A Comprehensive Examination of the Illinois Criminal History Records Information (CHRI) System

Final Report of the 1993–94 Criminal History Records Audit

August 1995

ILLINOIS
CRIMINAL JUSTICE
INFORMATION AUTHORITY

120 S. Riverside Plaza, Suite 1016
Chicago, IL 60606-3997
312-793-8550

Printed by authority of the State of Illinois
August 1995
Printing order number: 95-100
500 copies

This audit report was prepared by the
Illinois Criminal Justice Information Authority's
Criminal History Records Audit Center

Leonard P. Wojciechowicz, Director
Jonathon R. Harmening
Michelle V. Hildreth

Illinois Criminal Justice Information Authority
Jim Edgar, Governor
Bob Kustra, Lt. Governor
Peter B. Bensinger, Chairman
Thomas F. Baker, Executive Director

120 S. Riverside Plaza, Suite 1016
Chicago, Illinois 60606-3997

This report was published pursuant to Grant #92-DB-CX-0017 awarded by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. The Crime Control Act of 1990 amended Part E of the Omnibus Crime Control and Safe Streets Act to require each state that receives Edward Byrne Memorial State and Local Law Enforcement Assistance formula grant funds to allocate at least 5 percent of its total award for the improvement of criminal justice records. This criminal history records audit is paid for with some of the funds made available to Illinois. The Assistant Attorney General, Office of Justice Programs, coordinates the activities of the following program offices and bureaus: Bureau of Justice Assistance, Bureau of Justice Statistics, National Institute of Justice, Office of Juvenile Justice and Delinquency Prevention, and the Office of the Victims of Crime.

Acknowledgements

This report would not have been possible without the full cooperation of the Illinois State Police's Bureau of Identification. The Authority is very grateful to the openness and patience exhibited by BOI staff during the course of this project. The Authority would especially like to thank the following individuals: Judie V. Welch, bureau chief; William N. Buchanon, chief of staff; John T. Loverude, assistant bureau chief; Marcel D. Reid, assistant bureau chief; James R. Reed, management operations analyst; Tammi S. Kestel, records unit manager; and Gail Sabin, management operations analyst.

The Authority is also extremely thankful to the many agencies that cooperated and provided assistance to audit center staff during the audit. More than 100 agencies completed questionnaires, provided copies of source records or talked with auditors. Most agencies went out of their way to provide the requested information, and some expended large amounts of their own resources to make records available. The depth of this study is a testament to their cooperation.

Audit center staff would like to thank several Authority staff for their comments and insight throughout the course of the audit. Like the overview report, the comments provided, especially during the editing phase of this report, were extremely helpful. Sincere thanks to Candice M. Kane, Ph.D., associate director, Federal and State Grants Unit; Gerard F. Ramker, Ph.D., program director, Motor Vehicle Theft Prevention Council; Sharon D. Bond, associate director, Office of Public Information; Robert Boehmer, general counsel; Kristi Turnbaugh, technical editor, Office of Public Information; Mark Myrent, director, Criminal History Records Improvement Project; and Laura Egger, grants monitor.

Also, special thanks to former auditor Shannon M. McNulty and the fine interns who put in many hours coding and entering data, conducting computer inquiries and performing other tasks that were often less than glamorous. The Audit Center is grateful to John M. Gall, Rochelle A. Valadez, Steven Luong, Steve O'Brien, Tiffany Swygert and Puling Zhang. Valerie Lyne, administrative assistant, also pitched in during a very busy period.

Finally, two Authority publications were used during the writing of this report. The Audit Center's first report, *An Overview of the Illinois Criminal History Records Information (CHRI) System: Part I of the 1993-94 Criminal History Records Audit,* December 1994, is used extensively in the early part of this report to familiarize readers with the function and operation of the CHRI system. In addition, excerpts from the *1992 Audit of the Illinois Computerized Criminal History System,* December 1992, were used to help readers better understand how custodial information is reported from the Illinois Department of Corrections to the Illinois State Police. Sections of the 1992 report are reproduced in Section 5 of this report.

Table of Contents

Figures

Tables

Appendices

Executive Summary

The criminal justice system depends on timely, accurate and complete criminal history record information (CHRI). To ensure the quality of this data and determine how the CHRI process could best be improved, the Illinois Criminal Justice Information Authority (the Authority) has conducted an independent records audit of the state's CHRI system. Local agencies such as police departments, state's attorneys, circuit court clerks and correctional facilities submit CHRI to the Illinois State Police (ISP), which is the repository for this data. The data is physically housed on the ISP's mainframe computer in Springfield. However, the work is processed at the Bureau of Identification in Joliet.

Illinois has always been a leader in criminal history records auditing. This audit is one of 10 conducted of the Illinois Computerized Criminal History (CCH) records data base since 1979. Like the other audits, it measures the quality of system records and offers recommendations to enhance a very important function of the ISP. However, this audit is the most far-reaching and detailed of any conducted in Illinois or in any other state. Not only does it examine all three staples of a comprehensive records audit — timeliness, accuracy and completeness — but it also allowed auditors the chance to determine whether the ISP has improved its record-keeping function since its last audit in 1992.

The gathering, analysis and presentation of this data has been an extremely challenging project. For example, over the last 18 months, audit center staff have collected more than 14,000 records from more than 110 agencies; analyzed nearly 9,000 criminal history record rap sheets; recorded the timeliness of more than 13,000 record submissions; and met with and received advice on improving the system from dozens of criminal justice officials from around the state.

Although not without its shortcomings, the Illinois criminal history record system is one of the most advanced and stable systems in the country. The number of records in the

CCH data base (which ranks fifth among all states) certainly presents the largest challenge to the ISP. Tremendous resources are needed just to keep pace with the growth of events, now being added to the CCH data base at a rate of about 600,000 per year (almost 1,650 per day). Agency officials are well aware of the challenges; along with the Authority and the Ad Hoc Committee on Dispositional Reporting (a group of Illinois criminal justice officials working to improve the state's disposition reporting process), they have made commendable progress toward improving the quality of system records.

Below are the major findings of this report:

- Local agencies usually do not submit arrest, charge, disposition and corrections information in a timely manner as prescribed by Illinois statutes.

- The ISP processes most arrest, charge, disposition and custodial information in a timely manner. However, there is room for improvement.

- Information on the state five-part arrest card form is not always complete and accurate.

- Many of the submissions obtained by auditors were missing from the CCH data base.

- Some arrest submissions are incompletely and/or inaccurately posted to the CCH data base.

- Some local police departments overreport CHRI and misuse the state five-part arrest card form.

- A number of rap sheets searched through a name-based inquiry could not be located in the CCH data base.

- Rap sheets are often difficult to read, and connecting events is time-consuming and frustrating. Some important identifiers were incorrectly entered onto the CCH data base. In addition, some events may not be essential and could be eliminated.

    - It is sometimes difficult to connect rap sheet events because they lack a common DCN (Document Control Number). This makes it especially difficult to link custodial receipts to other submission types. Other factors also make readability problematic.

    - The offense class of several arrest submissions was incorrectly entered as murders when, in fact, the offense class was a misdemeanor.

    - State's attorney events usually duplicate arrest events information and are, therefore,

unnecessary. In addition, court initiations are no longer entered into the CCH data base and also may be unnecessary.

- While almost every arrest has a corresponding state's attorney charge, most are missing court dispositions.

- Custodial receipts are often missing from rap sheets when offenders are sentenced to incarceration.

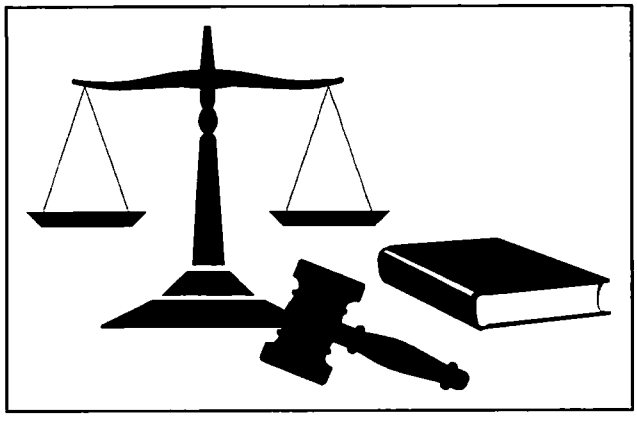
- Some criminal history record rap sheets fail to reflect that known inmates are, in fact, incarcerated.

- Even when rap sheets accurately reflect the incarceration, they often lack arrest and disposition events leading up to it.

- Linking the custodial receipt to other criminal history record events is often time-consuming and confusing.

- Although most police departments are fully aware of statutory regulations and other requirements for maintaining, reporting and storing CHRI, some are not.
  - Two agencies were not aware that there is a statutory requirement to send arrest information to the ISP;
  - Many agencies (up to 20 percent of those responding) did not have policies/procedures in place to report certain offense types;
  - Most agencies do not submit arrest information to the ISP on a daily basis as required by Illinois statutes;
  - Some agencies do not contact the ISP when the agency decides not to prosecute offenders;
  - Others do not send error correction notices to the ISP as required;
  - Some agencies fail to forward pages 3 and 4 of the state five-part arrest card form to the state's attorney; and
  - Several agencies do not follow adequate security measures in preserving their CHRI, including physical security and authorized access; limiting access to authorized data and functions; protecting CHRI storage areas; securing CHRI terminals; and taking appropriate measures to store and destroy records containing CHRI.

The report details these findings and offers a number of recommendations to improve the CHRI system.



SECTION 1

INTRODUCTION

Introduction

The importance of CHRI[1] to the fair administration of criminal justice cannot be overestimated. In virtually every realm of law enforcement — from criminal court proceedings to correctional supervision — criminal history records are relied upon to provide an accurate and timely account of an offender's past encounters with criminal justice agencies; recently, the search for methods to avoid selling handguns to people with criminal records has brought increased attention to the need for states to maintain accurate and complete criminal history record systems. The completeness and accuracy of CHRI also greatly affects the privacy rights of individuals when information that should not be in the data base has been placed there or when that information is inaccurate.

Employers also rely increasingly on criminal conviction records as part of their hiring process to ensure prospective employees have an acceptable background.[2] For example, school districts are now using conviction data to determine if teachers, bus drivers or others who have contact with children ever have been convicted of sexual offenses or other crimes that may exclude them from employment. Social service agencies also rely on CHRI to determine whether prospective foster parents meet eligibility criteria and are suitable for that role.

Additionally, conviction information is no longer restricted to certain agencies. As of January 1991, Illinois citizens can, for a fee, request conviction information about neighbors, coworkers or anyone else they choose.[3] Though not without limits, the CHRI system, operated by the ISP, truly has become a resource available to all state residents:

---

[1] See Appendix A, Glossary.

[2] In most instances, only conviction information may be furnished to authorized noncriminal justice agencies. For example, see 20 Illinois Compiled Statutes (ILCS) 2630/3 (B) (formerly Illinois Revised Statutes, Chapter 38, Paragraph 206-3 (B)) and the Illinois Uniform Conviction Information Act, 20 ILCS 2635/1 et seq. (formerly Ill. Rev. Stat., Ch. 38, par. 1601 et seq.).

[3] The Illinois Uniform Conviction Information Act, 20 ILCS 2635/1 et seq. (formerly Ill. Rev. Stat., Ch. 38, par. 1601 et seq.).

• Although employers and individuals are increasingly using CHRI, criminal justice practitioners continue to receive CHRI more frequently than any other group. For instance, law enforcement officers use CHRI to assist in conducting investigations, and state's attorneys rely heavily upon CHRI to recommend bail, as well as whether to seek upgraded charges, negotiate pleas and/or recommend sentences.

• CHRI's importance to judges closely parallels its usefulness to state's attorneys. Decisions about bail, pretrial release and sentencing are all, in large part, contingent on the offender's record. Illinois statutes allow judges to sentence certain repeat criminal offenders to much longer prison terms than first-time offenders. Without accurate and timely CHRI, a judge may very well sentence a repeat felon to a short prison term when, in fact, the offender should receive a much longer sentence.

• Probation and community correctional personnel use CHRI to determine how they should supervise offenders and to develop treatment programs to suit individual cases.

• Jail and prison officials use CHRI to determine offenders' security levels, which in turn influence housing and work assignments. Without accurate and timely CHRI, correctional administrators run the risk of placing "high-security threat" offenders with those who may pose only a slight threat. Likewise, if problematic offenders mistakenly are given work assignments, they could jeopardize staff and/or citizens.

As important as it is to all aspects of the criminal justice system and its practitioners, the Illinois CHRI program continues to experience many challenges that impact CHRI quality and availability. This report identifies existing obstacles, both procedural and systemic, so that coordinated efforts can be taken to improve the system.

System Overview

The size and complexity of the Illinois criminal history records system was recently analyzed. In December 1994, the Authority published *An Overview of the Illinois Criminal*

History Records Information System: Part I of the 1993-94 Criminal History Records Audit. The report detailed how records are processed; the tremendous growth in records and the challenges this presents; how the system has changed in recent years; and how Illinois' records compare to those of other states.

This report builds upon the one released last year. Whereas the 1994 report examined the degree to which the system has grown, this report examines the quality of the CCH records and identifies weaknesses in the system. Audit Center staff conducted an analysis of the CHRI system through an examination of the timeliness, accuracy and completeness of CHRI system records — the three staples of a comprehensive records quality audit. Audit staff measured how quickly local agencies send information to the ISP and how quickly the ISP meets its obligation in making records available to other users, among other things. The accuracy and completeness of records also were thoroughly measured to provide an estimate of the quality of events located on the CCH data base. Each section in the report closes with recommendations to improve the system.

Background Information

Federal Audit Regulations

To show compliance with federal regulations, states now are required to have a criminal history records improvement plan to ensure the timeliness, completeness and accuracy of CHRI. According to federal guidelines, *complete* records are those that fully and accurately reflect underlying criminal justice transactions. All records must also be *accurate*. An accurate record is one that contains no material or substantive erroneous information that affects a criminal or noncriminal justice function or the individual. In addition, all records related to felony offenses are to be entered into the automated system within 30 days of receipt by the central repository and all other records entered within 90 days (Illinois state statutes require the information to be reported to the central repository within 30 days). The plan must ensure that annual audits of a representative random sample of state and local criminal justice agencies are conducted by the state to document adherence to federal regulations.

The Crime Control Act of 1990 amended Part E of the Omnibus Crime Control and Safe Streets Act, which requires that each state receiving Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant funds allocate at least 5 percent of its total award for the improvement of criminal justice records unless certain requirements are met. Because Illinois receives such funds, it is required to abide by the 5 percent set-aside rule. In August 1993, the Authority created the Criminal History Records Audit Center (CHRAC) using a portion of the funds; the Center's central purpose is to audit the state's CHRI system and offer recommendations to improve it.

Criteria by which states could request waiver of the set-aside requirements were established by the U.S. Justice Department's Bureau of Justice Assistance (BJA). They include several key factors; generally, however, they seek to verify high quality for 95 percent of current records and 90 percent of records maintained over the last five years.

With regard to *current* records, the criteria attempt to ensure that 95 percent of the felony arrest records and fingerprints are complete (i.e., they contain disposition information, if a disposition has been reached); 95 percent of the current sentences to and releases from prison are available; and 95 percent of current arrest records identify felonies. A complete and accurate record must fully, without error, reflect all statutorily-required criminal justice transactions.

The criteria also establish that, for the past five years, a reasonable attempt was made to have complete arrest information, disposition information and incarceration information for 90 percent of felony arrests. A reasonable attempt also must have been made to identify, or *flag*, felony records in the state repository for 90 percent of the offenses that occurred during the past five years.

Furthermore, the criteria require the full automation of all criminal justice histories and fingerprint records, including all criminal history and master name index records from the past five years, and that new records with prior manual records are entered into the automated files (including the manual record). In addition, felony offenses should be entered into the automated system by the state central repository within 30 days of receipt; all other records should be entered within 90 days.

Finally, criteria were established for the frequency and quality of criminal history reports to the FBI. This includes the requirements that fingerprints be submitted to the state and to the FBI Identification Division (ID) within 24 hours. In single source states (those in which the repository submits all fingerprint cards to the FBI from arresting agencies throughout the state), the state repository must forward fingerprints, when appropriate, to the FBI within two weeks of receipt. Final dispositions must be reported to the state repository and, when appropriate, by the local agency to the FBI within 90 days after the disposition is known.

Other federal regulations also require that each individual or agency with direct access

to CHRI develop security procedures to assure the physical security of the CHRI under its control and the protection of this information from unauthorized access, disclosure or dissemination. Procedures also must be implemented to allow people to access and review their CHRI and to disseminate certain data only to criminal justice agencies and other authorized individuals or agencies. However, these regulations are not part of the set-aside requirements.

In May 1992, Illinois submitted to the U.S. Department of Justice its criminal history records improvement plan. The plan was developed cooperatively by the Authority, the ISP, the Illinois Department of Corrections (IDOC), the Administrative Office of the Illinois Courts (AOIC), and representatives of local criminal justice agencies and courts. Among other recommendations, the plan stressed the need to audit CHRI record-keeping practices to ensure the quality and timeliness of system information.

The Illinois CHRI System

The Criminal Identification Act[4] names the ISP as the central repository for Illinois CHRI, including its collection, maintenance and dissemination. In addition, all policing bodies, sheriffs, state's attorneys and circuit court clerks in each county, as well as the IDOC, must submit certain arrest, charge, disposition and custodial information to the ISP within a specified timeframe. The ISP receives submissions for all felonies and Class A and B misdemeanors committed by adults, and forcible felonies and unlawful use of weapon offenses committed by juveniles. Arrest information must be submitted daily. Other information must be submitted within 30 days of the event. The ISP receives this information from agencies throughout the state and systematically enters it into the Illinois CCH data base, a large computer system that facilitates criminal record information entry and retrieval.

The ISP began automating the state's CHRI system in the early 1970s. The ISP now collects, stores, maintains and disseminates CHRI in a manner that has become, in a sense,

[4] 20 ILCS 2630/0.01 et seq. (formerly IRS Ch. 38, par. 206).

more complex over the years with the advent of more advanced and varied computer hardware, technology and reporting methods. The greatly increased need for CHRI also has contributed to the system's complexity.

This technology now allows the ISP to process and disseminate thousands of records daily. Due to the increased need for CHRI, record dissemination requests continue to grow. The record events arrive through various means and then advance through a complex system developed to handle the large volume of diverse requests for CHRI.

The ISP receives a variety of criminal history record submissions. Specific processing procedures vary according to the type of criminal history event reported. Arrest and custodial fingerprint cards both can initiate a new CCH record. However, a basic principle of both federal and state regulations is that all new records must be fingerprint-based. The person's name becomes secondary to his or her fingerprints because suspects often use several aliases and many often have the same name. Fingerprints are the definitive identification method that links a person to his or her criminal past. However, some processes (e.g., grand jury indictment) can bring a person into the criminal justice system without an arrest having been made and therefore, with no arrest fingerprint card. If someone is convicted under these circumstances, the state's attorney requests the person to be fingerprinted at that time, and the court orders the fingerprinting if it finds the person was not previously fingerprinted.

To be an effective tool for criminal justice practitioners, the CCH data base must contain accurate and reliable information. This accuracy and reliability depends on two key factors: the source data submitted by reporting agencies and the ISP's ability to accurately add the information to the CCH data base. Compliance with both state and federal law and the ISP's procedures is important. The laws define which agencies must report information and when; the ISP's policies define how this reporting should occur. Audits conducted by the Illinois Criminal Justice Information Authority and the ISP have revealed some degree of noncompliance with statutory requirements. For example, some agencies send arrest cards to the ISP on a weekly or monthly basis, instead of daily as required by state statute. By doing

so, agencies may be depriving others of valuable information.

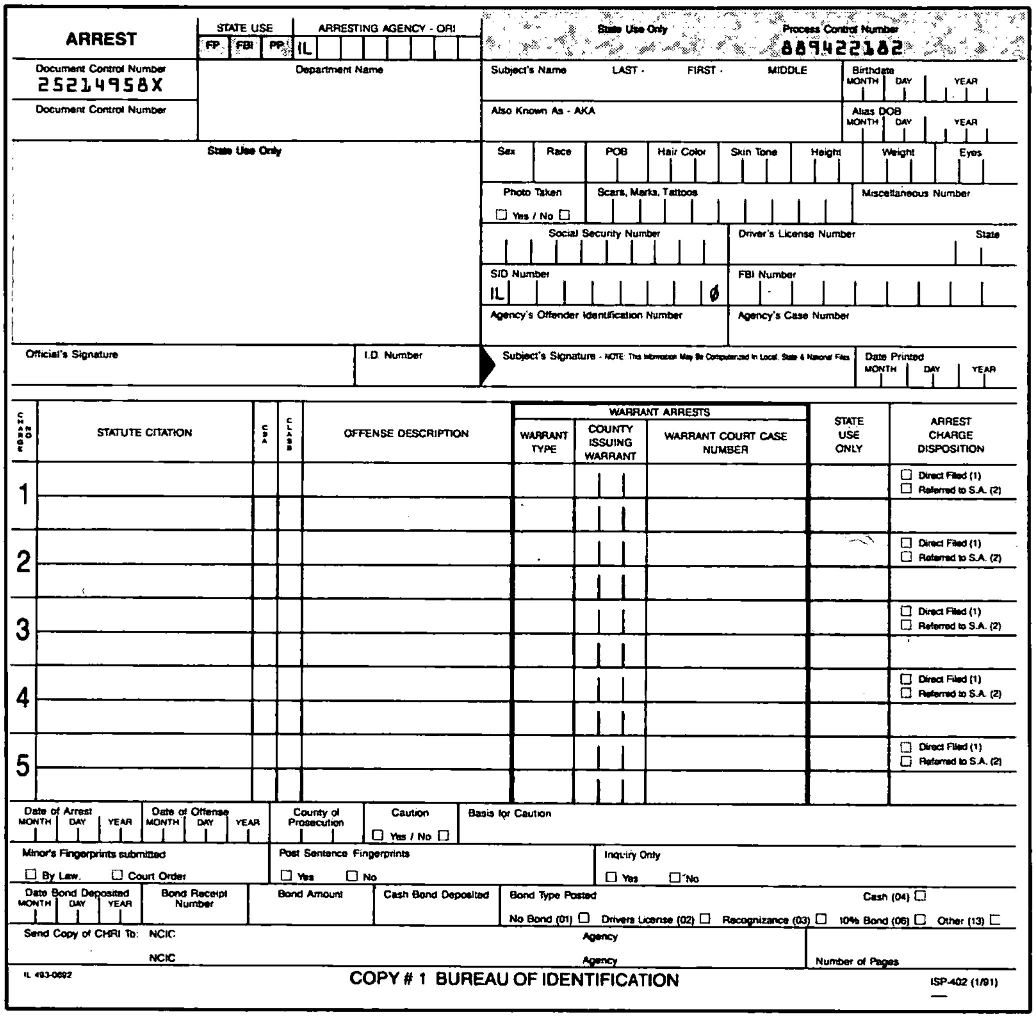
In some cases, agencies are unaware of the reporting requirements and/or procedures. For instance, the ISP reports that some agencies send a new arrest card for each *charge*, when all charges for a single arrest should have been combined onto one card. When charges arrive separately, the ISP posts the charges as separate arrest events. Such submissions lead to additional work for the ISP and adversely affect the timeliness, accuracy and completeness of CHRI records. According to ISP officials, this problem is probably isolated to a small number of counties. However, the ISP has not systematically analyzed this issue.

Past Authority audits documented continuing problems in the CCH data base. The most persistent problem is missing dispositions. In 1992, a sample of inmates' criminal history records (also referred to as *transcripts* or *rap sheets*) indicated that 56 percent of total arrests were missing state's attorney dispositions, and 46 percent were missing final court dispositions. In 1990, a sample of CCH data base arrests indicated that more than 58 percent of arrests were missing both state's attorney and final court dispositions. In addition, previous audits revealed that local agencies often report the same information more than once. These types of problems are significant and create a substantial delay in record processing.

The CCH data base has changed considerably over the years. The most current large-scale redesign of the CCH data base was implemented in 1987. One of the most important changes was the use of a new five-page form that follows a criminal offender from arrest to sentencing. This reporting device serves as an important means of linking dispositions to arrests for most of the state's jurisdictions. However, not all agencies in the state use the form. In fact, the largest arresting agency in Illinois (the Chicago Police Department) and several others use their own reporting methods, developed in cooperation with the ISP. These methods were designed to make the reporting procedures less cumbersome while ensuring timely submissions that also maintain event links.

Each page of the five-part reporting form serves a specific purpose. The first page is

referred to as the Arrest Face Sheet (see sample below). It contains subject identification and arrest information. The offender identification information contained on the face sheet is carbon-copied onto subsequent pages. This not only saves time when subsequent agencies process the person but also prevents errors in transcribing information between documents.



ARREST

STATE USE: FP | FBI | PP — ARRESTING AGENCY - ORI: IL — State Use Only — Process Control Number: 889422182

Document Control Number: 25214958X — Department Name — Subject's Name: LAST - FIRST - MIDDLE — Birthdate: MONTH DAY YEAR

Document Control Number — Also Known As - AKA — Alias DOB: MONTH DAY YEAR

State Use Only — Sex | Race | POB | Hair Color | Skin Tone | Height | Weight | Eyes

Photo Taken: Yes / No — Scars, Marks, Tattoos — Miscellaneous Number

Social Security Number — Driver's License Number — State

SID Number: IL ... Ø — FBI Number

Agency's Offender Identification Number — Agency's Case Number

Official's Signature — I.D. Number — Subject's Signature - NOTE: This Information May Be Computerized In Local, State & National Files — Date Printed: MONTH DAY YEAR

CHARGE CODE	STATUTE CITATION	CPA	CLASS	OFFENSE DESCRIPTION	WARRANT ARRESTS: WARRANT TYPE	COUNTY ISSUING WARRANT	WARRANT COURT CASE NUMBER	STATE USE ONLY	ARREST CHARGE DISPOSITION
1									☐ Direct Filed (1) ☐ Referred to S.A. (2)
2									☐ Direct Filed (1) ☐ Referred to S.A. (2)
3									☐ Direct Filed (1) ☐ Referred to S.A. (2)
4									☐ Direct Filed (1) ☐ Referred to S.A. (2)
5									☐ Direct Filed (1) ☐ Referred to S.A. (2)

Date of Arrest: MONTH DAY YEAR — Date of Offense: MONTH DAY YEAR — County of Prosecution — Caution: ☐ Yes / No ☐ — Basis for Caution

Minor's Fingerprints submitted: ☐ By Law ☐ Court Order — Post Sentence Fingerprints: ☐ Yes ☐ No — Inquiry Only: ☐ Yes ☐ No

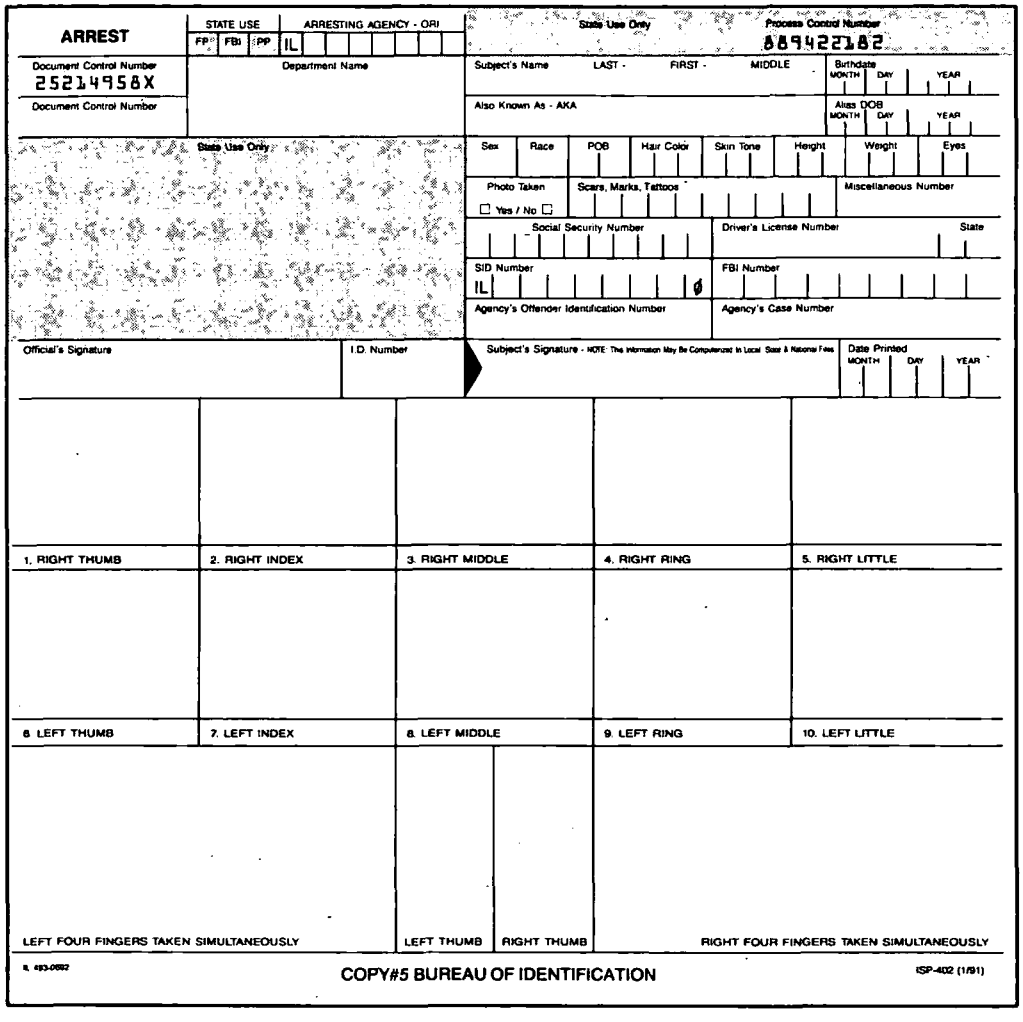
Date Bond Deposited: MONTH DAY YEAR — Bond Receipt Number — Bond Amount — Cash Bond Deposited — Bond Type Posted: No Bond (01) ☐ Drivers License (02) ☐ Recognizance (03) ☐ 10% Bond (06) ☐ Cash (04) ☐ Other (13) ☐

Send Copy of CHRI To: NCIC — Agency

NCIC — Agency — Number of Pages

IL 493-0692 — COPY # 1 BUREAU OF IDENTIFICATION — ISP-402 (1/91)

The last page, the fingerprint card (see sample below), contains spaces for fingerprints, as well as the carbon-copied face sheet information.



ARREST

STATE USE: FP FBI PP — ARRESTING AGENCY - ORI: IL

State Use Only — Process Control Number: 889422182

Document Control Number: 25214958X

Department Name

Subject's Name — LAST - FIRST - MIDDLE — Birthdate MONTH DAY YEAR

Also Known As - AKA — Alias DOB MONTH DAY YEAR

State Use Only

Sex | Race | POB | Hair Color | Skin Tone | Height | Weight | Eyes

Photo Taken ☐ Yes / No ☐ — Scars, Marks, Tattoos — Miscellaneous Number

Social Security Number — Driver's License Number — State

SID Number: IL Ø — FBI Number

Agency's Offender Identification Number — Agency's Case Number

Official's Signature — I.D. Number — Subject's Signature - NOTE: This Information May Be Computerized In Local, State & National Files — Date Printed MONTH DAY YEAR

1. RIGHT THUMB	2. RIGHT INDEX	3. RIGHT MIDDLE	4. RIGHT RING	5. RIGHT LITTLE
6. LEFT THUMB	7. LEFT INDEX	8. LEFT MIDDLE	9. LEFT RING	10. LEFT LITTLE

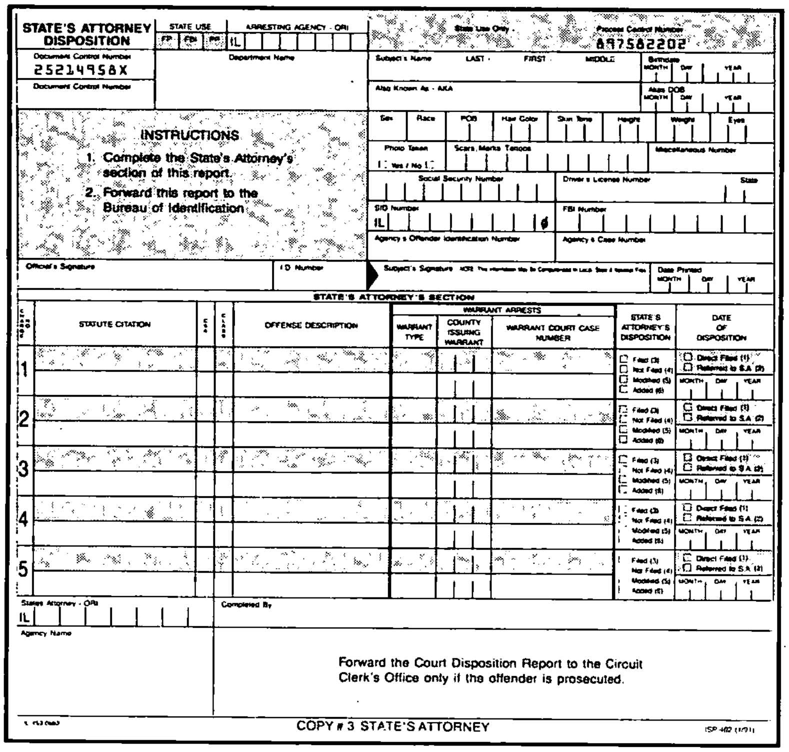
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY — LEFT THUMB — RIGHT THUMB — RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY

IL 493-0692

COPY#5 BUREAU OF IDENTIFICATION

ISP-402 (1/91)

Upon completion by the arresting agency, the face sheet is sent, along with the fingerprint card, to the ISP. The arresting agency keeps the form's second page, which is identical to page one, for its records. Page three is the State's Attorney's Disposition Report, and page four is the Circuit Court Clerk's Disposition Report (see samples below). They contain space to note subsequent charge and court disposition information.



STATE'S ATTORNEY DISPOSITION

Document Control Number 25214958X

Process Control Number 897582202

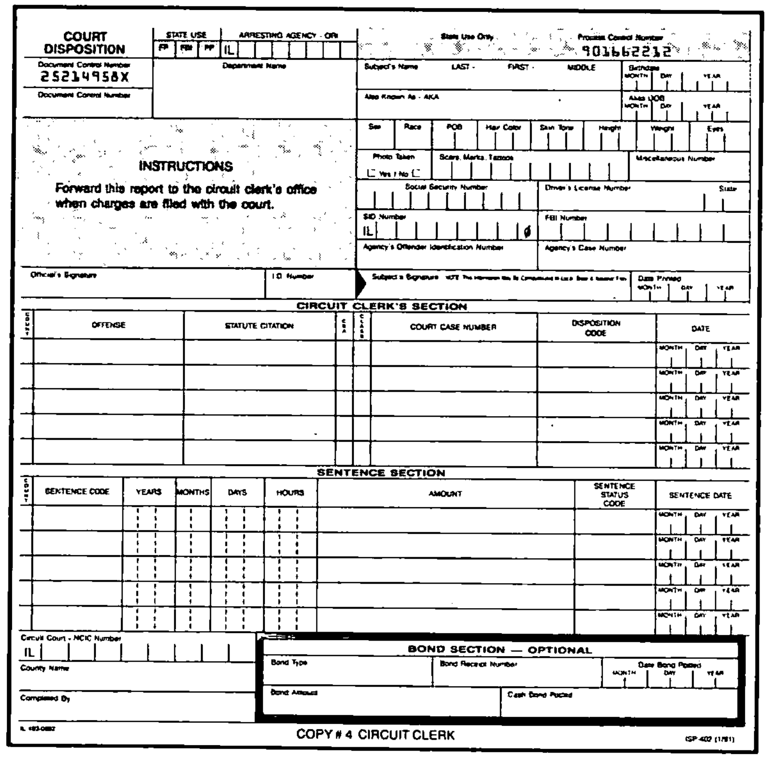
INSTRUCTIONS
1. Complete the State's Attorney's section of this report.
2. Forward this report to the Bureau of Identification.

STATE'S ATTORNEY'S SECTION

COUNT	STATUTE CITATION			OFFENSE DESCRIPTION	WARRANT TYPE	COUNTY ISSUING WARRANT	WARRANT COURT CASE NUMBER	STATE'S ATTORNEY'S DISPOSITION	DATE OF DISPOSITION
1								Filed (3) / Not Filed (4) / Modified (5) / Added (6)	Direct Filed (1) / Referred to S.A. (2) / MONTH DAY YEAR
2								Filed (3) / Not Filed (4) / Modified (5) / Added (6)	Direct Filed (1) / Referred to S.A. (2) / MONTH DAY YEAR
3								Filed (3) / Not Filed (4) / Modified (5) / Added (6)	Direct Filed (1) / Referred to S.A. (2) / MONTH DAY YEAR
4								Filed (3) / Not Filed (4) / Modified (5) / Added (6)	Direct Filed (1) / Referred to S.A. (2) / MONTH DAY YEAR
5								Filed (3) / Not Filed (4) / Modified (5) / Added (6)	Direct Filed (1) / Referred to S.A. (2) / MONTH DAY YEAR

Forward the Court Disposition Report to the Circuit Clerk's Office only if the offender is prosecuted.

COPY # 3 STATE'S ATTORNEY



COURT DISPOSITION

Document Control Number 25214958X

Process Control Number 901662212

INSTRUCTIONS

Forward this report to the circuit clerk's office when charges are filed with the court.

CIRCUIT CLERK'S SECTION

COUNT	OFFENSE	STATUTE CITATION			COURT CASE NUMBER	DISPOSITION CODE	DATE

SENTENCE SECTION

COUNT	SENTENCE CODE	YEARS	MONTHS	DAYS	HOURS	AMOUNT	SENTENCE STATUS CODE	SENTENCE DATE

BOND SECTION — OPTIONAL

COPY # 4 CIRCUIT CLERK

In most cases, the forms have made reporting significantly easier. For example, staff in state's attorneys offices no longer have to complete identification information for each subject. As the information is carbon-copied from the arrest face sheet, it automatically appears on the state's attorney's section of the form, eliminating one redundancy. Staff need only report whether charges were filed, added or modified and the date of each charging action. Circuit court clerks now have to report disposition and sentence information only on each charge. However, after assigning the court case number, they should also complete and forward to the ISP a tear-off portion to signal the initiation of court proceedings, which was a step not included under the former system.[5] This process establishes the link between the court case number and the DCN and is another audit device that can trace missing dispositions.

The ISP developed a separate custodial card to track and update records of those sentenced to incarceration. Like the arrest card form, the custodial form is five pages long. The first page (see sample on next page) and the last page (which contains the inmate's fingerprints) are mailed to the ISP when an inmate arrives at either the IDOC or a county-level corrections facility. The other three pages are maintained by the incarcerating agency and should be submitted to the ISP after any change in custodial status, such as the inmate's release on appeal bond, the sentence's commutation or the inmate's death. An important feature of this form is that it includes court case numbers, which allow custodial receipts and status changes to be linked to court dispositions and, therefore, to the underlying arrest.

As seen by its use in every step of the judicial process, the CCH data base is a valuable resource for thousands of criminal justice practitioners around the state, and it continues to grow and change. This report analyzes the quality of the records now in the system and offers recommendations to ensure a higher quality of records in the future.

---

[5] However, the ISP currently does not process court initiations. Therefore, the DCN from the court disposition itself is used as the link to other events. See p. 22 for more on the importance of DCNs

CUSTODIAL

STATE USE: FP FBI PP

CONFINING INSTITUTION - ORI: IL

AGENCY RECEIVED FROM - ORI: IL

State Use Only

Process Control Number: 34634101?

Document Control Number: 102241018

Document Control Number

Department Name

Subject's Name

Birthdate: MONTH DAY YEAR

Sex | Race | POB | Hair Color | Skin Tone | Height | Weight | Eyes

State Use Only

Photo Taken ☐ Yes / No ☐

Scars, Marks, Tattoos

Misc. Number

Social Security Number

Driver's License Number | State

SID Number: IL Ø

FBI Number

Court Case Number | County | Correctional Number

Court Case Number | County | Date Received: MONTH DAY YEAR

Official's Signature | I.D. Number

Subject's Signature | Date Printed: MONTH DAY YEAR

STATUS	CODE	STATUS	CODE
Absconded	☐ 401	Released on Appeal Bond	☐ 423
Deceased	☐ 408	Sentence Commuted	☐ 424
Discharged	☐ 409	Released on Correctional Supervision	☐ 431
Escaped	☐ 410	Returned from Correctional Supervision	☐ 432
Executed	☐ 411	Revocation of Correctional Supervision	☐ 433
Pardoned	☐ 416	Received for Periodic Imprisonment	☐ 434
Received	☐ 421	Reprieved	☐ 435
Released by Court Order	☐ 422	Returned to Institution	☐ 436

Status Change Date

Official's Signature

Date Signed

IL 493-0689

ISP6-407 (2/88)

The Processing of Information

The ISP processes CHRI submissions by type. (A CHRI Submissions Flowchart appears on the next page for reference.) Not only are there different event types (arrests, state's attorney and court dispositions, custodial receipts, and status changes, for example) but also different reporting methods (paper submissions sent by mail, electronic submissions — including livescan[6] — and computer tapes). Paper submissions are most commonly submitted on the five-page reporting form previously discussed.

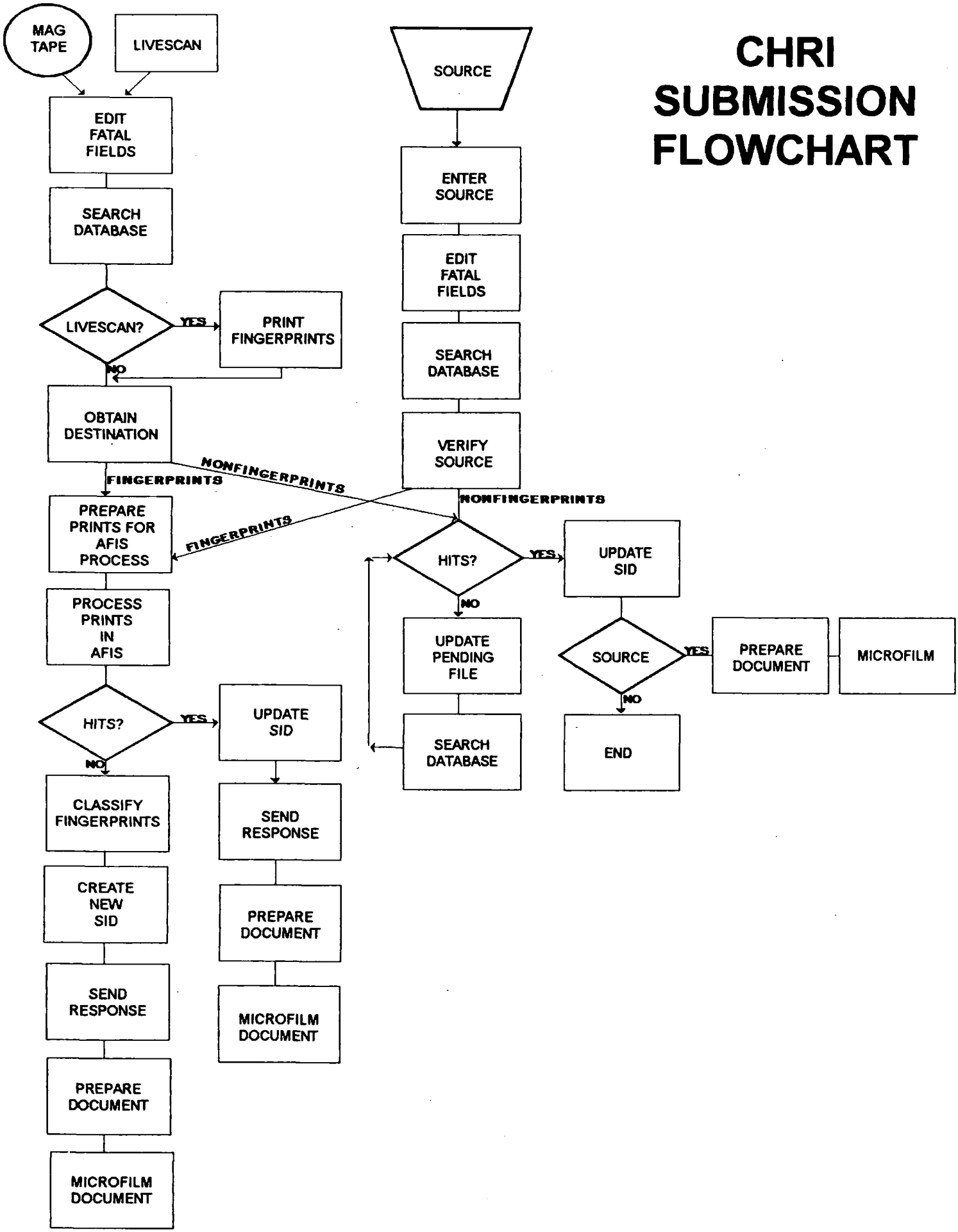
Arrest and custodial receipt submissions include fingerprint cards, which require multiple steps to process. These fingerprint submissions can initiate a new criminal history record or can link a subject to an existing record. If an offender does not have a record, a fingerprint submission (such as an arrest card) initiates one to which the ISP will add any subsequent criminal history events, such as state's attorney charge information or court dispositions.

When the ISP receives an arrest or custodial receipt submission, the information on the form is entered into a mainframe computer by an operator.[7] A second terminal operator enters the same information to ensure accuracy. A computerized check verifies that the two data entries match and the data is valid. If the information does not match, the computer returns the data record for correction. Staff at the ISP determine if the event contains an error that is not correctable and is *fatal*, which indicates there is something in the event that prevents it from being posted, or added, to the system (for example, is missing both statute citation and an offense description). If the event cannot be posted, the ISP returns the submission to the submitting agency for correction. If the error is not correctable, but the event can be posted

[6] Livescan is direct electronic fingerprinting. For more on livescan, see pp. 22 and 38-9.

[7] Since October 1992, the ISP has been sending all arrest submissions to an outside vendor for data entry and verification. The submissions are then returned to the ISP, along with a magnetic tape of the data.

CHRI SUBMISSION FLOWCHART



(for example, it is missing an offense date), the card is processed. Then the ISP sends an error correction sheet to the submitting agency, which the agency resubmits to the ISP with the corrected data. Resubmission rates, however, are often low.

The accompanying fingerprint card follows a different route during processing. After the ISP enters charge and demographic information, the fingerprint card is processed through the Automated Fingerprint Identification System (AFIS). A technician assigns an AFIS class to the fingerprints according to the fingerprints' pattern type and then sends the card through an AFIS reader, which produces a computerized image. The technician sets the core (center) and axis (left or right), which are vital to an AFIS file search, on a computer screen for each fingerprint. AFIS searches for possible matches. The fingerprint technicians evaluate every possible match.

Fingerprints matching those of another AFIS file are called *hits*, a term that means a prior record exists. These cards are forwarded so existing State Identification numbers (SIDs) can be applied. If there is no fingerprint match, it is considered a *no hit*. The card is then forwarded to have a new SID number applied. Generally, these fingerprints will become *master fingerprints*, those against which all future fingerprints will be matched.

The ISP uses SIDs to uniquely identify people in the CCH data base who have existing criminal history and noncriminal history records (for example, job applicants). If an offender has no CCH record, the ISP assigns him or her a unique SID. For each subsequent criminal justice transaction an offender may have, the ISP *posts*, or adds, the event to the individual's SID, thus creating a criminal history of their criminal justice agency contacts. SIDs, then, indicate the number of people in the CCH data base, and each SID represents one individual's record.

After the SID is applied, submissions are microfilmed for permanent filing. The microfilm reels also are stored offsite to guard against the loss of data through systemic or environmental catastrophes. By using a microfilm index, the ISP can easily locate the record.

The ISP eventually destroys all paper submissions except the master fingerprint cards.

Dispositions (state's attorney and court) and custodial status changes follow a similar procedure, though fingerprints do not accompany these submission types. Similar to the method for arrests and custodial receipts, the ISP dual-enters the information. A computerized check verifies all entered data, and the same error correction processes occur.

