPIS user counties must complete these reports manually or through extensive manipulation of a CAPIS Ad Hoc reporting function. Though an initial CAPIS goal, it has never been implemented. DPCA has developed programming to extract the reports from the CAPIS data base. However, DPCA staff reported in August 1991 that it did not have the staff resources to do the necessary field testing before the system could be released.

Prosecutor Case Tracking System. Similar to CAPIS only two field visit counties used PCTS. Thus LCER staff used survey data to assess PCTS' impact. The following PCTS functions were used by five or more of the nine responding district attorney offices with operating systems:

—Case Searching (9)
—Case and Charge Information on Individual Defendants (8)
—Aggregate Case Reports (7)
—Case Tracking (7)
—Background Information on Individual Defendants (6)
—Assistant District Attorney Case Load Monitoring (5)

The table below indicates that at least 60 percent of the offices perceived that each of four PCTS functions greatly or somewhat improved their operations. The greatest impact perceived was for analyzing case disposition records while a sizable minority felt that PCTS had no impact on processing case paperwork (38 percent) or tracking case deadlines (29 percent).

Function	Greatly Improved	Somewhat Improved	No Change	Worse	N
Analyze Case Disposition Record	62.5%	25.0%	12.5%	—	8
Manage Office Case Load	50.0	37.5	12.5	—	8
Process Case Paperwork	50.0	12.5	37.5	—	8
Track Case Deadlines	28.6	42.7	28.6	—	7

Jail Management System. JMS was used in four counties visited by LCER staff. According to the users, the systems' principal benefits were a more timely and less resource consuming preparation of the sheriff's annual report and a more expeditious system to process jail readmissions.

The sheriff's annual report is an extensive annual compendium of statistics that departments must submit to the State Commission of Correction. Of the four counties

implementing JMS, three have produced the report for a full year and reported the following impacts:

Albany: The system reduced preparation time of the report by 70 percent. Previously the annual report was submitted in April or May. The 1990 annual report was submitted on January 29th.

Rockland: The annual report previously took six weeks but now takes only six hours. The department runs the report monthly to check on any data entry problems.

Otsego: Prior to installing JMS, the report required four weeks of staff time to produce. Now the report can be generated in 20 to 30 minutes.

JMS retains information on inmates who have been discharged from the jail. If an inmate is being readmitted, jail personnel only have to modify rather than completely reenter background data. The users reported the following benefits from this feature:

Rockland: Previously, an officer had to wait 15-20 minutes while a detainee was being booked. Now a new prisoner takes only 2-3 minutes to book while a returnee takes only 30 seconds because only the new charge needs to be entered.

Seneca: In the past an officer went upstairs and copied prior files for readmissions if the officer was aware that the person was a readmission. Now the officer will check the data base and update only the changes to the data base.

Personnel Management System. As was true for awareness, comments about the system's impact in our field visits were quite limited. Of the three sheriffs' departments implementing the system, the only one having significant operational experience reported that it helped them keep track of their training records. The relative newness of the system (1989 release) explains the dearth of comments.

Chapter Summary

- State agencies receiving SIFECS funds reported satisfaction with the level of technical assistance and liaison provided by SIFECS staff in DCJS. The level varied based upon the respective technical capabilities of agency staffs.

- DOCS' completion of its mainframe acquisition was delayed by problems in converting hardware and software though all subsystems of its Population Management System were operational by September 1990.

- DOCS reported that the implementation of the Population Management System provided the agency with tools to enhance agency operations such as the classification of inmates. However, DOCS failed to complete the evaluation measures in the SIFECS project agreement limiting our ability to assess project impact.

- PARTNER, Parole's management information system, covers the entire parole process and is operational in certain parole offices and units. The Jail Time SIFECS project which has been completed and subsumed within PARTNER has provided DOCS and DOP with more information earlier about parole violators.

- DPCA and DCJS followed appropriate procedures to assure the validity and reliability of the five SIFECS software programs which they developed.

- Responses to the police survey revealed that 52 percent of WMS and 47 percent of Personnel Management System users according to DCJS records did not use the systems. A November 1991 DCJS telephone survey found lower but still significant error rates of 20 percent for WMS and 28 percent for Personnel Management.

- Lack of awareness and the need already being met were the most common two reasons for agencies not using the SIFECS warrant and personnel management systems.

- SIFECS information systems users with few exceptions gave DPCA and DCJS high marks for their technical assistance in installing and maintaining the systems.

- Some operational impacts of the SIFECS systems on local agency operations included:

  —Increases in warrant clearance rates
  —More expeditious preparation of the sheriff's annual reports
  —More expeditious processing of inmate readmissions.

- The vast majority of local agencies found that the five SIFECS information systems included in the user surveys had somewhat or greatly improved their agency operations.

III Quality of Information

Automation of criminal justice agency data bases, as discussed in Chapter II, is the first step toward development of an integrated State and local criminal justice information system. However, unless the information stored on those data bases is available in a timely manner, accurate and complete, the full impact of such automation on agency operations will not be realized.

This chapter reviews two major SIFECS efforts to improve the quality of information available from State criminal justice agencies. These are programs to improve:

—How law enforcement agencies can identify fingerprints to help solve crimes; and

—The accessibility, accuracy and completeness of State criminal history information.

State Automated Fingerprint Identification System

Background

Fingerprint evidence can be crucial in solving crimes such as rape, burglary, robbery or murder. Identifying an individual from fingerprints taken from a crime scene, known as latent fingerprints, is a laborious process without an automated data base. Accurate determination of whether an individual who has been taken into custody has a prior criminal history through matching fingerprints against a criminal history data base can be important for decisions such as bail and sentencing.

Latent Fingerprint Processing. Before New York State implemented the State Automated Fingerprint Identification System (SAFIS), the State Division of Criminal Justice Services (DCJS) had a limited capability to identify latent fingerprints from crime scenes. With approximately four million sets of fingerprints on file, successful manual searches were usually possible only when a suspect had already been identified. As will be discussed, SAFIS has made a significant difference in this process.

Arrest Fingerprint Card Processing. At the current stage of SAFIS implementation, the description below represents current practices except for improvements in how fingerprint cards are transmitted which will be subsequently discussed. Individuals arrested on a fingerprintable offense (all felonies, most misdemeanors and selected violations) must be fingerprinted by law enforcement agencies. The cards containing their fingerprints and arrest information are sent to DCJS primarily through three means:

—Laser facsimile equipment (only in New York City),
—Photo facsimile equipment (in New York City and other major jurisdictions around the State), and
—Mail.

When the arrest fingerprint cards are received by DCJS, the vast majority are initially matched with the criminal history data base using basic demographic data such as name and

date of birth. If a name search match is accomplished, this initial search is verified by a manual comparison of the fingerprints on the arrest fingerprint card with the fingerprints on file.

If the name and date of birth search do not produce a match, examiners make further comparisons with the existing fingerprint file. Once a match is verified, a criminal history is transmitted to the requesting law enforcement agency by mail or by the New York State Police Information Network (NYSPIN).

The sometimes poor quality of laser facsimile transmission has impeded the efficient processing of arrest fingerprint cards from New York City. This has frequently forced DCJS to request transmission of an additional fingerprint card for matching. Photo facsimile equipment, while providing a higher quality of transmission, does not have the speed to handle the volume of arrest fingerprint card transmissions from New York City.

In response to the above concerns about fingerprint identification (cited in the State I planning reports), SAFIS was designed to enable law enforcement officials to search latent fingerprints against an automated set of fingerprints and to streamline the processing of arrest fingerprint cards.

Request For Proposal Development

DCJS' planning complied with general standards for development of automated fingerprint identification systems. In this process, DCJS:

—Consulted with other states that have implemented automated fingerprint systems;

—Defined automated fingerprint system requirements through a functional requirements statement;

—Involved multiple vendors; and

—Solicited input from State and local criminal justice agencies active in searching latent prints in New York.

The Request For Proposal was originally scheduled for release in early 1986, but was delayed until September 1986. The delay was attributed to the extensive consultation process for system planning and to the need to persuade New York City to scrap its plans to develop its own system.

Vendor Selection

DCJS went through an extensive effort in developing and implementing criteria to evaluate the three vendor proposals. However, the specific weighting system used for the five criteria had limited precedence and was essentially a judgement call. The five criteria weights were:

—Technical capability of the vendor (45 percent);

—Cost of proposal (20 percent);

—Benchmark comparisons of system's accuracy (15 percent);

—Conversion of fingerprint cards and transition between project phases (10 percent); and

—Support which includes vendor financial capability and development of system documentation (10 percent).

North American Morpho Systems, Inc. (Morpho) would have won the bid by a small margin over the other two vendors even if all of the factors were weighted equally. With the weighting system adopted, however, Morpho won easily because of strong technical capability and cost scores. Morpho's performance was weaker in the support (Morpho came in third), conversion and transition (second) and benchmark (second) categories. Morpho's credibility was enhanced by its partnership with IBM. The evaluations, however, did not assess the capacity of each vendor to adequately staff the project, a weakness which contributed to the project delays described below.

Project Delays

SAFIS as originally designed consisted of four phases:

1. Phase I involved creating a central operation which could search latent fingerprints against a central automated data base of fingerprints at DCJS.

2. Phase II consisted of designing 12 sites in major jurisdictions around New York State which could compare latent fingerprints against the automated fingerprint data base created in Phase I.

3. Phase III was designed principally to enable arrest fingerprint cards to be searched against a central DCJS automated data base of other arrest fingerprint cards.

4. Phase IV was intended to create 50 sites around the State which would directly transmit arrest fingerprint cards to DCJS using a reader/scanner at each site.

The contract between DCJS and Morpho/IBM took effect in June 1988. Based upon the contract schedules, the project's first two phases were delayed for about a year. Phase III's central arrest fingerprint card operation is projected to be two and one-half years late.

The small size of Morpho and the over optimism of the time schedule for the project contributed to the delays. Morpho was a very small company in the United States at contract execution and had to grow substantially to complete the project. Morpho is based in France and began with only six employees in the United States in 1987. As noted above, Morpho's capacity to staff the project was not explicitly evaluated in the competitive bidding process. New York's project time schedule was comparable to a Missouri automated fingerprint system serviced by Morpho. The Missouri system was largely completed on time, but was a substantially less complex system than was required for New York State.

DCJS Oversight

Responding to weaknesses in Morpho's performance in the evaluation of vendor proposals, DCJS took several steps to monitor the company's performance and to assure that payments were made only after performance was demonstrated.

1. DCJS required additional safeguards to assure the accuracy of the conversion of the existing arrest fingerprint cards by Morpho.

2. Morpho passed functionality and accuracy tests before receiving initial payments for elements of the central latent site (Phase I) and for each of the remote latent sites (Phase II).

3. An August 1990 contract amendment delineated project elements to be deferred to assure completion of the basic elements of the SAFIS Phase I central latent site.

Project Status

Chart 4 presents SAFIS status as of September 1991. The central latent site (Phase I) is operational though the total conversion of the arrest fingerprint card data base has not been completed. As of August 1, 1991 approximately 1 million out of 1.2 million records of ten fingers have been converted and loaded onto the latent database. These 1.2 million records represent the number of estimated fingerprint cards to be converted selected from the total data base of approximately four million records based primarily upon the types of crime on the individuals' records. Conversion will be an ongoing activity as new arrests are recorded. Additional search features for the latent system and improved processing capabilities have yet to be delivered.

CHART 4

SAFIS IMPLEMENTATION STATUS
SEPTEMBER 1991

Phase		Contract Deadline	Status
I:	Central Latent (Crime Scene) Fingerprint Processing	January 1989	Phase I accepted in January 1990 with implementation of some search features and processing capabilities delayed.
II:	Remote Latent (Crime Scene) Fingerprint Processing at 12 Sites	August 1989	Nine of the 12 sites accepted by April 1990. All sites operational by April 1990.
III:	Central Arrest Card Fingerprint Processing	December 1989	In conceptual design phase. Not expected to be operational until 1992.
IV:	Remote Arrest Card Network at 50 Sites	May 1990	Elimination of this phase which was not expected to be completed until April 1993. Instead, installation of digital facsimile machines was substituted which were completely installed by September 1991.

Source: LCER analysis of SAFIS contract and DCJS documentation, January 1991, August 1991 and September 1991.

For Phase II, the 12 remote latent sites are all operational and all but three have been tested. DCJS is withholding testing, and subsequent payment to Morpho for these three sites, pending Morpho's delivery of certain Phase I features that had been deferred. Morpho is designing the Phase III central arrest fingerprint card processing system which is not expected to be operational until 1992.

DCJS terminated Morpho's contract for Phase IV and opted for a digital facsimile system to replace the State's current laser and photo facsimile equipment for transmitting and receiving arrest fingerprint cards. Termination of Morpho's Phase IV contract has enabled earlier replacement of the laser and photo facsimile network than would have occurred if Morpho continued with the contract. This replacement is less costly than the contract cost for Phase IV. In addition, DCJS estimated $363,700 in 1991-92 nonpersonal services savings from termination of the maintenance contracts for the laser and photo facsimile equipment. As of September 1991, all sites have been converted to the digital facsimile and are operational in New York City, and the counties of Suffolk, Nassau, Westchester, Erie, Rockland, Ulster, Dutchess, Sullivan, Onondaga and Monroe.

Impact

SAFIS has already had a significant impact on law enforcement in New York State. The New York City Police Department provided LCER staff with several accounts of the impact of SAFIS on the department's crime solving ability. One such account follows:

On July 17, 1990, in the confines of the 43rd precinct, a female known to this department answered a knock at her apartment door. The perpetrator displayed a gun and forced his way into the residence. He tied up two other persons who were present in the apartment. He then at gun point took the complainant to one of the rear bedrooms where he raped and sodomized her. Latent prints recovered from the crime scene were entered in SAFIS for a search through the New York City database with negative results. A second inquiry was conducted expanding the search parameters to include the entire New York State database. A positive identification was effected. It turned out that the individual identified had only one arrest which was in Troy, New York. This person was subsequently arrested and charged with this crime and is awaiting trial.

As of August 1, 1991, 54,177 latent fingerprints had been searched for 35,734 cases and 1,081 identifications had been made. In July 1991, the system made 114 identifications, marking the first month in which over one hundred identifications were made.

Criminal History Information

Background and Nature of Problems

DCJS is the State's repository for individual criminal history information and is required to maintain information on the disposition or outcome of all arrests for which fingerprints must be obtained in New York State. A few examples of common dispositions include dismissals, guilty pleas to the arrest charges, pleas to a reduction from the arrest or indictment charges and a conviction after a trial. Information on the sentence (e.g., jail, State prison, probation, fine or other penalty) and whether the sentence has been satisfied should also

be present on the DCJS computer. In certain cases such as dispositions in favor of the defendant and youthful offender findings, DCJS is required to seal the arrest information to prevent it from being included in the criminal history information (hereinafter also known as the rap sheet) disseminated by the agency.

To develop the criminal history data base, DCJS receives arrest information from law enforcement agencies and disposition information primarily from the State Office of Court Administration (OCA). OCA receives disposition information from:

1. The Criminal Records and Information Management System (CRIMS) completed for New York City in August 1990 and expanded to several other high volume courts such as the Nassau County District Courts by July 1991.

2. Paper forms mailed from the remainder of the State's courts except for the town and village courts which began to mail dispositions directly to DCJS as of May 1991.