When disposition or status change information is entered into the system, the computer searches the existing data base for the corresponding fingerprint submission that initiated the criminal history record. To assist the search, all submissions contain a Document Control Number (DCN), which is a number that helps link corresponding events. If a fingerprint submission already exists, the ISP applies his or her SID to the submission and posts the disposition or status change to the record. If the fingerprint submission was not posted to the CCH data base, the disposition or status change data is routed to a pending file until the fingerprint submission is posted. Periodically, the ISP electronically reviews the pending file to update criminal history records. Like arrest submissions, the ISP microfilms and stores dispositions and custodial status changes and then destroys the paper submissions after they are posted to a CCH record.

Increasingly, as reporting agencies become automated, they submit CHRI electronically. The ISP receives electronic submissions, most of which are dispositions on magnetic tape. The ISP's computer programs read and edit the data contained on the tape before posting the information to CCH. Four agencies (two criminal and two non-criminal) currently submit CHRI over livescan, or direct electronic fingerprinting. The fingerprints are transferred to the ISP or to other agencies from the originating agency and can be printed out repeatedly with no loss of clarity. Livescan reporting also requires an agency to enter all demographic and charge information into the system, which is then read and edited at the ISP and eventually posted to CCH. At this time, the fingerprint cards are all printed at the ISP. Also, because of technical limitations, information from some livescan agencies must be entered again by the ISP's terminal operators. Therefore, the technology has allowed the ISP

to receive the information more quickly, but the fingerprints must be processed in the same manner as those received through the mail. Even though the number of agencies submitting by livescan is small, these arrests comprise about 40 percent of all reportable arrests statewide.

The Growth of Records and Resources

The CCH records data base is growing at an incredible rate. On Jan. 1, 1984, the system contained more than 1.4 million records. By Jan. 1, 1994, this figure had jumped to 2.1 million records, an increase of 51 percent over 10 years. Therefore, during the last decade the ISP has added about 200 records a day to the system. Illinois ranks fifth among all states in the number of records it maintains.

Because each record may contain several criminal justice-related events, the number of events greatly outnumbers records. For example, in 1994, there were more than 12 million events in the system whose occurrence dates (such as date of arrest and date of disposition) were from the year 1993 or before, for an average of about 5.4 events for every record on the system. Over the last 10 years, events have been added at a rate of about 600,000 per year. About half of all events added to the CCH data base have occurred over the last decade. Arrests usually comprise approximately 40 percent of all events; state's attorney dispositions, 37 percent; court dispositions, 20 percent; and custodial receipts, about 3 percent.

Two recent developments have changed how events are received and have led to a substantial increase in the overall tally of events. Since 1987, the ISP has allowed counties to report the direct filing of state's attorney dispositions.[8] Second, when the ISP determines through additional inquiry that agencies cannot provide dispositions of cases, it posts them as "not available" and includes them in the count of total disposition events. Since 1990, the ISP has posted more than 250,000 dispositions as not available.

---

[8] Direct filing allows a state's attorney to automatically post the disposition to a rap sheet upon the ISP's receipt of the corresponding arrest. The ISP now automatically posts state's attorney dispositions for seven counties.

Not only does the ISP enter a great number of records into the system, it also disseminates a tremendous number. For example, in 1993, the ISP disseminated almost 2 million records containing criminal history information. The Law Enforcement Agency Data System (LEADS), a statewide, computerized telecommunications system, is used for about half of the disseminations.

The ISP uses a large amount of resources to process criminal history records. However, they have been insufficient to keep up with record growth. In 1991, the ISP's nonpersonnel expenditures for the criminal history records program topped $6.8 million. By 1993, nonpersonnel expenditures decreased to about $5.1 million. In 1991, there were 227 staff people processing criminal history records; in 1993, there were 185. Vendors now increasingly process events received by the ISP. Even with a large staff and the assistance of outside help, the ISP still experiences a backlog of events. On May 1, 1995, the backlog stood at 146,227 events (56,863 fingerprint cards + 89,364 nonfingerprint cards). The ISP projects the backlog will be eliminated by September 1995.

Methodology

The audit methodology (see *The 1993-94 Criminal History Records Audit Methodology*, Illinois Criminal Justice Information Authority, December 1993) was created using techniques developed by SEARCH, The National Consortium for Justice Information and Statistics. This nationally-known organization is recognized for, among other things, the development of several notable guides to criminal history records auditing. *Assessing Completeness and Accuracy of Criminal History Records Systems: An Audit Guide*, which was published through the Department of Justice's Bureau of Justice Statistics in January 1992, was used extensively in the development of this audit.

During the audit methodology development, audit staff met repeatedly with staff of the ISP, who provided valuable feedback regarding the likely success of various audit techniques. This step also helped build a good working relationship between staff that would be needed throughout the audit.

The testing of audit instruments was a crucial part of the audit process. Before commencing with field work, staff tested all forms and methods to be employed. The forms were revised repeatedly until they could best capture all necessary information in the most efficient manner. Two police departments graciously allowed staff to test instruments on agency records. Staff also met with officials from state's attorney's offices, courts and corrections. A great deal of information was received during this stage that revealed how records are processed and the methods that would be most conducive to obtaining an accurate accounting of agency records.

The audit targeted four large issue areas:

1) *System overview.* The goal was to determine the size of the CHRI system and how its growth affects records processing. The *Overview* report of December 1994 examined these important issues.

2) *Record timeliness.* Section 2 describes how quickly agencies submit records to the ISP and how quickly, in turn, the ISP adds these records to the CCH data base. Audit staff analyzed records arriving at the ISP during three three-day periods over six months. The same records were later tracked in the CCH data base to determine how quickly they were processed by the ISP.

3) *Record completeness and accuracy.* Sections 3 - 5 describe the quality of CCH records. Through a variety of audit activities, audit staff measured the comprehensiveness and reliability of records:

a) In the reverse audit (see Section 3), copies of agency source records were compared to records submitted to the ISP. These records were, in turn, compared to the records on the CCH data base. Audit staff measured the quality of the CCH records.

b) The cycle audit (see Section 4) measured the completeness of CCH records for a sample of people arrested by local police departments.

c) An extended rap sheet analysis (see also Section 4) examined not only the events surrounding the sampled arrest but also the entire criminal history record rap sheet for a select number of offenders.

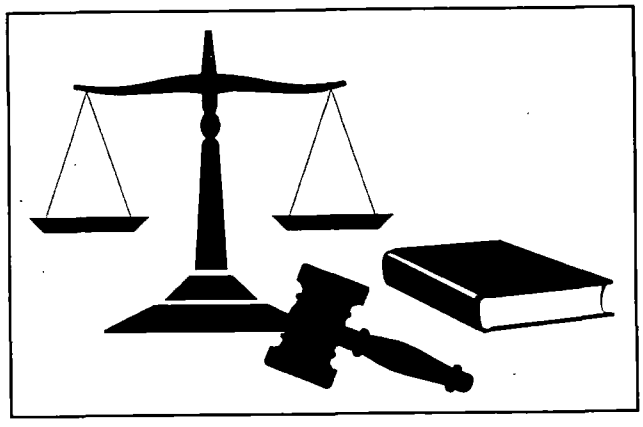
d) Finally, the IDOC audit (see Section 5) examined the rap sheets of an inmate population scheduled to be released from IDOC custody in May 1995. Importantly, it replicated work conducted three years before and offers a good comparison to records maintained during that time.

4) *Agency policies.* Section 6 describes policies and procedures local police departments use to report CHRI. Agencies completed questionnaires, which were later analyzed by audit staff.

Each section of the report more fully describes the methodology used.

The audit accomplished all but one of its goals set forth 20 months ago. Unfortunately, because of unanticipated difficulties in obtaining some agency records, not every goal could be achieved. However, the obstacles that staff encountered tended to indicate system problems and shed light on the complexity and problems associated with validating the overwhelming number of records that are continually transferred between local agencies and the ISP. The

frustration experienced by audit staff during certain stages of gathering data is certainly a reflection of the many different record systems maintained by agencies and the lack of integration between them. For example, Section 3 describes the difficulties auditors experienced in collecting data from nonpolice departments that matched CCH information.



SECTION 2

TIMELINESS OF CRIMINAL HISTORY RECORDS

Introduction

The timeliness of event submission and entry is essential to the overall quality of records in the CHRI system. The ISP receives submissions from local criminal justice agencies: police departments, state's attorneys' offices, courts, jails and the IDOC. It then enters particular information from each submission into the CCH data base to create a chronology of a person's formal contacts with these agencies. The events make up an offender's criminal history record, or *rap sheet.*

People throughout the criminal justice community rely on this information and depend on it to be current. For example, law enforcement officers use CHRI to assist them in conducting investigations, while judges and state's attorneys use CHRI for decisions related to bail, pretrial release, charges, and sentencing. Additionally, jail and prison officials use CHRI to determine offenders' security levels, which influence housing and work assignments. For the system to work efficiently, reporting agencies and the ISP need to be constant in their efforts to ensure the timely completion, submission and entry of all CHRI so that practitioners can base their decisions on the most current information.

Audit staff found that local agencies and the ISP sometimes — in some cases, often — do not process criminal history record events in a timely manner. In fact, audit staff found that submissions are usually late in arriving from reporting agencies, some arriving more than a year after the event took place. The ISP, in turn, sometimes enters[9] or posts[10] these submissions to the CCH data base weeks or months after the submission has been received. Although delays at the ISP are often caused by agency reports that are poor in quality, some of the delay in submission entry is caused by other factors. For example, during one period, tens of thousands of submissions were not entered over several weeks because of a contractual

[9] Information placed on the criminal history records system. Once entered on the system, it is further processed.

[10] An event that has been attached to an individual's computerized criminal history record. Most importantly, the event becomes available to others.

delay between the ISP and its vendor. Such problems can undermine the usefulness of these records to criminal justice practitioners.

Laws, Policies and Other Criteria

Laws and Policies

While Illinois statutes are clear on the required timeframe for submission of events, there is neither a state law nor an ISP policy regulating event entry. Illinois law prescribes that arresting agencies submit documentation daily to the ISP.[11] Other agencies must submit certain documents within 30 days.[12] However, state laws and the ISP's policies do not dictate how quickly submissions must be entered (keyed into the CCH data base) or posted (processed and then made available to others) after they are received.

Other States

Audit staff contacted officials in Michigan, Ohio and Pennsylvania to determine if these states had CHRI laws significantly different from those of Illinois.[13] In general, Illinois laws regarding submissions are more strict than those of the other three states. Michigan is the only state with specific guidelines for processing its submissions.

The Michigan State Police's Central Records Division is the state's central repository for CHRI. Michigan's fingerprint card is initially prepared by a local police agency and then completed at a prosecuting attorney's office. The statute governing criminal history record information requires that fingerprint cards be submitted to the central repository within 72 hours of the event, while court dispositions must be submitted immediately after the court enters the final charge disposition. No specific regulations are provided for custodial events.

---

[11] 20 ILCS 2630/0.01 et seq.

[12] See Appendix B for the complete statute citation.

[13] These states were chosen due to their comparable populations and index crime rates. For a comparison of Illinois' criminal history records information system with these other states, see *An Overview of the Illinois Criminal History Records Information (CHRI) System: Part 1 of the 1993-94 Criminal History Records Audit.* Illinois Criminal Justice Information Authority, December 1994, pp. 38-48.

Although Michigan state laws offer no time guidelines for CHRI entry into the central repository data base, an identification section policy requires that criminal fingerprints be processed within three working days after their receipt.

The Ohio Attorney General's Bureau of Criminal Identification and Investigation (the Bureau) is comparable to a state police headquarters and serves as the criminal history record repository for the state. Ohio law is very general with regard to the timeliness of CHRI. It designates the Bureau as the keeper of CHRI but does not offer time guidelines for local agency submissions or Bureau entry. The Bureau has no policies regarding the entry of CHRI submissions.

Pennsylvania statutes require that all fingerprint submissions be forwarded to the Pennsylvania State Police's Bureau of Records and Information Services within 48 hours of the arrest, while all disposition reports must be forwarded within 90 days of the disposition date. Like Illinois and Ohio, Pennsylvania has no policies regarding entry of CHRI into its criminal history records system.

Bureau of Justice Assistance

Even though Illinois statutes do not address the entry of event submissions, the U.S. Department of Justice's Bureau of Justice Assistance (BJA) developed criteria suggesting that felony offenses be entered into the automated system by the state repository within 30 days of receipt and all other events be entered within 90 days.[14] These criteria were used by audit staff to assess the timeliness of submissions received and processed by the ISP.

[14] *Guidance for the Improvement of Criminal Justice Records.* U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, December 1991, p. 11.

Methodology

To determine how quickly local agencies submit CHRI and the ISP enters and posts this information, audit staff recorded submissions arriving at the ISP during a certain period and later tracked these submissions in the CCH data base. Auditors visited the ISP on three separate three-day periods. Data were recorded in 1994 on Feb. 7, 8 and 9 (Monday — Wednesday); May 17, 18 and 19 (Tuesday — Thursday); and Aug. 24, 25 and 26 (Wednesday — Friday). A three-day period was used to capture data from agencies that do not submit information daily. Also, the periods were staggered to cover the beginning, middle and end of the month to capture data from agencies that submit only during those times.

In total, information was recorded from 13,389 submissions over nine days (see Table 1).[15] Six submission types were recorded: mailed arrests, arrests submitted via livescan, state's

Table 1
Total Events Received by Submission Type

Test Period[16]	Arrest	Livescan[17]	State's Attorney	Court	Custodial Receipt	Custodial Status Change	Total
Timeliness 1 (February)	1,498	1,400	406	531	215	437	4,487
Timeliness 2 (May)	1,399	1,449	619	340	230	209	4,246
Timeliness 3 (August)	1,547	1,648	929	201	85	246	4,656
Total	4,444	4,497	1,954	1,072	530	892	13,389

[15] See Appendix C for copies of coding forms.

[16] Throughout the remainder of this section, Timeliness 1, Timeliness 2, and Timeliness 3 are referred to as T1, T2 and T3, respectively.

[17] Livescan submissions are discussed on pp. 22 and 38-9.

attorney charge decisions, court dispositions, custodial receipts and custodial status changes.[18] Table 1 indicates the total number of events, by submission type, received for each three-day period.

Approximately three months following each three-day period, audit staff returned to the ISP to track the previously recorded submissions to determine if and/or when these submissions were entered and posted to the CCH data base (Table 2).[19]

Table 2
Timeliness Tracking Periods

Test Period	Month the ISP Received Local Agency Submissions	Month the Submissions Were Tracked in CCH
T1	February	May
T2	May	August
T3	August	November

This method allowed audit staff to determine how long it takes agencies to submit this critical information to the ISP and how long it takes the ISP to make it available to others.[20]

---

[18] The ISP also receives some dispositions via magnetic tape. However, the ISP received no tape submissions during the nine test dates.

[19] Auditors used PCNs (a nine-digit number on the state five-part arrest card form and the custodial form that uniquely identifies each event) and DCNs (a different nine-digit number on the state five-part arrest card form and the custodial form that ties events together) to obtain entry and posting dates for all recorded submissions. In October 1994 (after the first two tests had been tracked), an ISP official informed auditors that the entry date, obtained with the PCN, may be deleted from the data base once submissions have been fully processed. Consequently, submissions may not show an entry date. According to the official, the entry date could only be obtained through the time-consuming process of examining historical case files. Another ISP official suggested that audit staff immediately conduct an additional entry date tracking test on the T3 data, as well as perform the planned November test. By doing so, audit staff could compare the two sets of entry dates to determine if any events were deleted from the system between the two periods. Auditors conducted the first follow-up test October 5, 1994 through October 7, 1994. Livescan submission figures showed the only significant decrease (211 submissions; 12.8 percent of the total) between the two follow-up periods. Therefore, the actual percentage of records posted during T3 may be slightly greater than those presented in the follow-up portion of the analysis (see pp. 43-50 and Appendix D, D13-D18).

[20] Audit staff encountered a few methodological problems in tracking the timeliness data. For instance, many submissions were missing DCNs or other important information. The work of the auditors was especially complicated as the ISP had distributed about 100,000 state arrest five-part card forms with duplicate PCNs, which had been

While audit staff recognize that this analysis is only a snapshot of nine days of data and may not necessarily be representative of arrests and dispositions for the entire year, the cases still provide a very worthwhile analysis of CHRI processing.[21]

printed by mistake. Auditors determined whether each submission they tracked contained a duplicate PCN. When they were located, extra measures were taken to assign these submissions new PCNs so that they could be tracked on the CCH data base.

[21] See Appendix D for additional timeliness figures not presented in the text.

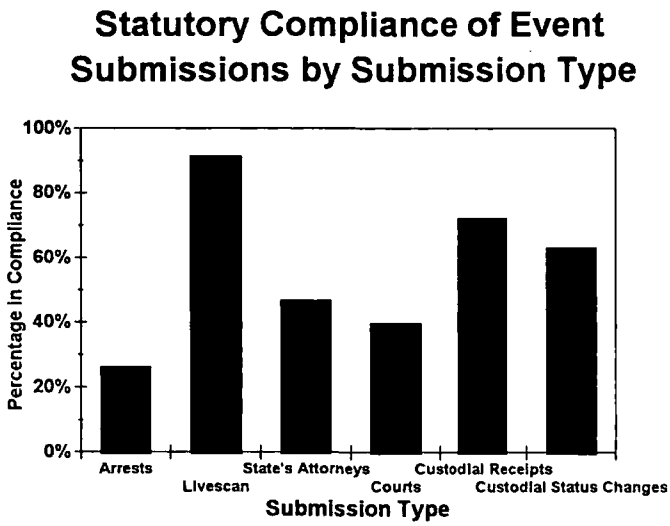
Audit Findings

Finding 1: Local agencies usually do not submit arrest, charge, disposition and corrections information in a timely manner as prescribed by Illinois statutes.

Overall Statutory Compliance by Local Agencies

Figure 1 shows that total statutory compliance by local agencies varies by submission type. Submissions that are to be sent daily (i.e., arrests) show both the best and worst compliance. Livescan submissions show the highest compliance at approximately 91 percent, while mailed arrests show the lowest overall statutory compliance, around 26 percent.

Figure 1



Even agencies that have 30 days to submit criminal history record information do not fully comply with the statutory regulations. Seventy-two percent of the custodial receipts sent by jails or prisons arrived within a month. Sixty percent of custodial status changes arrived in time to be considered in compliance with Illinois statutes, as did 47 percent of all state's attorney dispositions, and 40 percent of all court dispositions.

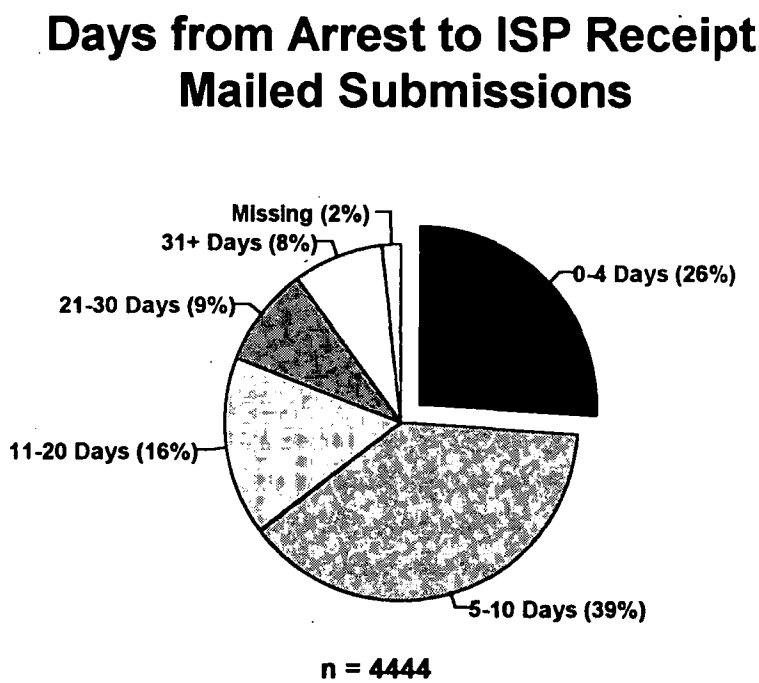
The next section examines each of these submission types in more detail.

Arrest Submissions Received by Mail

As previously noted, police agencies are required by statute to submit daily arrest information to the ISP. To determine the overall timeliness of local police agency submissions, audit staff compared the arrest date to the date the submission arrived at the ISP. To accommodate those agencies submitting by mail, audit staff considered any submission within four days to be in compliance. Even with this extension, audit staff found that only one of every four police agency submissions arrived on time.

Figure 2 indicates the timeliness of all mailed arrests received during the nine days.[22]

Figure 2



[22] Due to rounding, percentages in figures throughout the report may not total 100 percent.

Of the 4,444 mailed arrests received during the nine-day test period, only 26 percent were received within four days of the arrest, the time allowed for report completion and mail delivery. Another 39 percent were received between 5 and 10 days later. Therefore, in total, 65 percent arrived at the ISP within 10 days after the arrest. Eighty-one percent arrived within 20 days. Eight percent (368 of 4,444) arrived more than one month after the arrest. Audit staff discovered a murder arrest that was not received until more than seven months after the arrest. Two percent of the arrest submissions were missing the arrest date.[23]

Even though most agencies do not meet statutory requirements, the Illinois data compare favorably to other states. A recent survey conducted by the Bureau of Justice Statistics indicates most states receive arrests in an average of 15 days, with receipt ranging from one day to 30 days or more.[24] In comparison, the ISP received mailed arrests in an average of 12.4 days.

Livescan Submissions

Some agencies electronically submit arrest data to the ISP. Livescan, or direct electronic fingerprinting, allows agencies to submit arrest information without mailing arrest cards to the ISP. Information should be transmitted within 24 hours. Audit staff considered any submission received within two days of the arrest to be in statutory compliance as some arrests could be made on one day but not transmitted until the next day.

Figure 3, p. 39, shows the overall timeliness of livescan submissions. Of the 4,497 livescan arrests that arrived over the nine days, 91 percent were received within two days of the arrest; 97 percent arrived within three days. Auditors discovered six livescan arrests that

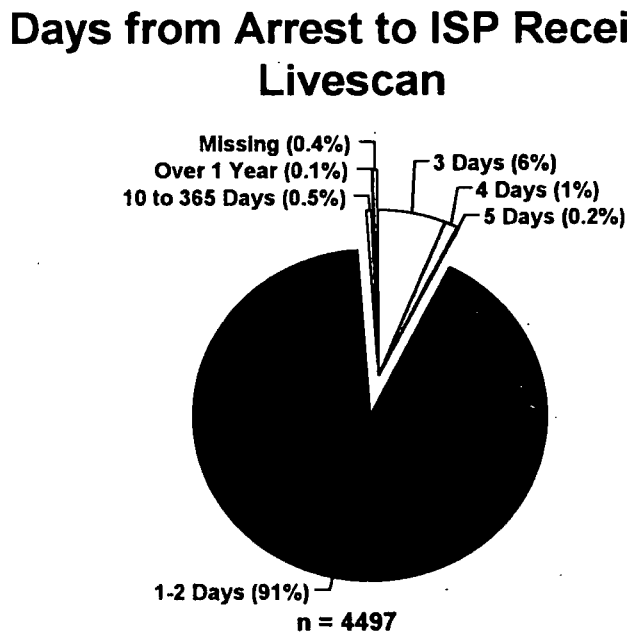
---

[23] Without the arrest date, audit staff were unable to calculate the time between arrest and submission receipt.

[24] *Survey of Criminal History Information Systems, 1993.* U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, January 1995, p. 9.

arrived more than one year after the arrest.[25] Additionally, 18 submissions could not be analyzed as they were missing the date of arrest.

Figure 3



As previously noted, Illinois statutes require state's attorney dispositions, as well as court dispositions, custodial receipts and custodial status changes, to be sent to the ISP within 30 days of the event date.[26] To determine submission timeliness, audit staff compared the disposition date to the date the submission was received by the ISP. The next sections discuss how well agencies met this requirement.

---

[25] It appears the dates of arrest for all six arrests were incorrectly entered on the submission. The month and day of the arrest were the same as the receipt but the year of arrest was one less than the year of receipt. However, because the incorrect arrest dates were entered onto the CCH data base, the timeliness analysis reflected these dates as well.

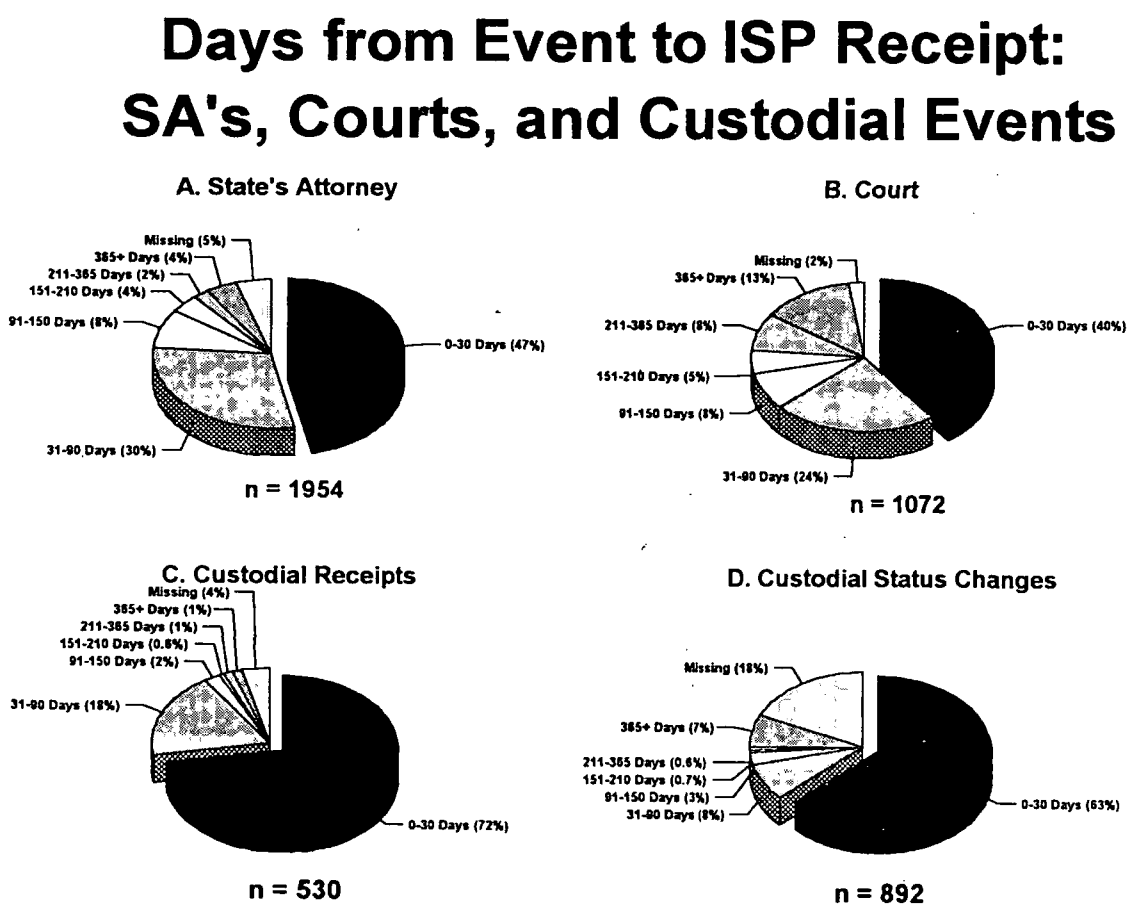
[26] Audit staff also analyzed state's attorney, court and custodial data using a range of 0-34 days (four days were added to allow for mail time). The data were compared to that conducted in a range of 0-30 days. The difference was minimal. Therefore, all data is presented in the range of 0-30 days.

State's Attorney Charge Submissions

Forty-seven percent of the 1,954 state's attorney dispositions received by the ISP arrived within 30 days of the disposition date (Figure 4A, below).[27] The majority (77 percent) of the dispositions were received by the ISP within 90 days. Four percent (85 dispositions) arrived more than one year after the charge was filed. An armed robbery disposition was received eight months after the event. Five percent (94 dispositions) were missing the disposition date and could not be analyzed.

On average, the ISP received state's attorney charge information in 83.8 days. Audit staff could locate no comparable figures from other states.

Figure 4



[27] The ISP received several illegible computer-printed disposition forms from one state's attorneys office. ISP officials contacted the agency to request better copies. These dispositions were not included in the analysis.

Court Disposition Submissions

Forty percent of the 1,072 court dispositions arrived at the ISP within 30 days of the disposition date (See Figure 4B, p. 40).[28] Sixty-four percent were received within 90 days and 72 percent within 150 days. Thirteen percent (141 of 1,072) of all the court dispositions arrived more than one year after the case was completed. In the most serious case of an untimely court submission, the ISP received a murder disposition nearly five years after the disposition date. Two percent (24 dispositions) were missing the disposition date and could not be analyzed.

Even though most court dispositions were received within 90 days of the disposition date, data from two days (May 18, 1994, and May 19, 1994) indicate that most dispositions on those days were received 150 days or more after the disposition date.

Compared to other states, the ISP receives court dispositions in a less timely manner. On average, state repositories receive court dispositions in 39 days, with most arriving between 20 and 60 days.[29] The ISP received court dispositions in an average of 139.7 days, 100 days above the national average.

Custodial Receipt Submissions

Both custodial receipts and custodial status changes were received by the ISP in a more timely manner than either state's attorney or court dispositions. Figure 4C (p. 40) shows that 72 percent of the 530 custodial receipts arrived at the ISP within 30 days of the fingerprint date.[30] Ninety percent arrived within 90 days; 92 percent within 150 days. However, most custodial receipts received by the ISP on May 19, 1994, were received more than 150 days after the inmate was fingerprinted. One percent (7 of 530 receipts) of the total

---

[28] The ISP received no court dispositions from local agencies on either Feb. 8 or May 17, 1994.

[29] *Survey of Criminal History Information Systems, 1993.* U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, January 1995, p. 2.

[30] The ISP received no custodial receipts on February 8, 1994.

were received more than one year after the inmate's receipt; one receipt was more than two-and-a-half years late. Eleven custodial receipts were missing the fingerprint date and, therefore, could not be analyzed.

During 1993, most other states received their correctional information within 30 days or less, with the average being 22 days.[31] The average for Illinois was 44.8 days, more than twice the national average.

Custodial Status Change Submissions

A custodial status change is a notice indicating that an offender's situation within the correctional system has been altered. For example, institutions should send status changes to the ISP when the inmate dies, escapes, or is executed or pardoned. The most important custodial status change, however, is a discharge from jail or the IDOC.[32] The analysis indicates that 63 percent of the 892 custodial status changes that were tracked arrived at the ISP within 30 days of the custodial status change date (Figure 4D, p. 40). Seventy-one percent arrived within 90 days and 74 percent arrived within 150 days. Auditors discovered a custodial discharge sent by a rural county that occurred on Sept. 10, 1987, but was not received by the ISP until Feb. 7, 1994, almost six-and-a-half years later. In addition, 70 percent of those submissions received by the ISP on Feb. 8, 1994, were received more than one year after the status change date. On average, custodial status changes arrived 110.6 days after the event.[33]

Furthermore, 162 submissions were lacking a status change date, which is considered a fatal error. Submissions cannot be posted to the CCH data base with these types of omissions. The policy of the ISP is to return such submissions to the institution for correction. Data from

---

[31] *Survey of Criminal History Information Systems, 1993.* U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, January 1995, p. 9.

[32] For more information on custodial status changes, see *An Overview of the Illinois Criminal History Records Information (CHRI) System: Part I of the 1993-94 Criminal History Records Audit.* Illinois Criminal Justice Information Authority, December 1994, pp. 12-13.

[33] Comparable national figures are unavailable.

May 17 and Aug. 24 show that almost half of the custodial status change data were missing custodial status change dates.

Statutory Noncompliance

Audit staff discovered several agencies that did not send any information to the ISP until recently. These agencies included four police departments (one each from Cook County and the collar counties, and two from urban counties) and one rural county jail. One of those same urban police departments was unaware of the need to forward any information to the state's attorney's office. Although these agencies are relatively small (ranging in size from six to 20 officers) and have low crime index rates, they are not in statutory compliance and the information they send could be used by other agencies. Obviously, the CHRI system cannot be truly effective unless all agencies, regardless of size, submit timely, complete and accurate information.

Finding 2: The ISP processes most arrest, charge, disposition and custodial information in a timely manner. However, there is room for improvement.

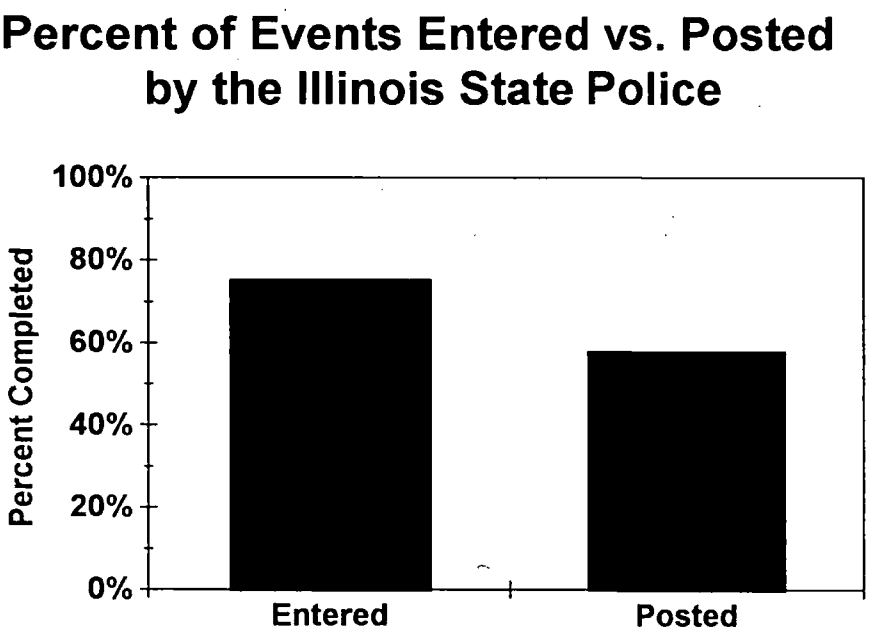
As noted earlier, Illinois statutes mandate that local agencies submit criminal history record information to the ISP within a certain timeframe. However, Illinois statutes do not address the timeframe within which data must be entered once it is received. The ISP also has no policies regulating data entry timeliness. However, BJA criteria suggest that felony offenses be entered by the state repository within 30 days of receipt and all other events be entered within 90 days. To determine the ISP's overall timeliness in processing arrest submissions, audit staff compared the date the ISP received the submission to the dates the ISP entered and posted them.

Overall Compliance by the ISP

Figure 5 shows the percentage of events that were entered on, and posted (officially added) to, the CCH data base approximately 90 days after the ISP received them. Of the total 13,389 submissions received, about 75 percent (10,054 submissions) were entered and about 58 percent (7,777 submissions) were posted to the CCH data base. These figures indicate that

the ISP does not meet the more lenient BJA criteria, which suggests that all submissions be entered within 90 days of the event. (How well the ISP meets BJA's criteria for entering misdemeanor versus felony submissions is on pp. 50-55).

Figure 5



Since October 1992, the ISP has relied on an outside vendor to enter information from mailed arrests and state's attorney submissions.[34] An ISP official reported that over 10 weeks, which included the last timeliness tracking period, the ISP was without data entry services. During that time, 40,263 submissions, including arrests and state's attorney dispositions, were waiting to be entered. The ISP officials attribute some of the low arrest and state's attorney timeliness figures to this problem. However, entry of court submissions remains the more

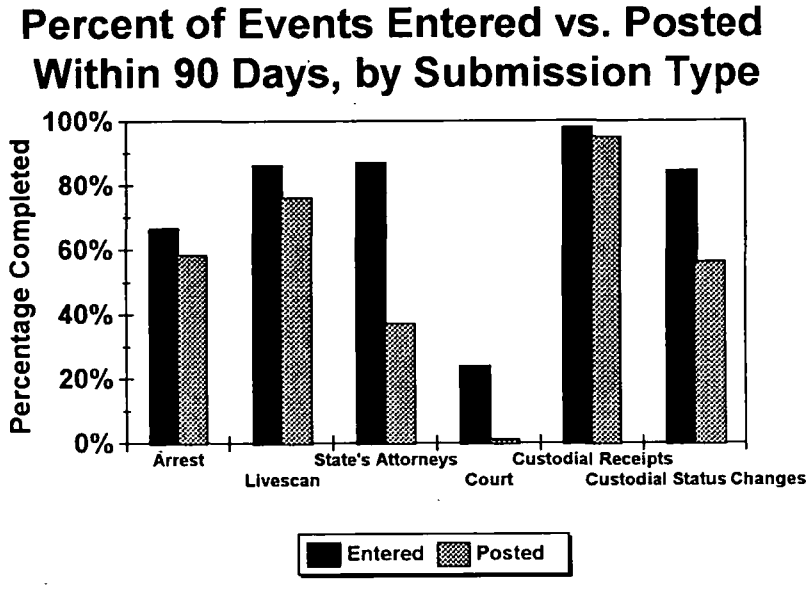
[34] The vendor picks up the mailed submissions once a week at the ISP and then dual-enters the information onto magnetic tape. The tape is then delivered to the data processing center in Springfield, and the paper copies are given back to the ISP. ISP staff begin processing documents by entering the PCNs from the paper submissions into the system after the data processing unit uploads the magnetic tape. Due to insufficient funds, at the time of the audit, the ISP sent only mailed arrests and state's attorney dispositions to the vendor. It now sends mailed arrests and state's attorney and court dispositions.

serious problem even though they are entered directly by the ISP.

Arrest Submissions Received by Mail

Of the total 4,444 mailed arrest submissions received by the ISP during the nine days, 67 percent (2,959 arrests) were entered and 58 percent (2,583 arrests) were posted to the CCH data base within 90 days (Figure 6). For comparison purposes, other states typically enter

Figure 6

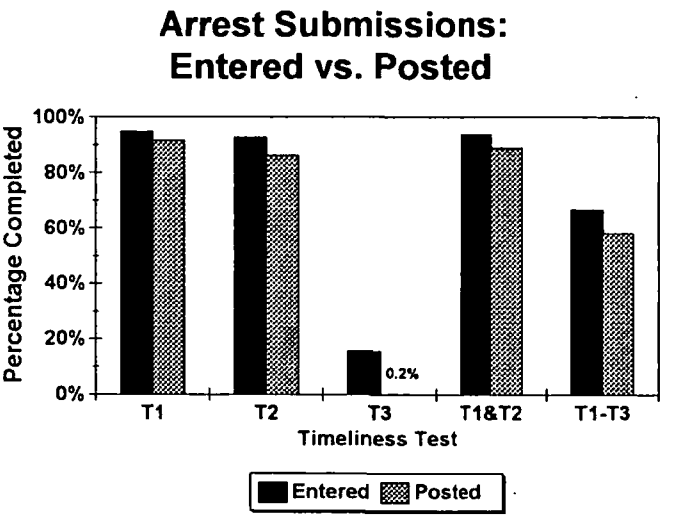


arrest data in 10 days or less.[35] These percentages can be attributed to the figures from T3, the period when the ISP was without a vendor. During the third test, 1,547 submissions were received. Of those submissions, only 16 percent (242 submissions) were entered, while less than 1 percent (three submissions) were posted (Figure 7, p. 46). Sixty-six of the submissions were felony arrests, while the three that were posted were misdemeanors. However, during T1 and T2, the ISP entered about 93 percent and posted about 86 percent of all mailed arrests.

---

[35] *Survey of Criminal History Information Systems, 1993.* U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, January 1995, p. 9.

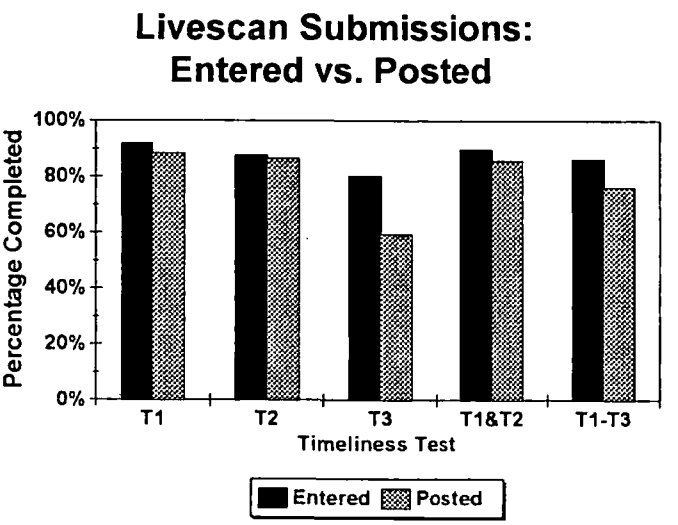
Figure 7



Livescan Submissions

While the ISP entered approximately 86 percent (3,873 submissions) of the total 4,497 livescan submissions, it posted 76 percent (3,420 submissions) to the CCH data base (Figure 6, p. 45). The lowest posting percentage occurred in T3, when 59 percent (977 of 1,648) of the submissions were posted (Figure 8). This means that 671 livescan arrests tracked during T3 were posted 90 days or more after they were submitted.

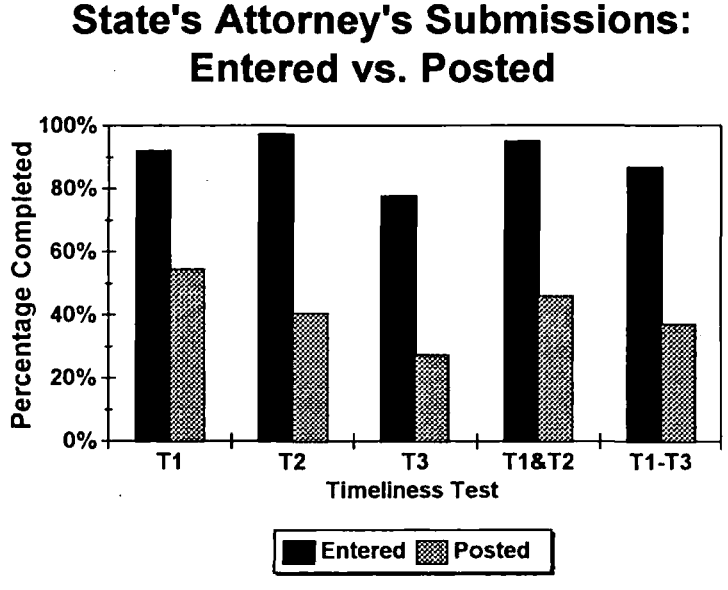
Figure 8



State's Attorney Disposition Submissions

Of the 1,954 state's attorney dispositions received, 87 percent (1,696 submissions) were entered, while 37 percent (724 submissions) were posted to the CCH data base (Figure 6, p. 45). Once again, the lowest percentages were found in T3, where 78 percent of 929 submissions were entered, while only 27 percent (253 submissions) were posted to the system (Figure 9). T1 and T2 posting percentages were also low at 54 percent and 40 percent, respectively. In total, more than 1,200 state's attorney dispositions (63 percent) from all timeliness tests were not posted after 90 days and were, therefore, unavailable to criminal justice practitioners. However, a large percentage of these submissions were either not postable or were placed in a pending file as there was no preceding arrest to which the submissions could be attached (see Table 5, p. 57).

Figure 9

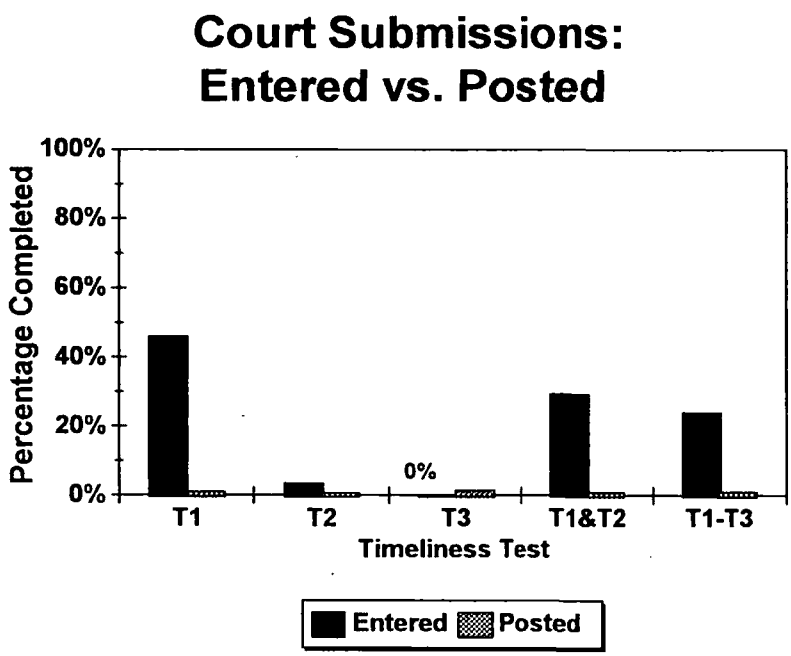


Court Disposition Submissions

Court dispositions showed the lowest entry and posting percentages of all submission types (Figure 6, p. 45). The ISP entered 24 percent (256 submissions) of the total 1,072 court submissions received and posted less than 1 percent (10 submissions). During one timeliness

test (T3), audit staff found none of 201 court dispositions were entered after 90 days (Figure 10). In another period (T2), 2 of 340 submissions had been posted after 90 days. In sum, auditors found more than 1,000 court dispositions (99 percent of the total) that were not posted after 90 days.

Figure 10



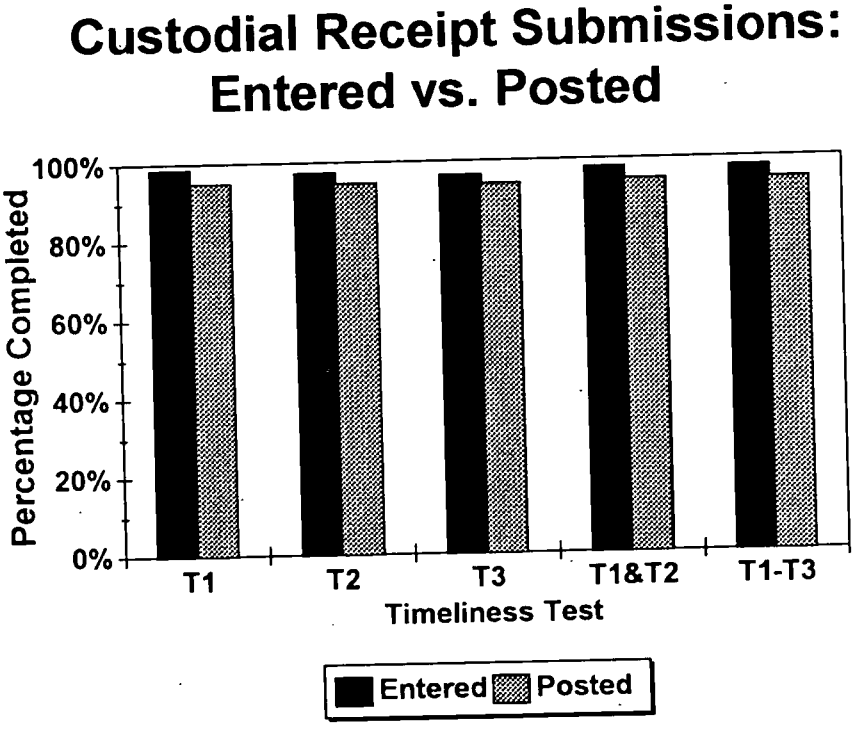
Illinois also did not compare favorably with other states in regard to court submission data. All states average 41 days between receipt of final court dispositions and entry, while the majority of state repositories enter court data within 10 days or less.[36]

[36] *Survey of Criminal History Information Systems, 1993.* U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, January 1995, p. 2.

Custodial Receipt Submissions

Custodial receipts showed the highest overall percentages of all submission types (Figure 6, p. 45). Of 530 submissions, 98 percent (518 submissions) were entered and 95 percent (502 submissions) were posted to the CCH data base after 90 days. T3 had the lowest entry and posting percentages at 96 percent and 94 percent, respectively (Figure 11). This means that 28 custodial receipts had not been posted after 90 days. All but three state jurisdictions typically enter their correctional information within 30 days or less.[37]

Figure 11

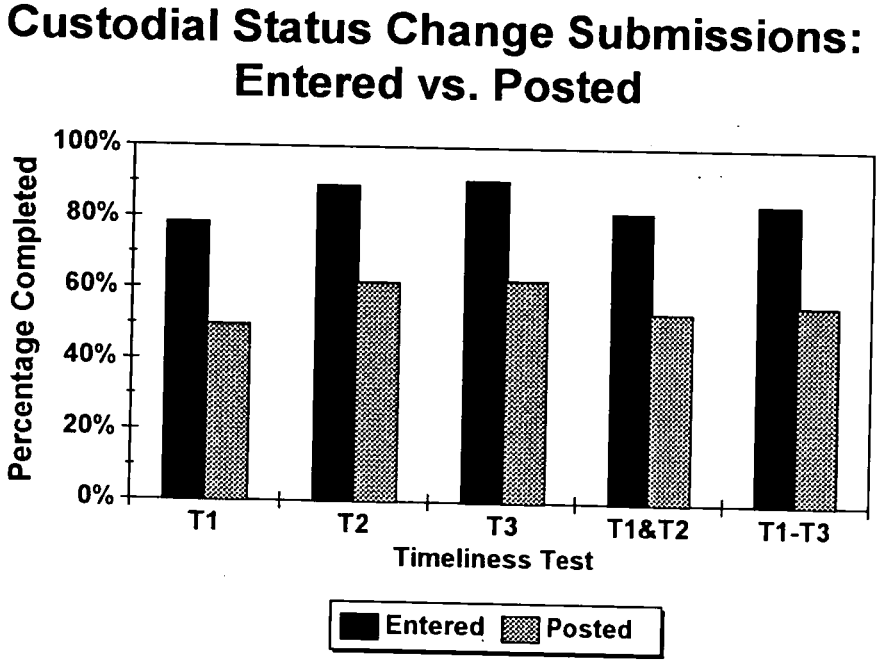


[37] *Survey of Criminal History Information Systems, 1993.* U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, January 1995, p. 10.

Custodial Status Change Submissions

Of the total 892 custodial status changes received at the ISP during the nine test days, 84 percent (752 submissions) were entered, while 56 percent (500 submissions) were posted to the CCH data base (Figure 6, p. 45). T1 had the lowest entry and posting percentages at 78 percent and 50 percent, respectively (Figure 12). In total, 392 custodial status changes were not posted after 90 days and were unavailable to criminal justice practitioners.

Figure 12



Misdemeanor Versus Felony Arrests - Entry to CCH

Auditors analyzed the entry and posting date of felony and misdemeanor arrests that were mailed to determine if serious offenses were processed in a more timely manner than others.[38] Of the 4,444 arrests that were coded, 2,959 were entered while 1,485 were not (Table 3A, p. 51). Total entered arrests included 1,407 misdemeanors, 698 felonies and 854 arrests that were missing an offense class. Additionally, 724 misdemeanors, 284 felonies and 477 submissions missing an offense class were not entered into the CCH data base.

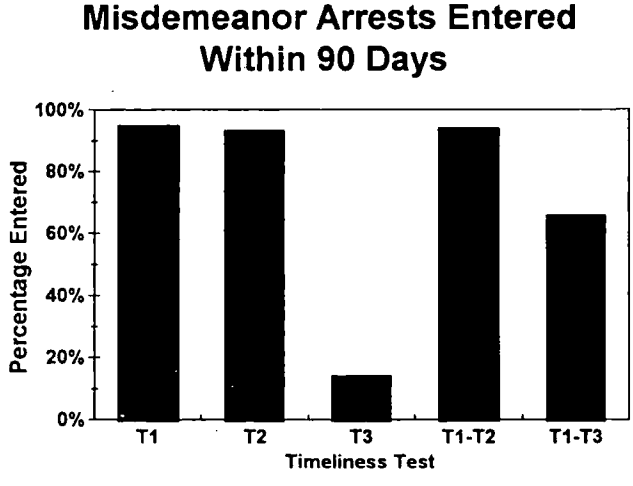
[38] Auditors only analyzed mailed arrest data because other submission types seldom noted the offense class.

Table 3A
Arrest Submissions Entered by Offense Class

Submission Status	Misdemeanor	Felony	No Offense Class Listed	Total
Entered	1,407	698	854	2,959
Not Entered	724	284	477	1,485
Total	2,131	982	1,331	4,444

The overall percentage of misdemeanor offenses entered within 90 days was 66 percent (Figure 13).[39] However, almost all of this low percentage can be attributed to problems that occurred with the vendor during T3. During that time, only 14 percent (105 of 748) of the submissions were entered within 90 days. Therefore, the low numbers probably misrepresent how the ISP usually enters data; Figure 13, in fact, shows that the percentage of misdemeanors entered within 90 days, excluding T3 data, is 94 percent.

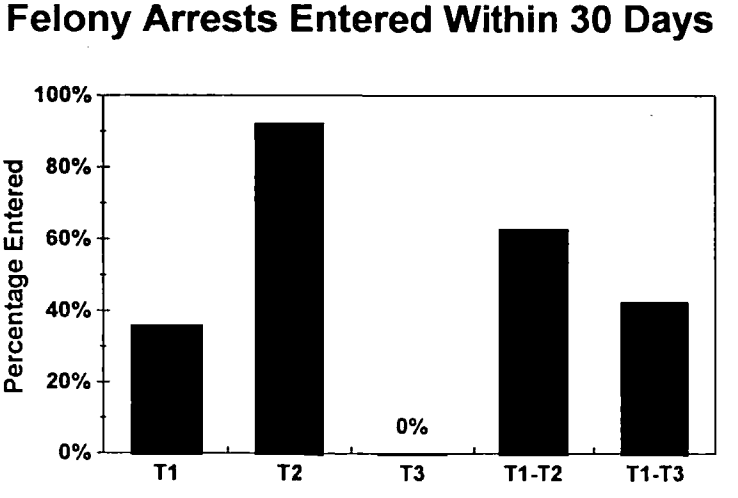
Figure 13



[39] Because the ISP has no timeframe policy regarding data entry, auditors used BJA criteria for this analysis. See Laws, Policies and Other Criteria on p. 31.

The overall percentage of felony arrests entered within 30 days (BJA's suggested standard) was 41 percent (Figure 14). During T1, auditors found that 36 percent (123 of 344 submissions) of the felony arrests were entered within 30 days. None of the 319 felonies tracked in T3 were entered within 30 days. Even excluding T3 data, the percentage of felony arrests entered within 30 days was 61 percent, an indication that felonies are not prioritized during the entering process. Even though there are typically fewer felonies than misdemeanors, a greater percentage of misdemeanors were entered during the first two timeliness tests.

Figure 14



Misdemeanor Versus Felony Arrests - Posting to CCH

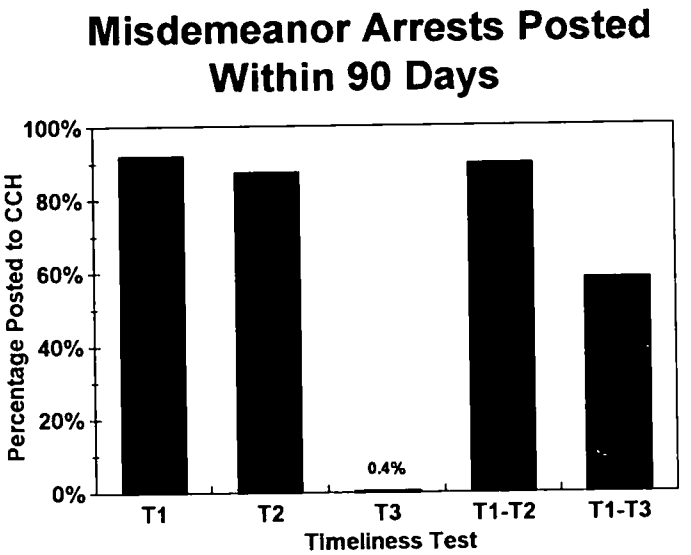
Of the 4,444 total arrests, 2,583 submissions (58 percent) were posted to the CCH data base while 1,861 (42 percent) were missing a posting date (Table 3B, p. 53). Of the 2,583 total posted arrests, there were 1,246 misdemeanors (48 percent), 608 felonies (24 percent) and 729 (28 percent) that were missing an offense class. Additionally, of 1,861 submissions not posted, there were 885 misdemeanors (48 percent), 374 felonies (20 percent), and 602 (32 percent) missing an offense class. The overall percentage of misdemeanors posted within 90 days was 58 percent (Figure 15 p. 53). Low percentages can again be attributed to problems

Table 3B
Arrest Submissions Posted by Offense Class

Submission Status	Misdemeanor	Felony	No Offense Class Listed	Total
Posted	1,246	608	729	2,583
Not Posted	885	374	602	1,861
Total	2,131	982	1,331	4,444

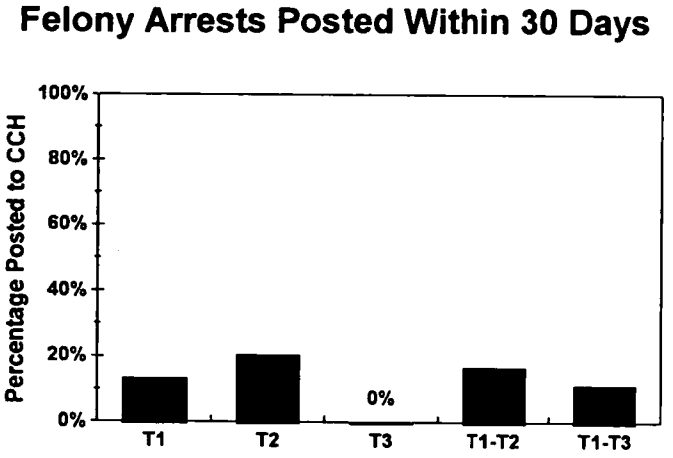
during T3, when only three of the 748 misdemeanor arrests were posted within 90 days. When T3 is excluded, however, the total jumps to 90 percent.

Figure 15



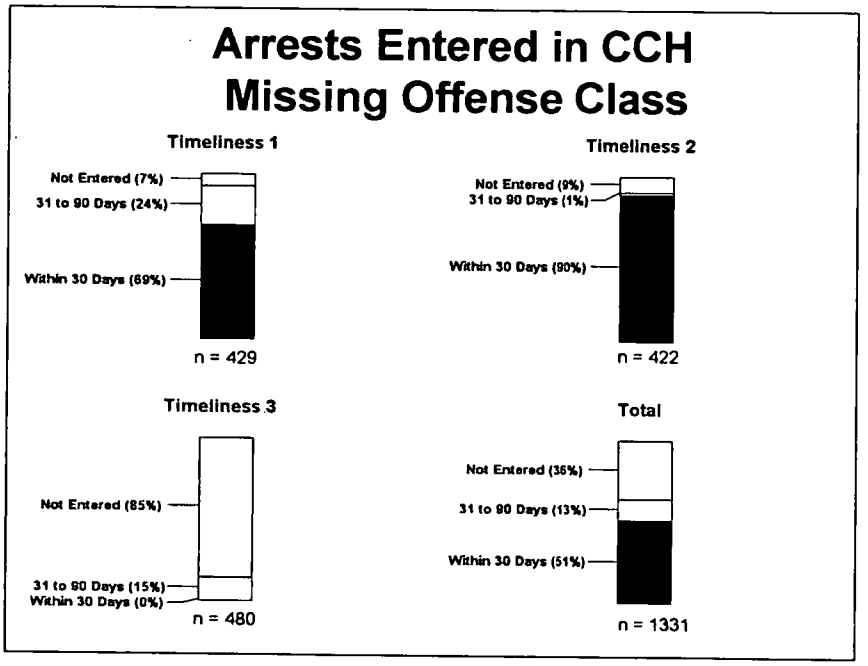
Of the 608 total posted felonies, 11 percent were posted within 30 days (Figure 16, p. 54). T3 data showed that none of the 319 felonies were posted within 30 days. Excluding T3 data, the posting percentage is still low at only 16 percent. Figures 15 and 16 indicate that serious offenses are not prioritized during the posting process.

Figure 16



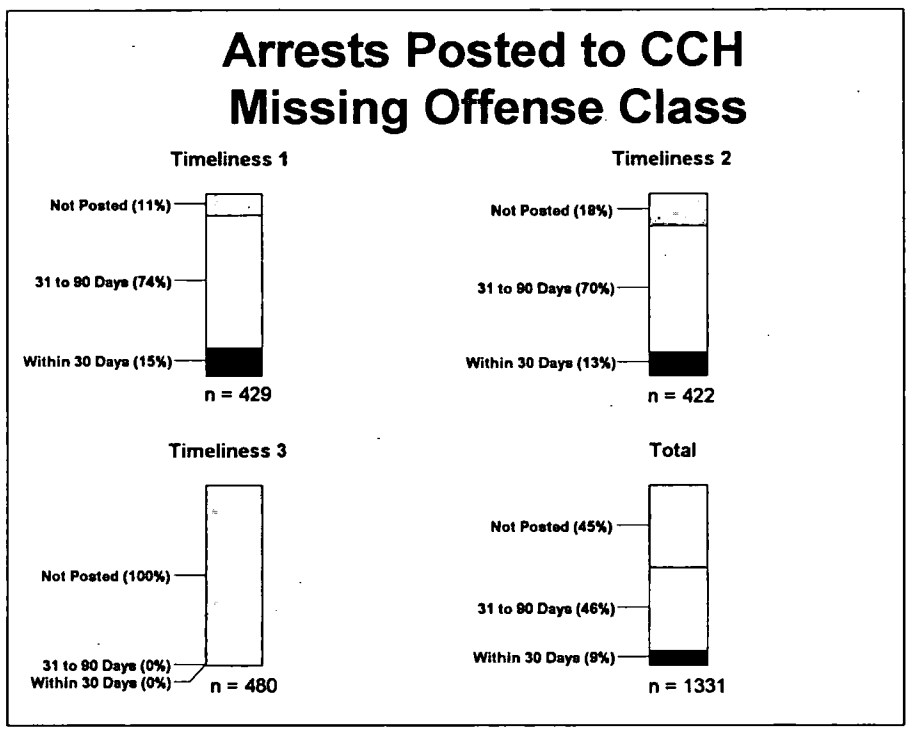
Of 1,331 arrests missing an offense class, 854 were entered within 90 days (Table 3A, p. 51). Since these arrests had no offense class, auditors could not categorize them as misdemeanors or felonies. Of these, 51 percent (676 submissions) were entered within 30 days; another 13 percent (178 submissions) were entered within 90 days (Figure 17). Thirty-

Figure 17



six percent (477 submissions) were not entered. Almost half of the arrests missing an offense class did not get posted to the data base (Figure 18). Of the 1,331 arrests, 9 percent (118 submissions) were posted within 30 days; another 46 percent (611 submissions) within 90 days. Forty-five percent (602 submissions) were not posted. Few arrests from T3 were entered and none were posted.

Figure 18



Submissions with Fatal Errors

Data from the timeliness tests indicate that not all local agencies are fully and accurately completing the state five-part arrest card form. While the ISP does not consider all categories mandatory (or fatal if not completed), some fatal errors fields are consistently omitted. If this data is omitted from the submitted event, the ISP will not post the event and will typically send it back to the agency for correction. Table 4, p. 56, shows how fatal error fields differ by submission type.

Table 4
Fatal Error Fields by Submission Type

Submission Type	Document Control Number	Originating Agency Identifier	Name	Date of Birth	Statute Citation	Finger-prints	NCIC Number	Status Code
Arrest	✓	✓	✓	✓	✓	✓		
State's Attorney	✓	✓			✓			
Court	✓				✓		✓	
Custodial Receipt	✓	✓	✓	✓		✓		
Custodial Status Change	✓	✓						✓

In addition, agencies do not always complete nonfatal error fields. Information lacking on the state five-part arrest card form affects the complete representation of that record on the CCH data base. Events lacking critical information can slow down the system considerably as ISP staff must correct errors themselves or return submissions to the agencies for correction. Submissions that are not returned to agencies may get posted to the CCH data base with incomplete information. Therefore, it is critical that agencies complete all requested categories, specifically fatal error fields, on the state five-part arrest card form.

The ISP has almost completed a training manual. The manual should alleviate many of the problems regarding incomplete and inaccurate submissions.

The ISP Response

After completing their analysis, audit staff provided the ISP a list of all unposted submissions. The ISP agreed to track these submissions to determine their current status. The ISP submitted their response to audit staff for T1 and T2 on Feb. 10, 1995, and for T3 on May 5, 1995. Table 5 identifies what happened to each submission.

Table 5
Location of Unposted Submissions, by Submission Type

Location	Arrests	Livescan[40]	State's Attorney	Court	Custodial Receipt	Custodial Status Change	Total
Posted	1,406	504	37	2	17	296	2,262
Not Postable[41]	268	370	189	236	2	17	1,082
In Process	70	1	3	0	0	0	74
Not Entered	1	0	0	811	0	0	812
Pending	0	0	826	0	0	19	845
Program Error	0	92	0	0	0	0	92
Unknown	116	110	175	13	9	60	483
Total	1,861	1,077	1,230	1,062	28	392	5,650

Table 5 indicates that 2,262 of 5,650 submissions (40 percent) that were not posted during the audit tracking period were later posted to the CCH data base; 1,082 (19.2 percent) could not be posted due to some error in the submission such as an invalid citation or because an agency had submitted a traffic citation or local ordinance (both nonreportable events); and

[40] According to an ISP official, several livescan submissions were invalid because they contained parentheses in the statute citation field. Therefore, they could not be posted. However, upon investigation, audit staff found some submissions that had been posted even though they contained parentheses. An ISP official explained that a programming change had been made that did not allow parentheses. Based on this information, the program was changed to accept parentheses in the statute citation field.

[41] This category includes duplicate PCNs, fatal errors, invalid citations, local ordinances, missing citations, traffic charges, wrong DCNs and other problems. See Appendix E for a table listing the number of cases in each category.

another 845 (15.0 percent) were placed into a pending file, indicating the ISP was unable to post the disposition until it received a corresponding arrest submission. Finally, 483 submissions (8.5 percent) could not be located during this second tracking phase.

Mailed arrests constituted the category with the greatest number of unposted submissions. In total, 1,861 (32.6 percent) arrests were not posted during the three timeliness tests. However, most (1,406, or 75.6 percent) were later located and posted. In addition, 268 (14.4 percent) could not be posted. The ISP could not explain why 116 submissions (6 percent) were not posted to the CCH data base.

Livescan arrests comprised 18.9 percent of all unposted submissions. Of these, nearly half (504, or 46.8 percent) were posted by the time the ISP conducted its analysis. Another 370 (34.3 percent) could not be posted due to submission problems. The ISP was unable to explain why 110 submissions (10 percent) were not posted to the CCH data base.

There were 1,230 state's attorney submissions that were not posted after 90 days, which made up 21.6 percent of all submissions not posted. Only 37 submissions (3.4 percent) were later located on the CCH data base. In addition, 826 (67.2 percent of the total) could not be posted and were placed into a pending file. Another 189 (15.3 percent) contained a submission problem. However, the ISP could not determine the status of 175 submissions (14.2 percent).

There were also 1,062 unposted court dispositions, which constituted 18.6 percent of all unposted submissions. Only two were later located on the system. However, more than three-fourths (811, or 76.4 percent) were still awaiting entry. Another 236 (22.2 percent) could not be posted due to a submission error, and 13 (1.2 percent) could not be located.

Only 28 custodial receipts were not posted. Seventeen (60.7 percent) were later located, while nine (32.1 percent) could not be found.

Finally, 392 custodial status changes were not posted (6.9 percent of the total) during the audit tracking period. Most (296, or 75.5 percent) were later posted to the data base. Sixty (15.3 percent) could not be located.

Current Record Status

Table 6 lists the location of all records as of May 1995. Of the 13,389 records received and tracked, 74.6 percent were posted and 0.6 percent were in process. About 10 percent were either not entered (812 records, or 6.1 percent), or their location was unknown (483 records, or 3.6 percent). In addition, 8.1 percent could not be posted because of duplicate PCNs, fatal errors or the like, and 0.7 percent could not be posted because of a programming error. Finally, 6.3 percent of all records tracked were placed in a pending file awaiting the arrival of the arrest to which submissions could be attached.

Table 6
Summary of All Submissions Posted in May 1995, by Submission Type

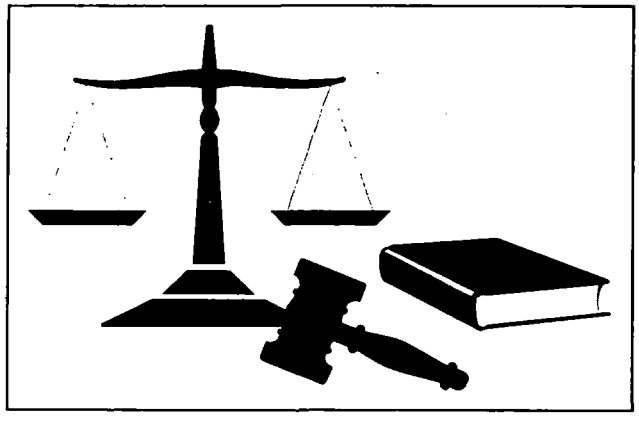
Location	Arrests	Livescan	State's Attorney	Court	Custodial Receipt	Custodial Status Change	Total	Percent of Total
Posted	3,989	3,924	761	12	519	796	10,001	74.6%
Not Postable	268	370	189	236	2	17	1,082	8.1
In Process	70	1	3	0	0	0	74	0.6
Not Entered	1	0	0	811	0	0	812	6.1
Pending	0	0	826	0	0	19	845	6.3
Program Error	0	92	0	0	0	0	92	0.7
Unknown	116	110	175	13	9	60	483	3.6
Total	4,444	4,497	1,954	1,072	530	892	13,389	100.0

Recommendations

1) The Authority recommends that the ISP provide comprehensive training and sufficient guidelines to all criminal justice personnel who provide submissions to the ISP to ensure the timely submission of all reportable events. The ISP may even consider a CHRI training certification program to ensure proper training of all officials who handle or submit CHRI.

2) The Authority recommends that the ISP develop a strong policy regarding the timeliness of event entry to the CCH data base. The BJA standards could be used as a guide regarding the timeliness of event entry. Submissions could also be date-stamped when they arrive at the ISP to help enforce such a policy.

3) The Authority encourages the ISP to preserve the date of event entry for every event. This will allow auditors or others to more easily follow the chain of criminal history record events.



SECTION 3

COMPLETENESS AND ACCURACY OF CRIMINAL HISTORY RECORDS: REVERSE AUDIT

Introduction

The completeness and accuracy of CCH records is extremely important, as many criminal justice agencies rely on CCH data to investigate crimes and sentence offenders, among other things. While past audits assessed the completeness and accuracy of CHRI by auditing records already entered into the CCH data base, the current one also measured whether existing, local-level CHRI actually was reported to the ISP and entered into its CCH data base. Audit staff compared local agencies' original source documents (OSDs) to the state five-part arrest card form, and the state form to the CCH data base, to assess the accuracy of records posted on the CCH data base. This procedure, known as *reverse auditing*, tested the overall completeness and accuracy of Illinois' CHRI.

During the reverse audit, staff analyzed the completeness and accuracy of CHRI arrest submissions, which are taken through many steps before they are posted to the CCH data base. For example, agencies usually document information about the offender on their own reporting forms and then transfer this information to the state five-part arrest card form. Some enter information directly on the state five-part arrest card form without use of an OSD. In either case, the state form is then sent to the ISP, which enters and posts (making it available to others on the CCH data base) the information to the CCH data base. Once the information is posted there, it becomes part of the offender's rap sheet and is available to others. Since more than one step is involved, there are opportunities for problems and errors. Audit staff analyzed this process to determine what types of problems occur.

Methodology

Audit staff began with source documents from local criminal justice agencies. Due to the volume of documents generated by these agencies, as well as staff, time, and budgetary constraints, a random sample was taken from each of four types of criminal justice agencies responsible for reporting CHRI to the ISP: police departments, state's attorneys, circuit court clerks and custodial institutions. The sample was drawn from the records of the state's 986

municipal police and county sheriff's departments, 102 state's attorneys' offices, 102 clerks of the circuit courts, and 93 county jails, plus the IDOC.

Based on a 5 percent random sample, a total of 65 local agencies were selected, including 49 police departments, five state's attorneys, five clerks of the circuit court, five jails and the IDOC.[42] To draw a representative sample, the state was divided into four regions: Cook County, collar, rural and urban counties.[43] Police agencies were selected according to the percentage of submissions that each region (Cook, collar, rural and urban) contributed to the CHRI system in 1992. The five state's attorneys' offices included Cook County, two collar counties, one rural county and one urban county.[44] The five circuit court clerks' offices and five jails were chosen in the same manner. The police department analysis is separated from that of the nonpolice departments.

Part 1: Police Departments

Letters that described the audit process and the importance of local agency participation were mailed to all sampled agencies on March 11, 1994. Agencies were asked to provide copies of their OSDs and the corresponding state five-part arrest card forms (see Introduction, p. 14, for a copy of this form) for all reportable arrests their agencies generated during the month of April in 1989, 1990, 1991, 1992 and 1993.

Agency OSDs varied greatly. Some agencies had no standard form for information and relied on officers' field notes, while others used OSDs that were very similar to the state five-part arrest card form. Many agencies even considered the state form their OSD and, therefore, only sent copies of the form for the requested arrests.

---

[42] To maintain agency anonymity, each agency was assigned a unique identification number.

[43] See Appendix F for definitions of these regions. For sampling purposes, collar does not include Cook County, and urban does not include either Cook or collar counties.

[44] While Cook County was selected in each sample, other counties were randomly selected according to region (collar, rural, and urban).

In total, 47 police departments complied with the records request.[45] Following is the geographic representation of those agencies:

- Cook: 31
- collar: 5
- rural: 5
- urban: 6

Auditors personally visited and assisted 12 agencies that lacked enough personnel to collect the requested information. Some agencies required only a minimal amount of staff time to retrieve the documents (for example, to pick them up), while others required substantially more. In fact, it took three auditors four days to obtain the necessary information from one urban agency. Although some agencies needed assistance, most simply copied and mailed the documents to the Authority. Phone contact was maintained with all agencies to ensure records would be forthcoming.

Audit Coding Process

For each reportable arrest, audit staff analyzed the number and types of errors between the OSD and the corresponding state five-part arrest card form and, subsequently, between the state form (or the OSD when the state form was not available) and information on the CCH data base. Auditors analyzed each record for accuracy, completeness and legibility. They also noted missing information.

Form 1: Comparing the OSD to the State Five-part Arrest Card Form

Data were coded on two audit data collection forms. The first form (Form 1, pp. 65-66) was modeled after one suggested by the Bureau of Justice Statistics.[46] Form 1 was used to compare information from the OSD to the state five-part arrest card form for every reportable arrest. When the OSD was completed by agencies before or at the same time as the state five-

[45] Police departments unable to comply with the request or that had no arrests during the requested period were replaced. Records were accepted until Jan. 30, 1995.

[46] *Assessing Completeness and Accuracy of Criminal History Record Systems: An Audit Guide*. U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, January 1992, p. 27.

AGID:
Coded by:
Date:
= = = = = = = =
Entered by:
Date:

Audit Case Number

_____

AUDIT DATA COLLECTION FORM
OSD = = = = = > 5-PAC

Section A. Critical Information
(Complete each line)

Agency: _____

ORI: I | L | | | | | | | _____ I-5? 1-Yes **2-No**
M-5? 1-Yes **2-No**

OSD? **1-Yes** 2 - No 5-PAC? **1-Yes** 2-No

DCN: | | | | | | | | _____ I-5? 1-Yes **2-No**

PCN: | | | | | | | | _____ I-5? 1-Yes **2-No**

Section Discrepancy? YES NO

Section A. Comments

_____

_____

Section B. Fatal Error Subject Identification/Statute Citation
(1. Circle code and enter correct information for discrepancies. 2. For OSD only cases, enter name and DOA.)

Subject Name LAST- FIRST- MIDDLE-

⊗ IA IC M-O M-5 M-B I-O I-5 I-B

Birthdate
Mo. Day Year

⊗ IA IC M-O M-5 M-B I-O I-5 I-B

Statute Citation Listed on 5-PAC

⊗ IA IC M-O M-5 M-B I-O I-5 I-B

Date of Arrest
Mo. Day Year

⊗ IA IC M-O M-5 M-B I-O I-5 I-B

Section Discrepancy? YES NO

Section B. Comments

_____

_____

Key
⊗ OSD Lacks Comparable Category
IA: Inaccurate IC: Incomplete
M-O: Missing OSD M-5: Missing 5-PAC M-B: Missing Both
I-O: Illegible OSD I-5: Illegible 5-PAC I-B: Illegible Both

ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY

Section C. Additional Subject/Agency Identification

(Complete only when discrepancy exists)

Also Known As - AKA ⊗						Alias DOB Mo. Day Year ⊗			
Sex ⊗	Race ⊗	POB ⊗	Hair ⊗	Skin ⊗	Ht. ⊗	Wt. ⊗	Eyes ⊗	Photo ⊗	
Scars,Marks,Tattoos ⊗		Misc. Number ⊗		Social Security No. ⊗			Driver's Lic. No ⊗		
Agency's Offender ID No. ⊗				Agency Case No. ⊗					

Section Discrepancy? YES NO

Section C. Comments

Section D. Other Information

(Circle applicable code)

Prints Signed by Officer? M-5	Officer ID noted? M-5 I-5	Prints Signed by Subject? IC M-5	Date Printed IC M-5 I-5
CSA (Circle only if conspiracy, solicitation, or attempt should have been noted) IA M-5 I-5		Class IA M-5 I-5	Disposition M-5 I-5
Date of Offense IC M-5 I-5		County of Prosecution IA IC M-5 I-5	

Section Discrepancy? YES NO

Section D. Comments

Key

⊗ OSD Lacks Comparable Category

IA: Inaccurate IC: Incomplete

M-O: Missing OSD M-5: Missing 5-PAC MB: Missing-Both

I-O: Illegible OSD I-5: Illegible 5-PAC I-B: Illegible Both

ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY

part arrest card form, the OSD was considered the correct version unless auditors could, with certainty, determine that the state five-part arrest card form contained the correct information.

Form 1 was divided into four sections that each contained different descriptive fields: A. Critical Information; B. Fatal Error Subject Identification/Statute Citation; C. Additional Subject/Agency Identification; D. Other Information. Fields analyzed within these sections included the following:

Critical Information

Section A included fields that identify the particular record and whether both the OSD and state form were present:

- Agency name
- Originating agency identifier (ORI)[47]
- Original source document (OSD)
- State five-part arrest card form
- Document control number (DCN)
- Processing control number (PCN)

Fatal Error Subject Identification/Statute Citation

Section B included fatal error fields important to every arrest event.[48] The ISP will not post the event without the subject's name, date of birth, or the statute citation. Instead, it will be sent back to the agency for correction:

- Subject name
- Date of birth
- Statute Citation
- Date of arrest[49]

[47] The ORI was included in the critical information section because it is important in identifying the record. However, because it is a fatal error if missing from the record, it could have been included in Section B, "Fatal Error Subject Identification/Statute Citation."

[48] See Section 2, Table 4, p. 56, for a list of arrest submission fatal errors.

[49] Although not considered a fatal error by the ISP, the date of arrest was included within the fatal error section. The date of arrest is a crucial piece of information for both record completeness and timeliness.

Additional Subject/Agency Identification

Section C included information normally used to identify offenders:

- Also known as (AKA)
- Alias date of birth
- Sex
- Race
- Place of birth
- Hair
- Skin
- Height
- Weight
- Eyes
- Photograph[50]
- Scars, marks, tattoos
- Miscellaneous number
- Social Security number
- Driver's license number
- Offender's ID number
- Agency's case number

Other Information

Fields in Section D contained information considered important to a complete arrest record event, but not critical:

- Officer's signature
- Officer's ID number
- Subject's signature
- Fingerprint date
- Conspiracy, solicitation, attempt (CSA)[52]
- Class
- Disposition[51]
- Offense date
- County of prosecution

The OSD was then compared to the state five-part arrest card form and all discrepancies were noted. Each discrepancy indicated there was some deficiency with information on the state five-part arrest card form. The following key was used to note discrepancies on Form 1:

> **IA: Inaccurate.** Information on the state five-part arrest card form did not match information on the OSD. The information on the state five-part arrest card form was inaccurate.

---

[50] The photograph field on the state five-part arrest card form signifies whether an offender had his/her photograph taken at the time of arrest.

[51] The disposition field on page one of the state five-part arrest card form refers to the arrest charge disposition of a criminal case. Arresting agencies, with the assistance of the state's attorney's office, determine whether a criminal case should be 1) direct-filed or 2) referred to the state's attorney's office.

[52] The state five-part arrest card form also contains a field for conspiracy, solicitation, attempt (CSA), which is an additional clarifier to the offense type. In the CSA field, officials completing the form should include a C for conspiracy, an S for solicitation, or an A for attempt to more accurately reflect the type of offense committed. For example, if an offender is arrested for attempted murder, the official should place an A in the CSA category.

IC: Incomplete. Information on the state five-part arrest card form contained some but not all of the information from the OSD. Information on the state five-part arrest card form was incomplete.

M5: Missing on state five-part arrest card form. Information in this field was contained on the OSD but none appeared on the state five-part arrest card form.

MB: Missing on Both. Information in this field appeared on neither the OSD nor the state five-part arrest card form.

I5: Illegible on state five-part arrest card form. Information was illegible on the state five-part arrest card form.

IB: Illegible on Both. Information was illegible on both the OSD and state five-part arrest card form.

In addition, the following fields were used to note other problems. However, these fields were not considered discrepancies since they would not prevent the ISP from entering the information onto the CCH data base:

MO: Missing on OSD. Information in this field was contained on the state five-part arrest card form but did not appear on the OSD when a comparable field existed.

IO: Illegible on OSD. Information was illegible on the OSD.

The symbol ⊗ was circled when there were no comparable fields on the OSD and the state five-part arrest card form, making a comparison for accuracy and completeness impossible.

Form 2: Comparing the State Five-part Arrest Card Form or the OSD to the CCH Data Base

The second form (Form 2, p. 71) was used to compare information from the state five-part arrest card form or the OSD to the CCH data base for every reportable offense. For those agencies sending only the state five-part arrest card form, only Form 2 was completed. When agencies provided only OSDs, audit staff used soundex to obtain the offender's SID number.[53]

[53] Soundex is a name-based search that can be conducted when a SID is not available.

Using the SID, the corresponding maintenance screen[54] was then retrieved from the CCH data base and was compared to the OSD for all arrests.

Form 2 was modeled after information provided on the maintenance screen, a CCH computer screen that can be retrieved for every CCH event (see Appendix G). The arrest maintenance screen should reflect information on the state five-part arrest card form provided by local agencies. Maintenance screen information contains information found on rap sheets. If no maintenance screen was located for a submission, the submission was considered missing.[55]

[54] See Appendix G for a sample copy of a maintenance screen printout.

[55] Audit staff originally intended to compare the state five-part arrest card form to offenders' rap sheets. However, ISP officials indicated they would be unable to print rap sheets for each offender due to the volume of cases being reviewed. Instead, the ISP offered to provide maintenance screen printouts. After comparing 100 rap sheets with the corresponding maintenance screens and finding that the information on the maintenance screen was comparable, audit staff agreed to the substitution. The maintenance screens were retrieved by using the DCN on the state five-part arrest card form or through soundex when the state form was not available.

Audit Case No. _____

Audit Data Collection Form

5-PAC =====> CCH

AGID:
Coded by:
Date:
========
Entered by:
Date:

Directions: Complete the box in the form's upper-right corner. Enter the agency identification (AGID), your initials, and date. Leave the last two lines blank for data entry purposes.

Determine whether the record has been posted to CCH. If it is missing, circle "YES" in the top box and enter the DCN in the next line. This is the end of the record review.

If the record exists, complete the entire form. First, enter the DCN as it appears on the CCH printout in the shaded space below. Then code all fields as applicable using the key below. *Note only discrepancies* between the 5-PAC and CCH.

CCH Record Missing? Yes **If "YES," is it a reportable offense? Yes No**

	DCN:		
	Name L F M		AKA Name L F M
	DOB Mo. Day Year		AKA DOB Mo. Day Year
	Case #1		Case #2		D.o.A. Mo. Day Year
	ORI		Photo Y N		Date of Offense		Co Pros
	Statute/Citation: MR - More Complete than 5-PAC						
	CSA		CLS		Warrant Arrest? YES NO		

Record Discrepancy? YES NO

Comments

_____

_____

Key
IA: Inaccurate M-5: Missing 5-PAC
IC: Incomplete M-C: Missing in CCH
I-5: Illegible 5-PAC M-B: Missing Both

ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY

Audit staff analyzed the following information fields on Form 2 to determine if information provided on the state five-part arrest card form or OSD was the same as that on the maintenance screen:

- Document control no. (DCN)
- Subject's name
- Also known as (AKA)
- Date of birth
- Alias date of birth
- Case #1[56]
- Case #2[57]
- Date of arrest
- ORI
- Photograph
- Date of offense
- County of prosecution
- Statute citation
- Conspiracy, solicitation, attempt
- Offense class

The state five-part arrest card form or the OSD was then compared to the maintenance screen and all discrepancies were noted. The following key was used to note discrepancies on Form 2:[58]

IA: Inaccurate. Information on the CCH data base did not match information on the state five-part arrest card form/OSD. The information on the CCH data base was inaccurate.

IC: Incomplete. Information from the CCH data base did not contain all of the information on the state five-part arrest card form/OSD. Information on the CCH data base was incomplete.

M5/MO: Missing on state five-part arrest card form/Missing on OSD. Information in this field was contained on the CCH data base but did not appear on the state five-part arrest card form/OSD. Information on the state five-part arrest card form was missing.

MC: Missing on CCH. Information in this field was contained on the state five-part arrest card form/OSD but did not appear on the CCH data base. Information on the CCH data base was missing.

---

[56] Case #1 refers to the agency's offender identification number.

[57] Case #2 refers to the agency's case number.

[58] Error types on Form 1 and Form 2 appear to be similar. However, different documents were analyzed on each form. Form 1 was used to compare information on the state five-part arrest card form to that on the OSD. Form 2 was used to compare information on the CCH data base to that on the state five-part arrest card form/OSD.

MB: Missing on Both. Information in this field appeared on neither the CCH data base nor the state five-part arrest card form/OSD.

I5: Illegible on state five-part arrest card form. Information was illegible on the state five-part arrest card form.

IB: Information was illegible on both the CCH data base and state five-part arrest card form/OSD.

Also, the code **MR: More Complete on CCH** was used in the statute citation field to indicate that the information on the CCH data base was more complete than the information on the state five-part arrest card form/OSD. For example, the CCH data base may contain subsections not listed on the five-part form. This code was used only in the statute citation field.

In addition, the following fields were used to note other problems. However, these fields were not considered discrepancies since they would not prevent the ISP from entering the information onto the CCH data base:

IO: Illegible on OSD. Information was illegible on the OSD.

The symbol ⊗ was circled when there were no comparable fields between the OSD or the state five-part arrest card form/OSD and the CCH data base, making a comparison for accuracy and completeness impossible.

Audit Findings

Information on the CCH data base is not always complete and accurate. As information moves from one step to the next, data is sometimes incorrectly or improperly transferred or entered onto coding forms or the CCH data base. For example, police departments do not always fully complete their OSDs. The state five-part arrest card form is sometimes incomplete or inaccurate as information is not always transferred correctly from the OSDs. Also, the ISP does not always correctly and completely transfer information from the state five-part arrest card form to the CCH data base.

Audit staff compared a total 3,675 OSDs with the respective state five-part arrest card forms from 38 police departments, or an average of 735 submissions per year studied (Table 7). Total submissions ranged from 208 in the collar region to 2,610 in Cook County.

Table 7
Submissions, by Geographic Regions, by Year

Year	Cook	Collar	Rural	Urban	Total
1989	494	19	35	122	670
1990	487	68	45	109	709
1991	574	38	48	108	768
1992	545	40	43	130	758
1993	510	43	52	165	770
Total	2,610 (71.0%)	208 (5.7%)	223 (6.1%)	634 (17.3%)	3,675 (100.1%)[59]

Audit staff expected the number of errors committed by each region would be proportionate to the number of submissions provided. For example, given their percentage of total submissions, we would expect 71 percent of all errors to come from Cook County; 5.7

[59] Due to rounding, table figures may not total 100 percent.

percent from the collar region; 6.1 percent from the rural region; and 17.3 percent from the urban region.[60] However, the analysis indicates this was not the case.

Finding 1: Information on the state five-part arrest card form is not always complete and accurate.

Form 1 Analysis

As previously noted, Form 1 was divided into four sections that each contained different descriptive fields (see pp. 64-9 for discussion of Form 1 sections). Data were analyzed by these sections.

Critical Information

In Section A, audit staff noted if the OSD and the state five-part arrest card form existed and whether key information was legible. There were 3,224 OSDs and 3,175 state five-part arrest card forms with data relevant to Section A.[61] Although the great majority (74.3 percent) of submissions had legible ORIs, DCNs and PCNs, more than 12.2 percent of the state five-part arrest card forms were missing ORIs, and 1.5 percent of the ORIs were illegible. Additionally, 3 percent of the PCNs and 0.2 percent of the DCNs were illegible.[62] When submissions lack information like the ORI, the ISP has to take additional steps to process them, which slows the entire submission process.

Fatal Error Subject Identification/Statute Citation

Section B was used to capture discrepancies regarding the subject's name and date of birth, the statute citation and the date of arrest. Table 8, p. 76, examines the types of discrepancies made in each of the fields. There were 691 discrepancies in the 3,675 submissions. Each record could contain multiple discrepancies. In total, 7.6 percent of all

---

[60] Nearly all of the Urban region submissions were received from one large agency.

[61] Since all agencies did not send both an OSD and a corresponding state five-part arrest card form for every reportable arrest, these totals differ from the total 3,675 submissions analyzed.

[62] Illegibility was often the result of poor photocopies.

submissions contained some sort of discrepancy in the name field (most of the discrepancies were because names were not completely documented on the state form); 3.4 percent of submissions contained a discrepancy in the date of birth field (usually an inaccurate date); 7.0 percent contained a discrepancy in the statute citation (most often because it was missing on both forms); and 4 percent of the submissions contained a discrepancy in the date of arrest field (usually an inaccurate date).

Table 8
Percentage of Submissions Containing a Discrepancy According to Fatal Error Field, by Error Type

Field[63]	Illegible (I5)	Inaccurate (IA)	Incomplete (IC)	Missing (M5)	Missing both (MB)	Total
Name (n=3,672)	0.2%	2.6%	4.3%	0.5%	0.0%	7.6%
Date of Birth (n=3,549)	1.0	2.2	0.0	0.2	0.0	3.4
Statute Citation (n=2,514)	0.2	1.3	1.4	1.4	2.7	7.0
Date of Arrest (n=2,736)	0.5	2.8	0.1	0.6	0.0	4.0

Cook County accounted for the largest percentage of discrepancies, but (as noted above) also provided the most submissions. The county accounted for 71.6 percent of the submission discrepancies, which is almost exactly the percentage of submissions it provided (71 percent). A disproportionate number of discrepancies (23.4 percent) came from Urban counties, which provided 17.3 percent of the sample. Collar and Rural counties each accounted for 2.4 percent of the errors but 5.7 percent and 6.1 percent of the sample, respectively.

[63] Only documents with comparable fields were analyzed. For example, many OSDs did not document the statute citation so it could not be compared to the state form. Therefore, the total number of cases reviewed differs by field.

Additional Subject/Agency Identification

Section C included various identifying fields such as the offender's sex, race, height and weight. Although all these fields are very important in identifying offenders, the ISP does not consider absence of this information fatal. Submissions missing one or more of these fields would still be posted to the CCH data base.

Auditors discovered 2,150 discrepancies in the 3,675 submissions. Again, each record could contain several discrepancies. The fields and their discrepancy rates are listed in Table 9, p. 78. The skin tone field had the highest discrepancy rate, 10.7 percent. Almost all of the skin tone discrepancies were because of inaccuracies on the state five-part arrest card forms. In contrast, the alias date of birth, sex, race and miscellaneous number fields all contained discrepancies in less than 1 percent of all sampled submissions.

Cook County accounted for the largest percentage of discrepancies (78.3 percent), which is larger than the proportion of records it provided (71 percent). The urban county region accounted for 15.7 percent of the errors, which is nearly in proportion to the percentage of submissions it provided (17.3). The collar county region accounted for 2.2 percent of the errors, while the rural county region made up 3.8 percent of the errors, both well below the percent of submissions provided.

Table 9
Percentage of Submissions Containing a Discrepancy According to Field, by Error Type

Field	Illegible (I5)	Inaccurate (IA)	Incomplete (IC)	Missing (M5)	Missing both (MB)	Total
Also known as (AKA) (n=3,395)	0.0%	0.4%	0.1%	2.4%	0.0%	2.9%
Alias date of birth (n=2,672)	0.0	0.0	0.0	0.0	0.0	0.0
Sex (n=3,649)	0.2	0.3	0.0	0.1	0.0	0.6
Race (n=3,636)	0.0	0.7	0.0	0.1	0.0	0.8
Place of birth (n=2,382)	0.0	0.5	0.0	1.9	0.5	2.9
Hair (n=3,412)	0.0	3.9	0.0	0.1	0.0	4.0
Skin (n=3,163)	0.1	9.3	0.0	1.0	0.3	10.7
Height (n=3,416)	0.1	5.5	0.0	0.3	0.1	6.0
Weight (n=3,415)	0.3	7.1	0.1	0.2	0.1	7.8
Eyes (n=3,414)	0.3	1.8	0.0	0.3	0.1	2.5
Photograph (n=1,719)	0.0	0.5	0.0	4.1	2.4	7.0
Scars, marks, tattoos (n=3,113)	0.1	0.5	0.0	5.6	0.0	6.2
Misc. number (n=2,105)	0.0	0.0	0.0	0.6	0.0	0.6
Social security no. (n=3,317)	0.2	1.1	0.1	1.7	4.3	7.4
Driver's license no. (n=3,232)	0.2	1.0	0.1	2.6	2.1	6.0
Agency offender ID no. (n=3,252)	0.1	0.8	0.2	0.3	0.2	1.6
Agency case no. (n=3,637)	0.0	1.1	0.2	0.8	0.1	3.2

Other Information

Section D included those fields usually found only on the state five-part arrest card form as they are usually unique to this form. Therefore, auditors looked only at the state five-part arrest card form to determine whether the information on the form was legible, accurate and complete. Auditors examined 3,675 state forms and discovered 4,504 discrepancies. The percentage of discrepancies per field ranged from 1.9 percent in the county of prosecution field to 38.8 percent in the disposition field (see Table 10). The most frequent discrepancy was that the information that should have been on the form was missing. For instance, 38.7 percent of all submissions were missing the disposition code, 28.5 percent were missing the statutory class of offense, and more than 16 percent were missing the officer's signature and/or the officer's identification number.

Table 10
Percentage of Submissions Containing a Discrepancy
Other Information, by Error Type
(n = 3,675)

Field	Illegible (I5)	Inaccurate (IA)	Incomplete (IC)	Missing (M5)	Total
Officer's signature	0.0%	0.0%	0.0%	16.1%	16.1%
Officer's ID	0.0	0.0	0.0	16.4	16.5
Subject's signature	0.0	0.0	0.1	2.1	2.2
Fingerprint date	0.4	0.0	0.0	2.5	2.9
Conspiracy, solicitation, attempt	0.2	5.2	0.0	0.2	5.6
Class	0.2	3.3	0.0	28.5	32.1
Disposition	0.1	0.0	0.0	38.7	38.8
Date of offense	0.2	0.0	0.1	7.2	7.5
County of prosecution	0.1	0.4	0.1	1.4	1.9

Although Cook County contained the highest percentage of discrepancies, (64.7 percent) within Section D, this percentage was still low when considering the percentage of

all submissions it provided (71 percent). The urban region accounted for a disproportionate number of discrepancies (26.6 percent, compared to 17.3 percent of all submissions). The collar region accounted for 4.8 percent of the discrepancies, while the rural region accounted for 3.9 percent.