The accuracy, completeness and timeliness of criminal history information can be critical to bail, outcome and sentencing decisions in criminal cases and is essential to protecting the constitutional rights of defendants. Decisions on whether an individual will remain in custody or will be freed may be influenced by a prior criminal record. In some instances, a prior criminal record may be used as evidence in a court proceeding. Also, sentencing decisions can be strongly influenced or determined by an individual's prior criminal history. In New York State with few exceptions, an individual with two felony convictions in the past ten years must receive a State prison sentence as a predicate felon. Finally, *Tatum v. Rogers*, a 1979 New York State case, found that constitutional rights of individuals are violated whenever criminal histories contain erroneous, ambiguous or incomplete information.

Despite the importance of criminal histories, their quality has been an ongoing concern as documented by the Liman Commission and by a September 1990 Office of the State Comptroller audit. The Comptroller found that 23 percent of the arrests on the DCJS data base from January 1, 1970 to September 1, 1988 had no disposition and that 32 percent of a sample of 1985 to 1987 arrests had at least one error. The audit, however, did not examine the underlying causes of the incomplete and inaccurate information. This audit will discuss some of the underlying causes.

SIFECS Initiatives

SIFECS projects to improve disposition reporting have been either remedial or structural efforts. Seventy-two percent of SIFECS dollars spent for this purpose ($2.5 million out of $3.5 million) were expended on remedial projects designed to improve information quality without changing the reporting structures. The results of those remedial efforts were:

1. Stemming from the *Tatum v. Rogers* decision, DCJS was ordered to verify and to collect missing dispositions for the period from 1974 to January 1977. Approximately half of the 486,323 dispositions verified contained at least one error. Also, 122,000 missing dispositions were collected and processed under the court order. The most common type of errors found were: law code/charge (24 percent), sentence data (16 percent) and case number (16 percent).

2. A second SIFECS project was initiated to collect missing dispositions from 1978 to 1984. Almost 70 percent of the over 500,000 missing dispositions were from outside New York City. Dispositions for only 32 percent of the arrests were collected before the project was abandoned because the collection costs outweighed the benefits realized.

3. From March 1987 to October 1990, DCJS sent missing disposition notices for 24,239 arrest events to 39 courts. Some disposition information was received for two-thirds of those arrests.

Two SIFECS projects sought to make structural changes in how disposition information was collected and disseminated. These projects were the revision of the criminal history rap sheet and the effort to implement CRIMS in New York City and elsewhere in the State mentioned above.

Criminal History Rap Sheet. Under SIFECS, DCJS developed an extensive list of possible revisions in the format and content of the rap sheet through in-house suggestions and in-State and out-of-State surveys. DCJS originally wanted to overhaul the rap sheet but had made only modest revisions awaiting overall improvements in the quality and timeliness of disposition information.

Criminal Records Information Management System. As mentioned above, OCA in conjunction with DCJS developed and implemented CRIMS to improve court operations and the quality of criminal history information transmitted by DCJS. DCJS thus was expected to receive more extensive and more timely disposition information from CRIMS.

We reviewed correspondence relative to OCA-DCJS CRIMS planning and implementation in New York City from 1986 to April 1991 and interviewed OCA and DCJS staff. Joint planning for CRIMS began in 1986 and has continued actively to the present as implementation moves beyond New York City. Assessing the planning process, we found that OCA and DCJS were unable to agree upon common system development standards. Their differences stemmed from the level and type of documentation and testing which was done prior to CRIMS implementation and the priorities given to error correction subsequent to implementation as described below:

1. OCA and DCJS while planning CRIMS for the Criminal Court did not have a clear understanding of each other's data layout and data processing procedures. A March 23, 1990 meeting held nine months after implementation of CRIMS in Criminal Court was the first opportunity to gain a more detailed knowledge of each other's operations.

2. DCJS staff were dissatisfied with the adequacy of documentation provided on how the two agencies would process records returned as errors. A May 17, 1989 OCA document provided DCJS with a CRIMS record layout and some information about how errors would be processed. DCJS staff requested more detailed documentation including extensive examples of how different types of error transactions would be documented. OCA staff felt that the May 1989 document was sufficient.

3. a. OCA and DCJS also differed on the extensiveness of testing that should have been completed prior to implementation. Initially for both Criminal Court and Superior Court, OCA agreed to do two weeks of parallel testing. In that type of testing, cases are entered on both the old and the new information system to test the adequacy of the new information system.

   b. Though OCA initially agreed to two weeks of parallel testing, only six days of parallel tests were done for Criminal Court and three days were done for Superior Court. OCA staff cited court staffing constraints as a reason for the reduced level of parallel testing and asserted that the testing done was sufficient after the previous months of other types of testing had been completed.

   c. DCJS staff complained that insufficient parallel testing was done. Also, during the parallel tests conducted, DCJS staff noted that OCA entered only selective cases rather than all cases to simulate actual operations. DCJS staff were further concerned that system analysts were also used to enter cases onto CRIMS rather than just data entry operators who would be responsible for inputting cases once the system was implemented.

4. Subsequent to CRIMS implementation in Criminal Court, OCA in August 1989 promised to expedite programming to comprehensively deal with cases not being updated because of errors. This programming, known as defendant history processing, was not implemented until May 1990. OCA staff attributed the delays to programming complexities.

5. Also, OCA has not made CRIMS error corrections a high priority. As of August 1991, OCA did not conduct routine error reconciliations with the courts though work was underway to implement such a process. An example of the low priority is OCA's failure to largely fulfill a March 1991 commitment to correct several problems which have been causing a significant proportion of errors. OCA staff attributed the delays to budget reductions and other priorities including the implementation of CRIMS beyond New York City.

Overall DCJS requested more extensive testing and documentation while OCA believed that the testing done and documentation provided prior to implementation was sufficient. The differences between the agencies can be partly attributed to variations in agency priorities. For DCJS, the most important CRIMS product was the quality of criminal history information. For OCA, the importance of criminal history information, while still important, was balanced against an early implementation of CRIMS to improve daily court operations. For Criminal Court, OCA pressed for an earlier implementation date than DCJS and subsequently agreed to a delay. OCA felt a strong urgency to replace the prior information system as soon as possible as discussed below:

> During this period of time [June-July 1989], the courts were operating under severe resource constraints. The backlogs in the [old] system had been growing, and equipment was deteriorating rapidly. It was imperative that the court system implement new hardware and software to replace the dying [old] system.

Thus OCA's focus was more heavily on the immediate needs of daily court operations while DCJS felt that additional testing and documentation was essential to assure the integrity of the criminal history information to be received under CRIMS. The implications of these differing perspectives are discussed below.

SIFECS Program Results

LCER staff used several sources to assess the impact of the above efforts to improve the availability of timely, accurate and complete criminal history information. These included:

—Documents from and interviews with OCA and DCJS staff,
—Interviews with staff of local criminal justice agencies during field work, and
—Surveys of local judges and police departments in the nine field work counties.

The analysis will be divided into the timeliness and access to criminal history information and the accuracy and completeness of that information.

Timeliness and Access. Local criminal justice agencies can gain access to criminal history rap sheets supported by fingerprints or by a name search in two ways. A local police department without access to a facsimile machine will mail in the fingerprint arrest card which will be returned within three weeks with a fingerprint supported rap sheet if the individual has a criminal history. A department may also request a name search rap sheet through its New York State Police Information Network (NYSPIN) terminal. Departments with access to a fingerprint facsimile machine can receive a fingerprint supported rap sheet usually within several hours. Agencies without access to a NYSPIN terminal or a facsimile machine are dependent upon other agencies for rap sheet receipt.

A fingerprint supported rap sheet is based upon a verification of the fingerprints on the arrest card with the fingerprints retained on the DCJS criminal history data base. A name search rap sheet is supported by only identifying information of an individual (name, date of birth, etc.) and not fingerprints. It may not accurately represent the individual's criminal history because of aliases and other misrepresentations or inaccuracies.

Two issues arose relative to access to rap sheets in the course of the audit. These were access to rap sheets by public defender agencies and the availability of fingerprint supported rap sheets at felony arraignments.

Indigent defendants are represented by an assigned counsel, a Legal Aid Society attorney or a county public defender office in New York State. Under Section 160.40 of the Criminal Procedure Law, a police officer is responsible for providing the court with two copies of any rap sheet received by DCJS on a defendant. The court is then responsible for providing the defendant's counsel or the defendant, if not represented by counsel, with a copy of the rap sheet. Staff of public defender agencies did not report a problem in the three large counties and in New York City with obtaining a rap sheet. However, obtaining rap sheets was perceived as a problem in two of the three medium sized counties and in all three of the small counties visited. One public defender noted that he is dependent upon his client's recollections, information supplied by the district attorney and the pre-plea reports produced by the probation department in the absence of the rap sheet.

Section 530.20 of the Criminal Procedure Law requires that a fingerprint supported rap sheet be available for felony arraignments before a defendant can be considered for bail or release on recognizance. Except in an emergency, this requirement may only be waived by the district attorney.

According to the local judges responding to our survey, only 46 percent agreed that fingerprint supported rap sheets were available always, almost always or most of the time for felony arraignments. As a substitute, only 32 percent of the judges indicated that name search rap sheets were available most of the time or more frequently. Field work interviews suggest that fingerprint supported rap sheets at arraignment are only available routinely in the largest counties.

Given that fingerprint supported rap sheets are frequently not available, 60 percent of the judges indicated that district attorneys are available outside of normal working hours most of the time or more frequently to decide upon waiver of the requirement. When a judge requests the district attorney to waive the requirement, 37 percent stated that the district attorney would waive it most of the time or more frequently. However, 35 percent of the judges expressed no opinion on this survey item. Field work interviews suggest that the requirement of a fingerprint supported rap sheet is explicitly or implicitly waived and that other information (e.g., name search rap sheets and/or the district attorney's recommendation) is used as the basis for bail decisions.

Finally turning to the impact of the lack of fingerprint supported rap sheets on judicial decisions, almost one-half of the judges responding would consider bail based upon information from other sources. However, 27 percent stated that without a fingerprint supported rap sheet they would be less likely to consider bail or would not consider bail at all. The absence of fingerprint supported rap sheets thus is a barrier which might be contributing to added pretrial detention of some felony defendants.

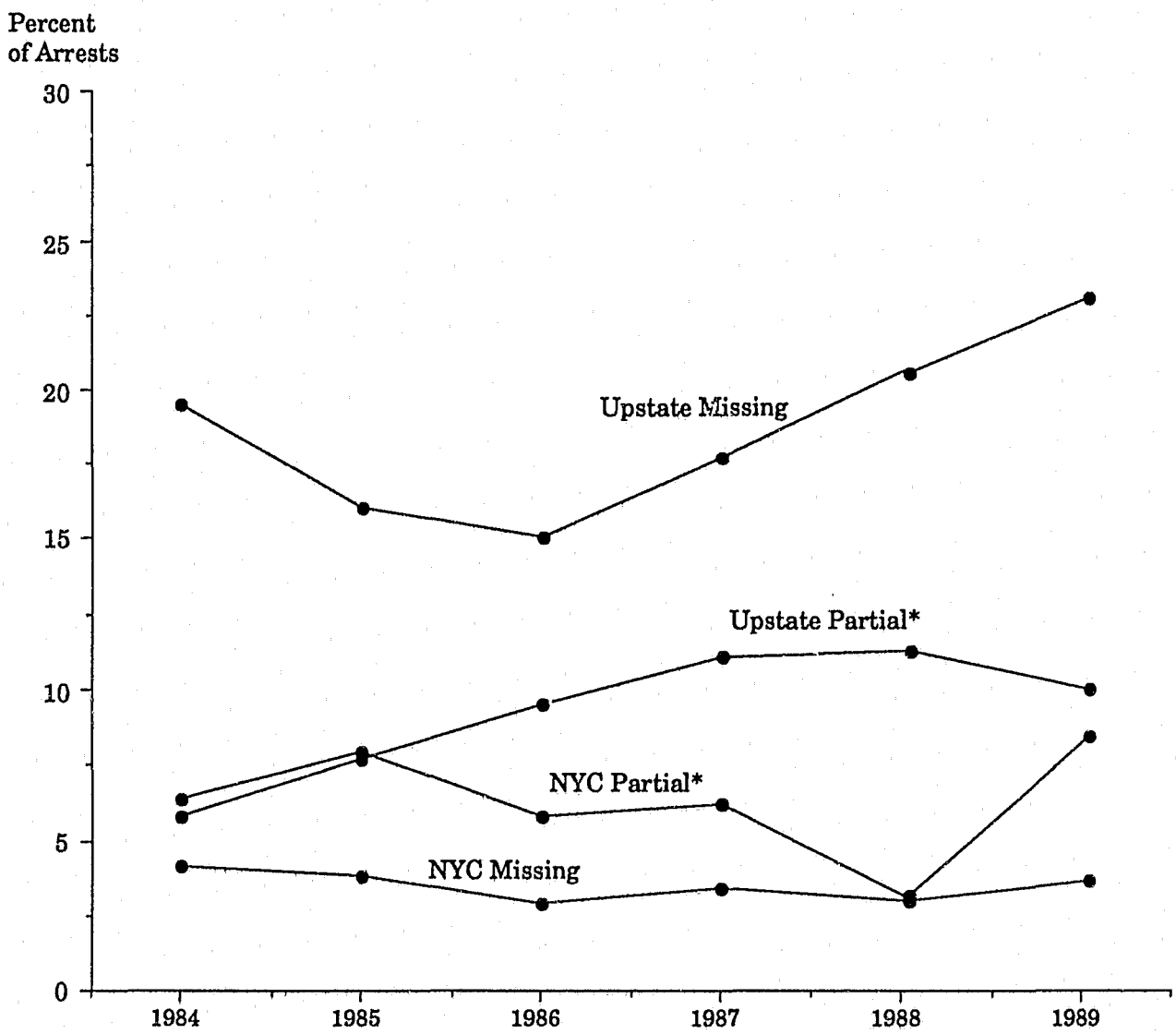
Overview: Accuracy and Completeness. The 1990 State Comptroller's audit documented problems with the accuracy and completeness of DCJS rap sheets. LCER staff gathered additional information about the level of completeness and accuracy and the possible causes of those problems.

Overall, Chart 5 indicates that from 1984 to 1989 the level of missing or partial dispositions for New York City arrests was unchanged while missing dispositions outside the City had risen. For this chart missing dispositions are arrests for which no data are on file about the arrest while partial dispositions are those with some information about progress such as being held for the grand jury. The missing disposition problem, as the chart reveals, is more of a weakness for upstate arrests than for New York City.

Breaking missing dispositions down by type of court, Chart 6 on page 39 reveals that the town and village courts (30.3 percent) had the greatest proportion of missing dispositions from 1989 arrests. These courts, as noted, now transmit their disposition reports to DCJS though OCA was the recipient of those reports prior to May 1991. Other on-line high volume courts (23.7 percent) and city courts (16.9 percent) also had significant levels of missing dispositions. New York City, in contrast, had a missing disposition rate of 3.1 percent.