Form 2 Analysis

Audit staff also compared local agencies' submissions to data on the CCH data base. Of the total, 5,103 were state forms (see Table 11). When copies of the state forms were not available, staff requested the OSDs. Staff received 2,027 OSDs that had no corresponding state five-part arrest card form. For all submissions, staff obtained 7,130 submissions from 47 police departments

There were 6,042 (84.7 percent of the total) submissions from Cook County, while the urban county region had 657 (9.2 percent) of the submissions. About 3 percent of the submissions came from both collar and rural county regions.

Table 11
Total Submissions by Geographic Regions,
by Year: OSDs vs. Five-part Forms

	Cook		Collar		Rural		Urban		Total	
Year	OSD	5Part	OSD	5Part	OSD	5Part	OSD	5Part	OSD	5Part
1989	413	718	0	47	0	35	3	119	416	919
1990	424	740	2	37	1	44	4	103	431	924
1991	332	905	0	38	5	43	11	97	348	1083
1992	423	991	5	36	5	38	9	122	442	1187
1993	268	828	1	42	8	44	113	76	390	990
Total	1,860	4,182	8	200	19	204	140	517	2,027	5,103

Finding 2: Many of the submissions obtained by auditors were missing from the CCH data base.

Missing Submissions

If no maintenance screen was located for a submission, it was considered missing from the CCH data base. A total of 1,236 submissions (17.3 percent of 7,130) were missing from the CCH data base. Of these, 716 were requested via the five-part arrest card forms (57.9 percent) and 520 were requested through the OSD (42.1 percent). The majority of these missing submissions (86 percent) came from Cook County. The urban region was missing 5 percent of its submissions. The collar region accounted for only 4 percent of the missing submissions. A disproportionate percentage of missing submissions (6 percent) came from the rural region.

Comparisons were made between the CCH data base and the state five-part arrest card form and between the CCH data base and the OSD. Because the five-part arrest card form is the document used by the ISP to post information to the ISP, discrepancy rates were expected to be low. Comparisons between the OSD and the CCH data base are not completely reliable because the OSD was not the document used to enter the information onto the CCH data base. However, it is the document that provided auditors with the best means to determine how well information on the CCH data base may reflect arrest events executed by the local agencies.

Finding 3: Some arrest submissions are incompletely and/or inaccurately posted to the CCH data base.

Fatal Errors[64]

Data from Form 2 were analyzed by fatal error or nonfatal error categories. With fatal errors, the ISP has to take time to complete the submissions or send the submissions back to the originating agency before the submission can be posted to the CCH data base. Among the four fatal error fields listed on Form 2, there were 2,170 discrepancies.

---

[64] See Section 2, Table 4, p. 56, for a list of arrest submission fatal errors.

The Cook County region accounted for 88.4 percent of the Form 2 fatal errors, slightly higher than the percentage of submissions it provided for the analysis (84.7 percent). The other regions accounted for a much smaller share of the errors than the share of submissions each provided.

Table 12 indicates the percentage of submissions that contained discrepancies by discrepancy type. As expected, discrepancy rates were normally much higher when using the OSD than the five-part arrest card form. For example, the discrepancy rate for the name category was 12.7 percent when auditors compared the OSD to the CCH data base. However, this figure dropped to 1.2 percent when the five-part form was used to compare to the data base.

Table 12
Percentage of Submissions Containing a Discrepancy
Fatal Error Fields: Form 2

Field	Type of Comparison	Inaccu-rate (IA)	Incom-plete (IC)	Illegi-ble (IO/I5)	Missing OSD/5 (MO/M5)	Missing CCH (MC)	Missing Both (MB)	Total
Name	OSD => CCH (n=2,027)	5.7%	1.6%	0.1%	0.8%	4.4%	0.0%	12.7%
	5 => CCH (n=5,103)	0.9	0.0	0.1	0.0	0.1	0.0	1.2
Date of Birth	OSD => CCH (n=2,027)	5.3	0.0	0.2	0.2	0.1	0.0	5.9
	5 => CCH (n=5,103)	0.7	0.0	0.7	0.0	0.1	0.1	1.7
Statute Citation	OSD => CCH (n=1,976)	4.7	6.3	0.3	1.4	0.2	0.0	18.4
	5 => CCH (n=5,096)	2.3	5.8	0.3	0.7	0.1	0.1	10.6
ORI	OSD => CCH (n=861)	0.1	0.0	0.0	0.0	0.0	0.0	0.1
	5 => CCH (n=5,077)	4.1	0.1	0.4	10.5	0.0	0.0	15.1

The ORI field was the only one in which the comparison between five-part form and CCH data base produced a greater discrepancy rate than the comparison between the OSD and the CCH data base. However, almost all of these discrepancies were caused by ORIs being missing from agencies' five-part arrest card forms.

Nonfatal Errors

Of the 10 nonfatal error fields on Form 2, there was a total of 3,583 nonfatal errors. Cook County accounted for 2,999 (83.7 percent) of the nonfatal errors on Form 2, which is nearly the percentage of submissions it provided (84.7 percent). The percentage of nonfatal errors from each of the other regions was about 5 percent.

Table 13 (pp. 84-5) indicates the percentage of discrepancies in each of the ten fields, by type of discrepancy. Most discrepancies were the result of data missing from either the CCH data base or both the data base and the five-part arrest card form or OSD. For example, 25.6 percent of the submissions reviewed were missing the offense class from both the five-part form and the CCH data base. In addition, the Case #1 field was missing from the CCH data base for 32.3 percent of the sample, while Case #2 was missing from the data base for 23.7 percent of the sample. Importantly, inaccurate data transfer from the five-part form to the CCH data base occurred in 1 percent or less of the sample for eight of the 10 categories. The CSA and offense class were transferred inaccurately on 4.8 and 4.4 percent of the sample, respectively. Meanwhile, seven of the 10 categories indicated data was always entered completely. The other three categories indicated incomplete records in only 0.1 percent of the sample.

Table 13
Percentage of Submissions Containing a Discrepancy
Other Error Fields: Form 2

Field	Type of Comparison	Inaccu-rate (IA)	Incom-plete (IC)	Illegi-ble (IO/I5)	Missing OSD/5 (MO/M5)	Missing CCH (MC)	Missing Both (MB)	Total
AKA Name	OSD => CCH (n=1,635)	0.0%	0.0%	0.0%	0.0%	4.7%	0.0%	4.7%
	5 => CCH (n=5,103)	0.2	0.0	0.0	0.0	0.8	0.0	1.0
Alias Date of Birth	OSD => CCH (n=760)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	5 => CCH (n=5,103)	0.2	0.0	0.0	0.0	0.3	0.0	0.5
Case #1	OSD => CCH (n=1,295)	0.1	0.1	0.0	1.4	32.3	2.5	36.4
	5 => CCH (n=5,101)	0.6	0.1	0.0	0.2	0.2	1.4	2.4
Case #2	OSD => CCH (n=1,426)	0.7	0.0	0.2	1.1	23.7	4.0	29.7
	5 => CCH (n=5,102)	0.3	0.1	0.1	0.1	0.5	1.6	2.7
Date of arrest	OSD => CCH (n=1,991)	3.3	0.0	0.0	0.5	1.0	0.0	4.8
	5 => CCH (n=5,099)	0.3	0.0	0.3	0.2	0.1	0.2	1.1
Photo	OSD => CCH (n=1,462)	16.8	0.0	0.0	0.3	11.5	6.2	34.8
	5 => CCH (n=5,088)	1.0	0.0	0.1	3.0	0.0	6.4	10.5
Date of offense	OSD => CCH (n=748)	3.7	0.1	0.1	0.4	2.0	0.8	7.1
	5 => CCH (n=5,093)	0.2	0.1	0.2	1.7	0.2	3.1	5.5

County prose-cuted	OSD => CCH (n=565)	0.2	0.0	0.0	0.4	0.0	0.0	0.6
	5 => CCH (n=5,076)	0.7	0.0	0.1	0.6	0.1	0.6	2.1
CSA	OSD => CCH (n=571)	0.2	0.0	0.0	0.0	0.0	0.2	0.4
	5 => CCH (n=5,076)	4.8	0.0	0.1	0.2	2.4	0.4	7.9
Offense Class	OSD => CCH (n=572)	0.0	0.0	0.0	1.6	0.0	2.3	3.9
	5 => CCH (n=5,076)	4.4	0.0	0.5	0.7	0.6	25.6	31.8

Finding 4: Some local police departments overreport CHRI and misuse the state five-part arrest card form.

Five-part Form Misuse

Auditors learned that several local police departments not only complete the state five-part arrest card form for every reportable and nonreportable arrest, they also submit all of those completed forms to the ISP for entry into the CCH data base. Consequently, the ISP staff has to sort through submitted CHRI to determine those events that should be entered and posted to the CCH data base.

For the reverse audit, auditors collected 676 state five-part arrest card forms (from 22 of 47 police departments) that were completed with nonreportable arrest information. Seventy-seven percent of those agencies were from Cook County; 9 percent each came from the rural and urban regions; 5 percent were from the collar region.

In addition, auditors found some agencies use the state five-part arrest card form for their own internal documentation. A few agencies complete a state five-part arrest card form for all offenses. They send only reportabie offenses to the ISP but maintain all the forms in their own files. By doing so, agencies are misusing the state form. The DCNs and PCNs on

these forms can only be used once. Therefore, when police agencies use the forms for nonreportable offenses, the agencies are not only wasting state forms but the ISP loses those numbers as well.

Recommendations

1) The Authority recommends the ISP provide training and written guidelines to help police department personnel fully and accurately complete the state five-part arrest card form. As part of the training, the Authority recommends the ISP inform police departments to use the state five-part arrest card form only as a means of communicating information to the ISP.

2) The Authority suggests the ISP take additional quality control measures to ensure information entered onto the CCH data base is accurate and complete.

3) The Authority recommends the ISP continue to audit local agencies to find submissions that should have been forwarded to the ISP and eventually entered into the CCH data base.

Part 2: State's Attorneys, Circuit Court Clerks and Jails

In addition to reviewing police department records, audit staff also planned to review records from state's attorney's offices, circuit court clerks and jails to determine whether the CCH records accurately and completely reflected those submitted by the agency. Toward this end, a sample was chosen that included five agencies from each agency type. Unfortunately, however, the local agency records were not conducive to this type of audit. Most records were searched through name-based inquiries, a highly unreliable means of obtaining corresponding CCH records. Because of these and other problems auditors encountered, a decision was made that a complete analysis of these records could misrepresent the accuracy and completeness of the CCH data base (since comparisons were made only when auditors could be sure of record comparability). This meant the goals established in the audit methodology for review of these agencies' records were not achieved;[65] however, other audit findings in this report (i.e., Section 4, "Rap Sheet Analysis: Cycle and Extended Cycle Audit," and Section 5, "Rap Sheet Analysis of Inmates Released from IDOC Custody") do provide an extensive analysis of state's attorney, court and custodial data.

Additional factors preventing audit goals from being achieved included the following:

1) Two of the 15 agencies did not provide records to auditors, even after audit staff made repeated attempts to obtain them. During numerous phone contacts, agency officials told auditors that records would probably be sent. By the time auditors realized the records would not be forthcoming, it was too late to replace the selected agencies with alternates. One agency was a state's attorney's office; the other, a county jail.

2) Most state's attorney's offices and circuit court clerks do not maintain copies of pages 3 and 4, respectively, of the state five-part arrest card form. Additionally, the sampled

---

[65] See *The 1993-4 Criminal History Records Audit Methodology.* Illinois Criminal Justice Information Authority. December 1993, p. 26-8.

jails normally do not maintain copies of their custodial receipt submissions. Therefore, audit staff usually had no documentation that accurately reflected what local agencies sent to the ISP. Without this documentation, a proper comparison to CCH information was almost impossible.

While the state five-part arrest card form does not provide state's attorneys or courts with their copies of their respective submission, it was developed so that police departments could easily detach and maintain page 2 of the form for their own records (see Introduction, pp. 14-16). However, the form contains no comparable copies for state's attorneys or courts. Also, the custodial receipt and status change form provides no carbon copy for the institution providing the submission. Therefore, if they want records of submissions, non-police agencies must make their own copies before sending them to the ISP. However, audit staff found that very few agencies maintain copies. In the sample of the 15 agencies, only three provided copies of some or all of their respective submissions. Another provided a computer printout that usually listed the DCN for each event.

3) The records that state's attorneys, courts and jails regularly maintain are not conducive to auditing the CCH data base. Agencies maintain records in a manner that is most beneficial to their case management and seldom consider the information sent to the ISP as something that should be maintained. Auditors discovered that these local agency record systems are rarely beneficial when trying to locate the exact information sent to the ISP. Most agency records lack data like DCNs that provide the necessary link to information in the CCH data base. Without the DCN, auditors often had to perform painstaking tasks to locate the event. Even when auditors located what was believed to be the correct CCH event, they could not be sure it was the same as the event submitted to the ISP (for a more complete explanation, see "Obtaining CCH Records" pp. 90-92).

4) When auditors did obtain local agency records, they were unable to review corresponding rap sheets. First, because few of the local agency records contained SIDs (the identification number that provides the easiest means to obtain rap sheets), obtaining

corresponding rap sheets would have been very difficult. Most of the rap sheets would have been requested through a Soundex search (see below for more on Soundex), an unreliable means for obtaining rap sheets. Second, the ISP was unable to provide the thousands of requested rap sheets until well into the audit. Instead, auditors relied on the CCH data base maintenance screens for information.

Obtaining CCH Records

When auditors obtained local agency records, they tried to locate corresponding records through the maintenance screens of the CCH data base (see Appendix G for a sample copy of a maintenance screen printout). However, because most agency submissions did not contain DCNs, auditors had to perform several other procedures to locate the corresponding CCH event. In many instances, this process was painfully slow and often unreliable. The procedures included one or more of the following steps:

1) Performing a CCH Soundex inquiry to obtain the person's SID. This was done if the local agency record contained no DCN. Inquiries were conducted using the person's full name, race, sex and date of birth. Without one or more of these descriptors the inquiry could not be conducted. In some cases auditors were provided with only the person's name and date of birth. When this occurred, auditors were forced to make inquiries using every possible combination of race and sex, especially when the name did not clearly reveal the sex. Auditors noted the SID on a data base whenever there was a *hit*, or match. However, because of the unreliability of this system, there was often no hit.

2) Using the arrest maintenance screen on the CCH data base and inquiring about each SID obtained in step 1. The purpose was to locate the DCN for the particular event in question. When a hit was received, auditors were presented with all of the offender's arrests, each of which had a different DCN. When the arrest date was known, auditors paged through the arrest chronology until they located the matching arrest. When no arrest date was available, auditors guessed at the date, based on the date of the state's attorney, court or jail event. Sometimes statute citations were used to match events. Once the arrest was located,

auditors noted the DCN on their data base.

3) Using a third screen when searching for state's attorney or court events that corresponded to the event type. For example, when auditors were trying to locate a state's attorney charge, they used the state's attorney maintenance screen; court events were searched in the court maintenance screen. Auditors entered the DCN and the system searched the data base to determine if there was a matching record. When a hit was obtained, auditors printed the maintenance screen and noted the hit on their data base.

4) Using court case numbers provided by the circuit court clerks to obtain the DCN of each event. This proved to be an unsuccessful method, however, as multiple arrests were often linked to the same court case number.

5) When auditors searched for a custodial event, still another step was added to this procedure. Like step 2 above, auditors used the subject's SID, this time to conduct inquiries in the custodial maintenance screen. However, because both custodial receipts and custodial status changes were in the same file and the receipts and subsequent status changes had the same DCN, auditors had to page through all custodial event screens to locate the corresponding event.

All of these steps were extremely time-consuming and demanding. Without the event's DCN, auditors often felt uncertain that the event they obtained from the CCH data base was the match to the local agency record. Because offenders often use so many aliases and so many names sound or look the same, finding the proper offender through a name-based search was very problematic.

In the end, after all of the data were analyzed and the methods used to obtain that data were scrutinized, audit staff determined that presenting any sort of comprehensive comparison between agency records and records in the CCH data base could seriously misrepresent the accuracy and completeness of those records. In fact, the problems auditors faced varied by

agency.

The next section describes the problems associated with analyzing the records from each sampled agency. Four agencies provided all or some submissions with DCNs, which audit staff used to easily track the corresponding CCH event. No analysis was conducted regarding data accuracy.

Because of the importance of this data and the difficulty in obtaining them, these agencies may be revisited in a future audit and auditors could apply different methods to obtain a better picture of record completeness and accuracy.

Audit Analysis

Each agency's record system was unique and often not comparable to those of the CCH data base. The agencies are grouped by type.

State's Attorneys

State's Attorney #1: Auditors took a 5 percent random sample of all records from the month of April in the years 1989, 1990, 1991, 1992 and 1993. In total, audit staff analyzed 1,760 records. Only 108 of the sampled records listed no DCN. Of the 1,652 records that listed a DCN, 89.4 percent were located on the CCH data base. Table 14, p. 93, presents these figures, by year.

Auditors tried several methods to locate the CCH records for the 108 records with no DCN. They used the agency case number, disposition date, and the subject's name, sex, race, date of birth and SID. However, auditors decided not to conduct an analysis on these records because of the uncertainty of matching them to the correct CCH record.

Table 14
State's Attorney #1
Number of Records Located on the CCH Data Base, by Year

Event Year	Total Records Examined	Total Records Located on CCH	Percent of Records Located
1989	329	259	78.7%
1990	321	297	92.5
1991	325	283	87.1
1992	326	311	95.4
1993	351	327	93.2
Total	1,652	1,477	89.4

State's Attorney #2: The agency provided 297 records of their state's attorney submissions (i.e. page 3 of the state five-part form). Table 15 examines the number of records that were located on the CCH data base, by year. Of all the agency records examined, 77.1 percent were located on the CCH data base.

Table 15
State's Attorney #2
Number of Records Located on the CCH Data Base, by Year

Event Year	Total Records Examined	Total Records Located on CCH	Percent of Records Located
1989	35	25	71.4%
1990	32	30	93.8
1991	66	44	66.7
1992	88	69	78.4
1993	76	61	80.3
Total	297	229	77.1

State's Attorney #3: Four staff members spent a day at the agency trying to gather as much information as possible. The agency had no copies of its state five-part arrest card forms. Instead, the agency provided to auditors a list of misdemeanor and felony dispositions for the months being sampled. The list included case numbers, names and charge descriptions. Auditors tried to locate each file (or *jacket*) among thousands of others. Once the correct jacket was located, auditors examined official documents to obtain the date the case was opened, the offense date and the defendant's race, sex, and date of birth. These steps were very labor-intensive.

Auditors later used the agency's information to conduct Soundex searches on the CCH data base. If a SID was successfully located using the agency information, auditors tried to locate the correct DCN by conducting inquiries using the SID. Once the DCN was obtained, auditors tried to locate the corresponding record. After hundreds of these transactions were conducted, auditors discontinued the analysis because too many steps had to be taken, and they would not necessarily lead to the correct subject.

State's Attorney #4: Audit staff requested no agency records after learning that the agency direct-files its charges (see Section 1, p. 23 for more on direct filing). Because the agency direct-files its charges, comparisons of agency records to CCH records would likely have provided little insight into record accuracy or completeness.

State's Attorney #5: The agency provided no records to staff even after repeated requests.

Circuit Court Clerks

Clerk #1: The agency provided felony records on magnetic tape (misdemeanors were not available). The tape included several thousand entries per sampled month. The tape fields included month of disposition; statutory class of disposition; case initiation date; defendant's name, sex, and date of birth; DCN; disposition code; and statute. Unfortunately, only 31 percent listed the DCN. A great amount of time was spent trying to obtain the CCH record

using the court case number. However, auditors later discovered that the DCN located through the court case number may not necessarily lead to the corresponding event. In addition, inquiries were very time-consuming. Auditors decided to discontinue the analysis.

Clerk #2: The agency provided copies of judge's dockets and a computer printout of all felony and misdemeanor cases filed in the sampled months. Audit staff sampled 1,593 records. The printout contained the case numbers, date cases were filed, and defendant names. However, because no statutes were listed, audit staff could not determine if the cases were reportable. Also, like Clerk #1 above, staff decided against trying to locate each record through either the court case number or defendant's name because of the unreliability of obtaining a correct match. The agency did provide copies of 624 five-part arrest card forms (copies of page 4). As Table 16 indicates, 26.1 percent of the submissions had corresponding entries on the CCH data base.

Table 16
Circuit Court Clerk #2
Number of Records Located on the CCH Data Base, by Year

Event Year	Total Records Examined	Total Records Located on CCH	Percent of Records Located
1989	19	16	84.2%
1990	123	54	43.9
1991	99	6	6.1
1992	155	67	43.2
1993	228	20	8.8
Total	624	163	26.1

Clerk #3: The agency provided copies of filing decisions for defendants in each of the given months. However, the only identifying filing decision information was the defendant's name and date of birth. Audit staff conducted Soundex inquiries on every name. Because no

race and sex were stated, audit staff had to inquire about all four possible combinations. Once SIDs and DCNs were obtained through their respective screens, the DCNs were tracked in the court maintenance screen. However, at times, names produced many SIDs, making it very difficult to locate the corresponding record. Because of the difficulty in obtaining accurate information, no analysis was conducted.

Clerk #4: Auditors spent time at the agency gathering data on the defendants' name, race, sex, statute citations, classes, court case numbers and dates of disposition. However, individual records were not uniformly ordered, so obtaining information from the same source documents was not possible because so many were missing. Once all of the information was obtained from the agency, auditors conducted Soundex inquiries. After obtaining the SID, inquiries were conducted on the arrest screen to obtain the DCN for the particular event. Again, staff decided against analyzing this data.

Clerk #5: No records were received from the agency. Several meetings were held between audit staff and agency officials in an effort to establish a direct communication line from the agency to audit staff. However, this attempt failed and audit staff determined that the alternative — using the agency's own terminals — would not be feasible because of time constraints, other project commitments and the enormous resources that would be needed to accurately gather the data. Audit staff decided to delay this study until appropriate time and resources could be devoted to it.

County Jails

Jail #1: Agency records were easy to track in CCH as staff was provided copies of their custodial receipt submissions. Copies for 1989, however, were not available. As Table 17, p. 97, reveals, all but two of the custodial receipts provided to auditors were located on the CCH data base.

Table 17
Jail #1
Number of Records Located on the CCH Data Base, by Year

Event Year	Total Records Examined	Total Records Located on CCH	Percent of Records Located
1990	34	32	94.1%
1991	51	51	100.0
1992	48	48	100.0
1993	30	30	100.0
Total	163	161	98.8

Jail #2: Staff received a large printout from the Correctional Institution Management Information System[66] (CIMIS) that listed, among other items, the subjects' name, race, sex, date of birth, and so on. However, the printout did not list the offenders' SIDs. Because SIDs were not listed, staff used Soundex to try to locate the SID. If a SID was found, audit staff proceeded to the custodial maintenance screen to locate the particular custodial event, a time-consuming process requiring the auditor to page through the screens until a match was located. Audit staff later discovered that the CIMIS printout included both pretrial detainees and those sentenced to jail. Staff again decided not to use the information because of the many factors preventing an accurate accounting of all sampled subjects.

Jail #3: The agency provided auditors with a large stack of computer printouts that included subjects' names, booking and offense dates, statute citations and other information. However, the printouts did not contain SIDs or DCNs. Audit staff conducted some CCH inquiries using SIDs (through the Soundex process) but obtained few hits. Upon further investigation, auditors discovered that the agency had provided both the pretrial bookings and sentences to jail. To obtain only jail sentences, audit staff would have had to contact the

[66] The CIMIS provides sheriffs' departments with a fast and efficient system for booking inmates and for retrieving the information needed to keep up with growing demands and growing inmate population.

agency for another computer printout eliminating pretrial detainees. However, auditors decided against this option as Soundex inquiries still would have been required.

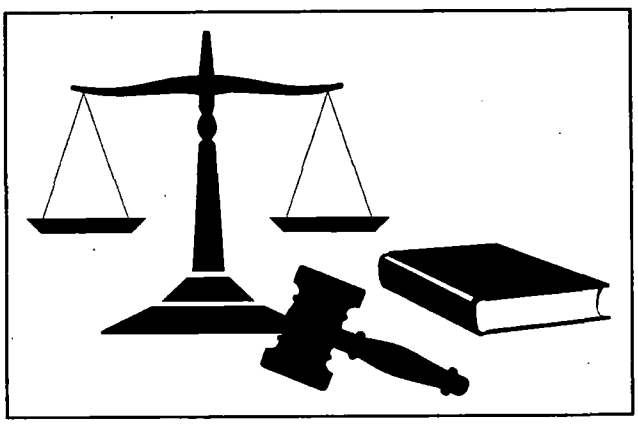
Jail #4: The agency provided no records to staff even after repeated requests.

Jail #5: The agency informed auditors that it sent no jail sentencing information to the ISP during the audited period. However, it has since resumed sending submissions to the ISP. The agency informed audit staff that during the five sample months, the agency booked 29,811 people. However, it is not known how many of these were sentences to jail as opposed to pretrial detainees. Because no agency submissions were obtained, auditors conducted no analysis.

Recommendations

1) The Authority recommends that the ISP strongly encourage all local agencies to include DCNs and SIDs on all of their own records, which will effectively establish an audit trail to records they provide to the ISP.

2) The Authority recommends that the records of state's attorneys, circuit court clerks and jails be audited in the near future to establish a baseline by which future progress can be measured. The audit could begin with agencies that have maintained copies of the forms submitted to the ISP.



SECTION 4

RAP SHEET ANALYSIS: CYCLE AND EXTENDED CYCLE AUDIT

Introduction

The cycle and extended cycle analysis focus on rap sheets. Specifically, audit staff determined whether arrests obtained from local agencies were listed on offenders' rap sheets and whether the events following the arrest were listed as well. During the course of this analysis, audit staff also determined the readability of rap sheets and problems encountered in trying to understand the sequence of events surrounding certain criminal justice events. The purpose of this section was largely to measure the completeness of a select number of rap sheets.

Cycle Analysis

Goals

First, auditors examined a single series, or cycle, of rap sheet events beginning with arrests obtained from local agencies. For each rap sheet, auditors answered the following questions:

- Could the ISP provide a rap sheet corresponding to the offender?
- If a rap sheet could be provided, did it reflect the arrest as provided by the police department?
- Did each arrest have a corresponding state's attorney's disposition?
- Did each arrest have a corresponding court disposition?
- Did each court disposition indicating a sentence to incarceration have a corresponding custodial receipt?

Sample Size and Methodology

The cycle arrests were drawn from a random sample of 49 police departments. The state was divided into four geographic regions (Cook, collar, urban and rural counties). A sample was drawn from each region based on the number of crimes each region reported to the Uniform Crime Reports (UCR) system for a given period. Rap sheets corresponding to

each arrest were then examined to determine which events were properly entered on the rap sheets and which were missing.

To obtain rap sheets that corresponded to each arrest submission, audit staff followed a multi-step process. First, each agency was asked to provide copies of the state five-part arrest card form for each person arrested during the month of April in 1989, 1990, 1991, 1992 and 1993. Agencies that did not maintain copies of the state five-part arrest card form were asked to provide copies of their own arrest forms. Three agencies were unable to comply with our request and were replaced by three other randomly-chosen agencies from the same geographic region. The number of records each agency provided varied greatly. Three small agencies provided copies of only one reportable arrest for the five months, while several large agencies provided copies of several hundred records for each month.

Generally, rap sheet searches can be conducted using one of three methods:

- fingerprints,
- State Identification Numbers (SIDs), or
- names and other identifying information.

The first method is by far the most reliable. In a best case scenario, all rap sheet searches would be carried out using a subject's fingerprints. Fingerprints provide the definitive means to link a subject (such as a criminal offender or a job applicant) with his or her rap sheet, if one exists. However, because of time and financial constraints, it is not always possible to obtain fingerprints. The other two methods of rap sheet searches are less reliable. However, searches conducted using a subject's SID are usually very reliable as SIDs are issued after subjects' fingerprints have been classified. Searches based on a person's name and other identifying information are the least reliable as offenders often use alias names, dates of birth, and so on.

Although audit staff received no fingerprint cards, most agency arrests indicated the offender's SID. When the SID was available, audit staff requested corresponding rap sheets

using this number. However, not every arrest listed a corresponding SID.

When the SID was not recorded on the state five-part form, audit staff conducted inquiries on the CCH data base to locate the offender's SID. Using the preprinted DCN (a unique number that links arrest, state's attorney and court events, as well as custodial receipts to subsequent custodial status changes) on each of the state forms, audit staff inquired about each event and subsequently determined the offender's SID by examining his or her CCH record.

For agencies that sent only their arrest report without the state copy, audit staff had to follow a different route to procure corresponding rap sheets as they had neither a SID nor DCN. The offender's name, race, sex and dates of birth and arrest were entered into a data base. ISP staff used Soundex inquiries on the CCH data base to locate these offenders' rap sheets.

In total, 7,662 rap sheets were requested. Of these, 6,329 (82.6 percent) were requested using the offenders' SIDs, while 1,333 (17.4 percent) were requested using Soundex. All arrests were for reportable offenses.

Certain data from each rap sheet were recorded on forms developed by audit staff. First, auditors recorded the DCN of every arrest that corresponded to the arrest submission provided by police departments. When more than one charge was listed, auditors tracked only the most serious charge.[67] State's attorney charge events and court dispositions with the same DCN as the arrest event were then linked back to the arrest and recorded as well. Finally, custodial receipts were linked to the other events using either the court case number or the proximity of the court date to the custodial date. The custodial receipts were then recorded.

[67] Although audit staff did not determine what percentage of all arrests had multiple charges, the percentage appeared to be relatively low.

Extended Cycle Analysis

Goals

Whereas the goal of the cycle audit was to examine a single series of rap sheet events, the goal of the extended cycle analysis was to analyze all of the events from a select sample of rap sheets. This sample was chosen from all cycle arrest rap sheets.

For each rap sheet, auditors answered the following questions (the last three are the same as the cycle analysis):

- How many arrests, state's attorney charges, court dispositions and custodial receipts were listed?
- Did each arrest have a corresponding state's attorneys disposition?
- Did each arrest have a corresponding court disposition?
- Did each court disposition indicating a sentence to incarceration have a corresponding custodial receipt?

Sample Size and Methodology

Although both the cycle and the extended cycle cases came from the same agencies, the way the cases were chosen differed significantly. The cycle arrests were drawn from a sample of arresting agencies throughout the state, while the extended cases were drawn from the cycle cases.

Audit staff used a 5 percent statistical sample of the 7,662 cycle rap sheets, which produced 369 rap sheets.[68] The rap sheets were chosen using a random number generator.

The extended cycle analysis is significantly different than the cycle audit sample in one important respect. The cycle cases were drawn from police departments with no knowledge whether the arrest documents were successfully transferred from the police

[68] This number is slightly lower than an actual sample of 5 percent.

department to the ISP and whether the arrests were posted to the CCH data base. The extended cases, on the other hand, began with the cycle rap sheets. Those sampled cases that had no rap sheet corresponding to the arrest were replaced so that every extended cycle rap sheet contained at least one arrest that was the same as the one examined in the cycle analysis. Therefore, there were no missing rap sheets.

Like the cycle analysis, certain data were recorded for each rap sheet that was evaluated. However, the analysis was conducted for every series of events on the rap sheets, not just one. Again, auditors documented the DCN of every arrest; state's attorney and court dispositions for each arrest; custodial receipts that corresponded to court dispositions listing a sentence to incarceration; and custodial receipts that could not be linked to other events.

Although the population samples were somewhat different, the outcome was relatively the same. The next section describes the findings of the cycle and extended cycle analysis, beginning with the problem of missing rap sheets.

Finding RS-1: A number of rap sheets searched through a name-based inquiry could not be located in the CCH data base.

Rap Sheets Missing from CCH Data Base

Table 18 indicates that not every arrest supplied to auditors by local police departments had a corresponding rap sheet. Most of those that could not be located were ones searched through a name-based (non-SID) inquiry. Of the 7,662 rap sheets requested, 525 (6.9 percent) could not be located on the CCH data base. Of the 525 rap sheets that were missing, 372 (70.9 percent) were requested through a Soundex search. In fact, rap sheets could not be located for nearly 28 percent (372) of the total Soundex-based searches (1,333). Conversely, when the SID was known to auditors (6,329 cases), no rap sheet was located in 153 (2.4 percent) of the cases.

Table 18
Number of Rap Sheets Located vs.
Missing from CCH Data Base

Means Used to Locate Rap Sheets	Number of Rap Sheets Located	Number of Rap Sheets Missing	Number of Rap Sheets Requested
SID	6,176	153	6,329
Soundex	961	372	1,333
Total	7,137	525	7,662

Part of the low percentage may be attributed to the agencies that provided the data. For example, if the police department never reported the arrest to the ISP but did provide a copy to auditors, there would be no record of the submission on the CCH data base even though auditors had a copy. Also, for those records searched with a SID number, there is some chance that the agency may have provided an incorrect number.

However, the figures may indicate serious problems for agencies that rely on CHRI through name-based searches because of the dynamics involved in gathering information from criminals and the way the information is processed. The chances of obtaining a criminal history rap sheet may be low because of these factors. In fact, the analysis indicates that rap sheets will not be located for 28 percent of all cases in which an offender is known to have committed a reportable offense.

Use of Alias Names and Other Identifying Information

The ISP, upon receipt of arresting information, classifies the offender's fingerprints and attaches the new arrest to an existing criminal record and SID. First offenders are issued a SID. This process occurs without regard to the person's name or other identifying information. Therefore, name-based searches are very unreliable because, even though the names are part of the CCH data base, they do not form the basis for record classification.

A case example follows that indicates how unreliable name-based searches can be:

1. "Michael Johnson" is arrested in 1990 for theft by the ABC Police Department. It is his first arrest. He is booked and fingerprinted by the arresting agency and the arrest information is sent to the ISP, which creates a new record and SID in the CCH data base.

2. The same Michael Johnson is arrested in 1991 for burglary by the XYZ Sheriff's Police Department. He tells the officer his name is "Joe Smith" (an alias). He is again booked and fingerprinted. When the ISP receives his arrest information, it will be posted to Michael Johnson's rap sheet based on his having the same fingerprints as the latter. Joe Smith will be listed as an alias.

3. Michael Johnson is picked up in 1992 by the EFG Police Department for suspicion of burglary. This time he uses "Ben Jones" as an alias. The EFG Police Department conducts a LEADS inquiry on Ben Jones. No record exists. If the evidence against the suspect is weak, the lack of a criminal record may be a deciding factor in releasing him. Had the agency fingerprinted him and sent the results to the ISP for inquiry, the results may have been different.

This practice occurs daily throughout Illinois. Because offenders often use alias names, dates of birth and other identifying information such as Social Security or driver's license

numbers, locating the offender's rap sheet using this same information may be fruitless. Because the records agencies receive — or more importantly, do not receive — may not reflect the person's actual record, conducting searches through nonfingerprint-based means may allow criminal offenders to slip through the cracks in the CHRI system. In fact, the present analysis indicates that even when the person is known to have committed a reportable offense, and when something less than a SID is used to locate his or her record (in this case, it was the offender's name, race, sex and dates of birth and arrest), more than one-fourth of all requests will indicate the person has no record at all.

Also, because so many arrests lead to convictions and because convictions (via court dispositions) cannot be posted to a rap sheet without a corresponding arrest, it is safe to say that requests for conviction information are even more likely to fail. This is especially important as there is a greater demand for conviction information. Therefore, agencies that request conviction information about prospective teachers, for example, may be receiving incomplete information because the chances of locating rap sheets are greatly reduced without fingerprints or SIDs.[69]

In addition, the use of LEADS or other name-based searches commonly used to check for CHRI may be especially problematic. This is especially true since LEADS inquiries now total about 1 million per year. The Firearm Transfer Inquiry Program (FTIP), which was created to prevent criminals from obtaining firearms, is contingent upon accurate and complete CHRI.[70] However, name-based searches may greatly reduce the program's effectiveness.

---

[69] Since July 1, 1995, all bus drivers are fingerprinted. However, conviction information for teachers is still based on the applicant's name, race, sex and date of birth.

[70] FTIP is a telephone inquiry system that requires federally licensed firearm dealers to call a 900 number, identify the dealer and transferee, and receive an approval or denial response concerning the current eligibility of the transferee to acquire a firearm. In Illinois, individuals must have a valid Firearm Owner's Identification (FOID) card to possess or acquire firearms. The FOID card ensures that the person meets the legal criteria for possession or acquisition of a firearm at the time of issuance.

The problems associated with name-based searches for CHRI are significant, but so are the problems in reading those rap sheets that could be located. The next section examines the readability of rap sheets and the important implications for the criminal justice community when rap sheets are difficult to comprehend.

Finding RS-2: Rap sheets are often difficult to read, and connecting events is time-consuming and frustrating. Some important identifiers were incorrectly entered onto the CCH data base. In addition, some events may not be essential and could be eliminated.

Reading rap sheets can be difficult (an example is contained in Appendix J). For example, the information contained on one may not be present on another; events do not necessarily follow one another in chronological order; some rap sheets are incomplete; and others may contain information that is difficult to understand. Events like the state's attorney charge information are redundant and serve little purpose. Each of these problems is discussed in greater detail below.

Finding RS-2.1: It is sometimes difficult to connect rap sheet events because they lack a common DCN. This makes it especially difficult to link custodial receipts to other submission types. Other factors also make readability problematic.

The lack of a common DCN between custodial events and other rap sheet events is probably the biggest obstacle to rap sheet readability. However, other items are also important. For example, rap sheet events are neither always in correct order, nor are they always grouped together to form a common link. In addition, most events are missing the statutory offense class of arrest charge or disposition, a notation on the rap sheet that greatly assists in understanding rap sheets.

Lack of a Common DCN

The gathering of information from arresting agencies, state's attorney, and clerks of the circuit court is essentially bifurcated from the gathering of custodial information. As discussed in the introduction, when a person is arrested, the events of his arrest, state's attorney charge decision and court disposition will be linked through a common DCN.

However, the custodial receipt, should there be one, is given another — different — DCN. The custodial receipt is normally linked to the other events through the court case number, a number that is applied by both the circuit court clerk and the agency receiving the offender into custody.

This process often breaks down because:

1) More than half of all arrests are missing the corresponding court disposition (see Finding RS-3, p. 118). When a court disposition is missing, the rap sheet often loses its link between the custodial receipt and the other events because the court disposition contains the court case number that should match to the court case number on the custodial receipt.

2) Even when court dispositions are present, they sometimes do not indicate the court case number. Essentially, this causes the same problems as #1, above. Without the court case number on the court disposition, there is no guarantee that the custodial receipt is necessarily a product of the disposition.

3) Many custodial receipts are missing from rap sheets (see Finding RS-4, p. 118). Obviously, without a custodial event, no link can be made to the court disposition or other related events.

Rap Sheet Order

Rap sheets are intended to present a group of events in reverse chronological order. That is, the offender's most recent arrest should be presented first. It should be immediately followed by the state's attorney charges, court disposition and custodial receipt and custodial status change (such as release). The second most current set of events should immediately follow the first in the same order: arrest, state's attorney charge, court disposition, custodial receipt and custodial status change. This process should be repeated for all reportable arrests. All groups of events are to be separated by a horizontal dotted line across the rap sheet. This signifies the end of one set of events and the beginning of another. Not all events may be

present. For example, if the offender was never incarcerated, there would be no custodial events on his or her rap sheet.

Although auditors found that this order of events is more the rule than not, they also found many instances in which events were out of place; linking them was very time-consuming. Most often, custodial receipts were found separated from the other events. In some cases, the custodial event was removed from the corresponding events by pages of unrelated events. Also, because so many events were missing court case numbers, auditors could not always be certain that the custodial receipt linked to a particular court disposition, even though the dates were somewhat close in time.

Statutory Class of Arrest Charge

Another device that makes it easier to read rap sheets is the statutory class of arrest charge, the notation made on rap sheets that indicates the severity of the offense. Statutory classes of arrest charges include Murder, Class X, Class 1, Class 2, Class 3 and Class 4 (felony offenses), and Class A, Class B and Class C (misdemeanors). Although Class C offenses do not have to be reported to the ISP, it will usually post these offenses to the CCH data base when they are received. This one number or letter provides a quick means to determine how dangerous the offender is and whether his or her crimes have become increasingly serious. Without the statutory class of arrest charge, the user has to examine the statute citation and offense description to determine the type of crime committed. Because the statutory class of arrest charge is a nonfatal error field, the ISP posts the arrest to a rap sheet even when the field has not been completed.

An analysis of rap sheets indicates that most arrests posted to the CCH data base are, in fact, missing the statutory class of arrest charge. Of course, the ISP cannot post this information to the data base unless agencies report the information. Both the cycle and the extended cycle analysis indicates a very high number of arrests that did not indicate the statutory class of arrest charge (see Table 19, p. 113). In total, rap sheet users probably receive the statutory class of arrest charge for less than half of all arrests listed on rap sheets.

Of the 5,657 cycle cases with the corresponding arrest, 3,178 (56.2 percent) were missing the statutory class of arrest charge.[71] Cases from the extended cycle were even more likely to be missing the statutory class of arrest charge. Of the total extended cycle cases, 2,173 (65.9 percent) were missing the statutory class of offense charge.

Table 19
Statutory Class of Arrest Charge
Cycle vs. Extended Cycle Analysis

Statutory Class of Arrest Charge	Cycle		Extended Cycle	
	Number of Cases	Percent of Total	Number of Cases	Percent of Total
Missing	3,178	56.2%	2,173	65.9%
Murder	50	0.9	12	0.4
Class X	66	1.2	23	0.7
Class 1	53	0.9	20	0.6
Class 2	164	2.9	76	2.3
Class 3	120	2.1	63	1.9
Class 4	188	3.3	83	2.5
Class A	1,777	31.4	787	23.9
Class B	40	0.7	18	0.6
Class C	21	0.4	43	1.3
Total	5,657	100.0	3,298	100.1[72]

Class A misdemeanors, meanwhile, were indicated on 1,777 (31.4 percent) of the cycle cases and 787 (23.9 percent) of the extended cases. Only 50 (0.9 percent) of the cycle cases

[71] As previously noted, only the most serious charge was recorded for cases with multiple charges.

[72] Figure does not equal 100.0 percent due to rounding.

indicated a murder[73], while 66 (1.2 percent) listed a Class X offense. Only 12 (0.4 percent) murders and 23 (0.7 percent) Class X offenses were listed in the extended sample.

In addition, the statutory classes of charges or dispositions also is usually missing from state's attorney and court dispositions (Table 20). For the cycle rap sheets that listed the respective state's attorney and court dispositions, 54.5 percent were missing the statutory class of charge reported by the state's attorney, while 47.9 percent were missing the statutory class of offense charge reported by the circuit court clerk. The figures for the extended analysis were slightly greater: 63.1 percent and 56.6 percent, respectively.[74]

Table 20
Percentage of Cases Missing the
Statutory Class of Charge/Disposition

Disposition Type	Cycle	Extended
State's Attorney	54.5%	63.1%
Court	47.9%	56.6%

Finding RS-2.2: The offense class of several arrest submissions was incorrectly entered as murders when, in fact, the offense class was a misdemeanor.

Incorrect Offense Class

The offense class of 50 cycle cases was listed as murder. However, upon examining the rap sheet's statute citation, audit staff discovered that only 16 of the cases were actually murders. The statute citations of the other cases included several batteries, thefts and so on. ISP officials indicated that agencies listed "m" on these submissions to indicate a

[73] Actually, only 16 cases were murders. The ISP incorrectly keyed the others. See Finding R2.2, p. 114, for additional information.

[74] Appendix K provides a complete list of the statutory classes of state's attorney charges and court dispositions.

misdemeanor.[75] However, the ISP vendor likely keyed them in such a way that the computer interpreted the "m" to indicate murder. ISP officials are aware of this problem and have taken corrective action.

Finding RS-2.3: State's attorney events usually duplicate arrest events information and are, therefore, unnecessary. In addition, court initiations are no longer entered into the CCH data base and also may be unnecessary.

Most state's attorney events are little more than a reiteration of the arrest charges. The ISP may be able to devote more resources to obtaining more valuable court dispositions if freed from the obligation of posting state's attorney charge decisions. In addition, court initiations, which are no longer entered because of insufficient resources, could be eliminated for similar reasons.

State's Attorney Charge Decisions

Audit staff discovered that nearly every rap sheet that listed an arrest event also listed the state's attorney charge information. Table 21 shows that of the 5,657 arrest events listed in the cycle sample, almost every one had a corresponding state's attorney disposition. The same was true in the extended cycle sample. In the cycle sample, only 25 cases (0.4 percent) listed an arrest with no corresponding state's attorney event; in the extended cycle, only 35

Table 21
Percentage of Arrests Listing State's Attorney Charge Decisions, Cycle vs. Extended Cycle Analysis

	Cycle		Extended Cycle	
Submission Type	Number	Percent of Arrests	Number	Percent of Arrests
Arrests	5,657	100.0%	3,298	100.0%
SA Dispositions	5,632	99.6	3,263	98.9

[75] Agencies that use the code "m" for misdemeanor are not following proper instructions. The instructions call for agencies to note the specific class of offense such as A, B, 1, 2, 3, and so forth.

cases (1.1 percent) had an arrest but no corresponding state's attorney event. Each rap sheet examined in the extended cycle (n = 369) had an average of 8.94 arrests and 8.84 state's attorney charge decisions.

State's Attorney Charge Decision Types

More importantly, almost all state's attorney dispositions were filed or direct-filed (Table 22). More than 91 percent of the state's attorney dispositions examined in the cycle analysis were direct-filed, as were 77.4 percent in the extended analysis. In the cycle, another 7 percent were filed by the state's attorney; 20.1 percent were in the extended analysis. The other categories comprise only 1.5 percent and 2.4 percent, respectively, of all cases reviewed.

Table 22
Types of State's Attorney Charge Decisions
for all Arrests Listing a State's Attorney Event,
Cycle vs. Extended Cycle Analysis

	Cycle		Extended	
Disposition Type	Number of Cases	Percent of Total	Number of Cases	Percent of Total
Direct Filed	5,149	91.4%	2,522	77.4%
Filed	397	7.0	655	20.1
Modified	7	0.1	12	0.4
Not Available	10	0.2	30	0.9
Not Filed	12	0.2	27	0.8
Not Reported	51	0.9	7	0.2
Other	6	0.1	3	0.1
Total	5,632	99.9[76]	3,256	99.9

In other words, of all state's attorney charge decisions reviewed, at least 97.5 percent

[76] Totals do not equal 100.0 percent due to rounding.

were the same as the arrest. Only 1.2 percent of all extended cycle cases and 0.3 percent of all cycle cases presented state's attorney charges that were modified or not filed. Because direct filings require no response from the state's attorney — they are, essentially, automatic upon ISP's receipt of the arrest document — most state's attorney's offices need do nothing to have their dispositions posted to the CCH data base.[77] In addition, nearly all of the remaining cases are filed through the normal filing process.

The need for state's attorney dispositions, aside from those that change what has already been reported by the arresting agency (such as modified or not filed), is questionable. Nearly every case makes its way into the court system. Because of this seeming redundancy, the ISP, if alleviated of entering state's attorney charge decisions, could put its resources to better use by focusing even more on processing court dispositions and obtaining those that are missing.

Court Initiations

Court initiations, like state's attorney charge decisions, appear to add little to rap sheet usefulness. The system would likely be improved through their deletion. By removing court initiations from the processing flow, the ISP could direct its resources to more useful purposes.

Court initiations were intended to signal the beginning of a case and to provide the ISP with the court case number critical to linking the court disposition to the custodial receipt, should one be forthcoming. However, as court dispositions precede custodial receipts and because court dispositions also provide the court case number, the court initiation segment adds very little to offenders' rap sheets and places a large burden on the ISP, which — until recently — processed all initiations.

---

[77] Arrangements for direct-filing dispositions are made between the state's attorney and officials at the ISP through a written correspondence between the parties.

Finding RS-3: While almost every arrest has a corresponding state's attorney charge, most are missing court dispositions.

Court Dispositions

While most cases that list an arrest also list the state's attorney charge (see p. 115), most are missing the court disposition (Table 23). In the cycle sample, 30.1 percent of the arrests examined had a corresponding court disposition; in the extended cycle sample, 43.2 percent did. These figures are in keeping with figures presented by audit staff in the CHRI system overview analysis.[78] Each rap sheet examined in the extended cycle analysis (n = 369) contained an average of 8.94 arrests but only 3.86 court dispositions.

Table 23
Percentage of Arrests Listing Court Dispositions,
Cycle vs. Extended Analysis

	Cycle		Extended	
Submission Type	Number	Percent of Arrests	Number	Percent of Arrests
Arrests	5,657	100.0%	3,298	100.0%
Court Dispositions	1,704	30.1	1,425	43.2

Finding RS-4: Custodial receipts are often missing from rap sheets when offenders are sentenced to incarceration.

Custodial Receipts

Audit staff also analyzed rap sheets to determine how well they reflected jail or prison receipts when courts sentence offenders to incarceration.

Cycle Analysis

Of the 5,657 total arrests that were present on cycle rap sheets, 1,704 (30.1 percent) listed a court disposition (see Table 23, above). Of the court dispositions, only 291 (17.1

[78] *An Overview of the Illinois Criminal History Records Information (CHRI) System: Part I of the 1993-94 Criminal History Records Audit.* Illinois Criminal Justice Information Authority, December 1994.

percent) listed a sentence of incarceration (Table 24A). Of the 291 rap sheets that listed a sentence to incarceration, 142 (48.8 percent) listed the corresponding custodial receipt.

Rap sheets were much more likely to reflect prison receipts than jail receipts. Of those 291 rap sheets that listed a custodial sentence, 159 were prison sentences and 132 were jail sentences. Of the 159 rap sheets that indicated a sentence to prison, 122 (76.7 percent) also listed the corresponding custodial receipt. However, of the 132 rap sheets that listed a jail sentence, only 20 (15.2 percent) listed the corresponding custodial receipt. In total, less than half (48.8 percent) of all rap sheets that indicated a court sentence to incarceration also listed the corresponding custodial receipt.

Table 24A
Number of Court Dispositions vs. Custodial Receipts
Cycle Analysis

Incarceration Type	Number of Court Dispositions Listing an Incarceration	Number of Custodial Receipts	Custodial Receipts as a Percent of all Court Dispositions
Prison	159	122	76.7%
Jail	132	20	15.2
Total	291	142	48.8

Extended Cycle Analysis

Figures for the extended cycle were generally similar to those of the cycle (see Table 24B, p. 120). Of the 3,298 total arrests that were present on rap sheets, 1,425 (43.2 percent) listed a court disposition. Of the court dispositions, 336 (23.6 percent) listed a sentence of incarceration. Of the 336 rap sheets that listed a sentence to incarceration, 142 (42.3 percent) — the same number of custodial receipts present in the cycle sample — listed the corresponding custodial receipt. Each rap sheet examined during the extended cycle analysis contained, on average, 0.42 custodial receipts.

Like the cycle sample, rap sheets were much more likely to reflect prison receipts than

jail receipts. Of the 336 rap sheets that listed a custodial sentence, 226 were prison sentences and 110 were jail sentences. Of the 226 rap sheets that indicated a sentence to prison, 134 (59.3 percent) also listed the corresponding custodial receipt. However, of the 110 rap sheets that listed a jail sentence, only eight (7.3 percent) listed the corresponding custodial receipt. Like the cycle sample, less than half (42.3 percent) of all rap sheets in the extended cycle analysis that indicated a court sentence to incarceration also listed the corresponding custodial receipt.

Table 24B
Number of Court Dispositions vs. Custodial Receipts
Extended Cycle Analysis

Incarceration Type	Number of Court Dispositions Listing an Incarceration	Number of Custodial Receipts	Custodial Receipts as a Percent of all Court Dispositions
Prison	226	134	59.3%
Jail	110	8	7.3
Total	336	142	42.3

Recommendations

1) The Authority recommends that, whenever possible, agencies requesting rap sheets or other CHRI provide to the ISP the subject's fingerprints and other identifying information. The Authority recommends that SIDs be used when fingerprints are not available. The Authority recommends that name-based searches be used as a last resort. In addition, the Authority recommends that the ISP, with the assistance of the Ad Hoc Committee on Dispositional Reporting, study alternatives to name-based searches and that these be presented to both criminal and noncriminal justice agencies as quickly as possible.

2) The Authority suggests that rap sheet information be streamlined and that rap sheets be made easier to read. The following may assist in this endeavor:

A) A common DCN be used for all events that are linked, including the custodial events;

B) The ISP take all necessary programmatic steps to ensure that rap sheet events are in an order that makes it easy for rap sheet users to understand the sequence of events;

C) The ISP, through its contacts with local agencies, stress the usefulness of the statutory class of the arrest charge (and statutory class of charges reported by the circuit court clerks) and that agencies make every effort to add this information to submissions sent to the ISP;

D) Measures to prevent "murder" from appearing on those rap sheets whose statutory class of offense charge field should indicate a "misdemeanor" offense;

E) The elimination of most of the state's attorney charge segment. State's attorneys should send only filing modifications, additions and declinations to the ISP. The ISP should stop processing all other charge information. The ISP would continue its practice of not entering court initiations into the CCH data base, while it informs circuit court clerks that they no longer need to complete and mail these forms.

3) The Authority recommends the ISP revise the arrest/disposition/custodial card configuration

in conjunction with the Ad Hoc Committee on Dispositional Reporting and other interested parties throughout Illinois. Suggested revisions are:

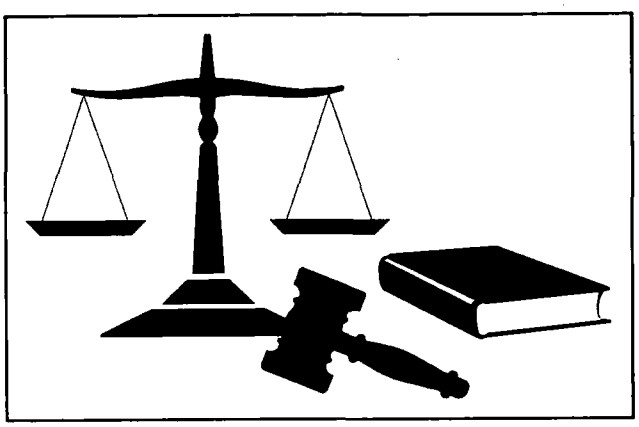
- Pg. 1: Arresting Agency Report.
- Pg. 2: Court Disposition Report.
- Pg. 3: Custodial Receipt Report.
- Pg. 4: Custodial Release Report.
- Pg. 5: Arrest Agency Fingerprint Card.
- Pg. 6: Custodial Receipt Fingerprint Card.

The new report would continue to be four pages long with the addition of the custodial receipt and release pages, while two pages would now be used for fingerprints. The arresting agency copy (currently, page 2) and the state's attorney's report (currently, page 3) would be eliminated. All four copies would contain the same DCN. The separate custodial receipt and status change cards would be eliminated. Agencies would be encouraged to make copies of all submissions sent to the ISP.

This suggestion should be considered a starting point for discussion. Certain modifications will likely be necessary, especially considering the rapid progress of automated reporting methods.

4) The Authority recommends the Ad Hoc Committee on Dispositional Reporting devise an action plan to ensure that court dispositions are submitted and posted to the CCH data base in a timely manner and design a plan that will try to obtain those dispositions currently missing from the CCH data base.

5) The Authority encourages officials at the ISP to meet with officials from the IDOC and the county sheriffs to develop strategies to ensure the delivery and subsequent posting of all custodial receipt and status change submissions.



SECTION 5

RAP SHEET ANALYSIS OF INMATES RELEASED FROM IDOC CUSTODY

Introduction

Audit Goals

One of the audit's goals was to determine how well criminal history record rap sheets of recently released inmates reflect the events leading up to the inmate's present incarceration. Inmates incarcerated in the IDOC are likely to be among the most serious offenders in the state and probably have extensive criminal histories; statistics indicate that they are likely to commit other offenses upon their release from prison. Therefore, it is imperative that criminal justice practitioners have the most timely, accurate and complete criminal history records of these offenders so that they can make informed decisions, such as whether offenders should be prosecuted, the amounts of bail to set, and whether convicted offenders should be sentenced to incarceration.

Another audit goal was to replicate work conducted in a previous audit. The Authority's 1992 audit examined the rap sheets of 362 inmates in IDOC custody.[79] Although the 1995 audit uses a much larger sample (937 inmates) than the 1992 audit, the analyses are comparable. Therefore, this is the only section in this report that measures whether the ISP has improved its record-keeping function.

Measuring the degree to which specific information appears on incarcerated offenders' rap sheets is important since they are likely to be among the state's most dangerous residents, and Illinois statutes require that the IDOC and sheriff of each county submit certain information to the ISP concerning them. Although sheriffs are required to report certain information, the 1995 audit (like the one in 1992) analyzed information about inmates being released from IDOC custody only because the manner in which the IDOC processes these offenders through the correctional system is in itself an important part of criminal history record reporting.

---

[79] *1992 Audit of the Illinois Computerized Criminal History System.* Illinois Criminal Justice Information Authority. December 1992.

Reporting IDOC Custodial Information to CCH

The IDOC and the sheriff of each county are required by law to report the following data to the ISP, which then become part of the CCH data base:

> [A]ll information concerning the receipt, escape, execution, death, release, pardon, parole, commutation of sentence, granting of executive clemency, or discharge of an individual who has been sentenced to the agency's custody for any offenses which are mandated by statute to be collected, maintained, or disseminated by [the ISP].[80]

Information sent by the IDOC to the ISP is first assembled when inmates arrive at a correctional facility; the data also are maintained on the IDOC's own tracking system. Additional information is sent to the ISP upon the inmate's release from custody. Transfers of inmates to and from the various IDOC facilities and community correctional centers are not currently reported to the ISP.

After being sentenced to prison by the courts, newly-convicted offenders (or former inmates who have violated conditions of their release) are transferred from a county jail to one of four IDOC reception and classification (R&C) centers. About 88 percent of all male IDOC prisoners are processed at the R&C center in Joliet; the other males are processed at the Graham or Menard R&C centers. All female prisoners are processed at the Dwight R&C center. Inmates are fingerprinted early in the process so their identities can be verified and criminal history records can be obtained.

Information obtained through tests, evaluations and interviews is entered into the IDOC's Offender Tracking System (OTS) through remote terminals located at each R&C center. The specific receipt information required for CCH is derived by IDOC officials from the court mittimus document (the document officially committing the offender to IDOC custody) and the interview process. The IDOC sends this information and the subject's fingerprints to the ISP on a multi-copy custodial reporting form, which is different from the

---

[80] 20 ILCS 2630/2.1 (2)(e).

multi-copy arrest fingerprint form used by police, state's attorneys and circuit court clerks (see Introduction p.18 for a copy of the custodial reporting documents). Therefore, the DCNs on the custodial form will be different from the DCN on the arrest form. This makes it difficult to link custodial events to arrest and disposition events (see Finding I-3, pp. 138-140 for more on this topic).

Information about each physical descriptor on the custodial form (such as sex, race, hair color, skin tone, height, weight, eye color, scars/marks/tattoos) and the place of birth are derived from the mittumus and through observation and interview by the IDOC staff. The subject's name, date of birth, SID and court case numbers are also derived from the mittimus. The OTS will produce an existing IDOC identification number for subjects previously incarcerated in the IDOC or assign a new number. The identification number will be included on the custodial reporting form. All information is entered into the OTS and then printed on the custodial reporting forms at each R&C center. One copy is sent to the ISP with the subject's fingerprints. The other three copies are sent with the subject to his or her institutional assignment.

The R&C centers typically deliver the forms with the original fingerprints to the ISP's BOI by vehicle. The Menard R&C center provides fingerprint cards via facsimile and mails custodial forms to the ISP. Generally, rap sheets are printed by the ISP and returned to the R&C centers within a few days.

Typically, no other data is sent by the IDOC to the ISP until the offender is released from custody (or he/she escapes, dies, and so on). Because the vast majority of inmates are sent to mandatory supervised release (MSR) that is the most commonly reported category. Subjects on MSR are placed into community supervision after leaving institutional custody. The IDOC staff report releases on the forms sent along with the inmate to his or her institutional assignment. Because the release form's DCN is the same as the custodial receipt form's DCN, upon receipt of the IDOC release information, staff at the ISP are able to link this event with information from the inmate's custodial receipt.

Methodology

For this sample, audit staff chose inmates projected to be released from IDOC custody in May 1995.[81] A list of those inmates that also included their IDOC numbers, full names, dates of birth, SIDs and races was provided by IDOC staff. Using the SID (or other identifying information when it was not available), the ISP located and provided rap sheets corresponding to each inmate.

Table 25 lists the offense class types for the 398 offenders that had IDOC receipts, the arrest, and court disposition listed on the rap sheet.[82] When more than one class was listed, only the most serious class was noted. Most offenders were incarcerated for Class 1 or Class 2 felonies (56.3 percent). Offense classes were missing on 44 (11 percent) of the rap sheets.

Table 25
Most Serious Offense Classes From Rap Sheets
With IDOC Receipts, Arrests, and Court Dispositions

Class	Number of Cases	Percent of Total
Murder	2	0.5%
Class X	56	14.1
Class 1	103	25.9
Class 2	121	30.4
Class 3	42	10.6
Class 4	30	7.5
Missing	44	11.0
Total	398	100.0

[81] Because of the time needed to conduct the analysis, the IDOC provided the list of projected releasees to audit staff in October 1994. Because of "good time" credit and other factors, 30 percent or more of the inmates projected to be released may or may not have been released in May.

[82] The custodial receipt segments of rap sheets do not indicate the class of offense committed by the offender that led to the present incarceration; therefore, the next nearest event, the court disposition, is the best indicator of the type of offense committed.

The goal of the analysis was to determine how well criminal history record rap sheets reflected the series of events they should contain. However, unlike the "cycle and extended cycle audit" (see Section 4, pp. 101-122), the goal in the "IDOC audit" was to work *backward* from the present incarceration. Because a person is incarcerated, there should be a custodial receipt listed on his or her rap sheet. In addition, all events leading up to the incarceration (arrest, state's attorney's charge information and court disposition) should also be present.[83] When one or more events is missing, there is a discrepancy. The rap sheet is incomplete, and therefore, of lesser value to criminal justice practitioners than it could be.

Audit staff analyzed each rap sheet to determine if: 1) the rap sheet indicated the custodial receipt for the inmate's current incarceration; and 2) the court disposition, state's attorney charge information and arrest leading up to the incarceration were present.

First, audit staff located the last chronological event on the rap sheet. Given that the inmate was incarcerated at the time of the analysis, the last event listed on the rap sheet should have been a custodial receipt specifying the incarceration. Staff noted all of the rap sheets missing that last custodial receipt. No further analysis was conducted on those rap sheets.

For rap sheets that listed a custodial receipt as the last event, audit staff tried to link the custodial receipt to the arrest, state's attorney charge information and court disposition. Because custodial receipt DCNs are different than the DCNs of arrests, state's attorney's charges and court dispositions, DCNs could not be used to link the custodial receipt to other events. Instead, the link was usually made through the custodial receipt's court case number to the court disposition's court case number, which should be the same. In some cases (for instance, when the court disposition did not list a court case number), the link was made to court case numbers on the state's attorney charge or arrest segments. Finally, some custodial

[83] There are exceptions to this rule. For example, some inmates may have been served through a court summons. In such instances, there may be no arrest listed.

receipts were linked to the court disposition through the proximity of the court disposition date to the custodial receipt date.

In any case, once a link was made from the custodial event to any of the other three events, the arrest, state's attorney charge and court disposition were all linked to each other using the DCN. Also, because neither court dispositions nor state's attorney's charge information is posted to a rap sheet without an arrest, arrests were always used as the next connection to the custodial event. The next section describes analysis of the data.

Audit Findings

Audit staff found that great improvements in rap sheet completeness have been made during the last three years. For instance, in 1992, only one rap sheet in seven contained information reflecting the most current custodial receipt, the originating arrest, the state's attorney charge information, and the court disposition specifying a custodial sentence. In 1995, this figure was about one in every two-and-a-half cases.

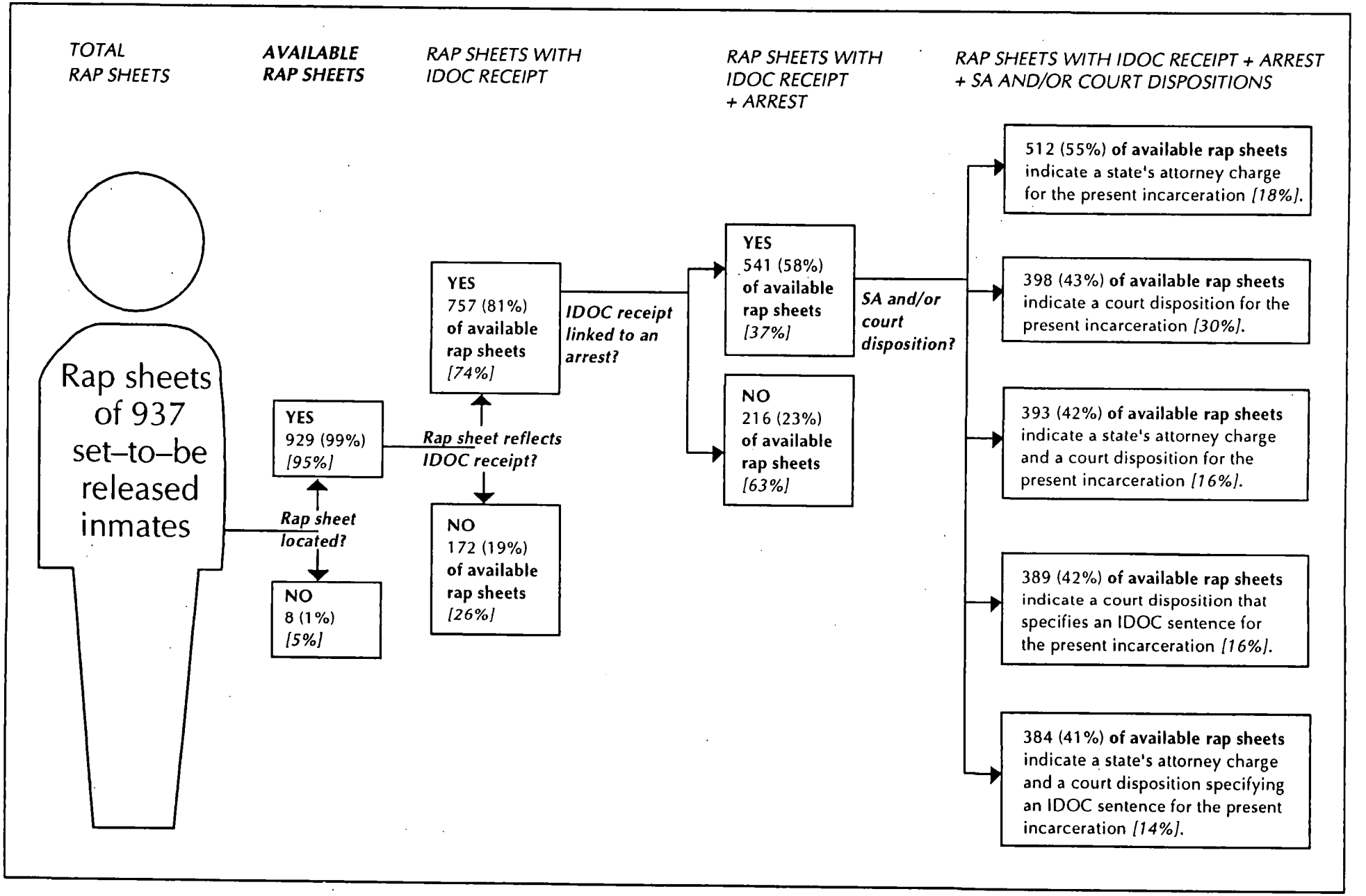
However, problems remain regarding rap sheet completeness. For example, some rap sheets still do not reflect inmates' receipt into custody. Moreover, even when the IDOC custodial receipt is accounted for, many rap sheets are missing one or more of the other events leading up to the incarceration. Figure 19, p. 131, illustrates the rap sheet completeness of 937 inmates the IDOC estimated would be released in May 1995. Figures from the 1992 audit are in brackets to illustrate change since that time. The rest of this section explains these problems in more detail.

Missing Rap Sheets

Missing rap sheets are still a hindrance to a complete and accurate audit. However, this problem is less acute than it was in 1992. Of the 937 inmates that were to be released (see Figure 19, p. 131, *Total Rap Sheets* column), the ISP did not provide rap sheets for eight people (1 percent of the total population) during the audit analysis.[84] This is an improvement from the 1992 audit when the ISP could not retrieve 21 of the 368 requested rap sheets, or 5.7 percent of the records. In total, the ISP provided audit staff with 929 rap sheets in 1995 (see Figure 19, p. 131, *Available Rap Sheets* column).

[84] All of the rap sheets were later located after the analysis had already been completed.

Figure 19
Rap sheet completeness for 937 IDOC inmates set–to–be released in May 1995



Finding I-1: Some criminal history record rap sheets fail to reflect that known inmates are, in fact, incarcerated.

Rap Sheets Missing Custodial Receipts

Of the 929 available transcripts, 757 (81 percent) indicated that the inmate was, in fact, incarcerated (see Figure 19, p. 131, *Rap Sheets with IDOC Receipt* column). This is an improvement over the 74 percent that were available in 1992. Although the improvement of 7 percent is important, this still indicates that 19 percent of the sample (172 inmates) had rap sheets that did not accurately reflect that the inmates were currently incarcerated.

There is some indication that the ISP may not have received some of the custodial receipts for these inmates. Of course, submissions not sent to or received by the ISP cannot be posted to the CCH data base. Near the end of this audit, ISP officials indicated that the IDOC gave it thousands of custodial cards that may have included inmates from the audit sample. According to ISP officials, the IDOC said the cards were never sent to the ISP and should now be entered onto the CCH data base. All of the timeliness tests performed during the audit (see Section 2, pp. 29-60) indicate the ISP has, over the last year, performed admirably with regard to entering and posting custodial receipts. Of the 475 custodial receipts it received during the timeliness tests, more than 94 percent were posted to the CCH data base within 90 days.

Finding I-2: Even when rap sheets accurately reflect the incarceration, they often lack arrest and disposition events leading up to it.

After analyzing the custodial receipts, audit staff studied the events leading up to the incarceration.[85] Arrests were used as the next "link" to the custodial receipt. Without arrests,

[85] Every custodial receipt does not necessarily require a corresponding arrest, state's attorney charge information and court disposition. Audit staff determined that the audit sample may contain three such cases (however, without more complete information regarding the offenses and the number of times these offenses have been committed, audit staff could not be certain if the offenses were reportable). Audit staff decided to include all rap sheets in the sample regardless of offense because 1) removing the three rap sheets would have little effect. For instance, the 1995 figure in Table 1 would increase by only 0.2 percent. And 2) such rap sheets were not removed in the 1992 audit. Excluding the rap sheets in the 1995 sample could compromise any comparisons between the two years.

neither state's attorney charges nor court dispositions will be posted to the rap sheet. Instead, the events will be placed in a "pending" file until the arrest arrives.

Arrests

Of the 929 available rap sheets, only 541 (58 percent) had the IDOC receipt and an arrest that could be clearly linked to the receipt (see Figure 19, p. 131, *Rap Sheets with IDOC Receipt + Arrest* column). In some cases, the arrest could be present on the rap sheet but there is no link to that arrest. For example, the DCNs may be missing from the arrest or the court disposition, or the court disposition itself may be missing, making it difficult to determine which events, if any, are related to the incarceration. Without the link, there is no way of knowing, with any certainty, that the arrest led to the inmate's incarceration (see Finding I-3, pp. 138-140, for more on this subject).

However, Table 26 indicates that the number of rap sheets with an arrest that could be linked to the custodial receipt had increased tremendously since 1992. In that year, only 36.5 percent of the total rap sheets and 49.4 percent of those that had an IDOC receipt listed had arrests that connected to the custodial receipt. The present analysis indicates that these figures increased substantially. More than 58 percent of the total rap sheets and 71.5 percent of those with custodial receipts now list a corresponding arrest. In sum, the number of arrests on rap sheets for people set to be released by the IDOC has increased more than 20 percent in the last three years.

Table 26
Percentage of Rap Sheets with an Arrest that Links to an IDOC Custodial Receipt

	1992	1995	Net Change
Of available rap sheets	36.5% (N = 132/362)	58.2% (N = 541/929)	+ 21.7%
Of those with an IDOC receipts	49.4% (N = 132/267)	71.5% (N = 541/757)	+ 22.1%

These figures also reveal that there is still room for improvement. Even when audit staff analyzed only those 757 rap sheets that indicated an IDOC receipt, 216 (more than 28 percent) still did not have an arrest that clearly connected them to the receipt. When all available rap sheets were taken into account, almost 42 percent of the cases were still missing the corresponding arrest.

State's Attorney Charges

After the arrests were linked to a custodial receipt, auditors then linked state's attorney charges and court dispositions to the arrest (see Figure 19, p. 131, *Rap Sheets with IDOC Receipt + Arrest + SA and/or Court Dispositions* column). Tables 27 through 32 reveal the number of state's attorney charges and court dispositions that could be linked to the arrest and custodial receipt. Of all rap sheets received, about half (55.1 percent) contained a state's attorney charge for the custodial receipt (see Table 27). This number was still very low, but improved significantly over 1992, when only 18.2 percent of the sample contained the state's attorney charge.

Table 27
Percentage of Rap Sheets with an IDOC Receipt, Arrest and State's Attorney Charge

	1992	1995	Net Change
Of available rap sheets	18.2% (N = 66/362)	55.1% (N = 512/929)	+ 36.9%
Of those with an IDOC receipt	24.7% (N = 66/267)	67.6% (N = 512/757)	+ 42.9%
Of those with an IDOC receipt and present arrest	50.0% (N = 66/132)	94.6% (N = 512/541)	+ 44.6%

Table 27 does, however, reveal that the numbers significantly improve when one takes into account only those rap sheets with IDOC receipts or those with both IDOC receipts and arrests. For example, state's attorney charges are present in almost 68 percent of the cases

where an IDOC receipt is indicated on the rap sheet and on almost 95 percent of the rap sheets having both a custodial receipt and an arrest. Both figures are up substantially from the 1992 figures of 24.7 percent and 50 percent, respectively.

Court Dispositions

There were fewer court dispositions present on rap sheets than state's attorney charges (see Figure 19, p. 131, *Rap Sheets with IDOC Receipt + Arrest + SA and/or Court Dispositions* column). As Table 28 indicates, of the 929 available rap sheets, court dispositions could be located on only 398, or 42.8 percent of the total. However, this is an increase over the 1992 figure, when only 30.1 percent of the total had court dispositions.

Table 28
Percentage of Rap Sheets with an IDOC Receipt, Arrest and Court Disposition

	1992	1995	Net Change
Of available rap sheets	30.1% (N = 109/362)	42.8% (N = 398/929)	+ 12.7%
Of those with an IDOC receipt	40.8% (N = 109/267)	52.6% (N = 398/757)	+ 11.8%
Of those with an IDOC receipt and present arrest	82.6% (N = 109/132)	73.6% (N = 398/541)	- 9.0%

Court dispositions are present on 52.6 percent of the rap sheets having an IDOC receipt and 73.6 percent of those with both the custodial receipt and an arrest. The former figure is an increase of almost 12 percent over the 1992 figure of 40.8 percent. However, the latter figure is actually lower than the 1992 figure, largely due to the relatively small number of cases in this category in 1992. The figures still reveal that, even in a best case scenario (rap sheets with both IDOC receipt and the arrest), more than one-fourth of the rap sheets lack the court disposition.

State's Attorney Charges and Court Dispositions

Rap sheets were also analyzed to determine if both state's attorney charges and court dispositions were present (see Figure 19, p. 131, *Rap Sheets with IDOC Receipt + Arrest + SA and/or Court Dispositions* column). Table 29 presents the 1992 and 1995 figures. The figures look very similar to those in Table 28, p. 135. Both state's attorney charge information and court dispositions were present on 42 percent of all rap sheets received, almost 52 percent of those with IDOC receipts, and nearly 73 percent of those records with both the IDOC receipt and the arrest. Depending on the type of analysis, these figures are 26 percent to almost 31 percent greater than the figures from the 1992 audit. Again, even in the best case scenario (those rap sheets with both an IDOC receipt and arrest present), more than 27 percent were missing these two pieces of information.

Table 29
Percentage of Rap Sheets with an IDOC Receipt, Arrest, State's Attorney Charge and Court Disposition

	1992	1995	Net Change
Of available rap sheets	15.7% (N = 57/362)	42.3% (N = 393/929)	+ 26.6%
Of those with an IDOC receipt	21.3% (N = 57/267)	51.9% (N = 393/757)	+ 30.6%
Of those with an IDOC receipt and present arrest	43.2% (N = 57/132)	72.6% (N = 393/541)	+ 29.4%

Court Dispositions Specifying an IDOC Sentence

Another important finding was that some court dispositions do not indicate that offenders were, in fact, sentenced to incarceration (see Figure 19, p. 131, *Rap Sheets with IDOC Receipt + Arrest + SA and/or Court Dispositions* column). The present sample indicates there were nine records with a court disposition that did not indicate a sentence of incarceration when such a sentence should have been noted.

Whereas Table 28, p. 135, presents all of the available court dispositions, Table 30 shows those court dispositions that specify an IDOC sentence. About 42 percent of all rap sheets received contained a court disposition specifying the IDOC sentence, as did more than 51 percent of those with IDOC receipts, and almost 72 percent of those with both the IDOC receipt and the arrest. The differences from Table 28 are less than 2 percent for all categories. The differences between Table 28 and Table 30 are somewhat greater for the 1992 data. In sum, these data indicate that when court dispositions are posted, the rap sheets are now more likely to indicate the sentence to incarceration than they did in 1992.

Table 30
Percentage of Rap Sheets with an IDOC Receipt, Arrest, and Court Disposition Specifying an IDOC Sentence

	1992	1995	Net Change
Of available rap sheets	27.3% (N = 99/362)	41.9% (N = 389/929)	+ 14.6%
Of those with an IDOC receipt	37.1% (N = 99/267)	51.4% (N = 389/757)	+ 14.3%
Of those with an IDOC receipt and present arrest	75.0% (N = 99/132)	71.9% (N = 389/541)	- 3.1%

State's Attorney Charges and Court Dispositions Specifying an IDOC Sentence

Table 31, p.138, reveals the number of rap sheets containing both the state's attorney charge and court disposition listing an IDOC sentence. The 1995 figures are also listed in Figure 19, p. 131, *Rap Sheets with IDOC Receipt + Arrest + SA and/or Court Dispositions* column. The 1995 figures in Table 31 closely approximate those in Table 30, above. However, there is a large disparity from the 1992 figures. This difference indicates that, in 1992, many rap sheets were missing the state's attorney disposition even when the court disposition specifying an IDOC sentence was present. In the 1995 sample, there were few (only five) such cases. This indicates that more state's attorney dispositions are getting posted.

Table 31
Percentage of Rap Sheets with an IDOC Receipt, Arrest, State's Attorney Charge and Court Disposition Specifying an IDOC Sentence

	1992	1995	Net Change
Of available rap sheets	14.1% (N = 51/362)	41.3% (N = 384/929)	+ 27.2%
Of those with an IDOC receipt	19.1% (N = 51/267)	50.7% (N = 384/757)	+ 31.6%
Of those with an IDOC receipt and present arrest	38.6% (N = 51/132)	71.0% (N = 384/541)	+ 32.4%

Finding I-3: Linking the custodial receipt to other criminal history record events is often time-consuming and confusing.

Difficulty Linking Rap Sheet Events

One of the great difficulties audit staff encountered during the rap sheet analysis was determining whether events listed on the rap sheet were related to the custodial receipt (see Introduction, pp. 13-18, for a discussion of the means used to report information to the ISP, and Section 2, pp. 110-117, for a discussion of problems associated with rap sheet translation). In general, it is often difficult to follow the sequence of events from an incarceration back to the arrest or to the state's attorney charge and court disposition, and doing so is sometimes very time-consuming and confusing. Criminal justice practitioners trying to follow these events may become frustrated at the number of events that are missing court case numbers, dates, or other information that may assist rap sheet analysis. When events are not linked, the user is left with several incompatible entries, instead of a clear sequence of the offender's contacts with the criminal justice system.

In the present analysis, the custodial receipt was linked to other events through the court case number. Because custodial DCNs differ from the DCNs of other events, neither DCN could be used to link arrests, state's attorney charges, or court dispositions to the

custodial receipt. The court case number on the custodial receipt segment should be the same as that on the court segment (or, in some cases, as the state's attorney charge segment or even the arrest). However, because the court case number was sometimes missing from one event or the other, it was not always possible to link events through it. In such cases, audit staff members used their best judgment to match the rap sheet's court disposition date to its custodial receipt date.[86]

The custodial receipt's court case number could be linked to the court disposition's court case number in 354 of the 541 cases (65.4 percent) where there was both an IDOC receipt and an arrest (see Table 32). In 41 cases (7.6 percent), court case numbers from the custodial receipt were linked to court case numbers in the state's attorney charge segment. In 10 cases (1.8 percent) the link was made to a court case number on the arrest segment.

Table 32
Methods Used to Link Custodial Receipts to Other Events

Method	Total cases (N = 541)	Percent of total
Court case number link to court disposition	354	65.4%
Court case number link to state's attorney charge	41	7.6
Court case number link to arrest	10	1.8
Link based on dates of custodial event and court disposition	136	25.1

[86] When the court case number of the custodial receipt did not match the court case number on the court disposition and the dates of the two were far apart, auditors made no assumptions about either the state's attorney charge segment or the arrest. In other words, neither dates of arrest nor dates of state's attorney charges were linked to dates of custodial receipts. Because other arrests may have occurred after the posted arrests (meaning one of those subsequent arrests could have been the one leading to the incarceration), using the posted arrest without a direct connection could be misleading.

A substantial number of cases (136, or 25.1 percent) could not be linked through court case numbers. Instead, the custodial receipts were linked to court dispositions through the proximity of the dates of the two events. For example, if the rap sheet's court disposition indicated that the offender was sentenced to IDOC custody on March 1, 1993, and the custodial receipt section indicated that he was received on March 3, 1993 (even though one or both events were missing the court case number), these events were linked.

Conclusion

Incompleteness of criminal history record rap sheets continues to be a problem. This is especially true for those people set to be released from IDOC custody. For example, almost 59 percent of the 929 rap sheets sampled in this part of the study did not reflect all of the events leading up to the current incarceration. Because these people are among those considered the most violent and prone to recidivism, the criminal justice system must be extremely vigilant to ensure that rap sheets completely and accurately reflect the offender's entire criminal history.

Rap sheets have improved considerably in the three years since the last such analysis. In 1992, 36.5 percent of all available rap sheets had an arrest linked to the custodial receipt; in 1995, this figure had increased to 58 percent. In 1992, 14 percent of sampled rap sheets reflected the IDOC receipt, the arrest, the state's attorney charge, and the court disposition specifying an IDOC sentence; in 1995, this number had jumped to 41 percent. Finally, in 1992, 74 percent of the rap sheets reflected the present incarceration; in 1995, this figure increased to 81 percent.

Recommendations

Since the 1992 audit, the ISP has taken steps to improve the processing of criminal history records. With the support of the Ad Hoc Committee on Dispositional Reporting, criminal history record information continues to improve. However, some of the recommendations from the 1992 audit were never implemented. In fact, the recommendations listed below (although modified slightly) are many of the same ones from the 1992 audit and remain pertinent today. Action on these recommendations should start as soon as possible.

1) The Authority recommends that the ISP develop an implementation strategy and timetable for updating inmates' criminal histories to ensure that all people received by the IDOC have accurate and complete criminal history records before they are released. The period of incarceration should be viewed as a "window" during which this process can be completed. The IDOC should provide the necessary assistance to implement this program. The strategy should be reviewed by the Ad Hoc Committee on Dispositional Reporting and submitted as a recommendation to the Authority.

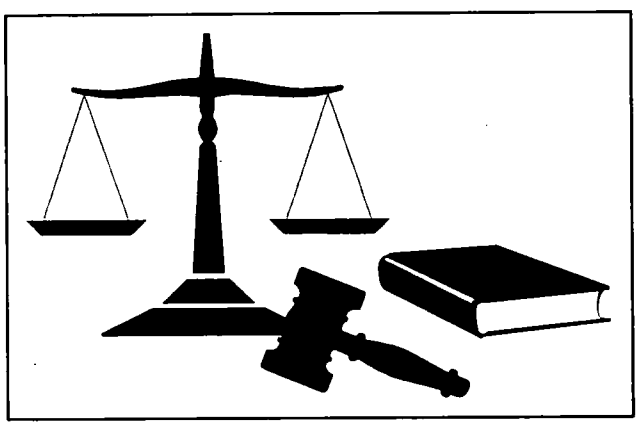
2) Changing the reporting forms so that all events have a common DCN is a very important step to ensure accurate records processing. However, the Authority also suggests that the Illinois Supreme Court and the ISP establish a policy that makes the court case number a mandatory field for the reporting of all court and custodial submissions to CCH, and that the ISP take steps to obtain the number in a timely manner when it is absent from those submissions.

3) The Authority also recommends that the ISP provide training or other guidance to help criminal justice personnel interpret criminal history rap sheets, especially with respect to linking corresponding case events that appear on the rap sheet.

4) The Authority urges the ISP, in its long-range plans, to:

A) implement a unified tracking mechanism that links all corresponding criminal justice events, from arrest to incarceration; and

B) optimize the use of electronic data transfers between criminal justice agencies that report CHRI to eliminate errors and omissions associated with manual data handling.



SECTION 6

POLICIES AND PRACTICES OF POLICE DEPARTMENTS

Introduction

During March 1994, all agencies from the audit sample were mailed questionnaires regarding their CHRI policies and procedures.[87] Initially, the sample included 110 police departments, five state's attorney's offices, five clerks of the circuit courts and five county jails. Eventually, 103 police departments responded to the survey. Because of the small sample size and the low response rate from nonpolice agencies, their responses were not analyzed.

Through their responses, police departments provided useful details concerning how they maintain, report and protect CHRI, including their compliance with the federal regulations and state statutes that govern these practices.

Although some questions were close-ended, requiring a "yes" or "no" response, agencies were provided with an opportunity to comment on each one. Other questions were open-ended, which required a more detailed response. Some agency responses were difficult to categorize or were incomplete. Not all agencies responded to every question. Therefore, the number of responses varied by question. Even with the inherent limitations of voluntary surveys, the questionnaire provided useful information regarding agency CHRI practices. Based on survey responses, we concluded that several areas need improvement at the local level; these areas have been condensed into one broad finding.

[87] Initially, agencies sent questionnaires were the same ones chosen for the reverse and cycle portions of the audit. All returned questionnaires were included in this analysis regardless of whether the agencies were subsequently eliminated from the other segments.

Agency Responses

Finding: Although most police departments are fully aware of statutory regulations and other requirements for maintaining, reporting and storing CHRI, some are not.

- *Two agencies were not aware that there is a statutory requirement to send arrest information to the ISP (see Question B3, p. 148);*
- *Many agencies (up to 20 percent of those responding) did not have policies/procedures in place to report certain offense types (B4, p. 148);*
- *Most agencies do not submit arrest information to the ISP on a daily basis as required by Illinois statutes (B6, p. 150);*
- *Some agencies do not contact the ISP when the agency decides not to prosecute offenders (B9, p. 151);*
- *Others do not send error correction notices to the ISP as required (B10, p. 151);*
- *Some agencies fail to forward pages 3 and 4 of the state five-part arrest card form to the state's attorney (B12, p. 151); and*
- *Several agencies do not follow adequate security measures in preserving their CHRI, including physical security and authorized access (C1, p. 152); limiting access to authorized data and functions (C2, p. 152); protecting CHRI storage areas (C4, p. 155); securing CHRI terminals (C5, p. 153); and taking appropriate measures to store and destroy records containing CHRI (C6, p. 153).*

The CHRI system is greatly affected when police departments fail to abide by CHRI reporting requirements. For instance, an agency that fails to provide arrest information to the ISP after the arrest of a felon has precluded other agencies from receiving information on this arrest. Similarly, the completeness and timeliness of CCH information is affected when an agency fails to submit arrest reports daily, fails to forward information to the state's attorney, or does not notify the ISP when there are record errors or when the agency decides not to refer the case for prosecution. Finally, agencies that fail to maintain proper CHRI security may compromise the information itself.

The questionnaires provided the most effective and efficient means to determine how many agencies abide by the statutes and regulations that govern criminal history record reporting. Agency responses are divided into five categories: CHRI file maintenance; reporting to the ISP; other agency policies; training; and suggested system improvements. Each is described in more detail below. The number to the right of each category indicates the

number of agencies that responded to the question. Percentages were rounded to the nearest whole number. All figures may not total 100 percent as some agency responses could not be categorized.

A. CHRI File Maintenance

Maintaining complete, accurate and accessible CHRI is essential to both criminal and many noncriminal justice agencies that rely on CHRI to perform the essential functions of their respective agencies. The questionnaires asked law enforcement agencies to respond to questions regarding the type of CHRI each maintains, the manner in which the information is kept, and the duration of time CHRI is preserved.

A1. Types of CHRI maintained. (n = 96)

Some CHRI file types (such as arrest reports, jacket files, fingerprint cards and photos) appear to be used consistently more than others. Of the 96 agencies that responded, 68 percent said they maintain more than one type of CHRI file. Fifty-four percent also noted the agency maintains arrest/fingerprint cards, while 49 percent said they keep the offender's arrest report. Only 10 percent said they maintain arrest photographs.

A2. Duration of record maintenance. (n = 94)

When asked how long they maintain CHRI files, agency responses varied greatly. Forty-five percent indicated the records were held indefinitely, while 23 percent said CHRI files were maintained for a specific period of time. Thirty-one percent said other criteria (such as offense class or age of offender) were considered before records were destroyed. Of the agencies that maintained records for a specific time, the most prevalent time span ranged from five to 10 years.

A3. Maintenance of juvenile records. (n = 103)

Ninety-four percent of the responding police departments maintain juvenile offender files separately from their adult records; only 6 percent do not.

A4. Sealing and expunging CHRI files upon receipt of a court order. (n = 102)

Ninety-three percent of responding agencies expunge or seal CHRI files upon receipt of a court order as required by Illinois statutes (20 ILCS 2630/5(a)). Only 4 percent do not.

B. Reporting to the ISP

The manner in which police agencies submit CHRI to the ISP is of obvious importance to timely, complete and accurate CHRI. Illinois statutes require agencies to submit arrest information to the ISP daily (20 ILCS 2630/2.1(a)). (See Introduction, p. 11 for a more complete discussion.)

B1. Arrest bookings. (n = 102)

Seventy-eight percent of the agencies indicated they conduct their own arrest bookings and submit their own CHRI to the ISP, while 20 percent rely on another agency. It is often more practical for small police departments with limited resources and fewer arrests to rely on a larger agency to perform their bookings and to submit their arrest information to the ISP. For example, 54 percent of the rural agencies returning questionnaires indicated that they rely on another agency or another method for assistance in performing this task.

B2. Computerized Criminal History (CCH) record queries. (q1. n = 100)
(q2. n = 87)

Of 100 agencies that responded to this question, 80 percent said they conduct their own CCH queries. Of the 87 agencies that responded to an ancillary question regarding the methods they employ to obtain the information, 61 percent listed LEADS as their only method for obtaining CHRI. Eighty-five percent listed LEADS and some other method such as telephoning or mailing requests for information. Nine percent used a combination of LEADS and the mail. Thirteen percent of the respondents indicated they used methods aside from LEADS, including the mail or the telephone. Most of these agencies employ facsimile machines and personal visits to acquire information, while a few utilize REJIS (Regional Justice Information Service), a regional criminal justice information system based in St. Louis.

B3. Use of the state five-part arrest card form. (n = 100)

Eighty-four percent of responding agencies indicate they use the state five-part arrest card to report information to the ISP. Many agencies that send offenders to other agencies to be booked also ask those agencies to submit their arrest card forms. Interestingly, two agencies were unaware that such submissions were mandatory and have not been sending any arrest reports to the ISP.

B4. Arrest fingerprint cards.

Agencies were asked whether they have procedures to prepare and submit fingerprint cards to the ISP for certain types of offenses as required by Illinois statutes. Table 33 indicates that while most agencies do have procedures in place for most offense categories, up to 20 percent do not. Each category is discussed below.

Table 33
Percentage of Agencies with Procedures for Preparing and Submitting Arrest Fingerprint Cards to the ISP

Offense Type	Percent with Procedures in Place	Percent Processed by Another Agency	Percent With No Procedures in Place
Felons (n = 97)	94	1	5
Class A and B misdemeanors (n = 100)	84	1	15
Post-conviction, court-ordered (n = 92)	89	1	10
Minors arrested for unlawful use of weapon or forcible felony (n = 93)	78	2	20
Minors tried as adults (n = 90)	81	2	17

B4-A. Arrest fingerprint cards — felons. (n = 97)

As required by Illinois statute (20 ILCS 2630/5(a)), 94 percent of responding agencies have procedures for preparing and submitting felony arrest fingerprint cards for felons to the ISP, while 1 percent stated that another agency processes their cards. However, 5 percent said

they have no procedures in place for such submissions.

B4-B. Arrest fingerprint cards — class A or B misdemeanors. (n = 100)

Eighty-four percent of the responding agencies indicated that arrest fingerprint cards for class A and B misdemeanors are prepared and submitted to the ISP as mandated by Illinois statute (20 ILCS 2630/5(a)). One agency said another agency handles this task for it. Fifteen percent said no such cards are prepared or submitted to the ISP despite the statutory requirement.

B4-C. Arrest fingerprint cards — people ordered by a court to be fingerprinted after conviction for reportable offenses (and not previously fingerprinted). (n = 92)

Illinois statute requires people to be fingerprinted when it is so ordered by the court after conviction for a reportable offense (20 ILCS 2630/2.1(d)). It applies to people who were not fingerprinted previously. Eighty-nine percent of responding agencies said they have procedures in place for such an event, while 1 percent have another agency perform this function. Ten percent have no procedures in place to fingerprint an offender following a conviction when he/she was not previously fingerprinted.

B4-D. Arrest fingerprint cards — minors under 17 years of age who are arrested or taken into custody for unlawful use of weapons or forcible felony. (n = 93)

Seventy-eight percent of the agencies responding said they fingerprint juvenile offenders in custody for unlawful use of weapon or forcible felony charges as required by Illinois statute (20 ILCS 2630/5(a)) and submit the cards to the ISP.

B4-E. Arrest fingerprint cards — all minors tried as adults. (n = 90)

Of the 91 responses to this question, 81 percent reported that minors tried as adults are fingerprinted and their arrest fingerprint cards are forwarded to the ISP as required by Illinois statute (20 ILCS 2630/5(a)). Seventeen percent of the agencies said they do not follow this procedure.

B5. State five-part arrest card — original source document vs. secondary document. (n = 93)

The five-part arrest card form is used as the original source document for subject arrest information by 39 percent of the agencies that responded to this question. Fifty-four percent considered other records to be their source documents, including booking sheets and arrest reports. These agencies transfer information from the source document to the five-part arrest card form that is subsequently mailed to the ISP. Five percent of the agencies said they employ both methods.

B6. Timeliness of arrest fingerprint card submissions. (n = 92)

Police departments are required to submit arrest fingerprint cards listing charges and descriptions for all reportable offenses to the ISP daily (20 ILCS 2630/2.1(a)). Of those that responded, one-third (34 percent) of the departments submit the information daily. Thirty-eight percent submit it weekly. One percent indicated they may submit information daily or weekly. Three percent indicated fingerprint cards were submitted once or twice monthly. Twenty-four percent said they submit reports on a less frequent basis or do not submit any information as another agency performs the task for them.

B7. Method of arrest fingerprint card submissions. (n = 93)

Eighty-nine percent of agencies surveyed indicated that they submit CHRI to the ISP through the mail. Only 2 percent indicated they use livescan. The remaining 9 percent indicated they use other methods, including facsimile machines or relying on another agency to submit information.[88]

B8. Felony review. (n = 92)

Fifty-five percent of the responding agencies have procedures for felony review with the state's attorney's office prior to submitting fingerprint cards to the ISP. This procedure

[88] ISP officials indicate facsimiles are to be used for inquiries only.

gives the state's attorney's office an opportunity to determine whether charges against the alleged offender should be filed. Of the remaining agencies, 42 percent do not perform felony review. Three percent indicated they perform the procedure for other agencies.