CHART 5

MISSING AND PARTIAL DISPOSITIONS
NEW YORK CITY AND UPSTATE
1984 TO 1989



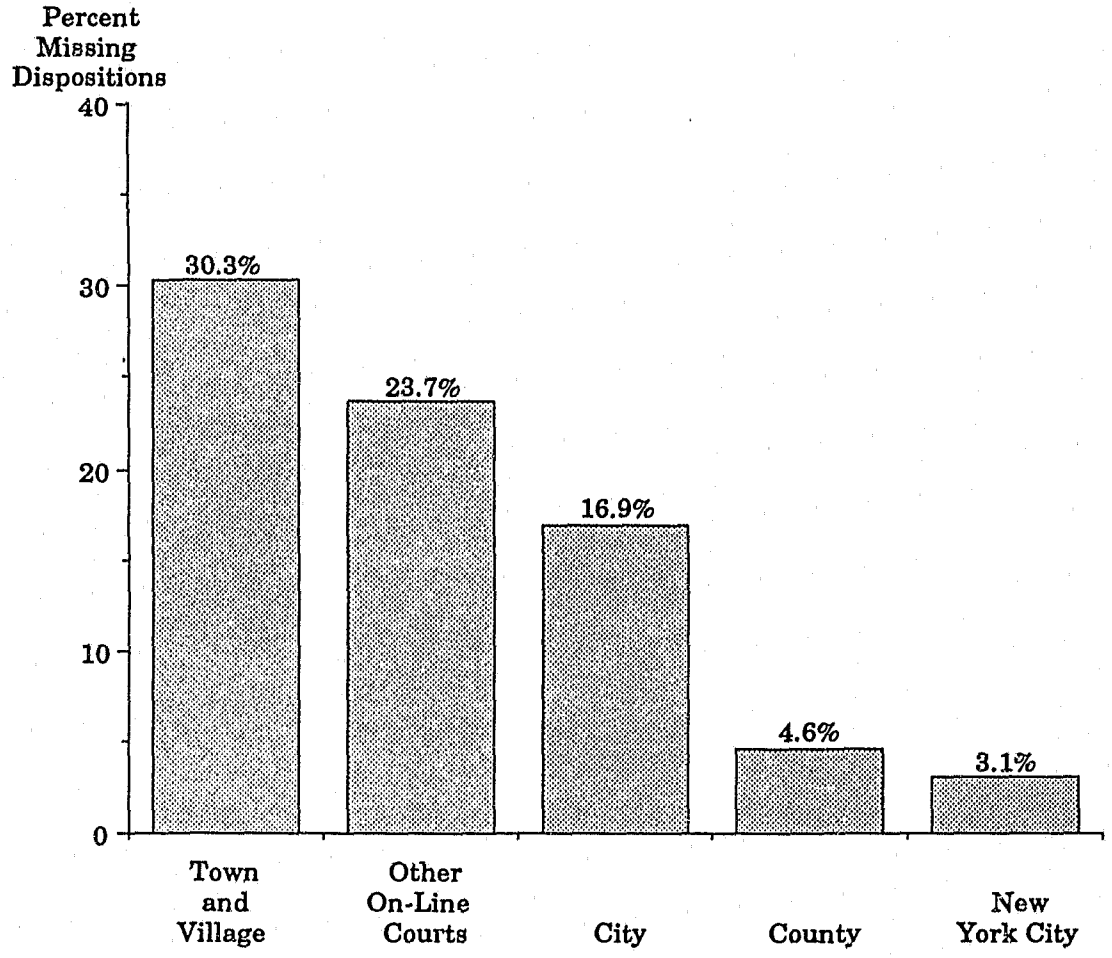
Note: Percentages taken from reports produced approximately one year after the end of each calendar year.

*Includes cases with some but not final information on case disposition, but excludes bench warrant only cases.

Source: LCER analysis of DCJS reports, January 1991.

CHART 6

MISSING DISPOSITIONS
1989 ARRESTS
TYPE OF COURT



Source: LCER analysis of DCJS data, January 1991.

Accuracy and Completeness: New York City. Before turning to disposition reporting upstate, the impact of CRIMS on disposition reporting will be discussed. CRIMS, as designed, provides additional and more specific disposition information to be updated to the DCJS criminal history data base than the Offender Based Tracking System (OBTS), the previous automated information system used by OCA. Examples of increased and more specific information gathered are provided below:

Additional Data Points

1. Arraignment Date and Charges
2. Release Status
3. Attorney Type
4. Jury Trial Indicator
5. Intermittent Imprisonment Indicator

More Specific Data

1. More Explicit Disposition Codes (e.g., specific types of dismissals)
2. Charge Reductions (e.g., tracking charges that are reduced)

CRIMS also allows more disposition information to be forwarded before a case is completely finished. In the past, a guilty plea would not have been forwarded until sentencing was completed. Also, data are transmitted when entered into OCA's system instead of three days later as was done for OBTS. As a result of this increased disposition information, DCJS had docket dispositions which are outcomes without sentencing information for 5.3 percent of all 1989 New York City arrests as of September 1990. This interim disposition information would not have been available prior to CRIMS helping to reduce the problem of missing dispositions.

CRIMS also is designed to reduce cases lost in transmission from OCA to DCJS by providing sequence numbers for each case sent. Errors can be better tracked through on-line retransmission of cases from DCJS to OCA and through weekly error reports which identify trends.

While CRIMS, as designed, has improved the timeliness and completeness of dispositions reported to DCJS, the disagreement between OCA and DCJS on the sufficiency of testing and documentation prior to implementation has resulted in a less than complete realization of CRIMS' benefits. OCA's decisions to implement CRIMS with less extensive testing and documentation than requested by DCJS contributed to the growth in the number of cumulative errors for CRIMS in Criminal Court and in Superior Court (Charts 7 and 8). It also is more costly to correct errors subsequent to implementation than to do the testing necessary to prevent their occurrences. As previously discussed, OCA placed greater priority on the timeliness of system implementation because of major existing problems with the prior information system.

For Criminal Court (Chart 7), the number of cumulative errors rose from 12,097 in September 1989 to over 200,000 in July 1990 before dropping to 97,600 in March 1991 and subsequently rising to 118,962 in June 1991. The number of cumulative errors can decrease as OCA and DCJS correct the programming or data entry problems that caused the errors. The decline largely reflects the successful implementation of defendant history processing beginning in May 1990. Chart 8 reveals that for Superior Court the number of errors for a lesser volume of transactions rose from 2,424 in September 1990 to 27,383 in June 1991 with no significant drop during the period. These errors represent both dispositions which are not added to the criminal history data base and dispositions which are updated though containing an error.

It should be noted that while the number of cumulative errors has risen without abatement for Superior Court and with some reductions for Criminal Court, the weekly error rates have improved significantly in Criminal Court reflecting improvements in ordinary processing of transactions. For example, the error rate dropped from 11.9 percent in early October 1989 to 7.0 percent in early July 1990 to 3.1 percent in early July 1991. While the rates have fluctuated over the period, the trend is downward. Superior Court error rates remained largely in the six to seven percent range from October 1990 to early February 1991. From then until late May 1991, error rates ranged between four percent and six percent before rising to 9.2 percent in early July 1991.

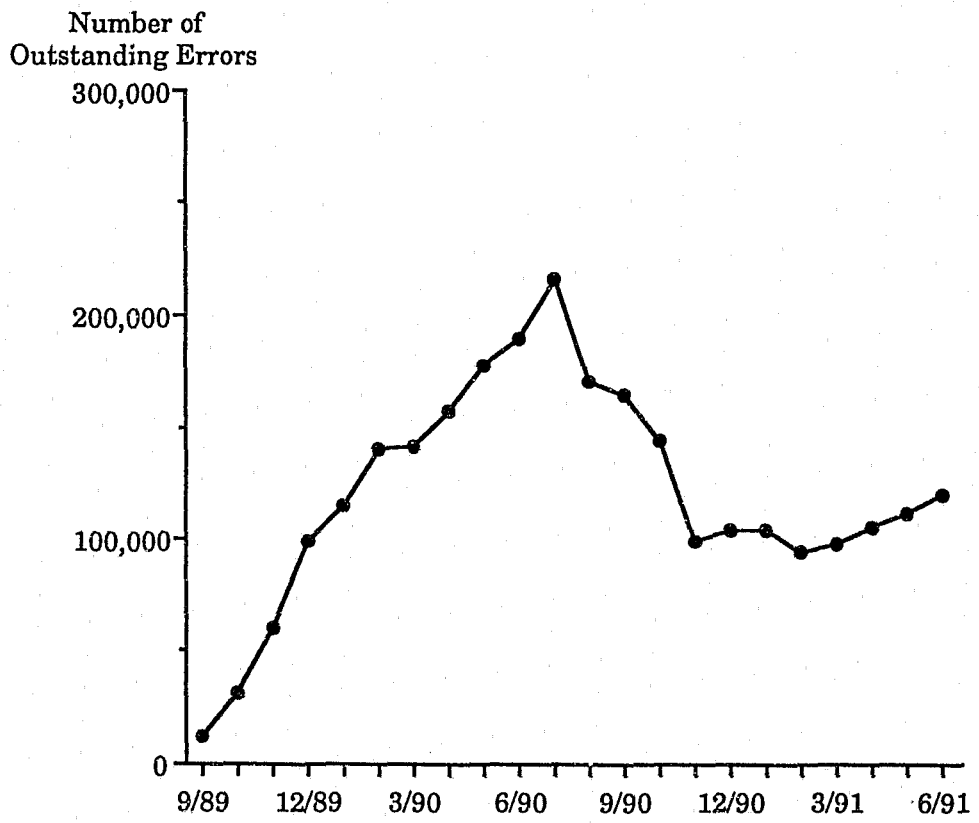
Besides a growth in the number of outstanding errors, DCJS has been unable to update its criminal histories to collect the additional information that CRIMS provides for Superior Court cases. Because of the problems with CRIMS Criminal Court implementation and OCA's efforts to implement CRIMS beyond New York City, DCJS staff indicated that it did not have

the resources to fully implement CRIMS for Superior Court. As of July 1991, thus, DCJS collects only the data elements for OBTS, the previous OCA information system for these cases.

Accuracy and Completeness: Upstate. As identified above, upstate courts, especially the town and village courts, have proportionally more missing dispositions than the New York City courts. LCER surveys of local judges and local police departments and field visit interviews with local criminal justice agencies provide evidence on upstate perceptions of the quality of the criminal history rap sheets.

CHART 7

OUTSTANDING ERRORS - CRIMS
NEW YORK CITY CRIMINAL COURT
SEPTEMBER 1989 - JUNE 1991*

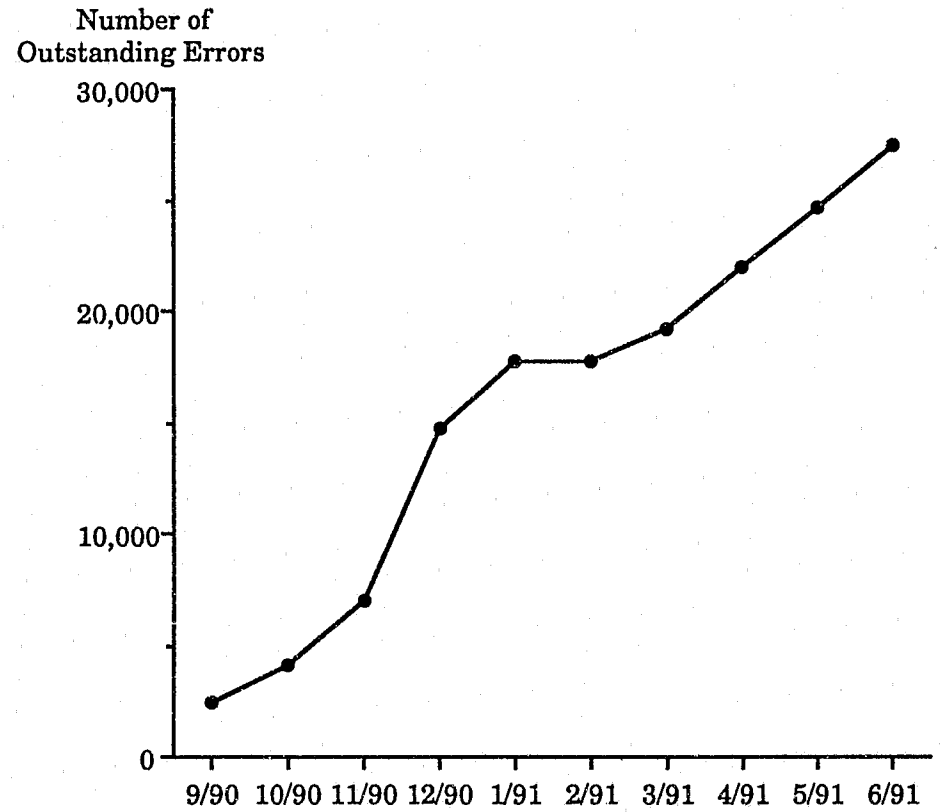


*The data reflect the number of total errors reported in the first report produced in each month.

Source: LCER review of DCJS reports, December 1990 and August 1991.

CHART 8

OUTSTANDING ERRORS - CRIMS
NEW YORK CITY SUPERIOR COURT
SEPTEMBER 1990 - JUNE 1991*



*The data reflect the number of total errors reported in the first report produced in each month.

Source: LCER review of DCJS reports, December 1990 and August 1991.

A majority of local judges and police departments perceived that the completeness and accuracy of rap sheets has somewhat or greatly improved since the mid-1980s when SIFECS began (Table 8). However, 34 percent of the judges and 36 percent of the police reported no change in the completeness of rap sheets. No improvement in accuracy was perceived by 31 percent of the judges and 30 percent of the police. Not surprisingly those judges who took office after 1986 (subsequent to SIFECS inception) were less likely to report improvements in accuracy or completeness than judges with longer tenures.

During our field work, local criminal justice agencies also expressed significant concerns about completeness of rap sheet disposition information. The town and village courts were mentioned as a source of missing disposition problems in a significant minority of the

interviews. However, few of those interviewed cited inaccuracy of rap sheets as a major concern. The lack of consistency between the surveys and interviews might stem from survey respondents equating completeness and inaccuracy — i.e., treating an incomplete rap sheet as an inaccurate rap sheet. In the interviews, LCER staff were able to clarify that distinction. Once that distinction was made, those interviewed may have perceived few accuracy problems partly because they have no independent basis from which they can routinely gauge the accuracy of the rap sheet.

The last survey and interview question touching upon local agency perceptions about accuracy or completeness of the rap sheet concerned its understandability. Neither the interviews nor the surveys found significant concerns about rap sheet format. Eighty-two percent of the judges and 90 percent of the police departments agreed that the rap sheet was easy to understand. In the interviews, problems with interpreting the rap sheet were the exception rather than the rule.

The problem of missing dispositions has implications for local criminal justice agency operations. Among the most common problems cited in our interviews included:

1. Completion of Pre-Sentence Investigation Reports by Probation Departments. Four departments noted that lack of disposition information would not delay a report but would be mentioned.

2. Problems in plea bargaining and sentencing. This was mentioned especially by public defenders as missing dispositions could delay or complicate what plea bargain would be consummated.

3. Elevation of charges. Several law enforcement agencies mentioned that an individual would be subject to a more serious charge in some cases if he or she had a prior conviction on the rap sheet.

TABLE 8

COMPLETENESS AND ACCURACY OF RAP SHEETS
IMPROVEMENTS UNDER SIFECS
LOCAL JUDGES AND POLICE SURVEYS

	Completeness				Accuracy			
	Judges		Police		Judges		Police	
Response	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Greatly Improved	27	13.7%	20	26.3%	34	16.7%	24	31.6%
Somewhat Improved	76	38.6	20	26.3	79	38.7	19	25.0
No Change	67	34.0	27	35.5	63	30.9	23	30.3
Worse	2	1.0	--	--	1	0.5	--	--
No Opinion	25	12.7	9	11.8	27	13.2	10	13.2
Total	197	100.0%	76	99.9%	204	100.0%	76	100.1%

Source: Responses to LCER Surveys of Local Judges and Local Police Departments, April and May 1991.

Sources of Missing Disposition Problems. Interviews, survey responses and statistics about the quality of dispositions reveal that the problems with the criminal history rap sheets principally center on their completeness, especially for dispositions from town and village courts upstate. Survey data, interviews and a DCJS study suggest that the lack of automation in town and village courts and problems with OCA processing of paper disposition reports may contribute to these problems.

In New York State, there are over 2,000 town and village courts scattered throughout the State. In 1988 these courts processed 2.5 million of the 6.3 million new cases coming before the State's courts. Many of those interviewed emphasized that the lack of automation or even clerical support for many town and village justices impedes their disposition reporting. Recognizing the problem of local court automation, DCJS proposed unsuccessfully in its 1990-91 budget to install microcomputers in approximately 250 high volume town and village courts across the State. OCA subsequently allocated resources from its 1990-91 budget to promote local court automation. Toward that end, 40 local courts selected hardware and software from three vendors participating in the project. As the project has developed, OCA initiated efforts to provide these local courts access to inquire of the DCJS and the Department of Motor Vehicles data bases. OCA expects that the first linkage with a local court will be completed in October 1991. The project subsequently will be broadened to permit direct transmission of disposition information from the court to DCJS.

OCA, prior to transferring responsibility for processing town and village court dispositions to DCJS in May 1991, has had significant operational difficulties. Its Criminal Disposition Reporting Unit which processes paper dispositions for all courts had a backlog of 91,124 forms as of late January 1991. Using the number of forms entered for that period, that constituted a backlog of about 4.5 months. As of July 1991, the backlog was reduced by 31.5 percent to 62,396 through a combination of more extensive data entry efforts by OCA and the transfer of town and village court dispositions to DCJS.

To assess problems in OCA processing and transmission of town and village court dispositions, DCJS in late 1990 had OCA resend previously missing dispositions from selected town and village courts. DCJS had received the disposition forms from the town and village courts which had documented that they had previously transmitted the forms to OCA. Of those retransmitted dispositions, 19 percent still were missing from the DCJS criminal history data base while 18 percent had errors. The study attributed the missing and inaccurate dispositions to a combination of OCA and DCJS system problems and OCA data entry problems. The study's results are being used as a foundation for a DCJS analysis of disposition reporting being funded through a federal grant.

The problems with upstate disposition reporting are being addressed through the previously discussed efforts to automate some of these courts, the transfer of town and village court disposition reporting to DCJS and the integration of the paper disposition forms onto the CRIMS system.

As for the second initiative, however, as of July 1991, OCA and DCJS still had not developed a detailed working agreement for following up on missing town and village court dispositions. Such an agreement is essential to assure that OCA and DCJS follow-up efforts do not overlap or leave a gap.

In the third initiative, paper disposition forms once entered into CRIMS are processed like any on-line case. OCA staff anticipated that this improvement would result in increased productivity in entering and transmitting this disposition information to DCJS. However, OCA staff productivity in entering paper disposition forms dropped rather than increased with the implementation of CRIMS. For the four week term ending in late January 1991, OCA entered 1,111 forms per full-time equivalent (FTE) staff. For the four week term ending in mid-July 1991 (subsequent to CRIMS implementation), the number of forms entered per FTE staff dropped by 15 percent to 944.

When questioned about this apparent drop in productivity, OCA staff argued that the analysis was flawed in the following ways:

1. The four week time periods used for comparison were too short.

2. The FTE staff figures provided by OCA do not reflect actual hours spent entering cases.

3. Other factors such as computer down time, system training efforts and system conversion affect the productivity comparisons.

Given the promise of CRIMS to improve productivity, development of a data base by OCA to assess the extent of data entry productivity improvements under CRIMS would seem important.

Chapter Summary

- The State Automated Fingerprint Identification System (SAFIS) was designed to enable law enforcement officials to search latent fingerprints against an automated set of fingerprints and to streamline the processing of arrest fingerprint cards.

- DCJS did a satisfactory job in planning SAFIS and in conducting an extensive review of the vendor proposals. However, DCJS failure to evaluate each vendor's staff capacity to implement the project combined with over optimistic time schedules contributed to project delays. The first two SAFIS phases were delayed about a year while the third phase is expected to be two and one-half years late.

- As of August 1991, the central latent sites are operational though the fingerprint card data base is not complete. DCJS terminated the last phase of the SAFIS contract and substituted the purchase of digital facsimile machines for the remote fingerprint arrest card sites.

- As of August 1991, SAFIS had searched 54,177 latent fingerprints for 35,734 cases and 1,081 identifications had been made.

- Seventy-two percent of SIFECS dollars were expended on remedial rather than structural projects to improve the quality of disposition information available on the DCJS criminal history data base.

- Overhaul of the criminal history rap sheet and creation of the Criminal Records Information Management System (CRIMS) were the two major SIFECS initiatives to make structural changes in how disposition information was collected and disseminated.

- OCA and DCJS were unable to agree upon a common systems development standard for CRIMS. As a result, OCA, giving a higher priority to the early implementation of CRIMS in New York City to improve court operations, provided less documentation and conducted less testing than requested by DCJS prior to implementation. Subsequent to implementation, OCA efforts to correct errors lagged because of programming complexities, resources diverted for CRIMS implementation beyond New York City and fiscal cutbacks.

- CRIMS provides DCJS with additional and more timely disposition information. However, OCA's decision to conduct less extensive testing than requested by DCJS prior to implementation and the lower priority given by OCA to error correction contributed to the growth of case errors in the first year of CRIMS implementation. OCA, thus, traded off the benefits of an early implementation of CRIMS on court operations in New York City and beyond to the residual problems which were exacerbated by the less than full scale testing done prior to implementation.

- Public defenders in small and most of the medium sized counties visited complained about inadequate access to client rap sheets though the courts are required to provide them with the rap sheet under the Criminal Procedure Law.

- Though required by statute unless waived by the district attorney, fingerprint supported rap sheets are largely not available at felony arraignments. According to local justices responding to the LCER survey, the absence of such rap sheets at arraignment might be contributing to added pretrial detention of some felony defendants.

- The problem of missing dispositions is primarily an upstate problem especially in the town and village courts. The lack of automation in town and village courts and problems in OCA's processing of paper dispositions may be contributing to the upstate missing disposition problem.

- Though DCJS assumed responsibility from OCA for processing town and village court dispositions in May 1991, the two agencies have not developed a working agreement about following up on missing dispositions from those courts.

- Using OCA figures, the number of paper disposition forms entered per FTE staff dropped from 1,111 in January 1991 term to 944 in a July 1991 term subsequent to CRIMS implementation. OCA staff contended that this was an invalid measurement of productivity citing several methodological flaws and operational factors.

IV STATE AND LOCAL DATA EXCHANGE

The Liman Commission criticized New York State's criminal justice information systems as not fitting together into a coherent integrated system. The development of an integrated and automated system requires several steps:

1. Participants in the system must automate the information that is going to be exchanged.

2. The information must be accurate and complete and available in a timely manner.

3. Information to be exchanged must also be collected in a standard form to make it understandable.

4. The equipment must be available to link the computer systems exchanging the data. This linkage is known as an interface.

Chapter II examined efforts to promote automation (Step 1) while Chapter III reviewed the quality of information for the State's fingerprint identification and criminal history systems (Step 2). This chapter deals with efforts to standardize data collection (Step 3) and to promote data exchanges among State and local criminal justice agencies (Step 4).

STANDARDIZATION

SIFECS standardization efforts involve two major projects:

1. The development of the *Statewide Criminal Justice Data Dictionary;* and

2. The development of standard forms for use by criminal justice agencies.

Statewide Criminal Justice Data Dictionary

As noted above, data exchange among and between criminal justice agencies is most effective if data are collected using standard formats and definitions. Otherwise the degree to which data can be compared across agencies is limited. Toward this end SIFECS staff in cooperation with the major State and local criminal justice agencies developed the *Statewide Criminal Justice Data Dictionary*. As of February 1991, the third edition of the dictionary had been published. Through a collaborative process the agencies developed standard definitions, formats and standards of verification for commonly used terms in State and local agency data bases. As of the third edition, 190 terms had been defined. DCJS staff expect that the full impact of the dictionary will be realized when there is a growth in automated data exchanges among criminal justice agencies. Then the dictionary is intended to be a requirement prior to the initiation of such interfaces.

LCER staff assessed the initial impact of the *Data Dictionary* by:

—Analyzing compliance with the standards by DOCS and DOP, the two State agencies whose SIFECS funded projects were reviewed in Chapter II;

—Reviewing compliance of SIFECS developed software and standard forms with the *Data Dictionary*; and

—Interviewing staff of local criminal justice agencies in our field visits to assess awareness and utilization of the *Data Dictionary*.

DOCS and DOP both indicated that they were committed to the *Data Dictionary* and provided examples of data definitions consistent with the standards. DOCS noted that data are transmitted in the required format though they may not always be stored in that format. DOP also indicated that the data standards guide the agency's development of new systems or modification of existing systems.

Of the five software packages developed through SIFECS and reviewed in Chapter II, all but one were largely in compliance with the *Data Dictionary*. The Prosecutor Case Tracking System (PCTS), a modification of a national system for New York needs, was developed concurrently with the first edition of the *Data Dictionary* and is not in compliance with the standards. Compliance was delayed pending the redesign of PCTS because the software package currently serves only 12 sites and is not designed to share data with computers of other agencies.

SIFECS, as discussed further below, has developed three standard forms — the DWI Arrest Instrument, the Standard Arrest Report and the Standard Incident Report. The DWI Arrest Instrument complies with the standards as only basic elements of that form have been standardized. The other two forms are largely in compliance with the *Data Dictionary*.

LCER interviews with staff of criminal justice agencies in the nine field visit counties and New York City found varying degrees of awareness of and commitment to the implementation of the *Data Dictionary*. In New York City, all five agencies questioned were familiar with the standards and were committed to implementing them. Four of those agencies had staff which participated in the development process. Outside of New York City, awareness and usage were most widespread among the sheriffs and the largest police departments visited. Three of the five sheriffs departments and all of the six police departments which have or are planning automated systems were cognizant of and committed to the standards. In contrast, only one of the six probation departments and one of the four district attorney offices for whom the standards would have been applicable were knowledgeable and committed to implementation. Though DCJS expects compliance with the *Data Dictionary* when data interfaces are implemented, the lack of awareness of the standards by agencies currently designing systems creates an additional barrier to future data exchange.

Standard Forms

As discussed above, SIFECS has developed and distributed three standard forms to local criminal justice agencies. As of July 1991, the following number of agencies utilized the forms:

Standard Arrest Report:	371 criminal justice agencies (68 percent of potential users)
Standard Incident Report:	167 criminal justice agencies (31 percent of potential users)
DWI Arrest Instrument	42 counties (68 percent of potential users)

DCJS figures on the number of agencies using the Standard Arrest Report are roughly accurate though there are discrepancies in the specific agencies using the form. Of the police departments responding to the LCER survey, 13 percent reported using the form though they were not listed as users by DCJS. On the other hand, 12 percent indicated that they did not use the form, though DCJS records listed them as users. These discrepancies probably reflect agencies which obtained the report from other departments and those which received the form from DCJS but decided not to use it.

We assessed usage and impact of the implementation of these forms through survey responses and interviews with local criminal justice agencies in our field visit counties.

Standard Arrest Report. The Standard Arrest Report was developed in 1987. It is a one page form with 93 data elements for gathering information about the defendant, the arrest, the charges and associated persons. It also provides space for narratives. The form is linked with data elements of the federal Uniform Crime Report and will be connected to an Arrest and Incident Based Reporting System under design.

In our field visits, law enforcement agencies emphasized that the report provided more complete and detailed information and created carbon copies for distribution to other agencies needing the report. In the LCER survey, 66 percent of those which used the report agreed that it facilitated the exchange of information among criminal justice agencies. Of the remaining respondents, 19 percent disagreed with the statement while the remainder had no opinion. The three most frequently cited reasons for non-users in the survey were:

1. Used own report (49 percent);
2. Not aware of report (14 percent); and
3. Intended to use the report in the future (12 percent).

The New York City Police Department has not adopted this form or the Standard Incident Report because the department's forms are linked to computer programming which generate specific arrest and incident statistical tables.

Standard Incident Report. In September 1989, DCJS distributed the Standard Incident Report to 15 agencies as a prototype. An incident documents the range of police responses to calls which may or may not result in an arrest. The form will also be linked with the Arrest and Incident Based Reporting System which is under design. Since the report was formally released in February 1991, use of the form has been limited. Our field work interviews found few agencies had any significant experience with the form. Thus, no assessment could be made of the form's impact.

DWI Arrest Instrument. This form was a district attorney's initiative to collect supplemental data for arrests for driving under the influence of alcohol (DWI). The form was distributed to law enforcement agencies through district attorney offices beginning in early 1987. The form has many check offs designed to assure that the officer follows the legal requirements of the DWI arrest process and thus reduce the likelihood that an arrest will be

thrown out of court. The legality of the form was upheld in a 1987 decision by the New York State Court of Appeals.

Four of the nine counties visited by LCER staff had used the form. Those counties indicated that the form provided substantial information in a concise manner and that it was easy to complete requiring less paperwork than prior local forms.

State and Local Agency Data Exchange

The last step in the creation of an integrated and automated State criminal justice information system is developing linkages between computers so that data can be automatically transmitted from one criminal justice agency to another. Such linkages can yield several benefits for the criminal justice community:

1. Data transmitted from one agency's computer to another are more timely than data manually transmitted and reentered by the second agency.

2. Data interfaces save the personnel costs of data reentry.

3. By eliminating data reentry, data interfaces reduce the likelihood of missing or erroneous data.

This section reviews linkages among the State's criminal justice computers and between State computers and those of local criminal justice agencies. The following section examines the extent of linkages among the local criminal justice agencies in our field visits.

Criminal Justice Telecommunications Network

In 1986, SIFECS following up on the 1984 State I study done on data communications among State criminal justice agencies developed the conceptual outline of the Criminal Justice Telecommunications Network (CRIMNET). In broad strokes, CRIMNET had several goals:

1. Contain the cost of data communications through the consolidation of leased lines among State criminal justice agencies.

2. Simplify and provide access to multiple computer systems.

3. Provide a flexible, expandable and manageable system.

4. Provide improved service, reliability and functionality compared to existing systems. Functionality refers to the degree of capability of a system.

To achieve these goals, CRIMNET proposed two basic approaches:

1. Develop high speed pathways to carry the data communications of State criminal justice agencies.

2. Once the pathway was in place, establish the necessary linkages so that authorized State and local criminal justice agencies could have direct access to State criminal justice data bases.

This second approach, hereinafter referred to as "universal connectivity", might permit a local police department to have direct access to DOCS computers to determine if an individual with an outstanding warrant is currently in prison.

Since the 1986 inception of CRIMNET, some progress, especially in 1990-91, has been made toward consolidation of State agency leased lines — the first thrust of CRIMNET. However, the second goal of "universal connectivity" has not progressed beyond the stage of testing prototypes.

Consolidation of State Agency Leased Lines. Two factors drove the creation of a consolidated telecommunications pathway:

1. The existence of multiple State agency lines going to the same cities around the State, and

2. The impact of the break up of American Telephone and Telegraph creating a new regulatory environment for the operation of telecommunications networks.

Under divestiture, many State criminal justice agencies found that they could qualify for lower rates for their leased lines under a special federal tariff schedule because of the agencies' volume of interstate communications.

The use of the pathway was available to all of the State criminal justice agencies and major local criminal justice agencies such as the New York City Police Department which operated leased lines. Under the pathway, for example, multiple agency lines (each with a monthly leased line cost) from Albany to New York City would be consolidated into a larger leased line reducing the separate leased line costs.