B9. Decisions not to refer arrests for prosecution. (n = 96)

Of the departments that responded to this question, 83 percent indicated they notify the ISP when an arrest will not be referred for prosecution, a statutory requirement (20 ILCS 2630/2.1(a)). Seventeen percent indicated that they do not notify the ISP of their decisions not to refer arrests for prosecution.

B10. Error corrections for incorrect information. (n = 97)

The ISP requires agencies to notify it and request an error correction regarding incorrect information on people whose arrest fingerprint cards have already been submitted to the ISP. Two-thirds of those responding (67 percent) indicated they follow this practice, while 30 percent do not.

B11. Arrangements with other agencies to furnish fingerprints, charges and descriptions to the ISP. (n = 99)

Of the agencies that responded, 80 percent provide their own fingerprint cards to the ISP. Twenty percent indicated they rely on another agency to provide these submissions on their behalf. More than half (58 percent) of the rural agencies that responded rely on another agency to submit their fingerprint cards.

B12. Procedures to ensure pages 3 and 4 of the state five-part arrest card are forwarded to the State's Attorney. (n = 94)

Eighty-seven percent of responding agencies indicated that they have procedures for forwarding pages three and four of the five-part arrest card to the state's attorney. Twelve percent have no procedures in place for forwarding the arrest card. One agency (1 percent of the total) could not be categorized.

B13. Training for new officers. (n = 102)

Most (81 percent) agencies that replied indicated they provide training for new officers in the areas of fingerprinting and completing the arrest fingerprint form. The other 19 percent do not provide such training.

C. Other Agency Policies

Ensuring the security of CHRI is an important responsibility for law enforcement agencies. Agencies were asked questions about their information access policies and practices.

C1. Physical and authorized access to CHRI. (n = 101)

Federal regulations require that agencies physically locate CHRI in an area that can be controlled and that only authorized people have access to secured areas (28 CFR 20.21(f)(2)). Of the 101 agencies that responded to this question, 97 percent indicated that records or files including CHRI are located in an access-controlled area and only authorized persons can enter these areas. Three percent had neither a physically controlled area nor procedures to limit unauthorized persons from accessing CHRI.

C2. Limiting access to authorized data and functions. (n = 102)

Federal regulations also stipulate that agencies have adequate procedures in place to ensure that personnel who have access to CHRI files or facilities can obtain only authorized data and perform only authorized functions (20 CFR 20.21(f)(3)(A)(1) and (2)). Of the 102 agencies responding to this question, 97 percent indicated they have adequate procedures, while 3 percent do not.

C3. CHRI transaction logs. (n = 101)

Sixty-one percent of 101 police departments indicated they maintain logs that document CHRI transactions; 39 percent do not.

C4. Protecting CHRI storage areas. (n = 99)

Sixty-nine percent of the responding agencies stated that CHRI storage facilities are protected from possible manmade disasters such as fires, while 30 percent indicated they have no such protection. One percent of the answers could not be discerned.

C5. Security of CHRI computer terminals. (n = 92)

Federal regulations require that all computer terminals and other automated equipment that can access CHRI be located in secure areas (20 CFR 20.21(f)). The same regulations require computer terminals and printers be attended during hours they are used and locked or made inoperable during nonuse or off-duty hours. Of those agencies that use computer terminals or automated equipment for accessing CHRI and who responded to the question, 95 percent said that access to their system is restricted, while 5 percent of the respondents did not restrict access. Also, 88 percent of the agencies ensured that personnel attend the system while it is in use and keep it secured from access during nonuse or off-duty hours, while 12 percent do not maintain such security measures.

C6. Destruction or storage of computer printout sheets containing CHRI. (n = 98)

Federal regulations also require that agencies have procedures to provide for the destruction or secure storage of computer printouts that contain CHRI (20 CFR 20.21(f)(3)(a)(3)). Ninety-two percent of those agencies responding indicate that such procedures are in place, while 8 percent have no such procedures.

D. Training (n = 85)

Agencies also were asked to describe the procedures they use to ensure that personnel are knowledgeable of the legal requirements surrounding CHRI use. Most agencies (81 percent) receive training regarding CHRI from their respective police academies. Eight percent of the agencies provide such training during the employee's orientation period with the department. The remaining 11 percent stated that other procedures for training are used, often

including an informal review of applicable statutes when needed.

E. Suggested System Improvements (n = 82)

Finally, agencies were asked what, if any, improvements should be made to the CHRI system. Most (63 percent) agencies were satisfied with the CHRI system as it currently operates and offered no suggested improvements.

Of the 37 percent that offered suggestions for improvement, most were concerned with the turnaround time for obtaining requested information. One agency noted that an offender may be processed through the entire court system before it receives the appropriate rap sheet from the ISP.

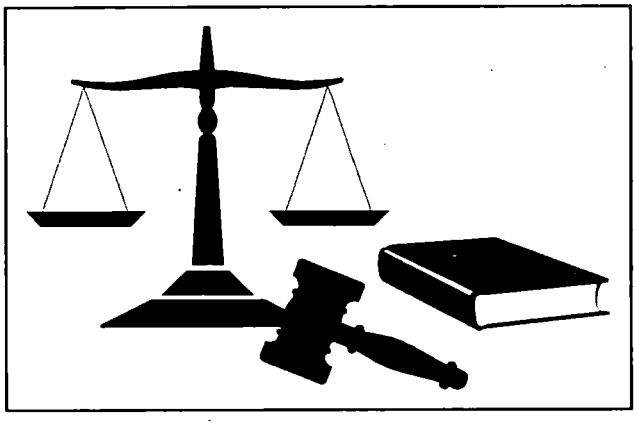
Several agencies raised other issues. A few said they experienced problems when transmitting fingerprints via facsimile machines. Often, clean fingerprints become "unclassifiable" due to transmission problems. Others noted that the accuracy and completeness of criminal history record rap sheets is problematic, especially missing dispositions.

Most agencies stated that they were in favor of a more compatible system that would aid in quicker, more accurate transmission of CHRI, especially fingerprints. Such a system, they noted, could also help record completeness.

Recommendation

The ISP is finalizing a CHRI user's manual that will be distributed to all agencies that report information to the ISP and will serve as a source of information about the ISP's services. The manual will explain the CCH data base, rules and regulations, ways to obtain CHRI, various submission types and the like. The manual will likely help all agency personnel better understand the CHRI network and the way in which the ISP receives and disseminates CHRI. It will probably be especially useful in training new employees.

The Authority also recommends the ISP consider using rap sheets themselves as a means of communicating with agencies. The ISP could attach an additional page to rap sheets as a newsletter. The newsletter could inform agencies of important information like problems affecting the CHRI system and how agencies can help solve them. A different message could be sent monthly or even weekly as needed. Of course, this method would not reach agencies that have elected not to receive rap sheets or those that do not currently send arrests to the ISP (those agencies, in turn, do not receive rap sheets; hence, the newsletter would not reach them). Another method, like a direct mailing, could be used for these agencies.



SECTION 7

CONCLUSION

Police officers, judges, state's attorneys, jail and prison personnel, employers, and many others rely on CHRI during their everyday duties. The data they receive help answer such important questions as whether a suspect should be detained or released, and whether he or she should be freed on bail. It also can help determine whether a person should be hired for employment. Aside from the important decisions made by criminal justice practitioners and prospective employers, privacy rights of individuals are also at stake. In a very real way, an individual's career, freedom and future can often hinge on CHRI. Therefore, it is obviously very important that the information submitted, stored, and disseminated be as accurate, complete, and timely as possible.

Keeping CHRI current and accurate is a tremendous undertaking. The CCH data base in Illinois is among the largest in the country, and there is every indication that it will continue to grow at an explosive rate. In January 1994, the data base held 2.1 million records, a 51 percent increase from the number of records in 1984. It now contains more than 12 million events, which are being added at the rate of about 600,000 per year.

To keep pace with this growth and to ensure the reliability of records, the ISP processes records through an elaborate system designed to quickly and accurately add records to the CCH data base. Electronic transmissions now play an increasingly important role and will no doubt continue to do so in the years ahead.

The 1993-94 Criminal History Records Audit was the first to thoroughly examine all aspects of this important and growing system. The audit examined the timeliness, accuracy and completeness of criminal history records through a variety of audit techniques. It provides measurable figures and solid evidence of the problems that affect CHRI and the means used to process it.

First, auditors discovered that many submissions sent to the ISP do not arrive in a timely manner. For example, even though 91 percent of livescan submissions arrived in a statutorily mandated period, only 26 percent of mailed arrests did so. Other submissions types

fell somewhere between these extremes. For example, 40 percent of court dispositions, 47 percent of state's attorney dispositions, 60 percent of custodial status changes and 72 percent of custodial receipts arrived within statutory regulations.

The ISP, in turn, sometimes does not post these submissions to the CCH data base in a timely manner. About 58 percent of all submissions tracked during the audit were posted to the CCH data base within 90 days. Many submissions not posted during this period were posted later during the audit. In addition, some could not be posted by the ISP because of problems with the submissions.

Local agencies sometimes inaccurately transfer information from their original source document to the five-part form that is sent to the ISP. In addition, the information obtained by the ISP is also sometimes incompletely or inaccurately posted to the CCH data base.

Auditors also discovered that name-based searches are often an unreliable means for obtaining rap sheets. This is important, as so many agencies now rely on name-based searches when requesting information from the CCH data base. The audit report recommends that, whenever possible, agencies that request rap sheets provide the subject's fingerprints and other identifying information to the ISP so that he or she can be positively identified.

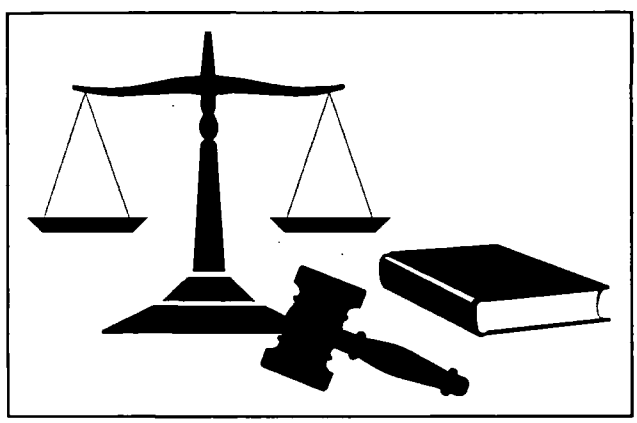
Another important finding — one that is already known to many criminal justice officials — is that rap sheets are often difficult to read and connecting the various events is often time-consuming and frustrating, particularly when rap sheet events are not in chronological order. Most importantly, the Document Control Number — the number that is to be used to link rap sheet events — is not the same for all events, which often makes it difficult to follow the chain of events.

The audit also discovered that missing court dispositions continue to be problematic. In one sample, audit staff discovered that 30 percent of rap sheet arrests indicated a corresponding court disposition. Through another technique, the figure increased to 43

percent. In an anlysis of people to be released from IDOC custody, auditors found that 41 percent of available rap sheets indicated the IDOC receipt and the corresponding arrest, state's attorney charge, and the court disposition specifying an IDOC sentence. Even though there is room for improvement, this figure is a substantial increase over the 1992 figure, when a similar analysis revealed that 14 percent of rap sheets contained all of these events.

Finally, the audit revealed that some police agencies are not fully aware of statutory regulations and other requirements for maintaining, reporting and storing CHRI. Until recently, two agencies were not even aware of the requirement to send arrest information to the ISP. Others did not send arrest information as required; did not follow adequate security measures; or did not follow or were not aware of other requirements.

The audit report is comprehensive. It provides a solid foundation on which to assess the continuing development of the CHRI system. By using this study as a baseline, future audits will be able to determine whether the ISP and local agencies are making progress towards improving the CHRI system. It is hoped that the recommendations in this report will lead to important changes in the current system and that leaders in this field will continue to seek new and innovative ways to ensure that the CHRI system remains a viable and useful resource.



SECTION 8

THE ISP RESPONSE

ILLINOIS STATE POLICE
Office of the Director

Jim Edgar
Governor

Terrance W. Gainer
Director

July 28, 1995

Mr. Peter B. Bensinger, Chairman
Illinois Criminal Justice Information Authority
120 South Riverside Plaza
Chicago, Illinois 60606

Dear Mr. Bensinger:

The Illinois State Police has reviewed the *Final Report of the 1993-94 Criminal History Records Audit*. The audit stresses the importance decision makers place upon the criminal history record information system for complete and accurate information by evaluating the interdependencies that exist between the system's components.

Timely, accurate and complete criminal history information is critical to making informed decisions regarding the arrest, prosecution and sentencing of individuals. The Illinois State Police has developed a multi-phased plan to address some of the issues in the audit.

1. Overtime programs have been instituted for backlog reduction which will result in all backlogs being eliminated by September 1, 1995.

2. During April, an AFIS software upgrade was installed. This upgrade improved AFIS processing speeds and paved the way for further technology upgrades during FY96 with a complete replacement of the AFIS computer in FY97 or FY98.

3. New technology will be purchased in 1996 to upgrade the AFIS system. The Networked AFIS Transaction Management System, combined with livescan technology, will allow for the electronic transmission of fingerprint cards to the Automated Fingerprint Identification System with little or no human intervention.

4. Using grant funds, the Illinois State Police will automate the reporting of court dispositions to the Bureau of Identification. The grant provides funds for the development of two automated (on-line real time or batch reporting)

103 Armory Building, P.O. Box 19461 • Springfield, IL 62794-9461
(217) 782-7263 (voice) • 1 (800) 255-3323 (TDD)

procedures for reporting court dispositions. These methods will be developed first for DuPage and Cook Counties and then expanded to other counties in the state.

The Illinois State Police remains committed to improving the accuracy, completeness and timeliness of CHRI and will actively work to improve the system. While significant improvements have been made since our previous audit, this report will assist in focusing our attention for future improvements. Efforts are now underway to resolve the remaining issues and recommendations raised in this report.

Respectfully,

Terrance W. Gainer

Terrance W. Gainer
Director

Appendix A

Glossary

accuracy. The degree to which a criminal history record transcript correctly reflects information reportable to the computerized criminal history (CCH) records data base.

Ad Hoc Committee on Dispositional Reporting. A committee created by the Authority in 1991 to address problems associated with criminal history records, especially missing dispositions.

admission (custodial). A person who enters Illinois Department of Corrections (IDOC) custody from a court or is transferred from another institution. Persons *admitted* to the IDOC may not necessarily serve time in an IDOC facility. Inmates returned for a technical violation of Mandatory Supervised Release (MSR) are not included as an admission.

alias. An assumed name given to police by an arrestee at the time of arrest.

arrest. The taking into police custody of someone believed to have committed a crime, regardless of whether the person is formally charged.

Authority. The Illinois Criminal Justice Information Authority. Created in 1983, the Authority is a specialized state government agency dedicated to improving the administration of criminal justice in Illinois. The Authority develops new information technology for law enforcement, manages millions of dollars in federal and state grants, and oversees research and policy development within the criminal justice system. The Authority also serves as the only statewide forum for long-range planning and problem solving among state and local criminal justice agencies.

Automated Fingerprint Identification System (AFIS). An automated system for searching fingerprint files and transmitting fingerprint images. AFIS computer equipment can scan fingerprint impressions (or use electronically transmitted fingerprint images); it then can automatically extract and digitize ridge details and other identifying characteristics in sufficient detail to enable the computer's searching and matching components to distinguish a single fingerprint from thousands or even millions of fingerprints previously scanned and stored in digital form in the computer's memory. The process eliminates the manual searching of fingerprint files and increases the speed and accuracy of 10-print processing (arrest fingerprint cards and noncriminal justice applicant fingerprint cards).

backlog. A measure of the number of events yet to be entered or posted on the computerized criminal history record system.

Bureau of Identification. The bureau in the Illinois State Police (ISP) responsible for collecting, maintaining and disseminating computerized criminal history record information.

charge. An allegation that a specific person has committed a specific offense. Charges are recorded on various charging documents, such as a complaint, information or indictment.

circuit court. A trial-level court that hears and resolves felony, misdemeanor and juvenile cases, as well as some non-criminal cases. In Illinois, these trial courts are organized into 22 judicial circuits.

collar counties: The five counties surrounding Cook County: Lake, Kane, McHenry, DuPage and Will.

completeness. The degree to which a computerized criminal history (CCH) record transcript reflects all information reportable to the CCH records data base.

Computerized Criminal History (CCH) records data base. The automated repository for criminal history record information (CHRI), operated by the Illinois State Police.

Criminal History Record Information (CHRI). Data identifiable to an individual and consisting of descriptions or notations of arrests, detentions, indictments, informations, pre-trial proceedings, trials or other formal events in the criminal justice system or descriptions or notations of criminal charges (including criminal violations of local municipal ordinances) and the nature of any dispositions arising therefrom, including sentencing, court or correctional supervision, rehabilitation and release. The term does not apply to statistical records and reports in which individuals are not identified and from which their identities are not ascertainable, or to information that is for criminal investigative or intelligence purposes.

criminal justice information. Any and every type of information that is collected, transmitted or maintained by the criminal justice system.

criminal justice system. All activities by public agencies pertaining to the prevention or reduction of crime or enforcement of criminal law. These include, but are not limited to, the prevention, detection and investigation of crime; the apprehension of offenders; the protection of victims and witnesses; the administration of juvenile justice; the prosecution and defense of criminal cases; the trial, conviction and sentencing of offenders; and the correction and rehabilitation of offenders, which includes imprisonment, probation, parole and treatment.

custodial receipt. A notice indicating that an offender has been admitted into the Illinois Department of Corrections (IDOC) or a county jail.

data quality. The extent to which criminal history records are complete, accurate and timely.

direct filing. A police department's filing of a criminal complaint to a circuit court clerk's office. The Illinois State Police (ISP), in turn, posts the filing decision to the computerized criminal history (CCH) records data base with the corresponding arrest. This procedure was recently automated by the ISP.

discrepancy. An inconsistency between record documents and/or information contained in record systems.

disposition. Generally, an action by a criminal or juvenile justice agency (e.g. a court or state's attorney's office) that signifies a portion of the justice process is complete and/or that jurisdiction is terminated or transferred to another agency.

Disposition Acquisition Unit. An Illinois State Police (ISP) unit that gathers and checks the status of dispositions that should have been received by the ISP.

dissemination response. A computerized criminal history (CCH) record response indicating that a CCH record exists or does not exist for the person about whom a requestor inquired.

Document Control Number (DCN). A number that links each disposition event to a related arrest, minimizing the chance for linkage errors. Also a number that links custodial events.

entered data. An event or other information placed on the computerized criminal history (CCH) records data base.

event. Each of the several types of criminal history record submissions that may be made to the state central repository. May include arrest, state's attorney dispositions, court dispositions and custodial receipt or status changes, among others.

felony. A criminal offense punishable by a sentence in state prison of one year or more or by a sentence of death.

felony review. The process by which state's attorneys and their staffs review cases for possible felony charges and decide what prosecutorial action, if any, should be taken.

fingerprint-based submission. Arrest or a custodial receipt information that, when submitted to the Illinois State Police (ISP), should be accompanied by the offender's fingerprints.

fingerprint-based system. The positive identification of offenders through the use of fingerprints.

hit. A computerized criminal history (CCH) record dissemination response indicating that a criminal history record does exist for the person about whom a requestor inquired.

Illinois Department of Corrections (IDOC). The state agency responsible for the care, custody and treatment of all persons sent to state prison.

Illinois State Police (ISP). The state-level law enforcement agency providing police protection and enforcing criminal statutes in Illinois. The ISP is responsible for such activities as patrolling state highways, investigating major crimes and assisting local law enforcement agencies with short-term needs. The ISP also compiles Illinois Uniform Crime Reports and maintains the state's computerized criminal history (CCH) records data base.

jail. A confinement facility, usually operated by a county or municipality, that detains suspects awaiting trial, offenders sentenced to less than a year of incarceration and offenders awaiting transfer to the state prison system.

Law Enforcement Agency Data System (LEADS). A statewide, computerized telecommunications system designed to provide services, information, and capabilities to the law enforcement and criminal justice community in the State of Illinois.

livescan. Automated devices for generating and transmitting fingerprint images. Livescan devices capture fingerprint images directly from subjects' fingers, which are rolled onto scanning pads. The devices can print out multiple fingerprint cards or can transmit electronic fingerprint images to remote sites for printout or direct use in automated fingerprint identification computers.

misdemeanor. A criminal offense for which a sentence of less than one year of imprisonment, in a facility other than a state prison, may be imposed.

missing record (or event). A record (or event) not entered on the computerized criminal history (CCH) records data base.

National Crime Information Center (NCIC). An automated data base of criminal justice and justice-related records maintained by the FBI. The data base includes the "hot files" of wanted and missing persons, stolen vehicles and identifiable stolen property, including firearms. Access to NCIC files is through central control terminal operators in each state that are connected to NCIC via dedicated telecommunications lines maintained by the FBI.

National Law Enforcement Telecommunications System (NLETS). A computerized high-speed message switching system maintained by the States that provides for the interstate exchange of criminal justice-related information between local, state and federal criminal justice agencies.

no-record response. A Computerized Criminal History (CCH) record dissemination response indicating that a criminal history record does not exist for the person about whom a requestor inquired.

offense. An act committed (or omitted) in violation of a law forbidding or (commanding) such an act.

Originating Agency Identifier (ORI). A nine-character unique agency identifier.

posted data. An event or other information that has been attached to an individual's computerized criminal history (CCH) record on the CCH data base.

Process Control Number (PCN). A number that uniquely identifies individual submission events such as arrests, state's attorney charge decisions, court dispositions, and custodial receipts and status changes.

prison. A state confinement facility operated for the incarceration and correction of adjudicated felons in Illinois.

rap sheet. The entire computerized criminal history (CCH) record of a given offender. Also known as a *transcript.*

receipt (custodial). The intake of an offender into an Illinois custodial institution, which is required to submit a custodial receipt form to the Illinois State Police (ISP).

received record. A record obtained by the Illinois State Police (ISP) that awaits entry into the computerized criminal history (CCH) records data base.

record. The accumulation of all criminal history and noncriminal history events that are placed in the computerized criminal history (CCH) records data base. Each record is identified with a unique State Identification Number (SID).

record response. A computerized criminal history (CCH) record dissemination response indicating that a criminal history record exists for the person about whom a requestor inquired.

rural county. A county that does not have a boundary within a Metropolitan Statistical Area (MSA) or an association with an MSA.

source document. The original written or printed record of a person's formal contacts with the criminal justice system.

state central repository. The agency responsible for the collection, maintenance and dissemination of computerized criminal history (CCH) record information. In Illinois, the state central repository is the Illinois State Police (ISP).

State Identification Number (SID). Number used by the Illinois State Police (ISP) to uniquely identify people with existing records in the computerized criminal history (CCH) records data base.

state's attorney. Elected to a four-year term by the voters in the county. Commences and carries out all criminal and juvenile proceedings in the county and also deals with civil matters.

statutory class of (arrest charge, charge reported by state's attorney, or charge reported by circuit court clerk). Also, "offense class." The statutorily defined grouping of criminal offenses to establish severity and criminal sanction. In Illinois, there are six classes of felony offenses: first degree murder, and Classes X, 1, 2, 3 and 4. There are also three classes of misdemeanor offenses: Classes A, B and C. With some exceptions, all but Class C offenses are reportable to the ISP.

submission (of events). The act of reporting criminal history or noncriminal history event information from an agency to the state central repository.

timeliness of data entry. The time frame within which criminal history record information is entered at the state central repository once it is received from reporting agencies.

timeliness of reporting. The time frame within which agencies responsible for reporting criminal history record information to the state central repository report such information.

transcript. The entire computerized criminal history (CCH) record of a given offender. Also known as a *rap sheet.*

urban county. A county within a Metropolitan Statistical Area (MSA) or one having a strong association with an MSA.

Appendix B

Criminal Identification Act

The Criminal Identification Act (20 ILCS 2630/0.01 et seq./formerly IRS, Ch. 38. par 206) names the Illinois State Police as the state central repository for Illinois CHRI, including collection, maintenance, and dissemination of CHRI. In addition, all policing bodies, clerks of circuit courts, sheriffs and state's attorneys in each county, and Illinois Department of Corrections (IDOC) must submit certain arrest, charge, and disposition information to ISP within 30 days of the criminal history event. Specifically, the Act provides the following reporting requirements:

> (a) Arrest Information. All agencies making arrests for offenses which are required by statute to be collected, maintained or disseminated by the Department of State Police shall be responsible for furnishing daily to the Department fingerprints, charges and descriptions of all persons who are arrested for such offenses. All such agencies shall also notify the Department of all decisions not to refer such arrests for prosecution. An agency making such arrests may enter into arrangements with other agencies for the purpose of furnishing daily such fingerprints, charges and descriptions to the Department upon its behalf.
>
> (b) Charge Information. The State's Attorney of each county shall notify the Department of all charges filed, including all those added subsequent to the filing of a case, and whether charges were not filed in cases for which the Department has received information required to be reported pursuant to paragraph (a) of this Section.
>
> (c) Disposition Information. The clerk of the circuit court of each county shall furnish the Department, in the form and manner required by the Supreme Court, with all final dispositions of cases for which the Department has received information required to be reported pursuant to paragraphs (a) or (d) of this Section. Such information shall include, for each charge, all (1) judgments of not guilty, judgments of guilty including the sentence pronounced by the court, discharges and dismissals in the court; (2) reviewing court orders filed with the clerk of the circuit court which reverse or remand a reported conviction or vacate or modify a sentence; (3) continuances to a date certain in furtherance of an order of supervision granted under Section 5-6-1 of the Unified Code of Corrections or an order of probation granted under Section 10 of the Cannabis Control Act, Section 410 of the Illinois Controlled Substances Act, Section 12-4.3 of the Criminal Code of 1961, Section 10-102 of Illinois Alcoholism and Other Drug Dependency Act, or Section 10 of the Steroid Control Act; and (4) judgments terminating or revoking a sentence to probation, supervision or conditional discharge and any resentencing after such revocation.

(d) Fingerprints After Sentencing. (1) After the court pronounces sentence, or issues an order of supervision or an order of probation granted under Section 10 of the Cannabis Control Act, Section 410 of the Illinois Controlled Substances Act, Section 12-4.3 of the Criminal Code of 1961, Section 10-102 of the Illinois Alcoholism and Other Drug Dependency Act, or Section 10 of the Steroid Control Act, for any offense which is required by statute to be collected, maintained, or disseminated by the Department of State Police, the State's Attorney of each county shall ask the court to order a law enforcement agency to fingerprint immediately all persons appearing before the court who have not previously been fingerprinted for the same case. The court shall so order the requested fingerprinting, if it determines that any such person has not previously been fingerprinted for the same case. The law enforcement agency shall submit such fingerprints to the Department daily.

(2) After the court pronounces sentence for any offense which is not required by statute to be collected, maintained, or disseminated by the Department of State Police, the prosecuting attorney may ask the court to order a law enforcement agency to fingerprint immediately all persons appearing before the court who have not previously been fingerprinted for the same case. The court may so order the requested fingerprinting, if it determines that any so sentenced person has not previously been fingerprinted for the same case. The law enforcement agency may retain such fingerprints in its files.

(e) Corrections Information. The Illinois Department of Corrections and the sheriff of each county shall furnish the Department with all information concerning the receipt, escape, execution, death, release, pardon, parole, commutation of sentence, granting of executive clemency or discharge of an individual who has been sentenced to the agency's custody for any offenses which are mandated by statute to be collected, maintained or disseminated by the Department of State Police. For an individual who has been charged with any such offense and who escapes from custody or dies while in custody, all information concerning the receipt and escape or death, whichever is appropriate, shall also be furnished to the Department.

Appendix C

Audit Sample Number
_____

Prepared by:_____
Entered by:_____

CHRAC Authority Audit
Data Collection Form

ARRESTS (ARR)
Receipt Date: 5- -94

DCN: |__|__|__|__|__|__|__|__|__|__| ?

Arresting Agency ORI: **IL** |__|__|__|__|__|__|__| ?

PCN: |__|__|__|__|__|__|__|__|__|__| ?

IRS Stat: _____ **ILCS Stat.:** _____ ?

C S A O ?

Class: **X M 1 2 3 4 A B** ?

DOA: |__|__|__|__|__|__|

Tracked by:_____
Entered by:_____

Tracking Date:
8- -94

Maint. Date: |__|__|__|__|__|__| **(off of DCN screen)** ?

Date Rec'd: |__|__|__|__|__|__| **(off of PCN screen)** ?

Duplicate PCN? **Y** **N**

If Yes, New PCN: |__|__|__|__|__|__|__|__|__|__|

Auditor's Comments:

_____

_____

Audit Sample Number

_____

Prepared by:_____
Entered by:_____

CHRAC Authority Audit
Data Collection Form

STATE'S ATTORNEY (SA)
Receipt Date: 5- -94

DCN: |__|__|__|__|__|__|__|__|__|__| ?

Arresting Agency ORI: IL |__|__|__|__|__|__| ?

PCN: |__|__|__|__|__|__|__|__|__|__| ?

IRS Stat: _____ **ILCS Stat.:** _____ ?

C S A O ?

Class: X M 1 2 3 4 A B ?

SA's Disposition: 3 4 5 6 ?

Disposition Type: 1 2 ?

Disposition Date: |__|__|__|__|__|__| ?

SA's ORI: IL |__|__|__|__|__|__| ?

Tracked by:_____
Entered by:_____

Tracking Date:
8- -94

Maint. Date: |__|__|__|__|__|__| **(off of DCN screen)** ?

Date Rec'd: |__|__|__|__|__|__| **(off of PCN screen)** ?

Duplicate PCN? **Y** **N**

If Yes, New PCN: |__|__|__|__|__|__|__|__|__|__|

Auditor's Comments:

_____

_____

Audit Sample Number

_____

Prepared by:_____
Entered by:_____

CHRAC Authority Audit
Data Collection Form

Court (CT)
Receipt Date: 5- -94

DCN: |_|_|_|_|_|_|_|_|_|_| ?

Arresting Agency ORI: IL |_|_|_|_|_|_|_|_| ?

PCN: |_|_|_|_|_|_|_|_|_|_| ?

IRS Stat: _____ **ILCS Stat.:** _____ ?

C S A O ?

Class: **X M 1 2 3 4 A B** ?

Court Case Number: _____ ?

Date Disposed: |_|_|_|_|_|_| ?

NCIC Number: **IL** |_|_|_|_|_|_| ?

Tracked by:_____
Entered by:_____

Tracking Date:
8- -94

Maint. Date: |_|_|_|_|_|_| **(off of DCN screen)** ?

Date Rec'd: |_|_|_|_|_|_| **(off of PCN screen)** ?

Duplicate PCN? **Y** **N**

If Yes, New PCN: |_|_|_|_|_|_|_|_|_|_|

Auditor's Comments:

_____

_____

Audit Sample Number

_____

Prepared by:_____
Entered by:_____

CHRAC Authority Audit
Data Collection Form

Custodial Receipt --421s (CR)
Receipt Date: 5- -94

(*ALWAYS USE FINGERPRINT CARD FOR INFORMATION)

DCN: |__|__|__|__|__|__|__|__|__|__|__| ?

Confining Agency ORI: **IL** |__|__|__|__|__|__|__| ?

Agency Received From ORI: **IL** |__|__|__|__|__|__|__| ?

PCN: |__|__|__|__|__|__|__|__|__|__| ?

Date Printed: |__|__|__|__|__|__| ?

Tracked by:_____
Entered by:_____

Tracking Date:
8- -94

Maint. Date: |__|__|__|__|__|__| **(off of DCN screen)** ?

Date Rec'd: |__|__|__|__|__|__| **(off of PCN screen)** ?

Duplicate PCN? **Y** **N**

If Yes, New PCN: |__|__|__|__|__|__|__|__|__|__|

Auditor's Comments:

_____

_____

Audit Sample Number

_____

Prepared by:_____
Entered by:_____

CHRAC Authority Audit
Data Collection Form

Custodial Status Change (CSC)
Receipt Date: 5- -94

DCN: |_|_|_|_|_|_|_|_|_|_| ?

Confining Agency ORI: IL |_|_|_|_|_|_|_|_| ?

PCN: |_|_|_|_|_|_|_|_|_|_| ?

CSC Date: |_|_|_|_|_|_| ?

Status: **401 408 409 410 411 416 422**

423 424 431 432 433 434 435 436 ?

Tracked by:_____
Entered by:_____

Tracking Date:
8- -94

Maint. Date: |_|_|_|_|_|_|_| **(off of DCN screen)** ?

Date Rec'd: |_|_|_|_|_|_|_| **(off of PCN screen)** ?

Duplicate PCN? **Y** **N**

If Yes, New PCN: |_|_|_|_|_|_|_|_|_|_|

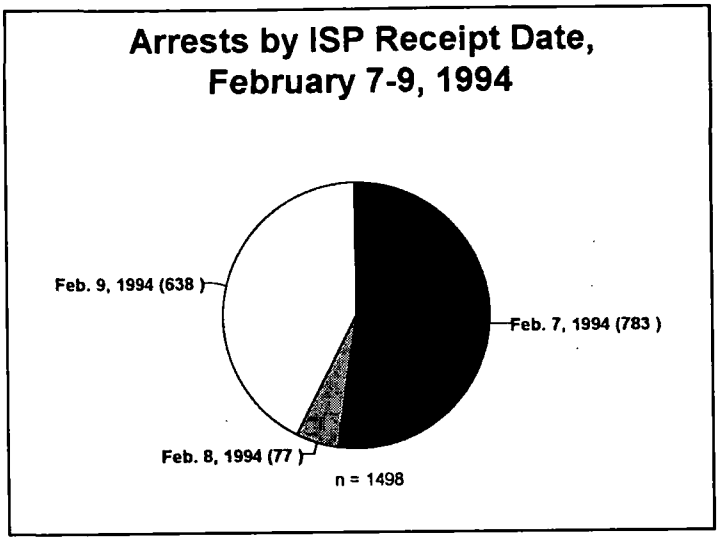
Auditor's Comments:

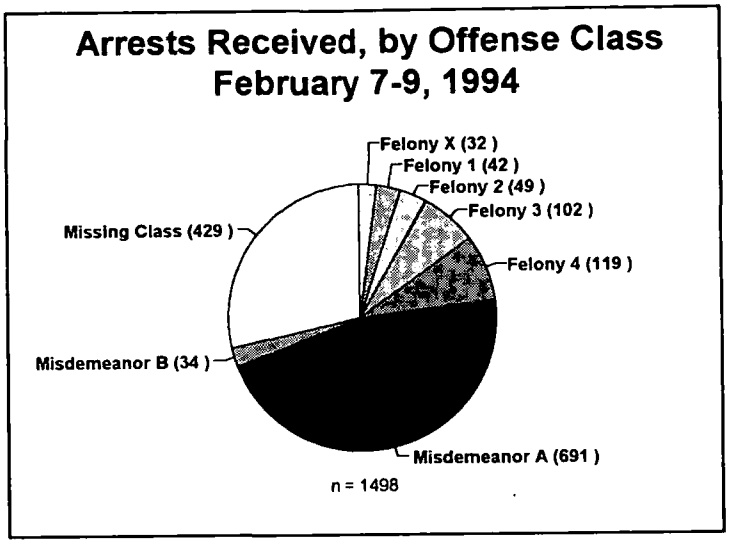
_____

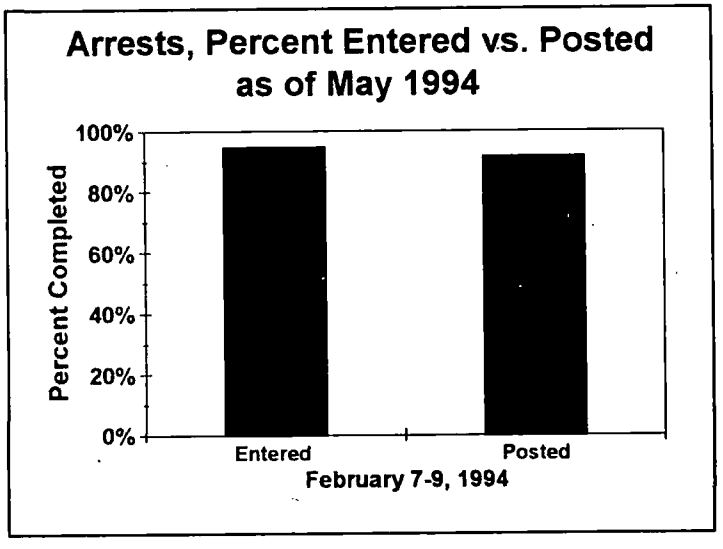
_____

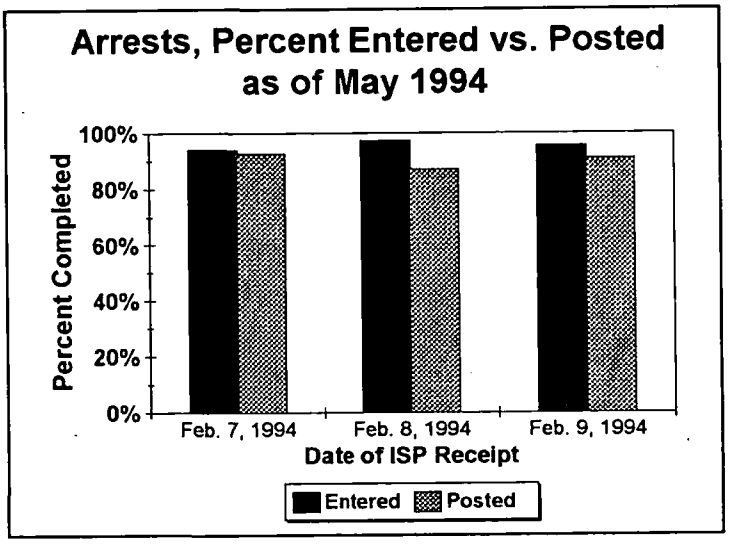
Appendix D

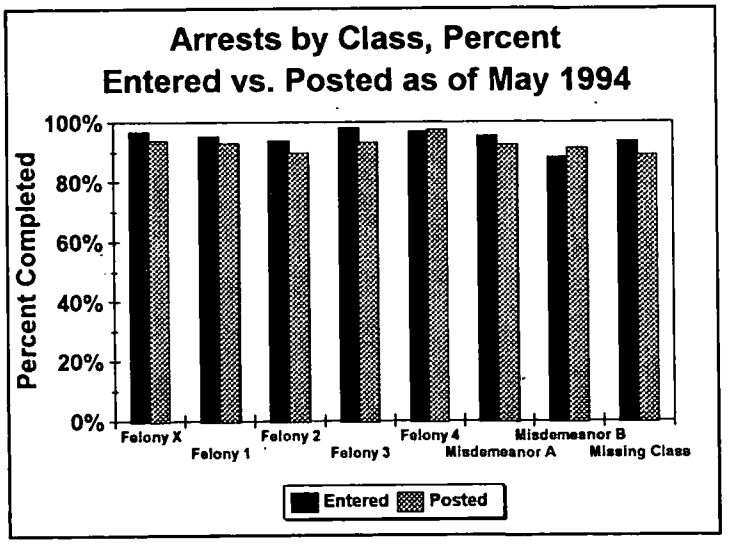
Timeliness I: Arrest Graphs



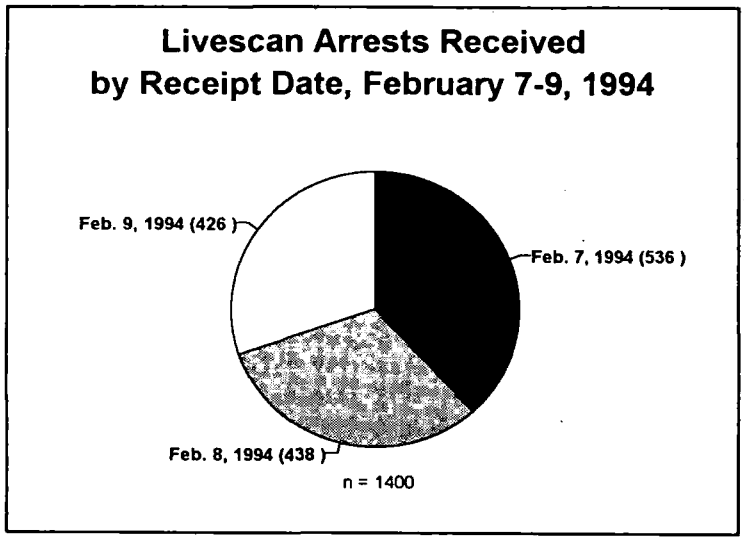


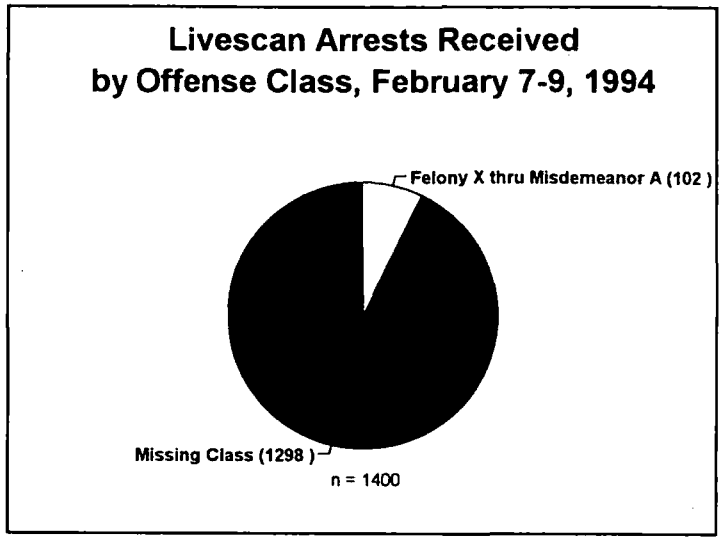


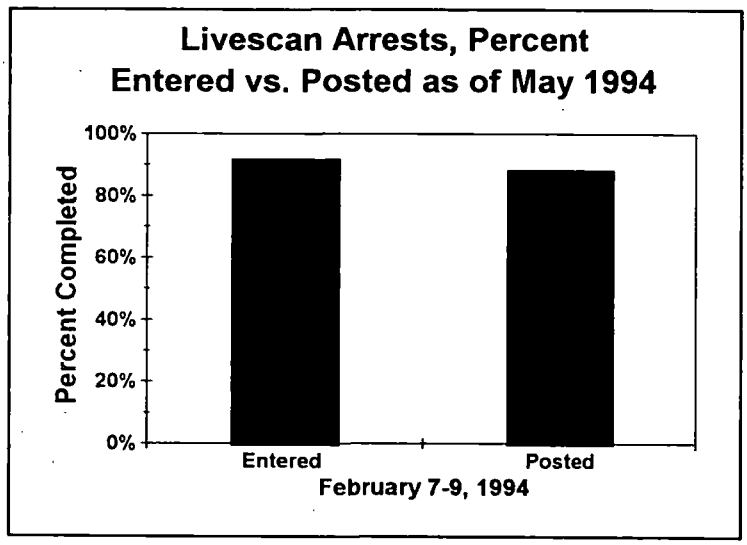


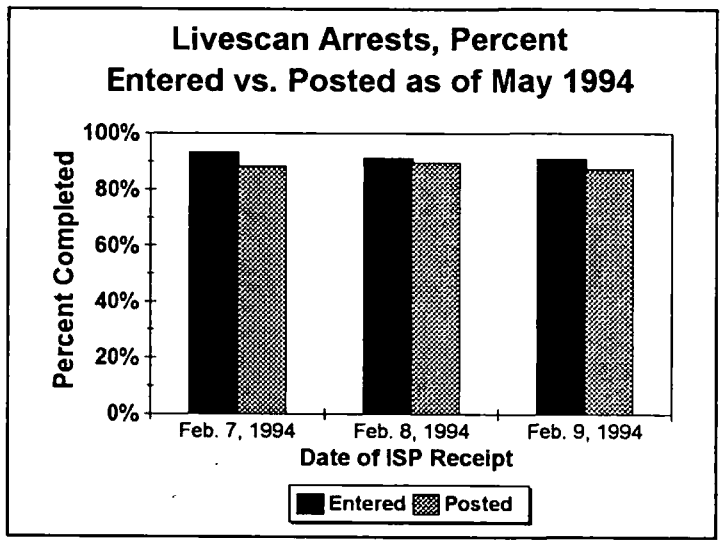


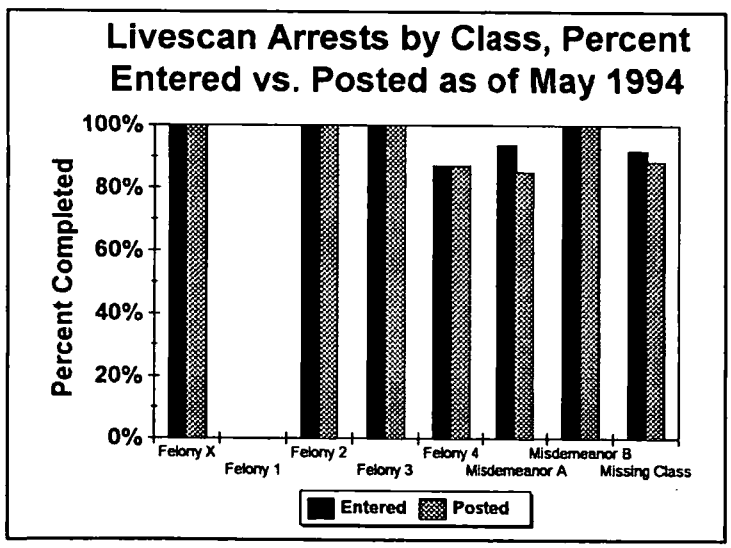
Timeliness I: Livescan Graphs



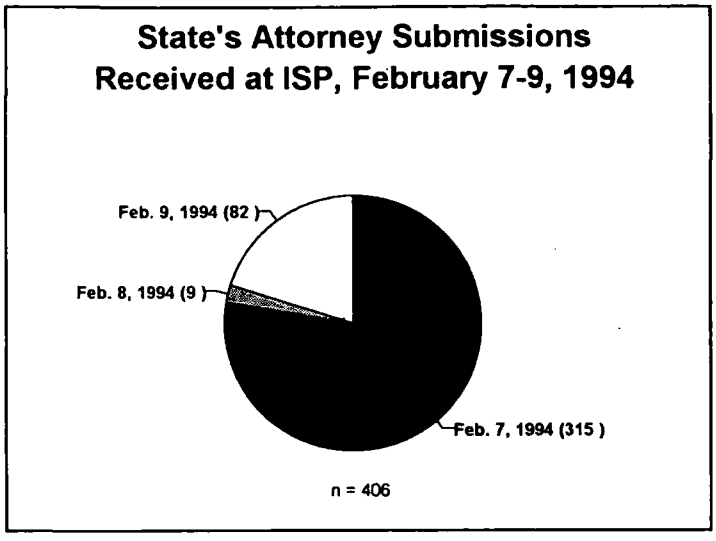


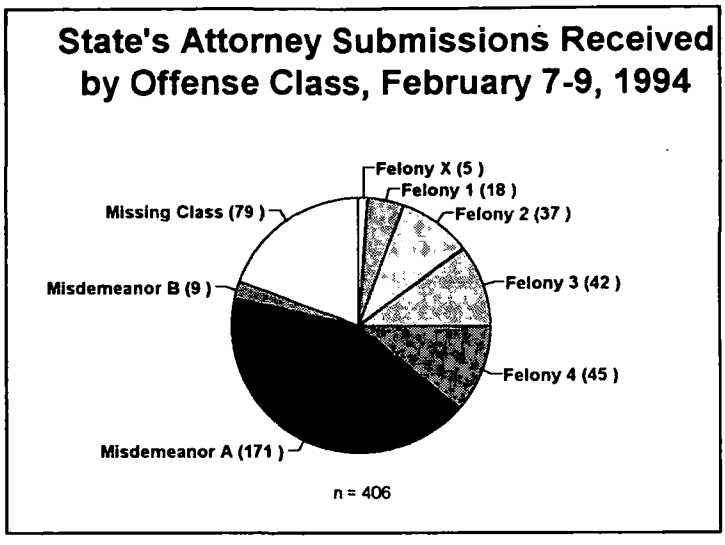


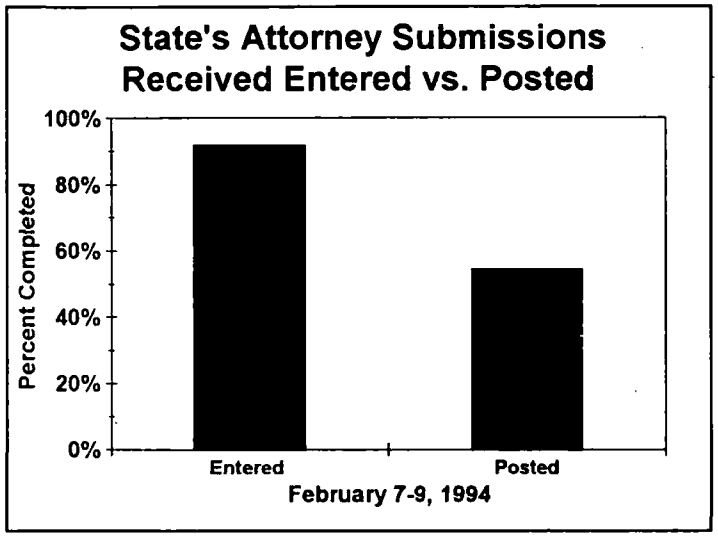


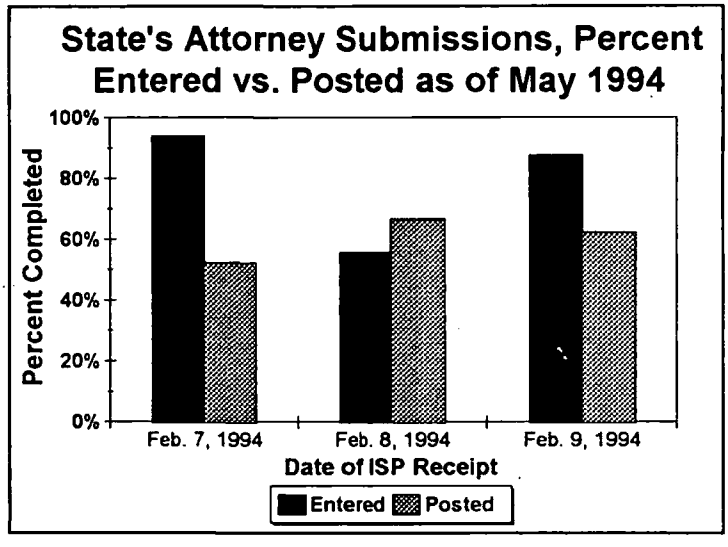


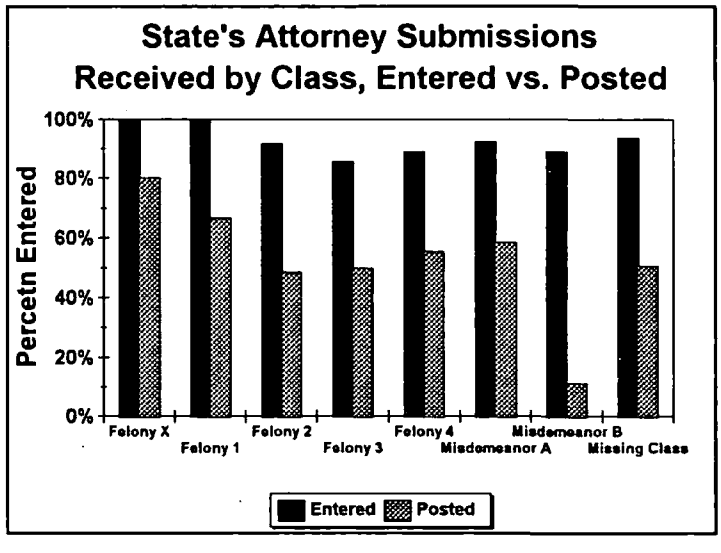
Timeliness I: State's Attorney Graphs



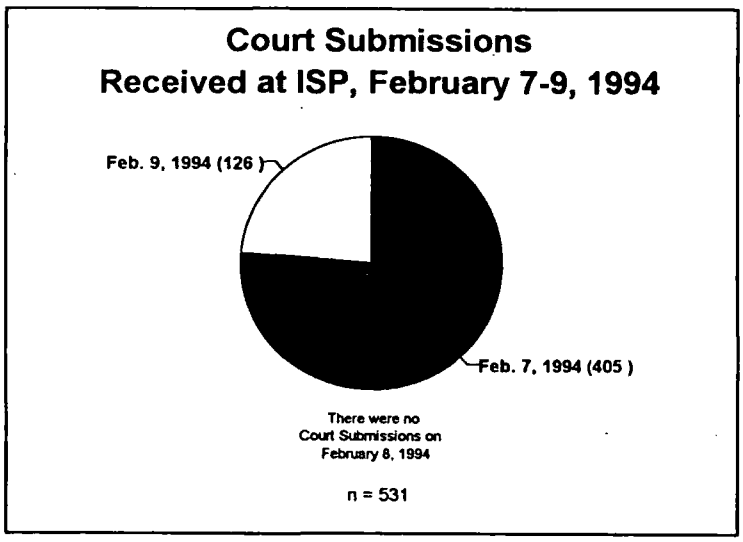


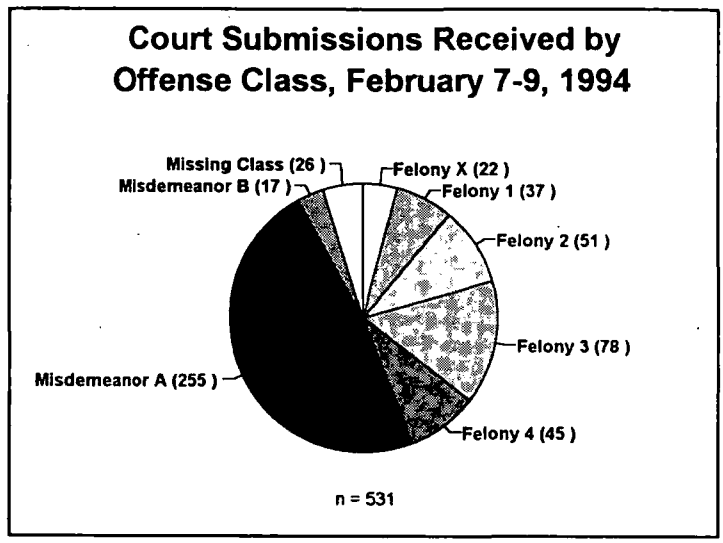


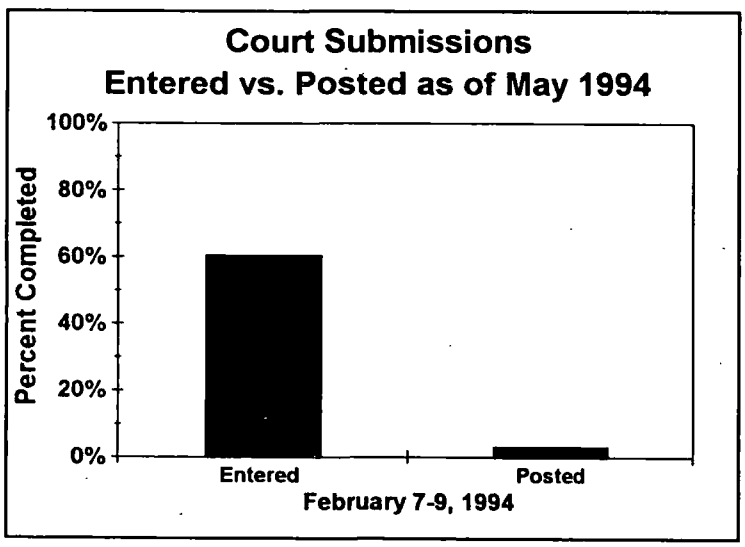


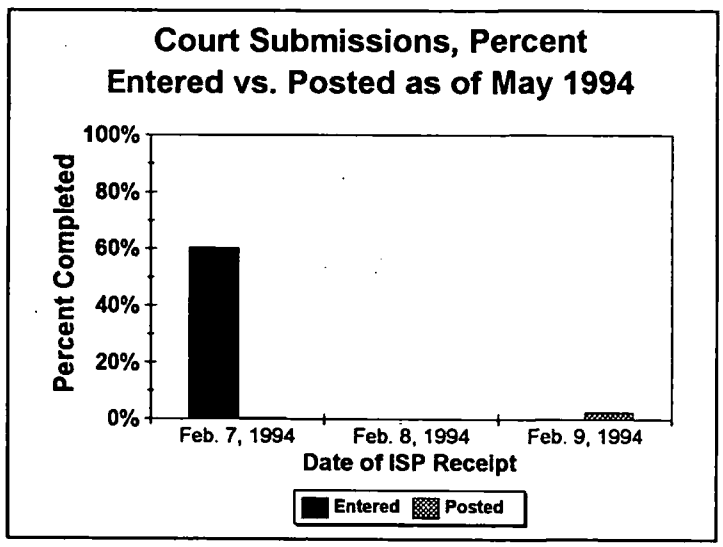


Timeliness I: Court Graphs

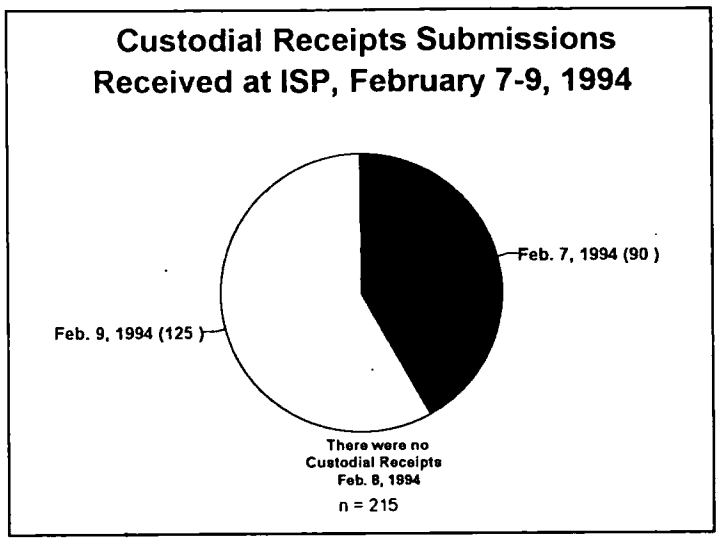


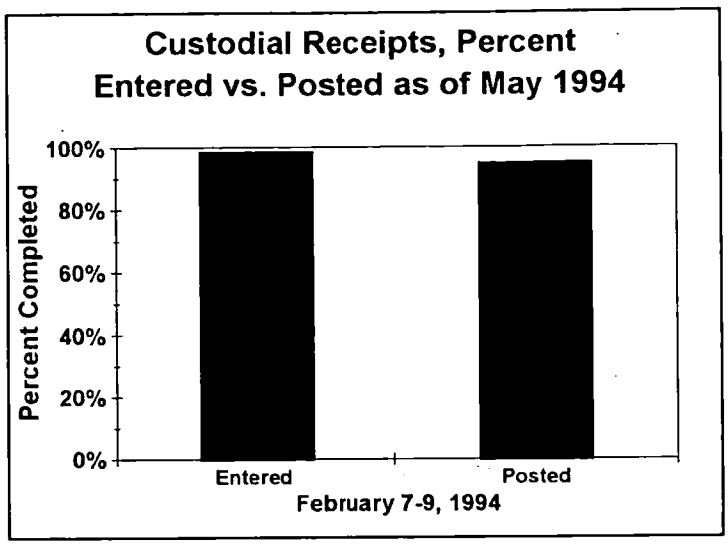


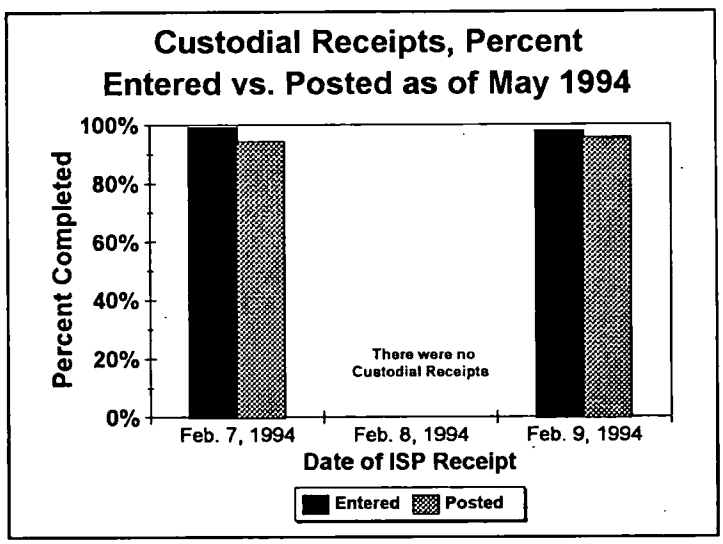




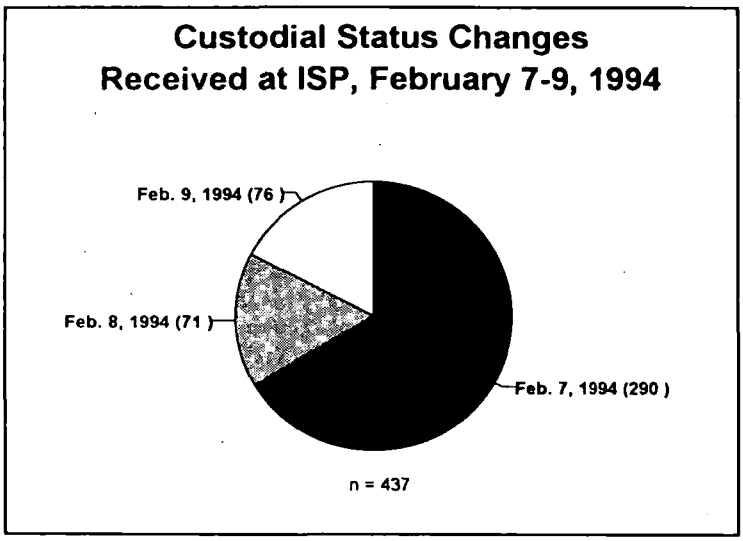
Timeliness I: Custodial Receipt Graphs

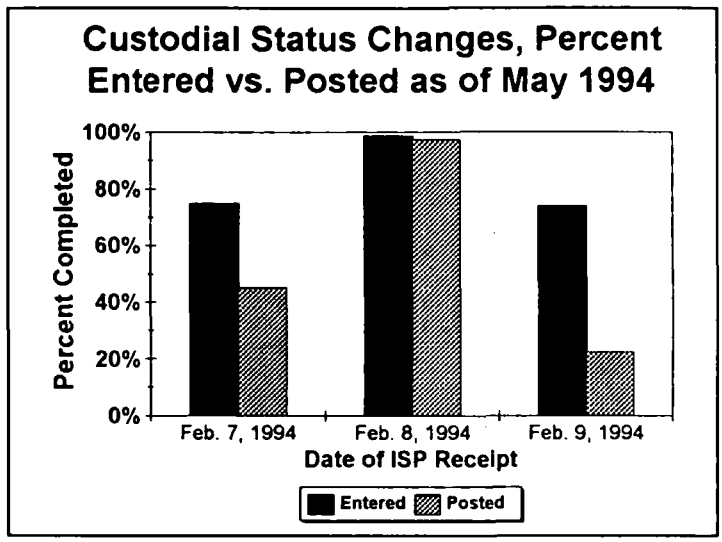


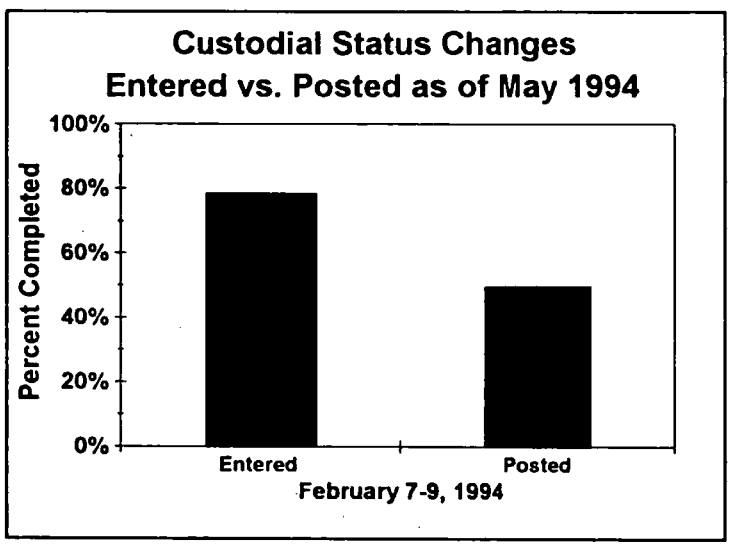




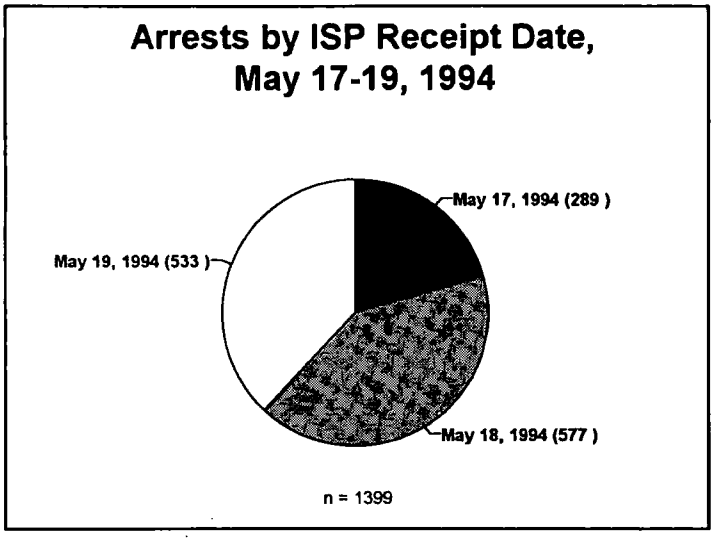
Timeliness I: Custodial Status Change Graphs

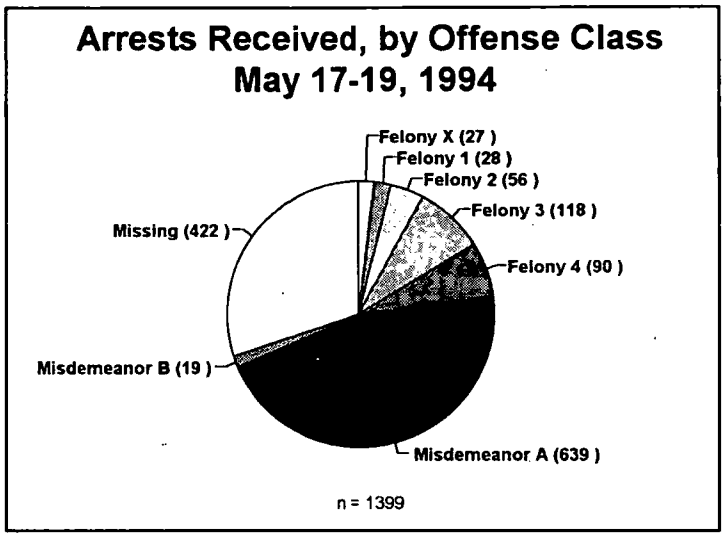


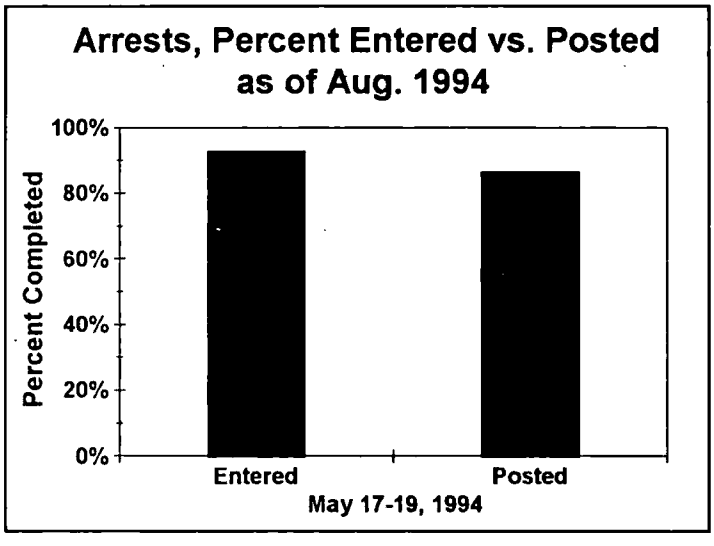


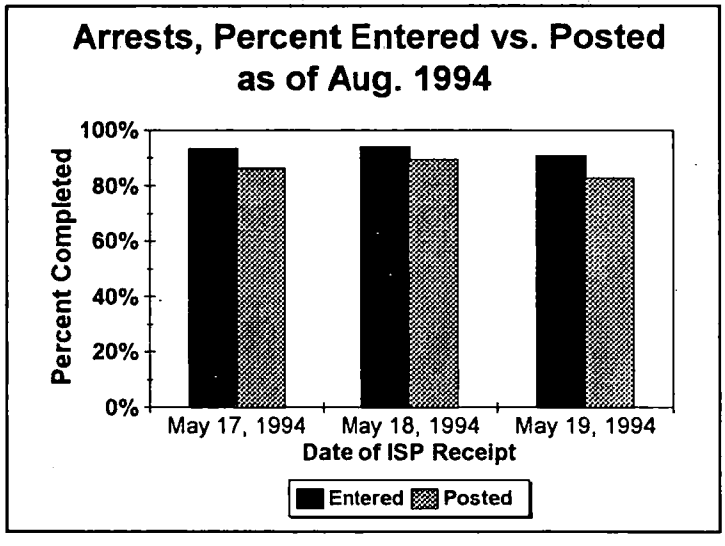


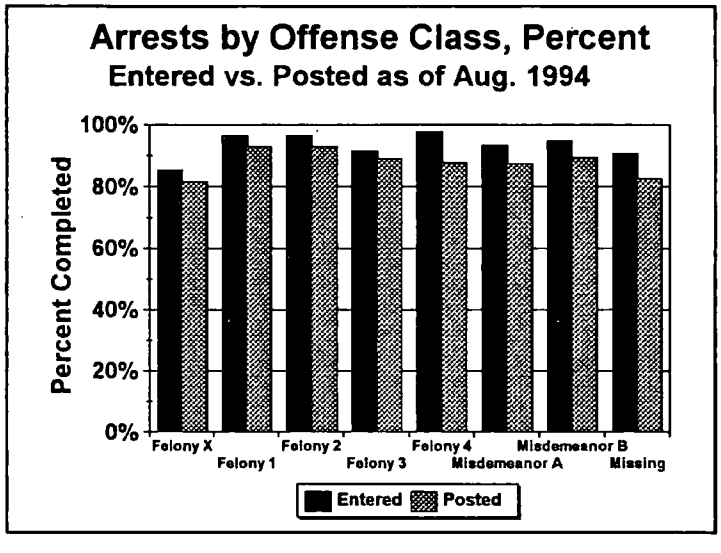
Timeliness II: Arrest Graphs



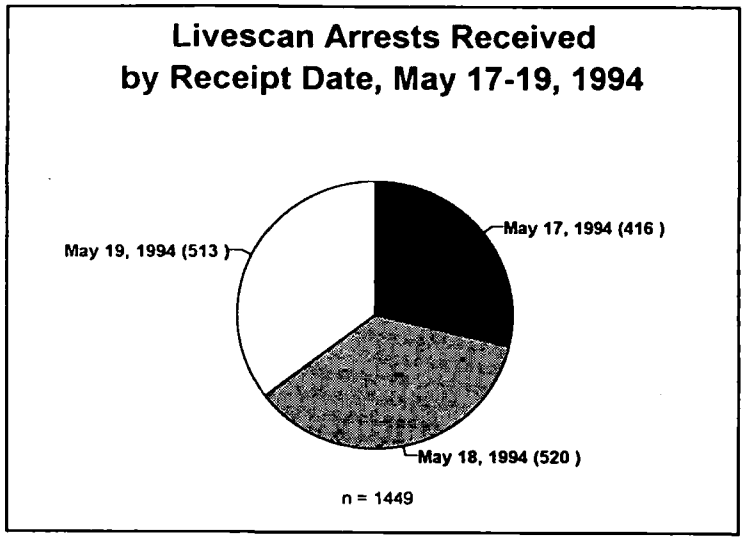


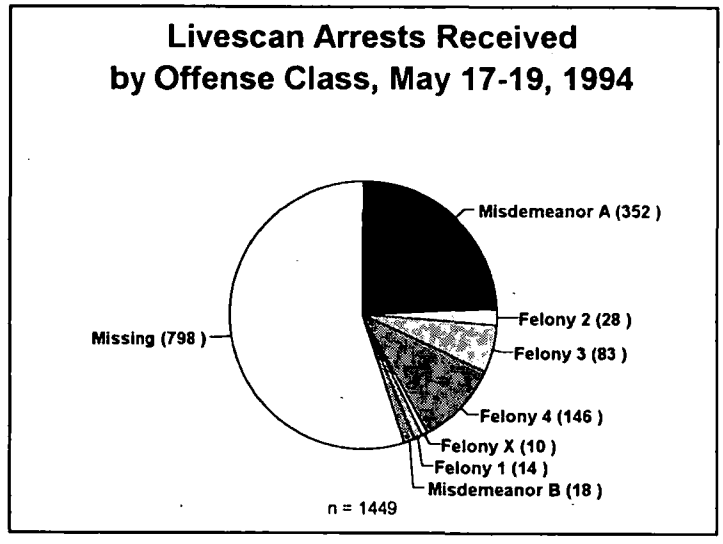


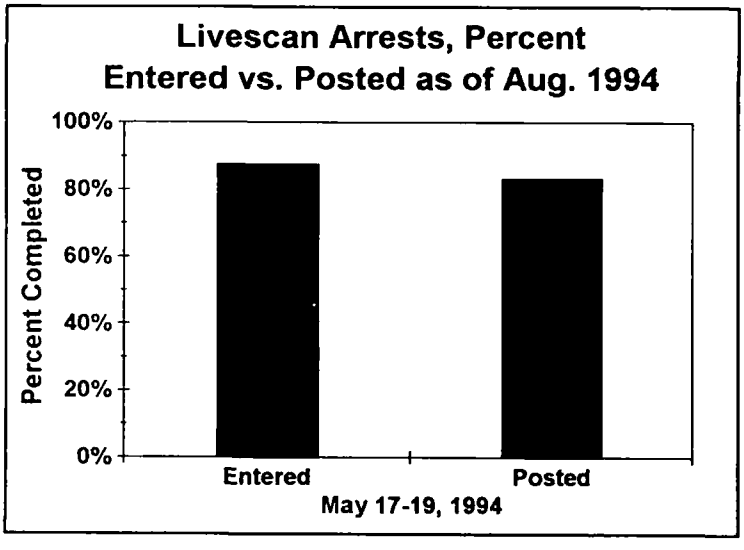


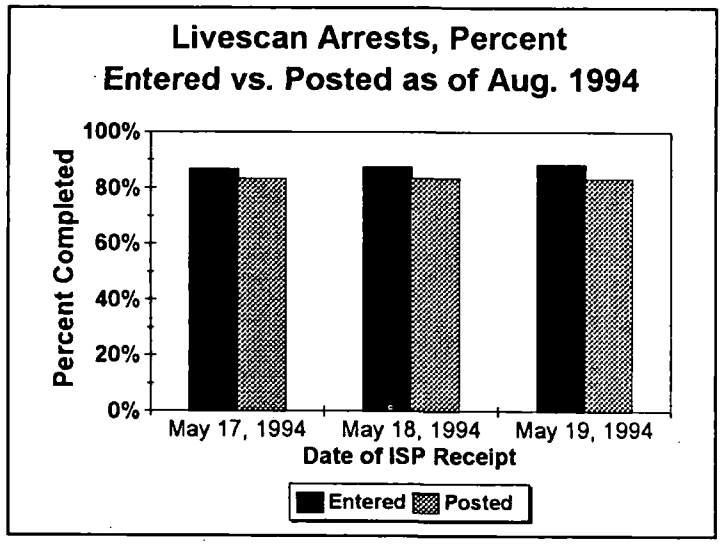


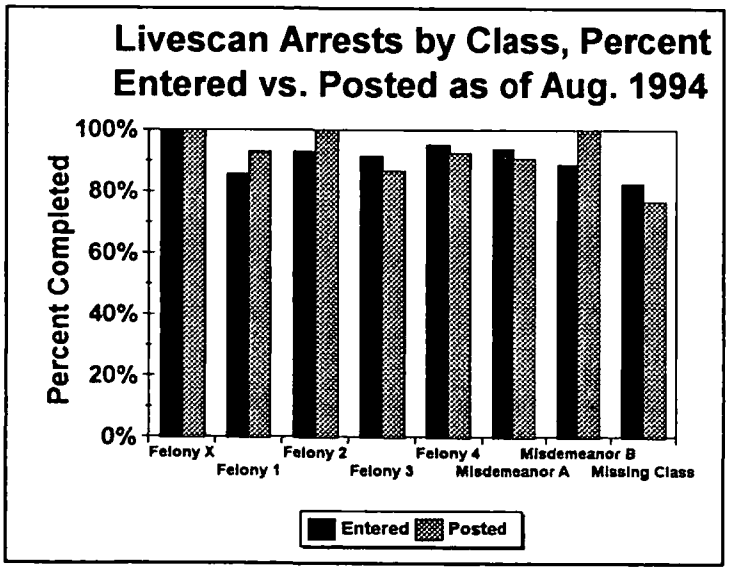
Timeliness II: Livescan Graphs



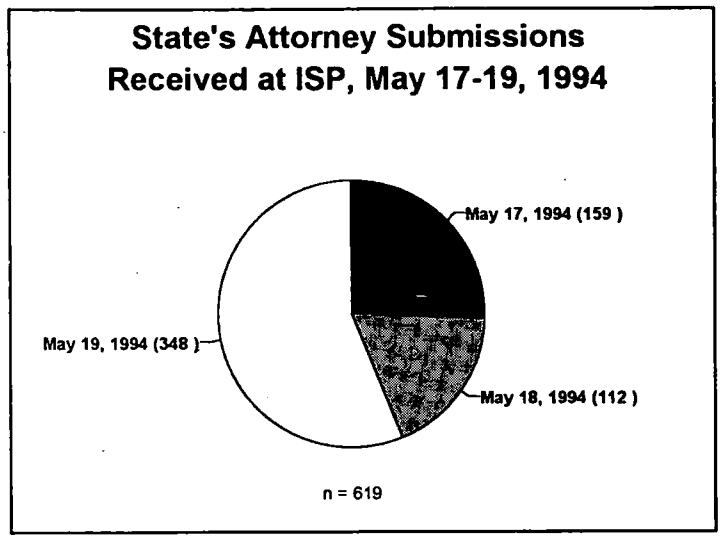


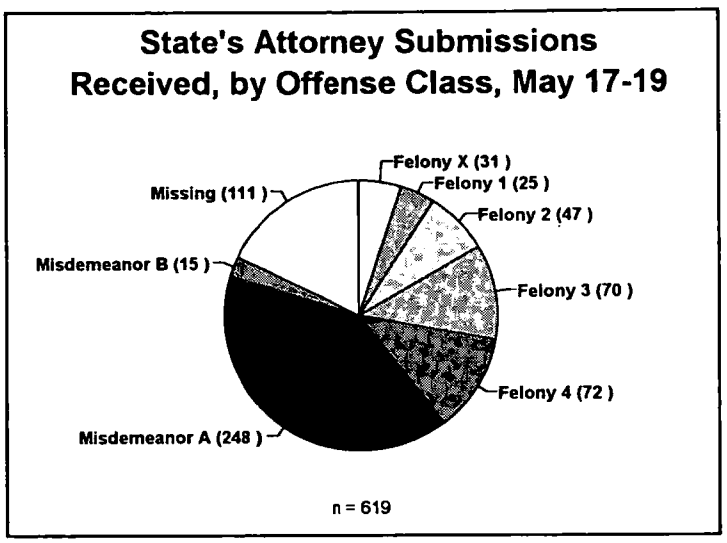


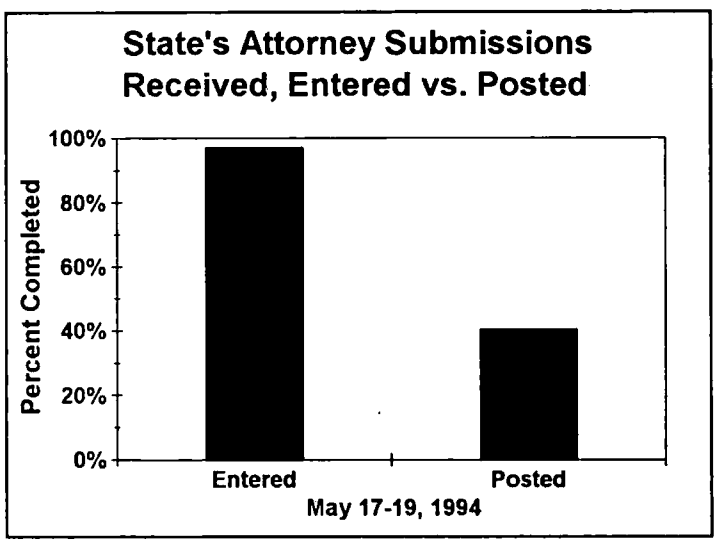


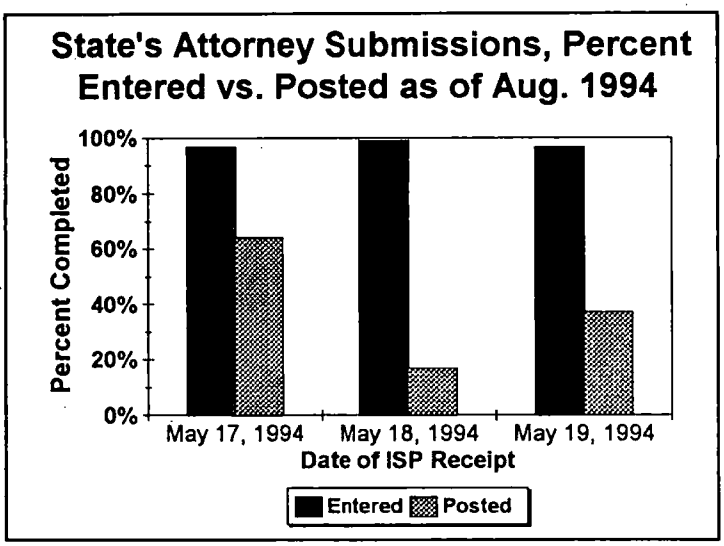


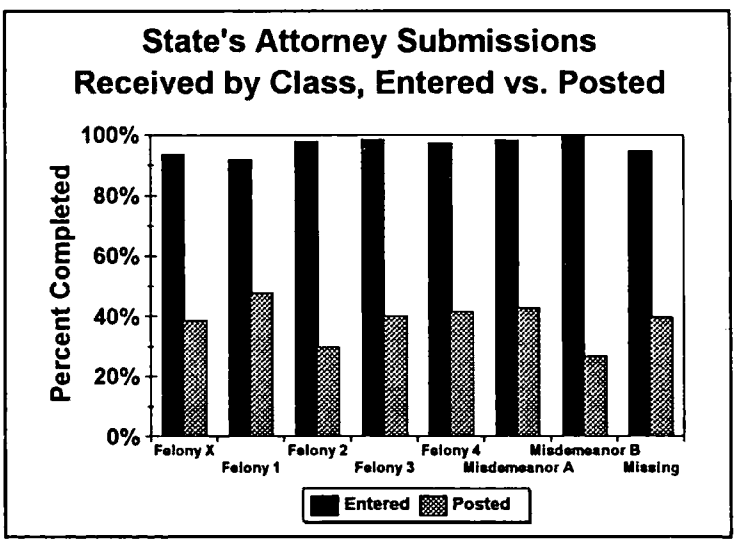
Timeliness II: State's Attorney Graphs



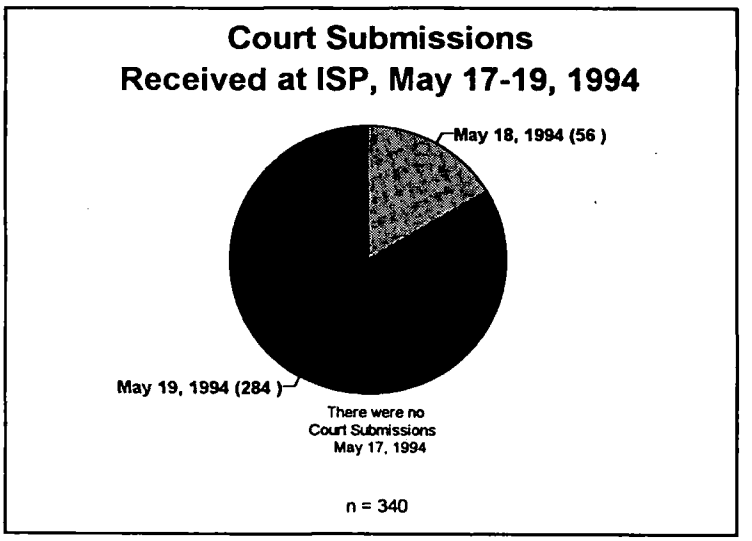


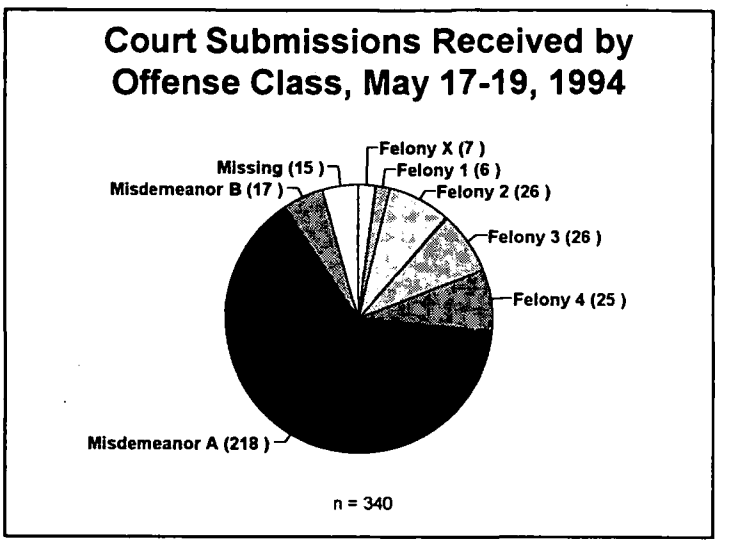


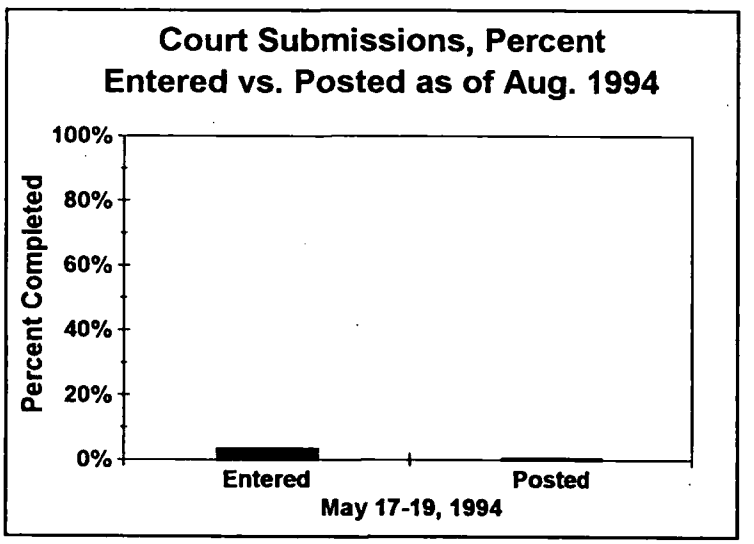


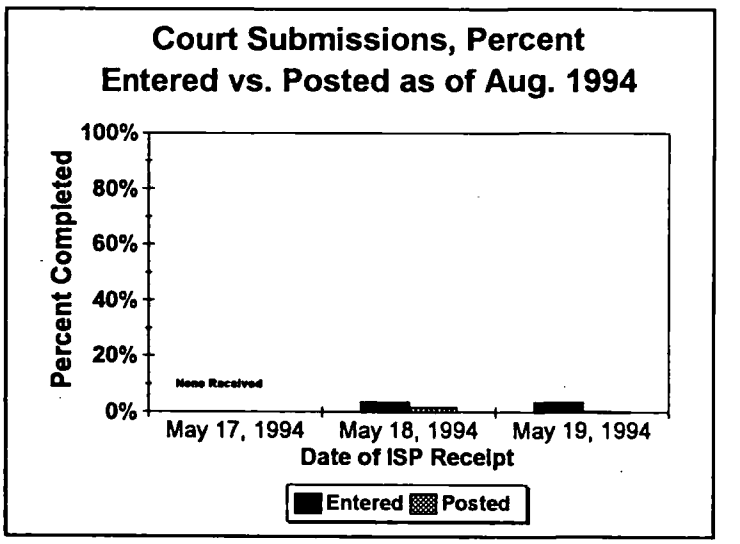


Timeliness II: Court Graphs

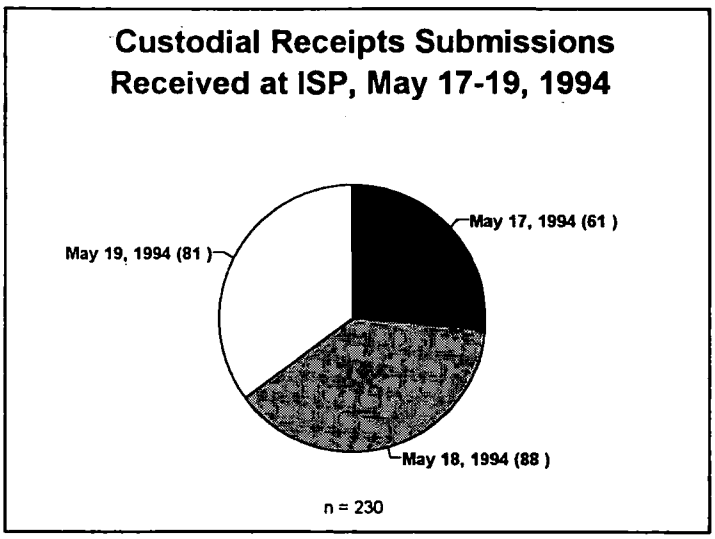


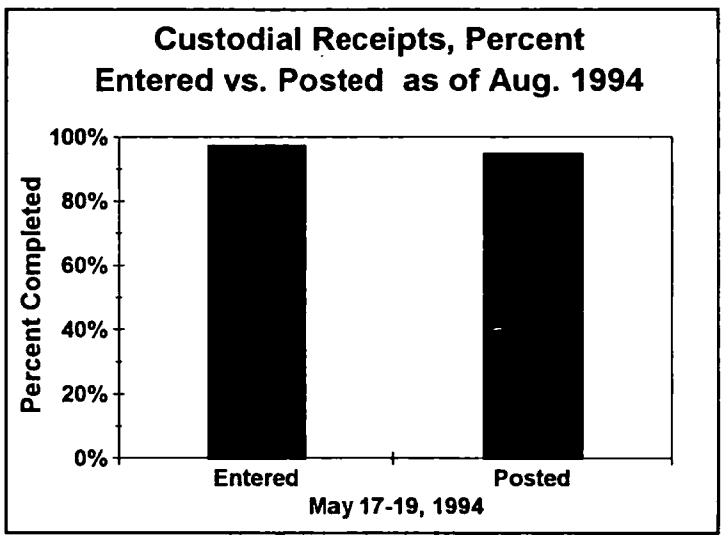


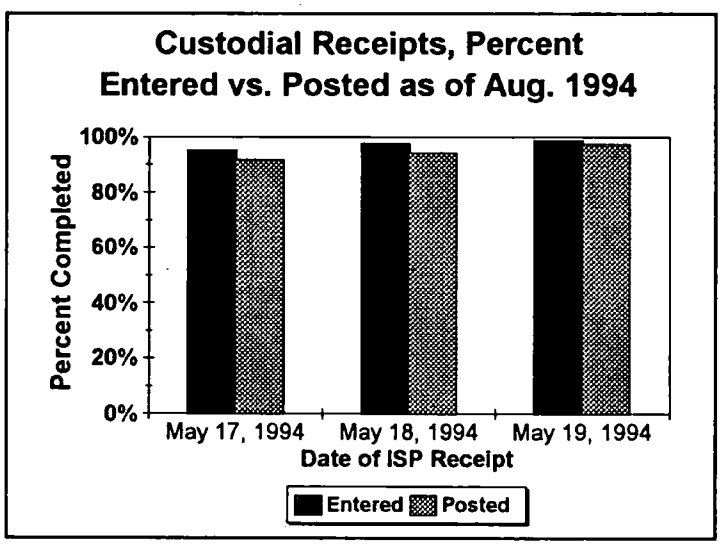




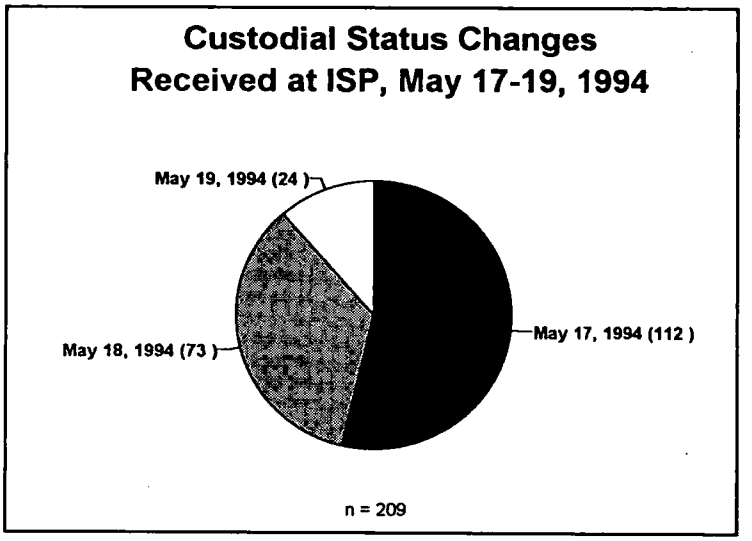
Timeliness II: Custodial Receipt Graphs

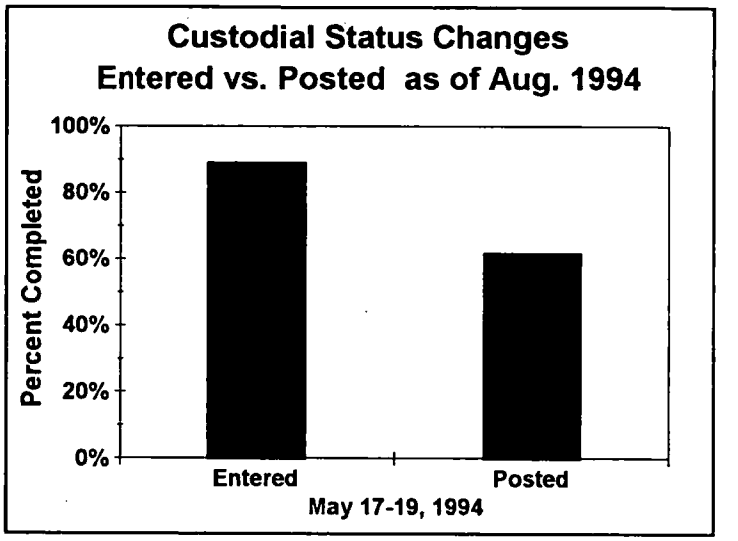


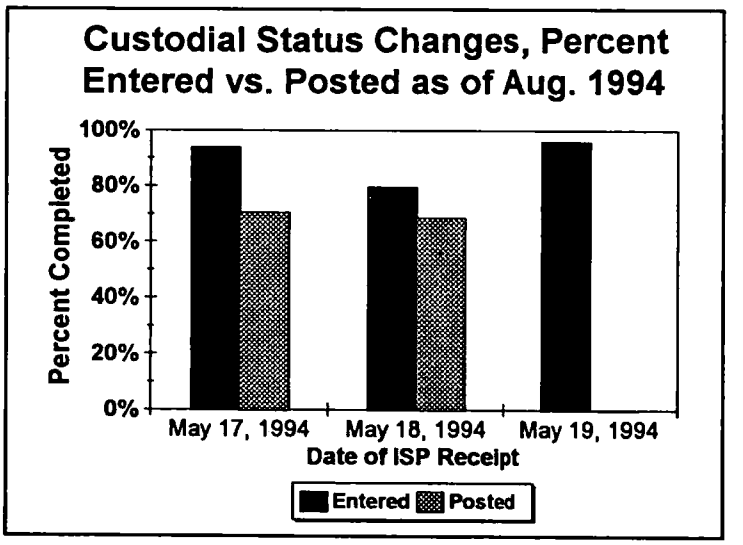




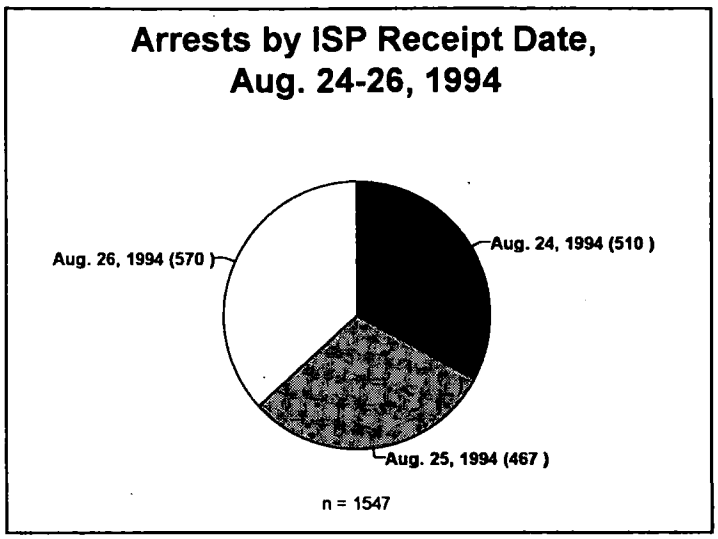
Timeliness II: Custodial Status Change Graphs