The installation of the pathway to carry State criminal justice agencies communications occurred in two stages. By February 1986, DCJS had installed nine lines — each with a capacity of 56,000 bits per second — connecting the State's major cities. Subsequently by December 1989, DCJS had increased the network capacity through a new network of 17 lines known as T-1 lines. Each line has a capacity of 1.5 million bits per second — the equivalent of over 26 lines of the prior network.

Though the initial pathway was operational by February 1986, substantial progress toward consolidation did not occur until 1990-91. Chart 9 reveals that the number of State agency lines consolidated onto the pathway rose slowly from six in 1985-86 to 31 in 1989-90 before increasing sharply to 95 by the end of 1990-91. In addition, 28 local agency lines were integrated onto the pathway by the end of 1990-91. Currently, 49 percent of the available State criminal justice lines are integrated into the network.

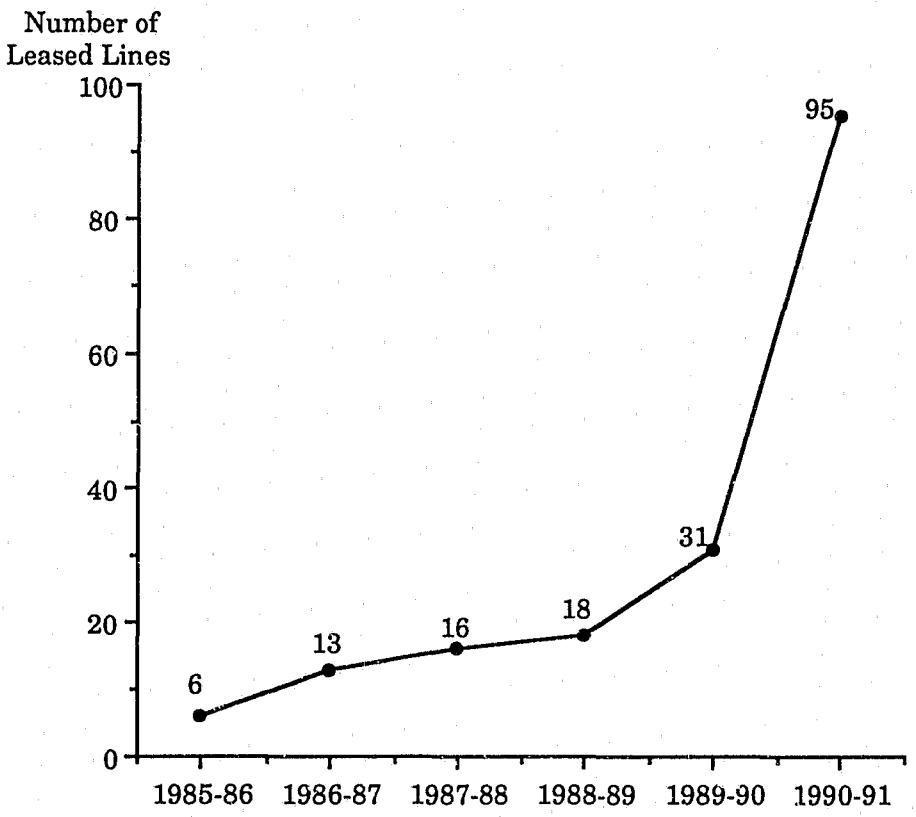
Concerns about financing and control of the pathway delayed movement of State agency lines. The State Police expressed concerns about the lack of alternative means to maintain their communications if any of the pathway lines failed to operate. This problem was rectified in the

creation of the T-1 network in December 1989 which created alternative paths to route communications if one line failed. State agencies also questioned who was going to control and operate the pathway.

To resolve questions about pathway control and financing, a CRIMNET Management Council consisting of representatives of the State criminal justice agencies was formed in November 1988. The Council has overseen the implementation of the T-1 network and has reviewed responses to proposals to move toward "universal connectivity" as discussed below. Financial questions were resolved through a February 1990 memorandum of understanding among the State criminal justice agencies. In that agreement, the costs of operating and maintaining the pathway would be paid through the Criminal Justice Improvement Account, the principal source of SIFECS financing.

CHART 9

STATE CRIMINAL JUSTICE AGENCIES LEASED LINES INTEGRATED INTO PATHWAY
1985-86 TO 1990-91



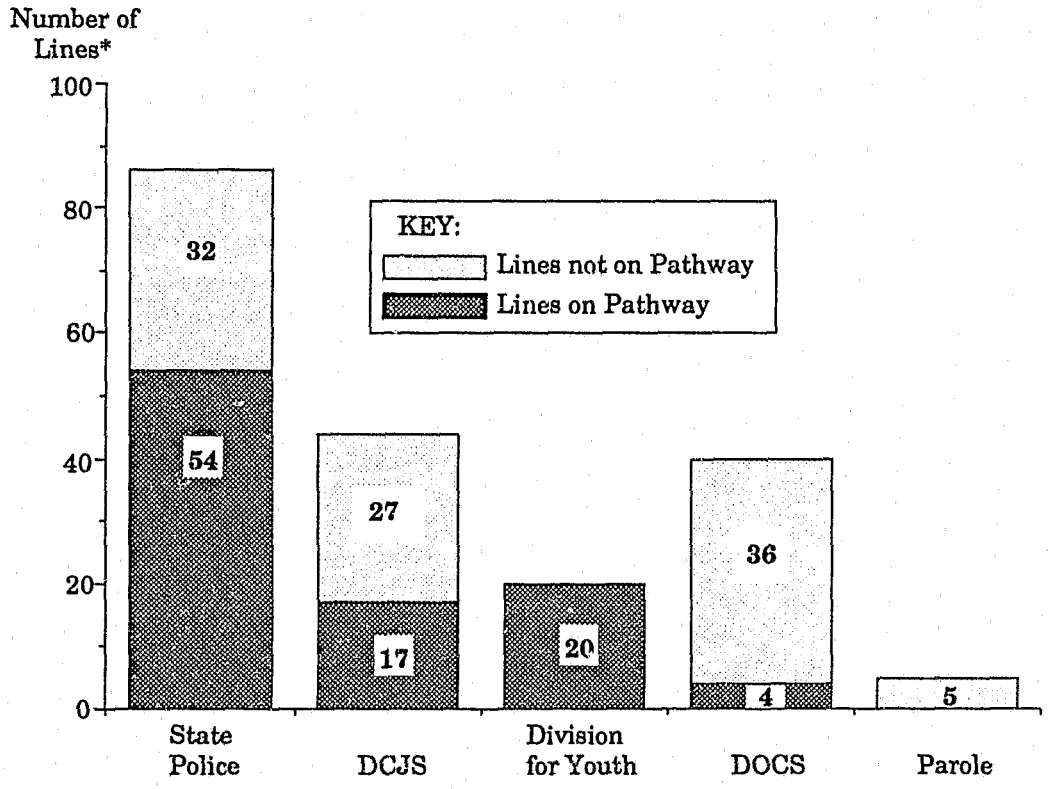
Source: LCER analysis of State criminal justice agencies responses to data request, January 1991 and May 1991.

Beginning in April 1988, the State criminal justice agencies considered a proposal to join a telecommunications network being developed by the State Office of General Services (OGS) known as Empire Net. In June 1989, after many meetings and much correspondence with OGS, the agencies decided not to join Empire Net. The agencies concluded that Empire Net would be more costly than CRIMNET and that OGS could not satisfactorily answer many technical questions about the network's operations. After a review of OGS-DCJS Empire Net correspondence, we found that the conclusions underlying their decision were reasonable.

Three of the five major criminal justice agencies in Chart 10 have made substantial progress toward consolidation into the pathway as of March 31, 1991. The State Police moved expeditiously in 1990-91 increasing the number of lines integrated into the pathway from 20 to 54 lines. The lines not consolidated by DCJS by the end of 1990-91 represent the replacement of laser and photo facsimile machines with a digital facsimile network which was completed by September 1991. Also, the State Division for Youth installed its entire new network of lines onto the pathway during 1990-91.

CHART 10

MAJOR CRIMINAL JUSTICE AGENCIES
STATUS OF LINE CONSOLIDATION
MARCH 31, 1991



*Excludes lines in 518 area code.

Source: LCER analysis of State criminal justice agencies response to data request, May 1991.

As Chart 10 also indicates, DOCS and Parole are not integrated into the pathway except for a few criminal history lines between DOCS and DCJS. DOCS staff are reassessing their data communication needs in light of the voice demands of the agency's Inmate Calling Program. Reviewing DOCS cost figures for a comparable network to CRIMNET reveals that DOCS might obtain cost savings from integrating individual data circuits onto CRIMNET. Savings are possible because the costs of the T-1 lines which constitute the pathway are centrally assumed by the Criminal Justice Improvement Account. Also, the network has a substantial unused capacity for data communications. Parole's data communications lines are linked into DOCS rather than the pathway because the agency shares the DOCS computer and has a close programmatic linkage with DOCS.

State criminal justice agencies have saved dollars on their leased line costs since 1987-88 primarily because of the lower cost federal interstate tariffs. Savings from consolidation of leased lines were less than they might have been because of the failure to more quickly consolidate lines onto the pathway. Chart 11 reveals that the average cost per leased line dropped from $18,459 in 1985-86 to $14,743 in 1990-91, a decline of 20.1 percent in dollars unadjusted for inflation. When the costs of the central pathway are added to the equation, the differential drops to 6.8 percent ($19,136 in 1985-86 to $17,835 in 1990-91). The central pathway costs include the line leasing and equipment expenses essential to operate the pathway.

Progress Toward Universal Connectivity. As discussed above, the next stage of CRIMNET development is to permit authorized State and local criminal justice users direct access to State criminal justice data bases essential to their work. The CRIMNET Management Council issued a Request for Information in February 1990 to elicit vendor proposals for this next stage. The Request asked vendors to develop the technology so that agencies with different computer operating systems could link to the State criminal justice data bases. DCJS envisions that local agencies will connect to CRIMNET by telephone through the closest of the CRIMNET data communications facilities which are scattered throughout the State.

DCJS reviewed the proposals submitted from the Request for Information and requested four vendors to perform demonstrations of their proposals. As of July 1991, two of the four vendors had demonstrated their equipment while the other two were preparing for demonstrations. However, DCJS noted that the prototyping of equipment by the vendors has proceeded more slowly than originally anticipated primarily for two reasons:

1. Vendors were asked to demonstrate hardware and software at their own expense without any firm commitment to purchase anything. This method was chosen because of the CRIMNET Management Council's inability to define the requirements for the linkage. As a result, vendors have been cautious.

2. Because of the weak economy, vendors are reluctant to invest substantial resources in the project fearing that the State will not be able to purchase their products.

LCER staff questioned the staff of the six New York City criminal justice agencies about their need for access to State criminal justice data bases through the proposed telephone connections with CRIMNET. Three of the six City agencies with existing on-line linkages to DCJS and/or OCA perceived no significant needs could be met from the on-line system. Of the

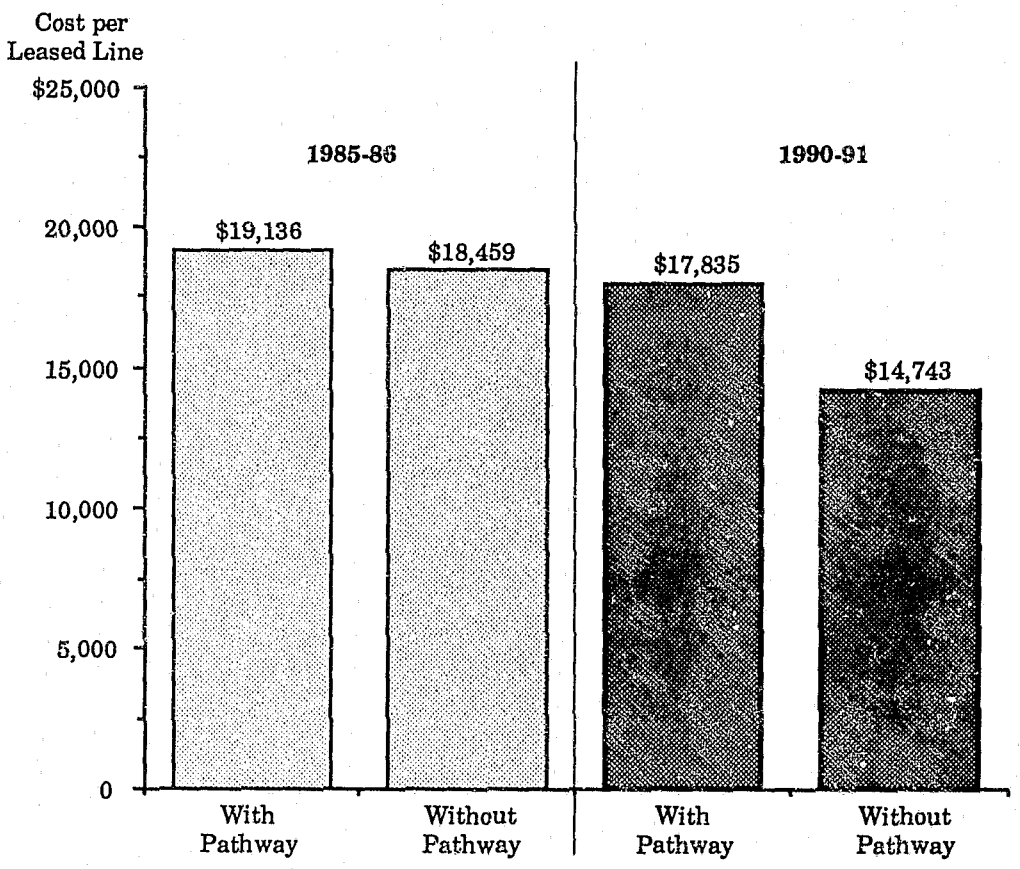
other three agencies, the New York City Legal Aid Society (DCJS, Probation and Parole) and the New York City Department of Corrections (DOCS, Probation and Parole) articulated specific data base needs.

Outside New York City, representatives of the 63 criminal justice agencies indicated the following needs for direct access to State criminal justice data bases:

State Agency	Number of Times Mentioned
Correctional Services	29
Parole	25
Probation	17
Criminal Justice Services	17
Other Information	4

CHART 11

STATE CRIMINAL JUSTICE AGENCIES LEASED LINE COSTS 1985-86 AND 1990-91



Source: LCER analysis of State criminal justice agencies response to data request, January 1991 and May 1991.

Information from Correctional Services would include both data about inmate locations and any incidents (e.g., medical, behavioral) in which an inmate had been involved in a prior incarceration in a State or local facility. Data from Parole and Probation would be the individual's parole and/or probation record including the name of the individual's parole or probation officer. Information from DCJS would include warrant and criminal history data. Eight of the nine representatives of public defender agencies expressed a need for direct access to DCJS criminal history rap sheets.

Current Linkages Among State Agencies. As the plans for universal connectivity among and between State and local criminal justice agencies are still developing, Chart 12 presents the extent of computer data interfaces among State agencies as of August 1991. Of the ten linkages among State agencies (out of a potential 36), DCJS is involved in all but four. Of the other eight State criminal justice agencies, DOCS' involvement in four linkages is the second most frequent. The Crime Victims Board and the State Division for Youth have no automated links with other State agencies. All but two of these linkages have grown since SIFECS' inception as shown below:

Date of Inception	Number
1970	1
1980	1
1985	4
1987	1
1990	1
1991	2

The footnote to Chart 12 also indicates that six major local law enforcement agencies have been linked to DCJS and the Division of State Police since the late 1970s and early 1980s.

Recently implemented were interfaces between DCJS and DOCS and DOP. Previously prison releases from DOCS and releases and terminations from parole were manually entered onto the DCJS criminal history data base. With the development of these interfaces, the clerical update step has been eliminated resulting in more timely information becoming available to the DCJS data base.

Data Exchange Among Local Agencies

The last set of linkages to examine in the development of an automated and integrated State and local criminal justice information system are automated data exchanges among local agencies. Exchange of arrest data among law enforcement agencies is a good example of this need. If an individual is arrested as a suspect in several burglaries in a town, an adjoining village police department might use that information in investigating unsolved local burglaries. Having on-line access to the arrest data base would provide the police with this information in a more expeditious and accurate manner than through depending on a telephone call or other personal contact in the neighboring department.

This section examines the extent and degree of automated data exchanges in New York City and in the nine field visit counties.

CHART 12

STATE CRIMINAL JUSTICE AGENCIES COMPUTER DATA INTERFACES[a]
YEAR OF INCEPTION
AUGUST 1991

	DCJS[b]	DSP[b]	DOCS[b]	DOP[b]	OCA[b]	DPCA[b]	SCOC[b]	CVB[b]	DFY[b]	Total
DCJS	X	70	90	91	80	85	85	--	--	6
DOCS	90	--	X	85	91	--	87	--	--	4
DSP	70	X	--	--	--	85	--	--	--	2
DOP	91	--	85	X	--	--	--	--	--	2
OCA	80	--	91	--	X	--	--	--	--	2
DPCA	85	85	--	--	--	X	--	--	--	2
SCOC	85	--	87	--	--	--	X	--	--	2
CVB	--	--	--	--	--	--	--	X	--	0
DFY	--	--	--	--	--	--	--	--	X	0

[a]In addition, the Division of Criminal Justice Services and the Division of State Police have data links to the following local criminal justice computers:

New York City Police Department
Nassau County Police Department
Suffolk County Police Department
Onondaga County centralized police services
Monroe County centralized police services
Erie County centralized police services

These links were established in the late 1970s and early 1980s.
In addition, DCJS established a computer-to-computer link with the New York City Probation Department in 1991.

[b]Abbreviations Used:
DCJS: Division of Criminal Justice Services
DSP: Division of State Police
DOCS: Department of Correctional Services
DOP: Division of Parole
OCA: Office of Court Administration
DPCA: Division of Probation and Correctional Alternatives
SCOC: State Commission of Correction
CVB: Crime Victims Board
DFY: Division for Youth

Source: DCJS response to LCER data request, August 1991.

New York City

In New York City, the New York City Police Department (NYPD) is involved in most of the data interfaces among the City criminal justice agencies. For example, the Manhattan District Attorney and the City Probation Department can obtain arrest information from the NYPD. Beginning on July 1, 1991, the Brooklyn District Attorney is linked with the 81st precinct to expedite the arraignment process. The NYPD also is linked with the Housing and Transit Authority Police and receives tape information on inmates in the custody of the New York City Department of Corrections. The Brooklyn and Manhattan District Attorney Offices have access to elements of each others' data bases through linkages which encompass all five district attorney offices.

Two significant weaknesses were evident in the extent of interfaces among the New York City criminal justice agencies:

1. The New York City Department of Corrections provides a daily list of inmates to the Legal Aid Society each morning. Because inmates move so much, that list is moot by the afternoon. The Legal Aid Society indicated a need for on-line access to Department of Corrections information to track the location of their clients.

2. Information on outstanding warrants is contained in several data bases resulting in multiple entry of the same information on those data bases. Currently, though the Office of Court Administration (OCA) maintains an electronic data base of all warrants issued, no interface exists between that data base and the NYPD's warrant system. Thus paper warrants must be forwarded to the NYPD Central Warrants Unit and reentered onto the department's computers. Besides the courts and the NYPD, the New York City Department of Corrections and the Probation Department maintain separate manual systems increasing the likelihood of conflicts among data bases on the actual status of warrants against an individual.

To remedy the problem of decentralized warrant data bases, the NYPD contracted for a study completed in October 1990 on the development of a central warrant system. The study recommended that OCA would be responsible for updating and transmitting information on new and vacated warrants to the NYPD Warrant Division through an automated linkage. The warrant system would also be tied to other local, State and federal warrant data bases to ensure that comprehensive up-to-date status information is available. The study estimated that the NYPD would save $16.7 million dollars in personnel costs for its Central Warrants and Borough Squad units over the first five years of the systems operations. However, no City funds were allocated for this project as of June 1991.

Outside New York City

The only local interfaces in place in the nine field visit counties outside New York City were in the three largest counties — Erie, Nassau and Suffolk. Each linkage is a county-wide network connecting all of the major criminal justice agencies except the public defenders offices for all three counties and the Erie County Probation Department which has little automation.

The most extensive upgrading of these county-wide systems will occur in Suffolk County by December 1991. County officials anticipate having its new Criminal Justice Information System (CJIS) operational which provides for a single network to serve the needs of law enforcement, the courts, the district attorney, medical examiner, the department of law, the Park Rangers and fire, rescue and emergency services. CJIS is designed to reduce time for form preparation and to decrease redundant data entry and to increase information sharing among county agencies. Agencies will be able to build data bases from the shared information which also includes links to State and federal criminal justice data bases to meet their operational needs such as developing incident patterns for crime investigations.

In the six small and medium sized counties visited by LCER staff, no interfaces existed among the criminal justice agencies. Efforts toward such integration had been made in each of the three medium sized counties (Albany, Broome and Rockland) but were unsuccessful. In Albany and Broome counties, attempts were made to create automated regional warrant systems among users of WHAMS, the SIFECS automated warrant system. In Rockland, proposals to link the county law enforcement agencies into a single network did not receive sufficient local support. Officials in the three smallest counties visited expressed no serious need for local linkages because of the relatively small volume of criminal justice transactions.

Regarding efforts in Albany and Broome counties to promote regional warrant systems, DCJS and the State Police have worked since 1988 to link WHAMS and the New York State Police Information Network (NYSPIN). Through that link, all warrants entered onto WHAMS would also be transmitted to the State warrant file through NYSPIN. Currently departments must enter warrants in WHAMS to manage them and in NYSPIN to provide other local departments with automated access. Thus unless departments do the double entry, the absence of this linkage limits the completeness of the regional warrant data base.

The testing of the WHAMS-NYSPIN interface is scheduled for October and November 1991. The software necessary to implement the interface is expected to be distributed and operating by December 1991. DCJS and the State Police attributed delays in completing the interface to the technical differences between WHAMS and NYSPIN and to the programming necessary to make the interface consistent with the *Data Dictionary*. NYSPIN is a dispatch oriented, inquiry-response network while WHAMS is a management tool complicating the programming required for the connection.

Chapter Summary

- The *Statewide Criminal Justice Data Dictionary*, now in its third edition, is intended to assure that standard definitions and formats will be used in automated data exchanges.

- The *Data Dictionary* is widely accepted as a standard among New York City agencies and law enforcement agencies in the counties visited by LCER staff. However, awareness and usage was limited among the district attorney offices and the probation departments which had or were planning automated systems.

- The three standardized forms developed by SIFECS — the Standard Arrest Report, the DWI Arrest Instrument and the Standard Incident Report — are widely used by local law enforcement agencies. Excluding the Standard Incident Report with which agencies have little

operating experience, users indicated that the forms were concise yet comprehensive and met their information needs.

- Originally conceived in 1986, the Criminal Justice Telecommunications Network (CRIMNET) was intended to achieve cost savings through consolidating State agency leased lines onto a pathway. The network would permit authorized State and local criminal justice agencies direct access to State criminal justice data bases.

- The State criminal justice agencies decided in June 1989 not to join the OGS Empire Net, an alternative telecommunications network, because they concluded that Empire Net would be more costly than CRIMNET and that OGS could not satisfactorily answer many technical questions about the network's operations. After a review of OGS-DCJS Empire Net correspondence we found that the conclusions underlying the State criminal justice agencies' decision were reasonable.

- The number of State agency leased lines consolidated into the network's pathway initially rose slowly from six in 1985-86 to 31 in 1989-90 before increasing sharply to 95 by the end of 1990-91. Forty-nine percent of eligible agency leased lines are currently consolidated into the pathway.

- Concerns about financing and control of the pathway delayed State criminal justice agency consolidation of leased lines.

- Three State agencies — the Division for Youth, the State Police and the Division of Criminal Justice Services — have made substantial progress toward consolidating their leased lines onto the pathway while the Department of Correctional Services (DOCS) and the Division of Parole have moved few or no lines onto the pathway.

- DOCS is investigating its voice communications needs before deciding whether to link to the pathway. However, DOCS might realize cost savings in consolidating individual lines because the pathway costs are centrally assumed.

- Agency leased line costs (including the costs of the pathway) declined from $19,136 in 1985-86 to $17,835 in 1990-91, a drop of 6.8 percent, primarily because of lower federal tariff rates available to the State criminal justice agencies.

- The second phase of CRIMNET — "universal connectivity" — is in the prototype stage. Its development has been slowed because of difficulties in defining the project's technical requirements and a reluctance of vendors to make commitments of substantial resources in light of the State fiscal crisis.

- Currently, ten automated data linkages exist among the State criminal justice agencies. All but two of these linkages have been completed since the inception of SIFECS. DCJS (6) and DOCS (4) are the agencies with the most number of linkages.

- The absence of on-line access to track inmate movement in New York City Department of Corrections facilities and the existence of separate and unlinked warrant systems in the New York City Courts, the Police Department, the Probation Department and the

Department of Corrections are two significant weaknesses in automated data exchange among New York City criminal justice agencies.

- Erie, Nassau and Suffolk, the three largest field visit counties, were the only places visited outside New York City with automated local data exchanges. Efforts to link local criminal justice agencies had failed in the three medium sized field visit counties. No serious efforts have been made to link agencies in the smallest three counties.

APPENDIX A

SAMPLE DESIGN AND SURVEY RESPONSE RATES

This appendix reviews our SIFECS field work selection process and our survey design and response rates.

Field Work Design

To examine the local impact of the SIFECS program, we selected a sample of nine counties outside New York City in which to conduct field visits. New York City was visited as a jurisdiction outside the sample design. Counties were sampled to assess the impact on SIFECS on local criminal justice systems.

Since our audit assessed improvements in criminal justice information systems, we selected three statistical measures to represent pressures on criminal justice information systems to stratify the counties:

1. Number of Arrests: Each arrest has to be processed through the criminal justice system until final disposition requiring the creation and exchange of information within the system and frequently between agencies.

2. Number of Index Crimes: These are the most serious crimes of murder, rape, robbery, aggravated assault, burglary, larceny and motor vehicle theft. These crimes would presumably require the greatest amount of processing and exchange of information to resolve.

3. Criminal Justice Employment: Counties with the greatest number of employees in the local criminal justice agencies presumably would require a greater need for information exchange to process cases.

The following information was gathered for 1987 since that was the most recent common year of data available for the three measures. For criminal justice employment, the total number of employees from the sheriff's department (both law enforcement and corrections), municipal police departments and the county probation department was used.

After the data were gathered, the 57 counties were ranked on each of the three variables (with ties being assigned as the average of the rankings being tied). The ranks were aggregated and a final ranking of the counties was prepared.

We divided the counties into thirds based upon the top, middle and lower third of the total number of 1987 arrests. This would assure that smaller counties would not be disproportionately represented in the larger and medium strata. Thus, the first four counties constituted approximately the first third of the 1987 arrest total; counties ranked from five to 15 represented the middle third while the remaining 42 counties represented the lower third. Within each strata three counties were randomly selected. Because the initial drawing for the lower third chose two of three counties (Rensselaer and Schoharie) from the Capital District, that strata was redrawn to obtain a better geographic representation.

The sample counties were geographically dispersed:

Long Island: Nassau and Suffolk
Hudson Valley: Rockland
Capital District: Albany
Southern Tier: Broome
Central New York: Seneca, Otsego and Oswego
Western New York: Erie

Table A-1 lists the counties, their rankings for each of the three variables and their final ranking. As the table reflects, the counties reflect an array within each strata and there is a fair amount of linkage among the three measures for most of the counties.

TABLE A-1

SIFECS SAMPLE COUNTIES
RANKINGS — 1987 STATISTICS

Strata Upper	Arrests	Index Crimes	Employment	Overall Ranking
Suffolk	1	1	2	1
Erie	3	2	4	2.5*
Nassau	5	3	1	2.5*
Middle				
Albany	9	7	7	7
Rockland	13	11	10	11.5*
Broome	15	13	13	13
Lower				
Oswego	32	21	19	24
Otsego	38	40	54	44
Seneca	47	50	48	50

*Ranking represents the average of two ranks because of a tie between two counties when the three ranks were aggregated.

Source: LCER staff analysis based upon statistics received from State Division of Criminal Justice Services and New York State Statistical Yearbook (1989-90 edition).

Field Work Approach

Within each county, we conducted interviews and/or made data requests with representatives of the following criminal justice agencies:

1. Probation Department
2. The Sheriff's Department
3. Representative of Public Defenders
4. Largest Police Department in county
5. District Attorney
6. County Court Clerk
7. State Police serving the county

The interviews included questions about knowledge and use of SIFECS software and standardized forms, views about the quality of State criminal history information and questions about future information needs including the extent of automated data exchanges with other county agencies.

In New York City, LCER staff visited with all of the above agencies except for the State Police and the County Court Clerk. Because of the presence of five district attorneys in New York City, we met with two (Manhattan and Kings). The New York City interviews covered almost the same set of topics as those discussed in the other nine counties.

Survey Design

LCER staff administered four surveys to supplement our field work to the following agencies:

1. All police departments in the nine field work counties
2. All district, city, town and village court justices in the nine field visit counties
3. All users of the County Automated Probation Information System (CAPIS) statewide
4. All users of the Prosecutor Case Tracking System (PCTS) statewide

Police Department Survey. A total of 123 surveys were sent out to the police departments in the nine field visit counties. Eighty-four were returned yielding a response rate of 68 percent. Only one county had a response rate below 50 percent. The survey inquired about the department's use of SIFECS software and the agency's views about the quality of State Division of Criminal Justice Services (DCJS) criminal history information.

Judge Survey. We mailed out 405 surveys to city, town, village and district court judges in the nine field visit counties and received back 215, a 53 percent response rate. Responses from town and village court justices in Nassau County and in western Suffolk County were excluded from the above tallies as district courts process criminal matters in these jurisdictions. Response rates by type of judge were city (64 percent), town (63 percent), village (46 percent), town and village (33 percent) and district (20 percent). Only twelve of those surveyed were both town and village judges. District judges were resident only in Nassau and Suffolk counties. The survey inquired about their views on the availability of criminal history rap sheets for felony arraignments and their assessment of the quality of DCJS criminal history information.

CAPIS Survey. Because only one of the nine field visit counties used CAPIS, we surveyed 30 departments who were or recently had been users of the system. The list was provided to us by the State Division of Probation and Correctional Alternatives (DPCA) staff. Of 30 surveys sent out, 25 were returned for an 83 percent response rate. The survey inquired about the department's assessment of DPCA's technical assistance role, its use of the system's functions, its assessment of the system's impact on agency operations and any suggestions for improving the system.

PCTS Survey. Because only two of the nine field visit counties used PCTS, we surveyed the 15 system users statewide and received back ten surveys for a response rate of 67 percent. The list was provided to us by DCJS staff in May 1991. The survey inquired about the office's assessment of DCJS's technical assistance role, its use of the system's functions, its assessment of system's impact on agency operations and any suggestions for improving the system.

Appendix B

Agency Responses

Division of Criminal Justice Services

Department of Correctional Services

Office of Court Administration

Division of Parole

Division of Probation and Correctional Alternatives

State Commission of Correction

New York State Police

Division for Youth

STATE OF NEW YORK
DIVISION OF CRIMINAL JUSTICE SERVICES
EXECUTIVE PARK TOWER
STUYVESANT PLAZA
ALBANY, NEW YORK 12203

RICHARD H. GIRGENTI
DIRECTOR OF CRIMINAL JUSTICE
AND
COMMISSIONER
DIVISION OF CRIMINAL JUSTICE SERVICES

EXECUTIVE CHAMBER
518-474-3334
DIVISION OF CRIMINAL JUSTICE SERVICES
518-457-1260
NEW YORK CITY
212-417-2136

December 17, 1991

Mr. James J. Haag
Acting Director
NYS Legislative Commission on Expenditure Review
111 Washington Avenue
Albany, NY 12210-2277

Dear Mr. Haag:

Thank you for your thorough and well documented audit report on the Systems Improvements for Enhanced Community Safety (SIFECS) program. Since the SIFECS program covers a vast array of initiatives, some of which are technically complex, and involve many state and local criminal justice agencies, I know that the audit was a demanding assignment for LCER.

The audit points out the many successes of SIFECS and underscores several areas that need further attention. Chief among the accomplishments are the development and implementation of CRIMNET, the Statewide Criminal Justice Data Communications Network, and SAFIS, the Statewide Automated Fingerprint Identification System. SAFIS now provides New York's law enforcement officers with state of the art technology to help them solve crimes. In addition, a variety of new automated systems have been developed and installed at the State and local level to improve the effectiveness of both criminal justice officers and operations. Our work in data standardization, exemplified by the Statewide Data Dictionary and several data capture forms, also sets New York State apart from other states and provides a firm foundation for further automation advances.

While progress was not always as rapid as planned, the accomplishments have been many. The very nature of any large, bold, innovative undertaking such as SIFECS results in both successes and failures. Using a rigorous development methodology which was guided by the consensus process often taxed our resources and protracted the duration of projects. Nonetheless, those projects have been delivered.

The SIFECS program has established not only an infrastructure of coordinated information systems, but an instrument which provides a coordinated new direction and vision for criminal justice systems and technologies which will continue to serve well into the next decade.

Currently, all of the State criminal justice agencies are automated. A number of automated systems for warrant control, jails management and prosecution case tracking have been developed and are provided free of charge to local criminal justice agencies. These systems help criminal justice agencies to continue to provide quality public safety service despite severe budget cuts at both the state and local level.

While CRIMNET provides the basic tool for data exchange between agencies, we agree with your conclusion that the criminal justice community must forge ahead to connect systems, automate data exchanges, integrate criminal justice information systems, and improve criminal justice data quality. To this end, future plans include:

- Continuing the data standardization project and production of standardized data collection forms. Standardized Securing Orders and Commitment Orders are currently being prototype tested by local magistrates.

- Developing and distributing the Spectrum Justice System which integrates warrant, incident and arrest information to eliminate duplicate data collection.

- Pursuing improved data quality through a felony disposition collection effort which is federally funded.

In closing I want to assure you that we will continue to work closely with state and local criminal justice agencies in pursuing your suggestions for improvements.

Sincerely,

Richard H. Girgenti

Richard H. Girgenti

STATE OF NEW YORK

DEPARTMENT OF CORRECTIONAL SERVICES

THE STATE OFFICE BUILDING CAMPUS

ALBANY, N.Y. 12206

THOMAS A. COUGHLIN III
COMMISSIONER

December 3, 1991

Mr. James J. Haag
Acting Director
Legislative Commission on Expenditure Review
111 Washington Avenue
Albany, New York 12210-2277

Dear Mr. Haag:

I am responding to recommendations numbers one and nine contained in your program audit titled, "Criminal Justice Information Systems."

RECOMMENDATION #1

At this time we cannot see the sense of conducting this evaluation. These systems have been in place for five years, they have been modified and built upon extensively during this time period. Furthermore, these systems function as the core systems that have enabled us to more than double our application systems since 1986 thus increasing the automated support of on-going operations. However, we will increase our efforts towards developing system development standards that will ultimately include post implementation evaluation measures.

RECOMMENDATION #9

Your recommendation is consistent with our long term position concerning use of the "Pathways." We will assess our alternatives during the 1992/93 fiscal year and move our telecommunications lines accordingly.

Thank you for this opportunity to respond.

Sincerely,

Thomas A. Coughlin III
Commissioner

cc: Hon. Tarky Lombardi, Jr.
Hon. Saul Weprin
Leo Carroll/Dir./Information Services/DCJS

STATE OF NEW YORK
UNIFIED COURT SYSTEM
(OFFICE OF COURT ADMINISTRATION)
270 BROADWAY
NEW YORK, NEW YORK 10007
(212) 417-2004

MATTHEW T. CROSSON
Chief Administrator of the Courts

December 9, 1991

Mr. James J. Haag
Acting Director
Legislative Commission on
Expenditure Review
111 Washington Avenue
Albany, New York 12210-2277

Dear Mr. Haag:

I am responding to the findings and recommendations contained in the preliminary draft of the program audit of the Criminal Justice Information System.

The preliminary report, which is quite comprehensive, contains inaccuracies pertaining to the Office of Court Administration (OCA) and the Criminal Records Information Management System (CRIMS) that must be addressed.

The CRIMS program was developed in 1986 to address a variety of needs, including the efficient processing of cases in the criminal courts in the State, which were facing dramatic caseload increases, and the requirement by the Division of Criminal Justice Services (DCJS) for more information than provided under the former system. Thus, CRIMS was designed specifically to enhance the operation of the criminal courts, to incorporate more extensive information, and to assist all involved in the criminal justice system.

The preliminary report concludes in its findings that the number of errors has risen since September 1989. The use of raw numbers in this instance is misleading and other factors should be taken into consideration. In 1989 we were processing approximately 16,000 transactions per week compared to 30,000 as of the last week in October 1991. In addition to twice the number of transactions we have managed to maintain an error rate of less than 2.5% for that period. Under CRIMS we are providing more error-free information now than in the past.

The report also faults OCA for failing to agree with DCJS on common system development standards in implementing CRIMS. In fact, CRIMS was designed to meet the specific needs of both agencies and to achieve our common goal of providing

timely and accurate information to the criminal justice community. In working towards this end, OCA and DCJS succeeded in upgrading our communications technology, which allowed us to share arrest and disposition information using "on-line real time" technology. This achievement is a major accomplishment resulting from careful planning, testing and execution by OCA and DCJS.

While the final testing period for CRIMS was somewhat abbreviated, it is not accurate to state that due to a failure to agree on development standards OCA conducted less testing of CRIMS. CRIMS testing was three-fold -- internal testing, testing with court personnel and parallel testing with DCJS.

Internal testing was conducted by OCA personnel in a test environment that was separate from the production environment. Such testing is often conducted 24 hours per day, seven days per week. Internal testing is our own requirement and must be completed before production testing may begin.

The second phase of the CRIMS testing included court personnel and, to some extent, DCJS. Over a period of months, court personnel processed various transactions through the CRIMS system. The information on disposition that resulted from the testing was provided to DCJS and was communicated over the OCA-DCJS communications link, thereby testing the vital system for transmission to DCJS.

The final testing phase included both court and DCJS personnel in parallel testing of CRIMS and the older OBTS system. OCA and DCJS preliminarily agreed on a two-week parallel testing period. Due to fiscal and staffing restraints, this period was shortened to several days. We were satisfied that sufficient parallel testing was completed and we concluded that CRIMS was capturing all of the information sought by DCJS.

The statement contained in the report that "less testing" was one of the contributors to a higher number of errors is unfounded. The need to shorten the final phase of testing by approximately one week, after months of overall testing, simply is unrelated to an alleged increase in errors (which, in fact, is a reduced percentage of errors).

In addition, the report claims that OCA provided less extensive documentation than requested by DCJS and concludes that this lack of documentation also led to an alleged increased rate of errors. You should be aware that,

in fact, we provided DCJS with extensive documentation on CRIMS throughout the development process. Documentation was supplied on maintenance and disposition transactions, and a comprehensive manual of the OCA screen layouts of CRIMS was forwarded to DCJS for review. In addition, OCA conducted a formal presentation of the CRIMS system to DCJS. Clearly, therefore, the report's conclusion that OCA provided DCJS with insufficient documentation is without merit.

The report recommends that OCA become more sensitive to the needs of criminal defendants and their attorneys for rap sheets and so inform the courts. While we will continue to advise the courts of this requirement, we also are working with DCJS to develop a shorter rap sheet that can be transmitted more easily.

As the report notes, information on dispositions from town and village courts is essential to the criminal justice community. In May 1991, DCJS assumed responsibility for processing these dispositions. That no inter-agency agreement to provide missing dispositions has been finalized is due, in great part, to a lack of means for OCA and DCJS to share this disposition information. OCA attempted to assist DCJS in this area by offering communications and computer equipment. DCJS chose instead to wait and use their own program, which we are advised will not be operable until mid-December, 1991, at the earliest. Once we are able to receive the information from DCJS, we will be in a position to develop an agreement to capture missing information.

In the interim, OCA is developing a system to electronically collect dispositions, eliminating the need for paper dispositions. Testing of the electronic system in the Poughkeepsie City Court is scheduled to begin in the near future, with implementation scheduled to begin in early 1992. We plan to expand the system to include the County Courts, beginning with the Albany County Court. Thereafter, the system will be implemented throughout the State, with priority being given to high-volume courts. This system undoubtedly will increase the efficiency and timeliness of disposition reporting.

Finally, the preliminary audit report faults OCA for reduced productivity in entering paper dispositions into CRIMS. We have found that the current level of productivity is at least equal to that achieved with the earlier OBTS system. In any event, it is our expectation that the electronic disposition system that is being developed will obviate the need for further study of productivity with paper dispositions.

The CRIMS system is the result of a joint effort to address the needs of the criminal justice community. CRIMS provides the means of retaining case information, without restriction to volume, and for providing enhanced information for dissemination. Like other criminal justice participants, the criminal courts in the State have benefited directly from CRIMS during a period of unprecedented caseload growth.

Very truly yours,

STATE OF NEW YORK
EXECUTIVE DEPARTMENT
DIVISION OF PAROLE
97 CENTRAL AVENUE
ALBANY NEW YORK 12206

RAUL RUSSI
CHAIRMAN

MARTIN F. HORN
EXECUTIVE DIRECTOR

December 17, 1991

Mr. James J. Haag
Acting Director
Legislative Commission
on Expenditure Review
111 Washington Avenue
Albany, New York 12210-2277

Dear Mr. Haag:

I am pleased to have the opportunity on behalf of Chairman Russi to respond to your draft audit findings on Criminal Justice Information Systems.

The Division has undergone major changes in the past five years. Many new priority initiatives directed at improving community based parole supervision capabilities have become operational. These initiatives resulted in a dramatic growth in both the size and complexity of Parole's information systems.

The Division is grateful for the support it has received from SIFECS over the past years. SIFECS funding has provided the opportunity for growth in our automated information systems which might not have otherwise been possible. The Office of Policy Analysis and Information has become an integral service unit within the Division, largely because SIFECS funding provided the Division with line and staff positions to ensure that agency demands are met.

While we generally concur with your audit findings, there are a couple of items which warrant comments for clarification purposes. These comments represent the Division's overall response to the draft audit findings on Criminal Justice Information Systems.

Sincerely,

Barbara Broderick
Director of Policy Analysis & Information

Attachment
BAB/rcb
cc: Raul Russi, Chairman

NEW YORK STATE DIVISION OF PAROLE
RESPONSE TO CRIMINAL JUSTICE INFORMATION SYSTEMS
AUDIT FINDINGS

The projects at the Division of Parole funded by SIFECS included the evaluation, selection and acquisition of a mainframe computer in conjunction with DOCS, the conversion of our systems from the the OGS Honeywell computer to the DOCS-Parole IBM computer, the subsequent redesign and development of an agency management information system (PARTNER), a parolee contact model (C-POLES) and a system on parole violations (Jail Time).

Division staff, in concert with DOCS staff, were allocated to participate in the RFP issuance, evaluation and selection of a mainframe computer system to be utilized by both agencies. The selection and awarding of a contract to IBM for mainframe computer resources subsequently resulted in the conversion of Parole's master file system, on the Honeywell computer, to a true database management system utilizing IBM's DB2 product. This conversion process also required nearly 400 COBOL programs to be substantially rewritten to allow for execution on the new IBM system. SIFECS support and funding of staff positions at the Division were paramount to the undertaking and successful completion of this massive project.

The major system initiative was the development and refinement of Parole's Transmission, Network Entry and Retrieval (PARTNER) system which represented a long term effort that continues today. PARTNER encompasses the communication network established between the Division's community, institution and Central offices. It is the long range computerization plan designed to electronically track parole operations and the entire release and supervision cycle of individual parolees. Ultimately, PARTNER will become the business model that will electronically link all policy, operational, administrative and fiscal aspects of the Division of Parole. This initiative continues to be a major undertaking for the MIS unit. The approach for PARTNER remains consistent with the proven course of action that is characterized by the development and implementation of on-line modules.

While it is true that PARTNER is not yet fully implemented due to competing workload priorities, the Division has every intention to pursue the project evaluation criteria measures as delineated in the project agreements with DCJS. We believe the post implementation evaluation of PARTNER will serve to reinforce the internal judgements regarding areas previously identified to be in need of improvement.

The parolee contact model, C-POLES, despite the best efforts of Division and SIFECS staff, was, unfortunately, not successful. We feel it is important to keep in mind this project to track and monitor parole officer contacts, was a prototype. As identified in the audit findings, there were a number of problems encountered with the micro-computer based contact posting system that caused this project to be terminated. However, the Division subsequently developed a method of manually collecting aggregate contact data. The Division believes there may still be some merit in establishing a system on the mainframe computer to track and monitor parolee contacts. The functions identified in the C-POLES Project Agreement, if pursued, will be incorporated in the PARTNER system.

The Jail Time project was designed to expedite the information flow of information between the Division and the Department of Correctional Services regarding parole violators. This prototype was successful and has been subsumed under the PARTNER system.

The Criminal Justice Telecommunications network (CRIMNET) was conceived to save monies through consolidating Sate agency leased telecommunication lines along a high speed pathway. While we heartily agree with the concepts of CRIMNET, we do not believe the consolidation of Parole's leased lines are in the best interest of the Division or the State at this time.

The Division is in a unique position in as much as we share our mainframe computing facilities with DOCS. DOCS provides system programming, computer operation and network operation services to the Division of Parole. The Division has a total of ten leased lines currently installed and operational to serve its networking needs.

Five of these leased lines are entirely contained within the 518 area code or LATA and are, therefore, not candidates for consolidation onto the CRIMNET pathways. Four of the remaining leased lines are connected to DOCS high speed pathways. These leased lines are intra-LATA by design. That is to say, these lines begin and terminate in one LATA, without crossing LATA boundaries. The Division does not incur any cost for the use of the DOCS backbone circuits, as would also be true if these local loops were connected to the CRIMNET pathways. There is absolutely no benefit to the Division or the State to convert these lines to CRIMNET at this time. Indeed, the installation costs to move the terminal points of these lines to the CRIMNET pathway would be prohibitive. The reoccurring monthly charges would substantially remain the same. The last leased line is a multi-drop, inter-LATA line that begins at Building 2 on the State Office Campus and has eight termination points dispersed across the four upstate LATA's. This line was installed before CRIMNET pathways were available in those areas of the State. It is not clear that CRIMNET pathways are located such that the consolidation of this circuit on the pathway justifies the installation charges we would incur to reconnect the local loops to the pathway or that lower monthly charges would be realized for the these circuits.

Another issue to be considered is the level of service provided by DOCS for our network operation. At times, we rely heavily on DOCS for the identification and resolution of our network problems. By changing the Division's leased lines to CRIMNET, we would be introducing an additional organization, for example, DSP or DCJS, to Parole's network operation. We feel this could result in more complex, and therefore less expeditious solutions to problems when they arise.

SIFECS was intended to improve state and local information systems through increased automation, improved data quality and more data exchange among criminal justice agencies. The Division is committed to work, in a spirit of cooperation, with state and local law enforcement agencies, towards continuing the efforts begun by SIFECS.

STATE OF NEW YORK
EXECUTIVE DEPARTMENT
DIVISION OF PROBATION AND CORRECTIONAL ALTERNATIVES
60 SOUTH PEARL STREET
ALBANY, NEW YORK 12207-1595

MARIO M. CUOMO
Governor

EDMUND B. WUTZER
State Director

January 6, 1991

Mr. James J. Haag
Acting Director
Legislative Commission on
Expenditure Review
111 Washington Avenue
Albany, New York 12210

Dear Mr. Haag:

Attached is DPCA's response to LCER's Preliminary and Confidential Report on Criminal Justice Information Systems.

If we can be of any further assistance, please do not hesitate to contact Warren Crow, Director of MIS, at 474-3991.

Sincerely,

EDMUND B. WUTZER
State Director

att.

cc: Warren Crow

DPCA Response to the LCER
Preliminary and Confidential
Criminal Justice Information Systems Report

December 5, 1991

As a result of discussions between DPCA and LCER staff, LCER has agreed to make the following changes to this report.*

Page S-4. The following sentence will be deleted, "Our statewide survey of County Automated Probation Information System users reduced the number of current users from 29 to 24."

Page S-5. The number of CAPIS users on this chart will be changed from 24 to 22.

Page S-11, Recommendation 2. All references to CAPIS will be eliminated. The recommendation initially stated that DPCA should develop an accurate list of system users.

Page 18. The number of CAPIS users depicted on this chart will be changed from 24 to 22.

Page 17, second paragraph. The word "CAPIS" will be added to the second sentence which will now read, "Table 3 shows few or no discrepancies for WHAMS, CAPIS, and PCTS ..." In the same paragraph, the following two sentences will be eliminated, "For CAPIS, however, the survey found that 21 percent of users according to DPCA records did not use the system." and "CAPIS figures in Table 2 were adjusted based on the Statewide survey results."

Page 19 Chart. The numbers relative to CAPIS which originally read 79.2, 20.8, 24, NA, 100.0 and 1, will be changed respectively to 95.0, 5.0, 20, NA, 100.0, and 5. These numbers represent the results of the LCER survey. The changes depict the fact that the DPCA list of actual users is 95% accurate instead of 79.2% accurate. Also, the second sentence in footnote number 2, at the bottom of the chart will now read, "The only exception was that five (the original document had "one") initial users of CAPIS were surveyed for which DPCA records had indicated that the county had stopped using the system."

Page 27, paragraph six. The following sentence will be deleted, "Twenty-one percent of probation departments responding to the LCER survey were not CAPIS users even though they were listed as users by DPCA."

With the above changes made, DPCA still has the following concerns. On page 5-5, the report will now state that CAPIS has 22 users, which represents 38% of its potential users. The report uses 58 as the number of potential users. It also states that one of the reasons for its "Nonuse" is that it, "Did not meet needs of large counties." These statements are misleading. CAPIS was never intended for use by large counties. This fact is stated in the CAPIS Systems Design Manual (page 3 attached) as follows: "The purpose of the project was to develop an automated recordkeeping system that would operate on a variety of micro-computer hardware, and would be suitable for use by any of the 25-30 small to medium size probation departments in the state."

Finally, as stated on page 25, the improvement most frequently requested by CAPIS users, was the ability to automatically generate the DPCA-30 and 30A workload reports. Due to the nature, and complexity of these reports, a separate system was created that utilizes the CAPIS databases to generate these reports and maintain month-to-month figures. The DPCA local workload reporting system was field tested in November 1991, and is now ready for implementation in the CAPIS counties.

*All these changes have been made to text.

COUNTY AUTOMATED PROBATION INFORMATION SYSTEM

INTRODUCTION

The County Automated Probation Information System or CAPIS is the resulting software package which was developed from the Franklin County Probation Information Systems Demonstration Project. This was a joint effort with the NYS Division of Probation, the NYS Criminal Justice Information Systems Task Force, Franklin County Probation Department Personnel, and a number of local probation directors that comprised an Advisory Group. The purpose of the project was to develop an automated recordkeeping system that would operate on a variety of micro-computer hardware, and would be suitable for use by any of the 25-30 small to medium size probation departments in the state.

Both the State, and the localities have benefited from this project; the state has achieved data collection standardization for participating counties, and the localities have increased efficiency by having a system which eases the paperwork burden of both professional and clerical staff. Additionally, both have realized cost-savings. To contract with a vendor to design and program such a system would have cost each locality $20,000-$50,000. If the state had agreed to the venture, the state would normally have paid 46.5% of that cost. If each county had decided to follow the same course, it would have been costly to the state as well as to each locality.

CAPIS has been installed in twenty-three counties currently, on a variety of micro computer systems and a stand-alone Restitution system derived from the CAPIS software has been installed in two counties. The probation population in these counties for supervision ranges from 150 to 1,500. Intake ranges from 380 to 2,690 and investigation ranges from 120 to 1750.

This document is the systems design manual. It includes systems design specifications, file-layouts with detailed file descriptions, hardware/-software specifications, report samples, and screen layouts. It will serve as the systems documentation, and as a working document for the system programmers.

STATE OF NEW YORK • EXECUTIVE DEPARTMENT
STATE COMMISSION OF CORRECTION
60 SOUTH PEARL STREET
ALBANY, NY 12207-1596
(518) 474-1416
FAX (518) 473-6548

CHAIRMAN
WILLIAM G. McMAHON

COMMISSIONER
DEBORAH A REYES

November 22, 1991

Mr. James J. Haag
Acting Director
NYS Legislative Commission
on Expenditure Review
111 Washington Avenue
Albany, NY 12210 - 2277

Dear Mr. Haag:

My staff has had an opportunity to review the preliminary report on Criminal Justice Information Systems. As mentioned in the report, this agency has directly benefited from the technical support provided through Systems Improvements for Enhanced Community Safety Program (SIFECS). Specifically, this agency continues to receive technical support in the area of interagency data communications from SIFECS and other Criminal Justice Agencies.

From our perspective, the most important task accomplished by SIFECS was to provide a vehicle for interagency communications. This agency was able to move ahead with projects involving local correctional facilities because there existed a standing committee of local representatives. The daily local inmate population data available to this agency and the criminal justice community required a cooperative effort of the local facilities, the Division of Criminal Justice Services and the Division of State Police. Many initiatives have been facilitated by SIFECS' coordination of the participating agencies.

Although New York State has still much to accomplish in the Criminal Justice System, it is only with this multi-agency effort that they will succeed. Unless the problem is approached as a whole, it is likely it will need to be revisited for each agency.

Sincerely,

William J McMahon

William G. McMahon
Chairman

THOMAS A. CONSTANTINE
SUPERINTENDENT

STATE OF NEW YORK
NEW YORK STATE POLICE
PUBLIC SECURITY BUILDING
STATE CAMPUS
ALBANY, NEW YORK 12226

Mr. James J. Haag
Acting Director
Legislative Commission
on Expenditure Review
111 Washington Avenue
Albany, New York 12210

Dear Mr. Haag:

We appreciate this opportunity to comment on the Legislative Commission on Expenditure Review draft report on Criminal Justice Information Systems. We have reviewed the draft report and have no specific comments or recommendations based on our review.

The Division of State Police has been involved in the Systems Improvements for Enhanced Community Safety Program (SIFECS) since its inception in 1985. We have actively participated in several major projects; CRIMNET, WHAMS/NYSPIN interface and the NYSPIN Improvement Project. The Division is currently the largest agency participant in CRIMNET and acts as the primary operations center on a round the clock basis.

You can be assured the Division plans to continue to vigorously pursue the interagency initiatives which were developed under the SIFECS program.

Sincerely,

Socrates G Lecakes

Colonel Socrates G. Lecakes
Deputy Superintendent-Administration

Program Audits Of The Legislative Commission on Expenditure Review 1988-1992

Public Service Commission Utility Management Audit Program, 2.19.88.

City University of New York's SEEK Program, 2.26.88.

State School Computer Aid Program, 3.25.88.

Leasing and Maintenance of OMRDD Community Facilities, 4.20.88.

Council on the Arts Decentralization Program, 4.27.88.

Special Delinquency Prevention Program, 5.20.88.

CUNY/SUNY Campus Child Care, 6.24.88.

State Agency Leasing Practices, 6.29.88.

State Correctional Industries, 7.5.88.

Department of Taxation and Finance, Systems Modernization Project, 7.27.88.

OMH Residential Treatment Facilities, 7.29.88.

OMH Physicians' Extra Service Program, 10.20.88.

Civil Service Leaves of Absence, 11.3.88.

The Commission on Cable Television's Role Since the Cable Act of 1984, 12.21.88.

Youth Development and Delinquency Prevention Program, 12.31.88.

Return a Gift to Wildlife, 3.15.89.

Office of the Special Narcotics Prosecutor, 3.17.89.

State Aid to New York City Private Bus Operators, 6.20.89.

Consumer Protection Board's Advocacy Program, 6.30.89.

Recruitment and Retention of Foster Parents, 8.15.89.

State Control of Acid Rain, 11.30.89.

State Agency In-House Training and Conference Attendance, 12.8.89.

State Parks Building Maintenance Management, 12.14.89.

SUNY Management Flexibility Program, 12.20.89.

Medicaid Fraud and Abuse Audit Program, 3.10.90.

Correctional Officer Pre-Service Training, 3.12.90.

Independent Living Centers Program, 3.16.90.

Reducing Customer Waits at Motor Vehicles Offices, 4.9.90.

Outside Hospital Care Program of the Office of Mental Health, 4.12.90.

Overview of Long Term Care, 6.26.90

Interstate Sanitation Commission, 9.25.90.

Urban Development Corporation Project Accountability, 9.30.90.

The State Office of Rural Affairs, 10.5.90.

Expedited Food Stamps, 11.2.90.

Quality Control of the Food Stamp Program, 11.9.90.

State Administration of the Economic Development Zone Program, 11.29.90.

Tax Processing Banking Arrangements, 12.3.90.

CUNY Management Flexibility Program, 12.31.90.

The Department of Taxation and Finance's Collection Efforts, 2.11.91.

Regulation and Enforcement of the Urban Development Corporation Housing Portfolio, 3.1.91.

Community College Contract Course Program, 4.26.91.

State Prison Inmate Movement, 5.20.91.

Inmate Classification and Placement, 5.20.91.

State Police Seized Asset Revenues, 5.27.91.

Seal of Quality Program, 6.28.91.

Use of Salt for Snow Removal, 7.15.91.

Job Development Authority, 7.31.91.

Profitability of the Super Lotto, 11.11.91.

OGS and FDC Design and Construction Management Services, 11.21.91.

Commodities Purchased Through Supply Support, 12.20.91.

Criminal Justice Information Systems, 2.18.92.

Note: Excludes 169 reports printed 1971 through 1987. A list of these publications may be obtained by request of the Commission.

PROGRAM AUDITS OF THE LEGISLATIVE COMMISSION ON EXPENDITURE REVIEW 1988-1992

Public Service Commission Utility Management Audit Program, 2.19.88.

City University of New York's SEEK Program, 2.26.88.

State School Computer Aid Program, 3.25.88.

Leasing and Maintenance of OMRDD Community Facilities, 4.20.88.

Council on the Arts Decentralization Program, 4.27.88.

Special Delinquency Prevention Program, 5.20.88.

CUNY/SUNY Campus Child Care, 6.24.88.

State Agency Leasing Practices, 6.29.88.

State Correctional Industries, 7.5.88.

Department of Taxation and Finance, Systems Modernization Project, 7.27.88.

OMH Residential Treatment Facilities, 7.29.88.

OMH Physicians' Extra Service Program, 10.20.88.

Civil Service Leaves of Absence, 11.3.88.

The Commission on Cable Television's Role Since the Cable Act of 1984, 12.21.88.

Youth Development and Delinquency Prevention Program, 12.31.88.

Return a Gift to Wildlife, 3.15.89.

Office of the Special Narcotics Prosecutor, 3.17.89.

State Aid to New York City Private Bus Operators, 6.20.89.

Consumer Protection Board's Advocacy Program, 6.30.89.

Recruitment and Retention of Foster Parents, 8.15.89.

State Control of Acid Rain, 11.30.89.

State Agency In-House Training and Conference Attendance, 12.8.89.

State Parks Building Maintenance Management, 12.14.89.

SUNY Management Flexibility Program, 12.20.89.

Medicaid Fraud and Abuse Audit Program, 3.10.90.

Correctional Officer Pre-Service Training, 3.12.90.

Independent Living Centers Program, 3.16.90.

Reducing Customer Waits at Motor Vehicles Offices, 4.9.90.

Outside Hospital Care Program of the Office of Mental Health, 4.12.90.

Overview of Long Term Care, 6.26.90

Interstate Sanitation Commission, 9.25.90.

Urban Development Corporation Project Accountability, 9.30.90.

The State Office of Rural Affairs, 10.5.90.

Expedited Food Stamps, 11.2.90.

Quality Control of the Food Stamp Program, 11.9.90.

State Administration of the Economic Development Zone Program, 11.29.90.

Tax Processing Banking Arrangements, 12.3.90.

CUNY Management Flexibility Program, 12.31.90.

The Department of Taxation and Finance's Collection Efforts, 2.11.91.

Regulation and Enforcement of the Urban Development Corporation Housing Portfolio, 3.1.91.

Community College Contract Course Program, 4.26.91.

State Prison Inmate Movement, 5.20.91.

Inmate Classification and Placement, 5.20.91.

State Police Seized Asset Revenues, 5.27.91.

Seal of Quality Program, 6.28.91.

Use of Salt for Snow Removal, 7.15.91.

Job Development Authority, 7.31.91.

Profitability of the Super Lotto, 11.11.91.

OGS and FDC Design and Construction Management Services, 11.21.91.

Commodities Purchased Through Supply Support, 12.20.91.

Criminal Justice Information Systems, 2.18.92.

Note: Excludes 169 reports printed 1971 through 1987. A list of these publications may be obtained by request of the Commission.

Legislative Commission on Expenditure Review

Professional Staff

Linda Bakst
Claudia Carroll
Joan Deanehan
Jean Emery
Ronald Epstein
Stuart Graham
James Haag
Yolanda Hollingsworth
Gerald Keyes
Joel Margolis
Karen McNamara
John Phillips
Matthew Reilly
Lisa Risolo
Michael Rivera
Michael Roberts
David Rowell
Ross Segel
Deborah Suhey
Donald Suriani
James Tunney
Irving Wendrovsky
Christopher Wieda

Administrative Staff

Dawn Hewitt
Marcia Kaplan
Marilyn Kroms
Susan Peart Morales