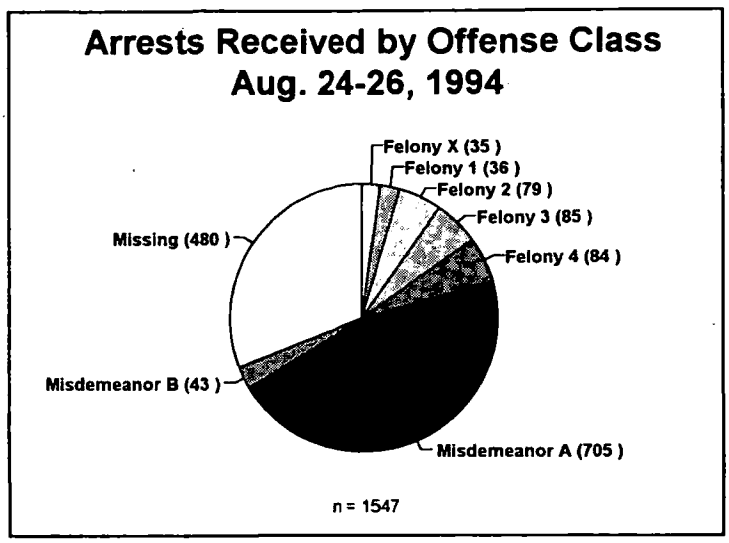


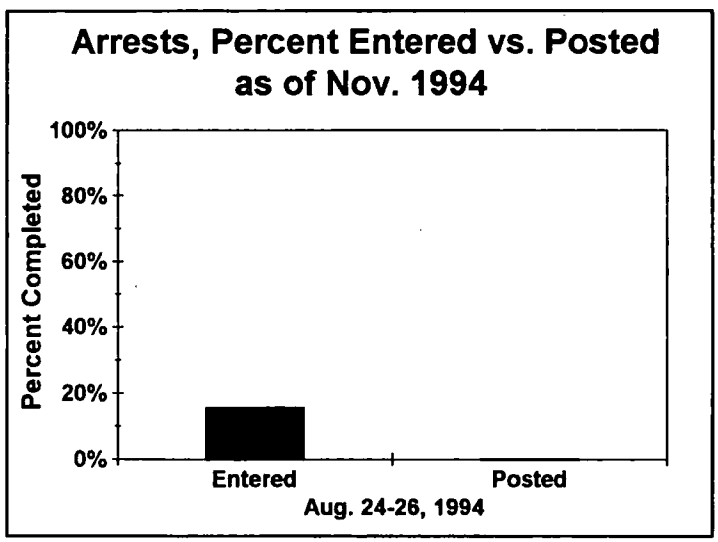


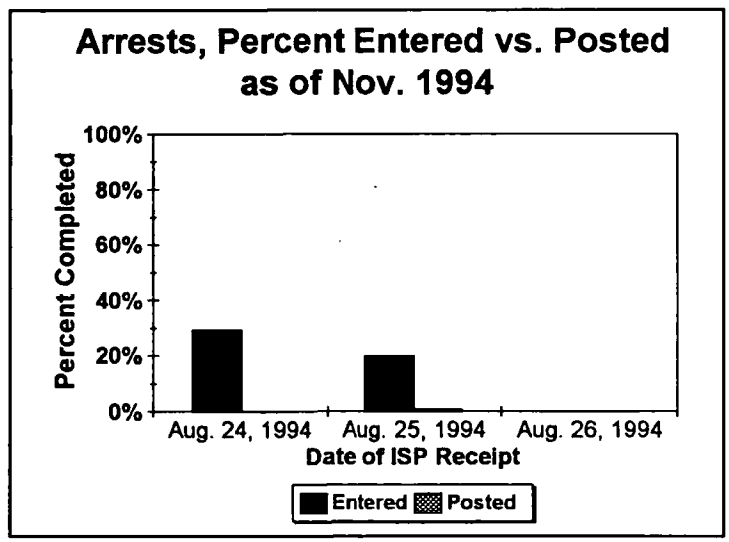


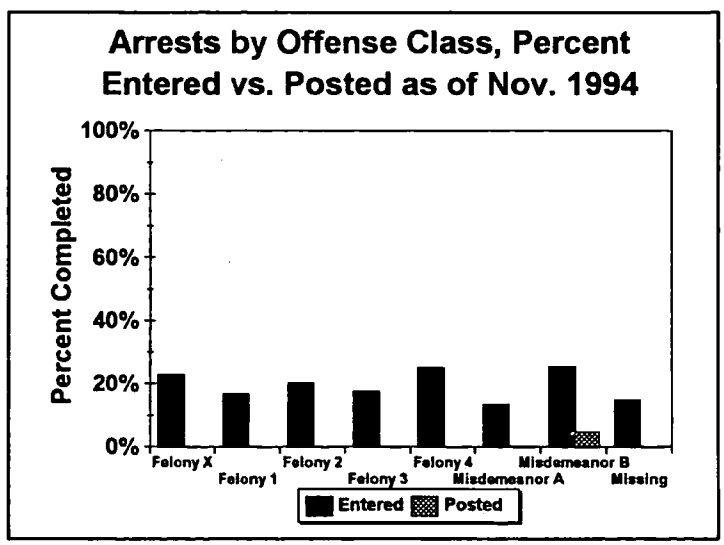
Timeliness III: Arrest Graphs



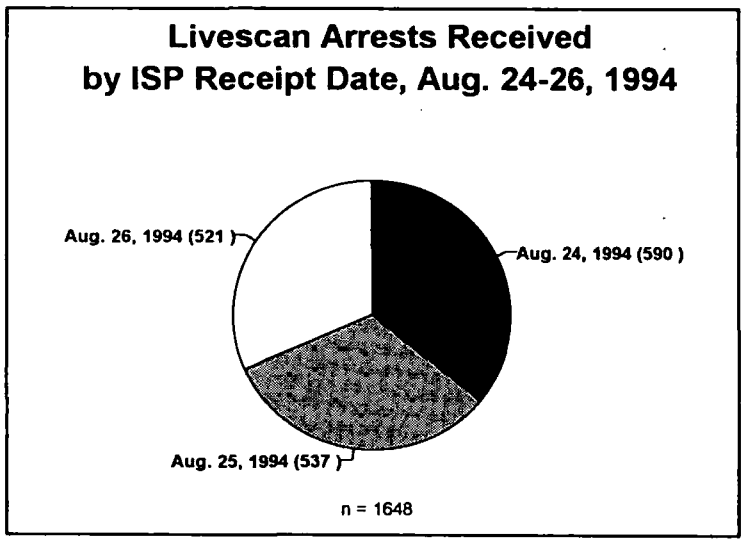


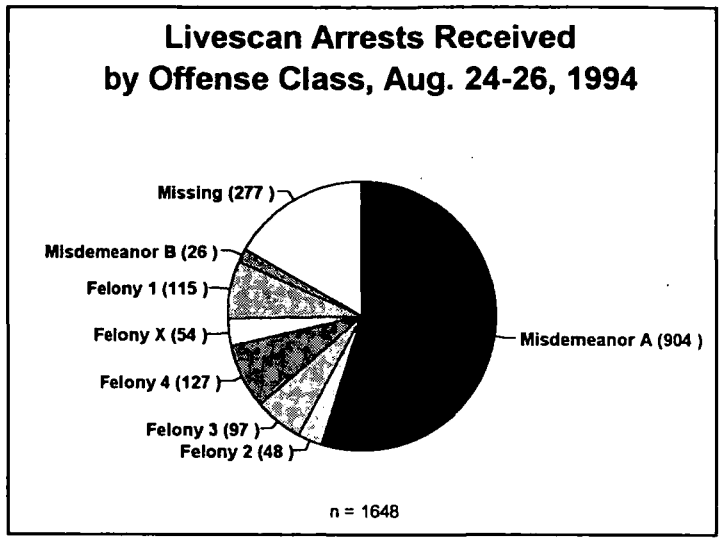


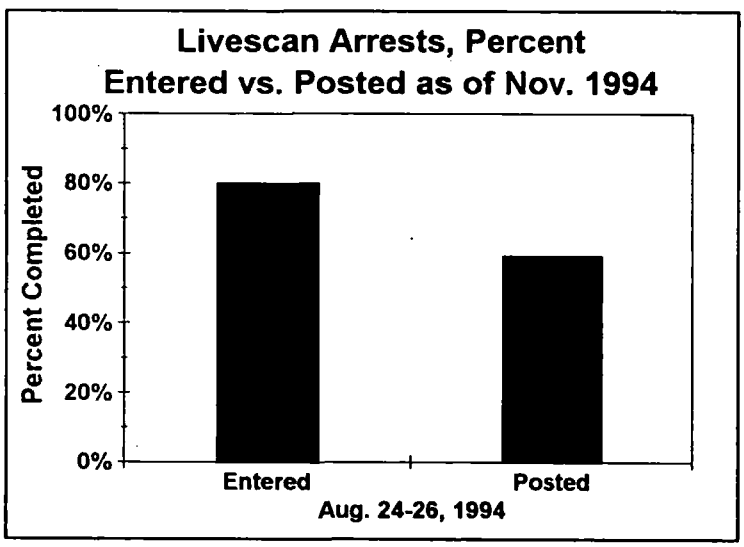


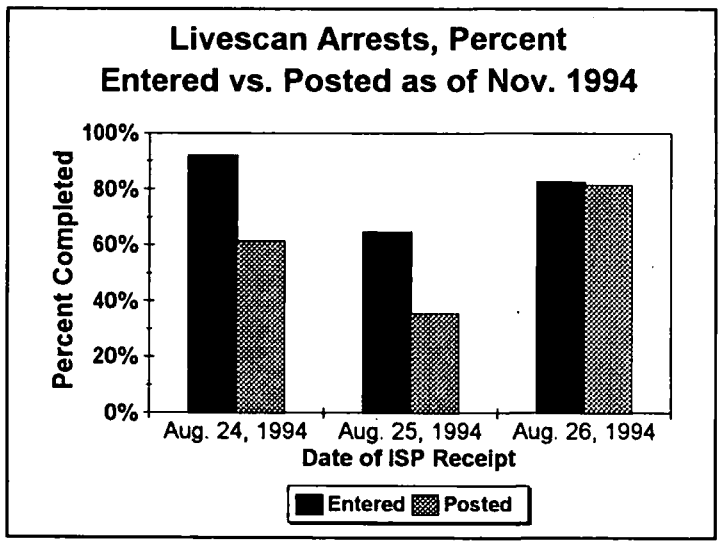


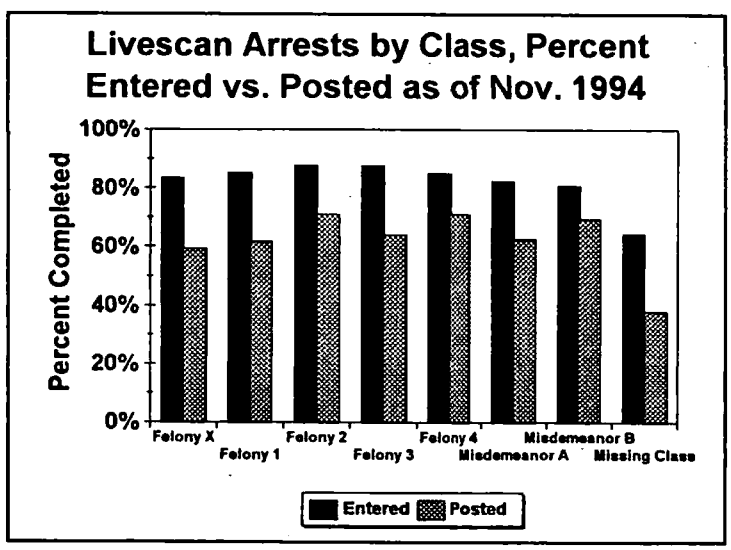
Timeliness III: Livescan Graphs





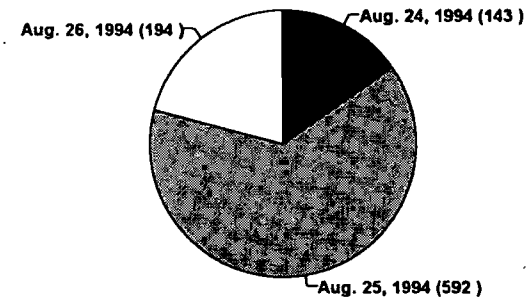






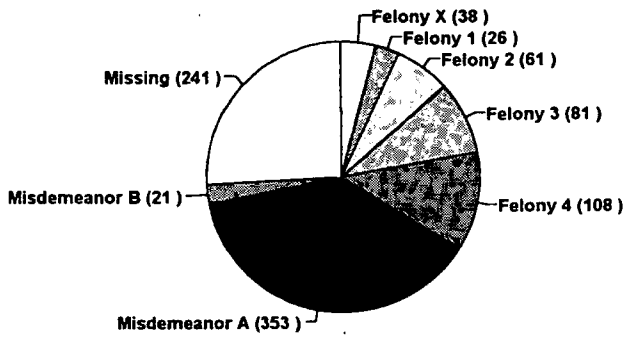
Timeliness III: State's Attorney Graphs

State's Attorney Submissions Received at ISP, Aug. 24-25, 1994



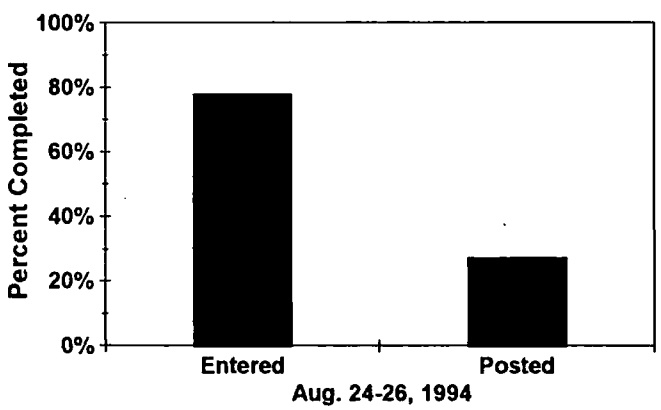
n = 929

State's Attorney Submissions Received by Offense Class, Aug. 24-26, 1994

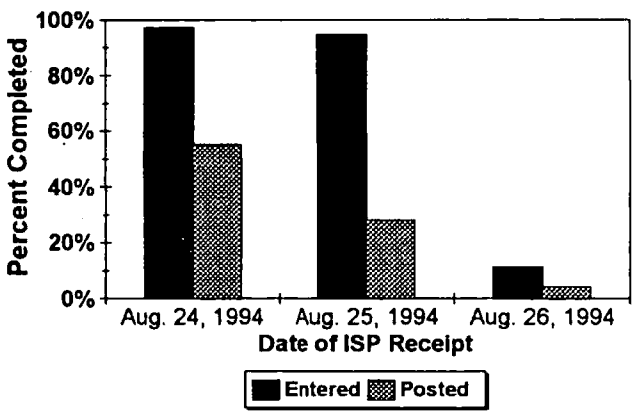


n = 929

State's Attorney Submissions Received, Entered vs. Posted

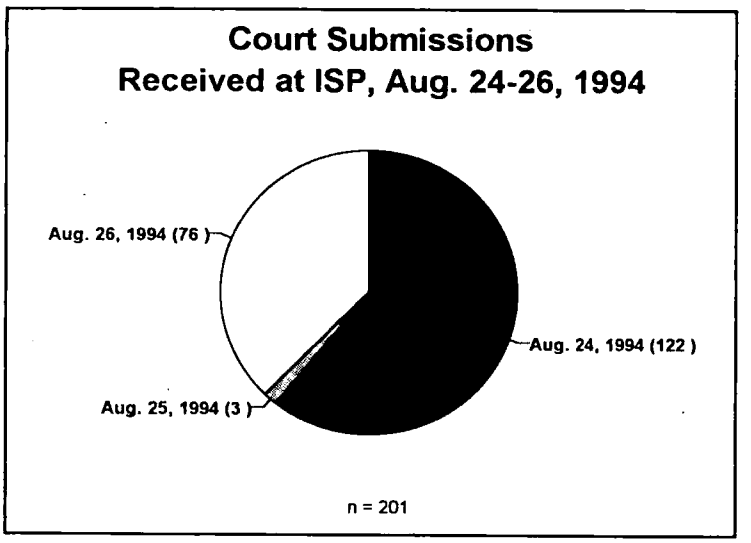


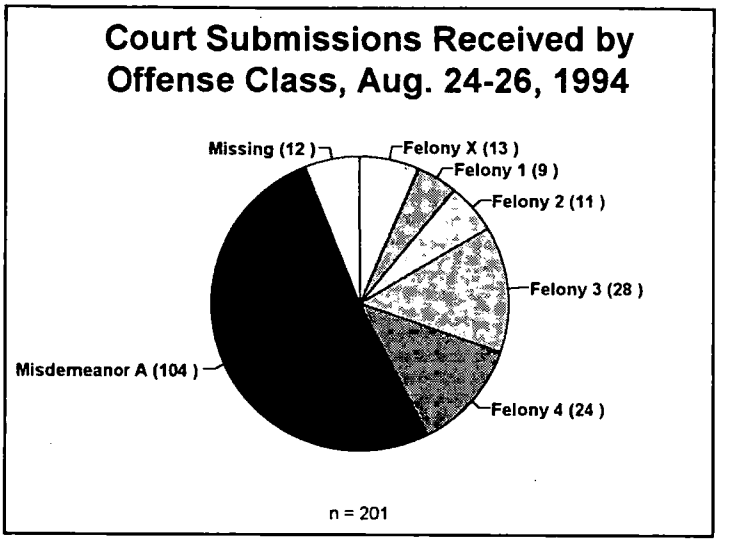
State's Attorney Submissions, Percent Entered vs. Posted as of Nov. 1994

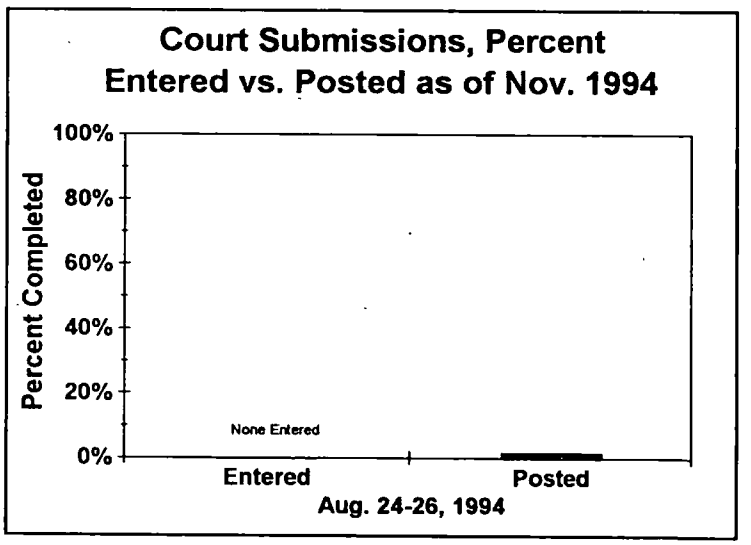


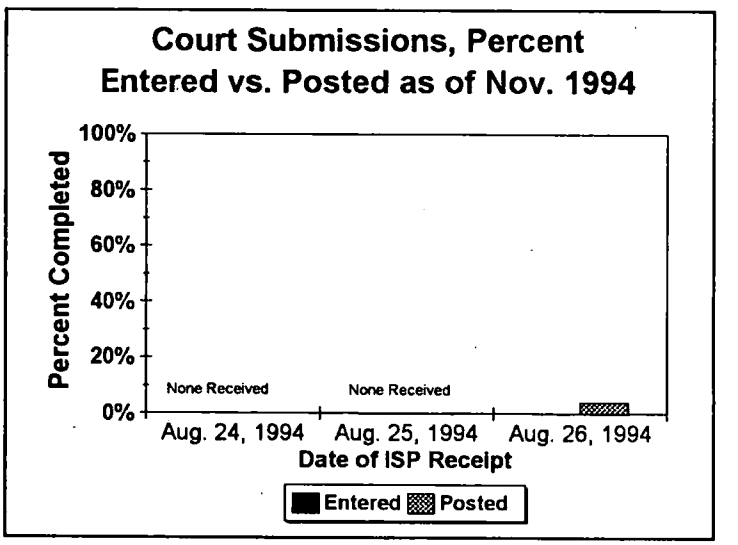
State's Attorney Submissions Received by Class, Entered vs. Posted

Timleiness III: Court Graphs

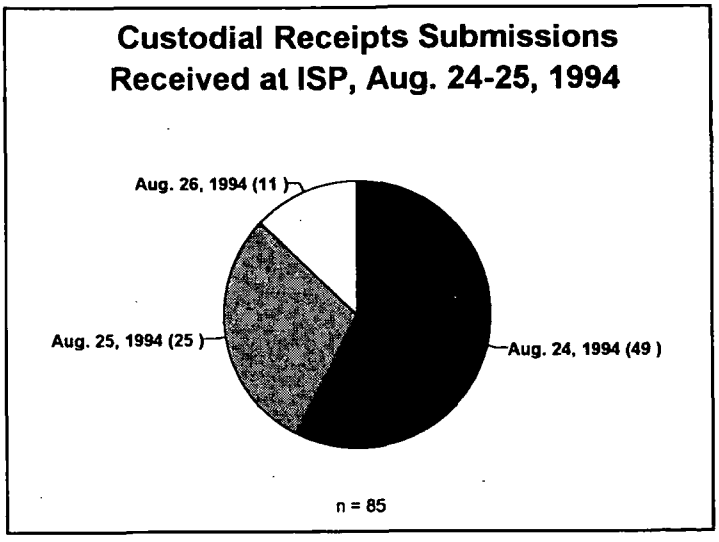


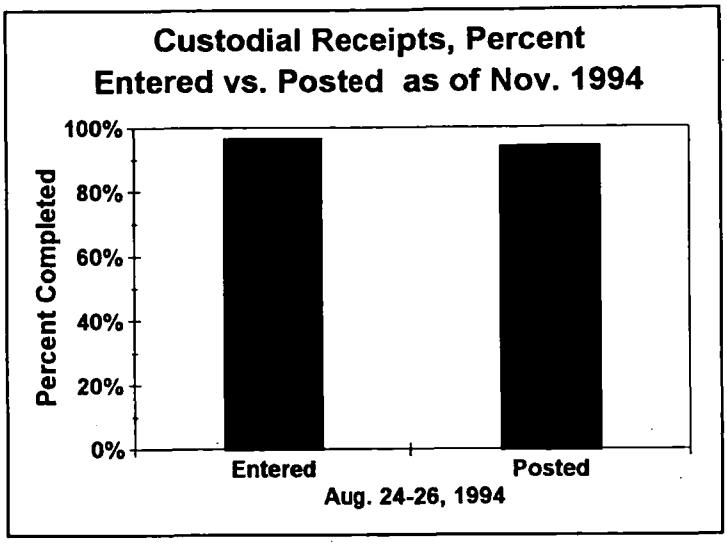


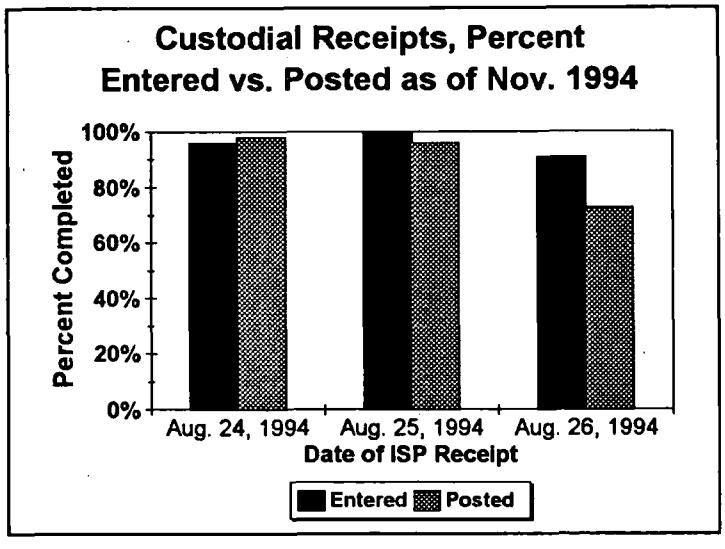




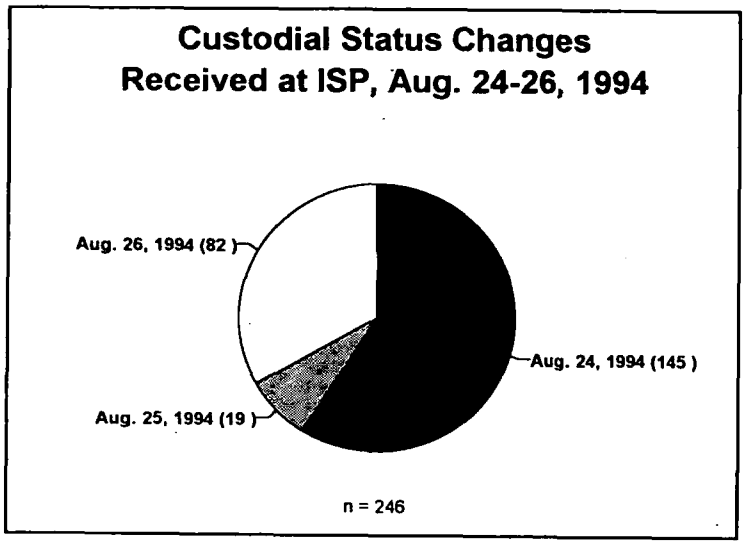
Timeliness III: Custodial Receipt Graphs

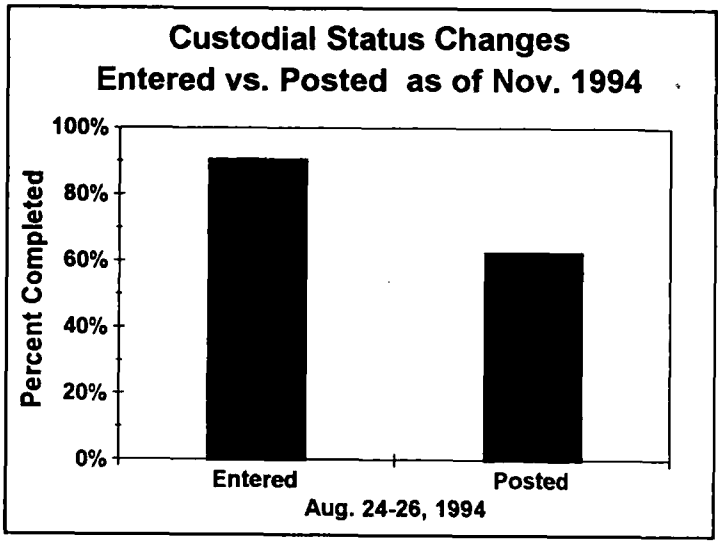


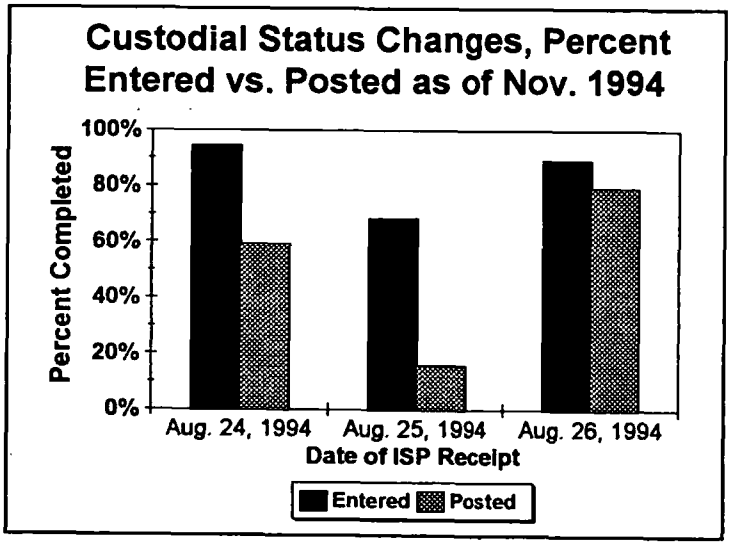




Timeliness III: Custodial Status Change Graphs







Appendix E

Reasons for Non-Postable Submissions by Submission Type

Reasons	Arrests	Livescan	State's Attorney	Court	Custodial Receipt	Custodial Status Change	Total
Duplicate PCN	2	1	43	1	0	16	63
Fatal Error	0	0	3	0	1	0	4
Invalid Citation	25	136	0	0	0	0	161
Local Ordinance	151	159	143	235	0	209	897
Missing Citation	49	0	0	0	0	0	49
Traffic Charges	29	74	0	0	0	0	103
Wrong DCN	8	0	0	0	1	0	9
Other Problems	4	0	0	0	0	1	5
Total	268	370	189	236	2	226	1,291

Appendix F

Definitions of Illinois Regions[1]

Cook County: The region of Cook County, which also includes Chicago.

collar counties: The five counties that surround Cook County. These include DuPage, Lake, Kane, McHenry and Will.

urban counties: Those counties that lie within a Metropolitan Statistical Area (MSA) as defined by the United States Bureau of the Census. An area qualifies for recognition as an MSA in one of two ways: 1) If it includes a city of at least 50,000 population or, 2) If it includes an urbanized area of at least 50,000 population with a total population of at least 100,000. In addition to the county containing the main city or urbanized area, an MSA may include additional counties having strong economic or social ties to the central county (according to the Department of Commerce, Bureau of the Census). In Illinois, 20 counties outside Cook and the collar counties, are part of an MSA; they are: Boone, Champaign, Clinton, Grundy, Henry, Jersey, Kankakee, Kendall, McLean, Macon, Madison, Menard, Monroe, Peoria, Rock Island, St. Clair, Sangamon, Tazewell, Winnebago, and Woodford.

rural counties: The remaining 76 Illinois counties that do not lie within an MSA.

---

[1] From the "Overview of Juvenile Crime and the Justice System's Response," Illinois Criminal Justice Information Authority, October 1994.

Appendix G

Example of Arrest Maintenance Screen

```
CRI92490                CRIMINAL HISTORY RECORD INFORMATION                CRI9240-1
                          ARREST EVENT MAINTENANCE
A/C :  I    SID:  IL99887760                          DCN:  123456789
A/C :       NAME: TEST, WILLIE DOE                                  MAINT DATE :    /  /
A/C :       DOB:  10101910                                          MAINT DATE :    /  /
            CASE# :      2345678      CASE# :      123          DATE OF ARREST :  052595
            ORI :  IL0990700    PHOTO :  Y   DATE OF OFFENSE : 052495  CO PROS :  099
            SA AUTH:     JUV AS ADULT :     POST SEN FP :      DATE BOND :
            RECPT :           BND AMT :          DEPOSIT $ :
            NO BOND :    DLN :      RECOG :     CASH :     10%BOND :   DUI :      OTH :
            SEAL :       DTE :
            REASON FOR CAUTION:                                     MAINT DATE :    /  /
A/C :       NUM :  001   STATUTE/CITATION : 38-16-1
            CSA :  O     CLS :      WAR :      CO :   DISP CDE :   SEAL :     DTE :
            COURT ORI :                    COURT CAS# :            MAINT DATE :    /  /
FBI A/C :
ACTION CODE : A/C/I/D/P/N        FBI  A/C : AUT/EHN/XHN     PF18-EXIT     CLEAR-REFRESH SCREEN
```

Appendix H

Reverse Form I Tables

Section B: Fatal Errors Fields

Table 1
Offenders Name by Error Type by Region

Region	I5	IA	IC	IO	M5	MB	MO	Total Errors
Cook	6 (2.7%)	74 (33.8%)	73 (33.3%)	3 (1.3%)	18 (8.2%)	1 (0.5%)	44 (20.1%)	219 (99.9%)
Collar	1 (50%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (50%)	2 (100%)
Urban	0 (0.0%)	3 (60.0%)	1 (20.0%)	0 (0.0%)	1 (20.0%)	0 (0.0%)	0 (0.0%)	5 (100%)
Rural	2 (1.5%)	17 (12.6%)	85 (63.0%)	0 (0.0%)	1 (0.7%)	0 (0.0%)	30 (22.2%)	135 (100%)

Table 2
Offenders Birth Date by Error Type by Region

Region	I5	IA	M5	MO	Total Errors
Cook	17 (15.0%)	70 (62.0%)	6 (5.3%)	20 (17.7%)	113 (100%)
Collar	15 (93.8%)	0 (0.0%)	0 (0.0%)	1 (6.2%)	16 (100%)
Urban	0 (0.0%)	4 (100%)	0 (0.0%)	0 (0.0%)	4 (100%)
Rural	4 (2.3%)	5 (2.9%)	5 (2.9%)	161 (92.0%)	175 (100.1%)

Table 3
Statute Citation by Error Type by Region

Region	I5	IA	IC	IO	M5	MB	MO	Total Errors
Cook	4 (1.4%)	32 (11.5%)	32 (11.5%)	2 (0.7%)	31 (11.1%)	67 (24.0%)	111 (39.8%)	279 (100%)
Collar	0 (0.0%)	0 (0.0%)	1 (33.3%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (66.7%)	3 (100%)
Urban	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (20.0%)	0 (0.0%)	8 (80.0%)	10 (100%)
Rural	0 (0.0%)	1 (10.0%)	3 (30.0%)	0 (0.0%)	2 (20.0%)	1 (10.0%)	3 (30.0%)	10 (100%)

Table 4
Date of Arrest by Error Type by Region

Region	I5	IA	IC	M5	MO	Total Errors
Cook	10 (13.3%)	37 (49.3%)	2 (2.7%)	15 (20.0%)	11 (14.7%)	75 (100%)
Collar	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (100%)	1 (100%)
Urban	1 (5.9%)	4 (23.5%)	0 (0.0%)	1 (5.9%)	11 (64.7%)	17 (100%)
Rural	2 (4.8%)	36 (85.7%)	2 (4.8%)	1 (2.4%)	1 (2.4%)	42 (100.1%)

Section C: Additional Subject/Agency Identification

Table 5
Offenders Alias by Error Type by Region

Region	IA	IC	M5	MB	MO	Total Errors
Cook	12 (8.1%)	5 (3.4%)	74 (50.0%)	1 (0.7%)	56 (37.8%)	148 (100%)
Collar	0 (0.0%)	0 (0.0%)	0 0.0%)	0 (0.0%)	1 (100%)	1 (100%)
Urban	0 (0.0%)	0 (0.0%)	7 (100%)	0 (0.0%)	0 (0.0%)	7 (100%)
Rural	2 (6.9%)	0 (0.0%)	1 (3.5%)	0 (0.0%)	26 (89.7%)	29 (100.1%)

Table 6
Offenders Gender by Error Type by Region

Region	I5	IA	IO	M5	MO	Total Errors
Cook	6 (21.4%)	7 (25%)	1 (3.6%)	3 (10.7%)	11 (39.3%)	28 (100%)
Collar	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (100%)	1 (100%)
Urban	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	4 (100%)	4 (100%)
Rural	0 (0.0%)	5 (11.6%)	0 (0.0%)	0 (0.0%)	38 (88.4%)	43 (100%)

Table 7
Offenders Race by Error Type by Region

Region	IA	M5	MO	Total Errors
Cook	23 (67.7%)	1 (2.9%)	10 (29.4%)	34 (100%)
Collar	0 (0.0%)	0 (0.0%)	1 (100%)	1 (100%)
Urban	0 (0.0%)	0 (0.0%)	2 (100%)	2 (100%)
Rural	1 (2.5%)	1 (2.5%)	38 (95.0%)	40 (100%)

Table 8
Offenders Place of Birth by Error Type by Region

Region	IA	IO	M5	MB	MO	Total Errors
Cook	9 (9.7%)	1 (1.1%)	34 (36.6%)	10 (10.7%)	39 (41.9%)	93 (100%)
Collar	0 (0.0%)	0 (0.0%)	6 (85.7%)	0 (0.0%)	1 (14.3%)	7 (100%)
Urban	1 (25.0%)	0 (0.0%)	2 (50.0%)	1 (25.0%)	0 (0.0%)	4 (100%)
Rural	1 (14.3%)	1 (14.3%)	3 (42.9%)	2 (28.6%)	0 (0.0%)	7 (100.1%)

Table 9
Offenders Hair Color by Error Type by Region

Region	IA	IO	M5	MB	MO	Total Errors
Cook	115 (78.8%)	0 (0.0%)	2 (1.4%)	0 (0.0%)	29 (19.9%)	146 (100.1%)
Collar	2 (66.7%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (33.3%)	3 (100%)
Urban	5 (83.3%)	0 (0.0%)	1 (16.7%)	0 (0.0%)	0 (0.0%)	6 (100%)
Rural	11 (40.7%)	1 (3.7%)	2 (7.4%)	1 (3.7%)	12 (44.4%)	27 (99.9%)

Table 10
Offenders Skin Tone by Error Type by Region

Region	I5	IA	IO	M5	MB	MO	Total Errors
Cook	4 (0.9%)	284 (65.1%)	1 (0.2%)	30 (6.9%)	10 (2.3%)	107 (24.5%)	436 (99.9%)
Collar	0 (0.0%)	4 (80.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (20%)	5 (100%)
Urban	0 (0.0%)	2 (100.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (100%)
Rural	0 (0.0%)	5 (62.5%)	0 (0.0%)	1 (12.5%)	1 (12.5%)	1 (12.5%)	8 (100%)

Table 11
Offenders Height by Error Type by Region

Region	I5	IA	M5	MB	MO	Total Errors
Cook	3 (1.6%)	144 (77.8%)	9 (4.9%)	2 (1.1%)	27 (14.6%)	185 (100%)
Collar	1 (16.7%)	3 (50.0%)	0 (0.0%)	0 (0.0%)	2 (33.3%)	6 (100%)
Urban	0 (0.0%)	3 (100%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	3 (100%)
Rural	0 (0.0%)	39 (69.6%)	2 (3.6%)	1 (1.8%)	14 (25.0%)	56 (100%)

Table 12
Offenders Weight by Error Type by Region

Region	I5	IA	IC	M5	MB	MO	Total Errors
Cook	10 (4.2%)	193 (80.1%)	2 (0.8%)	6 (2.5%)	1 (0.4%)	29 (12.0%)	241 (100%)
Collar	0 (0.0%)	2 (50.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (50.0%)	4 (100%)
Urban	0 (0.0%)	4 (100.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	4 (100%)
Rural	0 (0.0%)	42 (70.0%)	0 (0.0%)	2 (3.3%)	2 (3.3%)	14 (23.3%)	60 (99.9%)

Table 13
Offenders Eye Color by Error Type by Region

Region	I5	IA	IC	M5	MB	MO	Total Errors
Cook	9 (8.0%)	47 (42.0%)	1 (0.9%)	9 (8.0%)	1 (0.9%)	45 (40.2%)	112 (100%)
Collar	0 (0.0%)	1 (50.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (50.0%)	2 (100%)
Urban	0 (0.0%)	1 (100.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (100%)
Rural	0 (0.0%)	11 (28.2%)	0 (0.0%)	2 (5.1%)	1 (2.6%)	25 (64.1%)	39 (100%)

Table 14
Offenders Scars by Error Type by Region

Region	I5	IA	IC	M5	MO	Total Errors
Cook	2 (0.8%)	15 (6.3%)	1 (0.4%)	156 (65.3%)	65 (27.2%)	239 (100%)
Collar	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (50.0%)	1 (50.0%)	2 (100%)
Urban	0 (0.0%)	1 (5.6%)	0 (0.0%)	15 (83.3%)	2 (11.1%)	18 (100%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	3 (42.9%)	4 (57.1%)	7 (100%)

Table 15
Offenders Social Security Number by Error Type by Region

Region	I5	IA	IC	M5	MB	MO	Total Errors
Cook	7 (1.8%)	35 (9.1%)	3 (0.8%)	32 (8.3%)	107 (27.8%)	201 (52.2%)	385 (100%)
Collar	0 (0.0%)	0 (0.0%)	0 (0.0%)	8 (88.9%)	0 (0.0%)	1 (11.1%)	9 (100%)
Urban	0 (0.0%)	1 (7.7%)	0 (0.0%)	0 (0.0%)	8 (61.5%)	4 (30.8%)	13 (100%)
Rural	1 (0.3%)	1 (0.3%)	0 (0.0%)	16 (4.4%)	27 (7.3%)	323 (87.8%)	368 (100.1%)

Table 16
Offenders Drivers License Number by Error Type by Region

Region	I5	IA	IC	M5	MB	MO	Total Errors
Cook	8 (2.5%)	30 (9.4%)	2 (0.6%)	50 (15.7%)	60 (18.8%)	169 (53.0%)	319 (100%)
Collar	0 (0.0%)	1 (5.9%)	0 (0.0%)	14 (82.3%)	1 (5.9%)	1 (5.9%)	17 (100%)
Urban	0 (0.0%)	0 (0.0%)	0 (0.0%)	18 (66.7%)	4 (14.8%)	5 (18.5%)	27 (100%)
Rural	0 (0.0%)	1 (3.1%)	0 (0.0%)	1 (3.1%)	2 (6.3%)	28 (87.5%)	32 (100%)

Table 17
Agency's Offender Identification Number by Error Type by Region

Region	I5	IA	IC	M5	MB	MO	Total Errors
Cook	2 (1.0%)	23 (11.0%)	2 (1.0%)	7 (3.4%)	5 (2.4%)	170 (81.3%)	209 (100.1%)
Collar	0 (0.0%)	1 (50.0%)	0 (0.0%)	0 (0.0%)	1 (50.0%)	0 (0.0%)	2 (100%)
Urban	0 (0.0%)	2 (25.0%)	0 (0.0%)	3 (37.5%)	0 (0.0%)	3 (37.5%)	8 (100%)
Rural	0 (0.0%)	0 (0.0%)	6 (50.0%)	0 (0.0%)	0 (0.0%)	6 (50.0%)	12 (100%)

Table 18
Agency Case Number by Error Type by Region

Region	I5	IA	IC	M5	MB	MO	Total Errors
Cook	1 (0.9%)	36 (32.7%)	7 (6.4%)	25 (22.7%)	1 (0.9%)	40 (36.4%)	110 (100%)
Collar	0 (0.0%)	1 (50.0%)	0 (0.0%)	0 (0.0%)	1 (50.0%)	0 (0.0%)	2 (100%)
Urban	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (50.0%)	1 (25.0%)	1 (25.0%)	4 (100%)
Rural	0 (0.0%)	4 (36.4%)	0 (0.0%)	2 (18.1%)	0 (0.0%)	5 (45.5%)	11 (100%)

Section D: Other Information

Table 19
Fingerprint Card Signed by Officer by Error Type by Region

Region	M5	Total Errors
Cook	90 (100.0%)	90 (100%)
Collar	0 (0.0%)	0 (0.0%)
Urban	2 (100.0%)	2 (100%)
Rural	500 (100.0%)	500 (100%)

Table 20
Officer's Identification Noted by Error Type by Region

Region	I5	IA	M5	Total Errors
Cook	1 (1.1%)	1 (1.1%)	93 (97.8%)	95 (100%)
Collar	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0%)
Urban	0 (0.0%)	0 (0.0%)	10 (100.0%)	10 (100%)
Rural	0 (0.0%)	0 (0.0%)	500 (100.0%)	500 (100%)

Table 21
Fingerprints Signed by the Offender by Error Type by Region

Region	IC	M5	Total Errors
Cook	3 (5.0%)	57 (95.0%)	60 (100%)
Collar	0 (0.0%)	3 (100.0%)	3 (100%)
Urban	0 (0.0%)	2 (100.0%)	2 (100%)
Rural	0 (0.0%)	15 (100.0%)	15 (100%)

Table 22
Fingerprints Dated by Error Type by Region

Region	I5	IA	IC	M5	Total Errors
Cook	6 (6.5%)	0 (0.0%)	1 (1.1%)	85 (92.4%)	92 (100%)
Collar	8 (80.0%)	0 (0.0%)	0 (0.0%)	2 (20.0%)	10 (100%)
Urban	0 (0.0%)	1 (33.3%)	0 (0.0%)	2 (66.7%)	3 (100%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	3 (100.0%)	3 (100%)

Table 23
CSA by Error Type by Region

Region	I5	IA	M5	Total Errors
Cook	2 (1.0%)	190 (96.5%)	5 (2.5%)	197 (100%)
Collar	0 (0.0%)	0 (0.0%)	1 (100.0%)	1 (100%)
Urban	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)
Rural	4 (66.7%)	2 (33.3%)	0 (0.0%)	6 (100%)

Table 24
Class by Error Type by Region

Region	I5	IA	M5	Total Errors
Cook	8 (0.8%)	118 (11.8%)	878 (87.4%)	1,004 (100%)
Collar	0 (0.0%)	0 (0.0%)	95 (100.0%)	95 (100%)
Urban	0 (0.0%)	0 (0.0%)	26 (100.0%)	26 (100%)
Rural	0 (0.0%)	5 (9.3%)	49 (90.7%)	54 (100%)

Table 25
Disposition by Error Type by Region

Region	I5	M5	Total Errors
Cook	4 (0.3%)	1,246 (99.7%)	1,250 (100%)
Collar	0 (0.0%)	104 (100.0%)	104 (100%)
Urban	1 (1.6%)	60 (98.4%)	61 (100%)
Rural	0 (0.0%)	11 (100.0%)	11 (100%)

Table 26
Date of Offense by Error Type by Region

Region	I5	IC	M5	MO	Total Errors
Cook	7 (10.8%)	4 (6.1%)	53 (81.5%)	1 (1.5%)	65 (99.9%)
Collar	1 (100.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (100%)
Urban	0 (0.0%)	0 (0.0%)	68 (100.0%)	0 (0.0%)	68 (100%)
Rural	0 (0.0%)	0 (0.0%)	143 (100.0%)	0 (0.0%)	143 (100%)

Table 27
County of Prosecution by Error Type by Region

Region	I5	IA	IC	M5	Total Errors
Cook	2 (3.2%)	14 (22.2%)	3 (4.8%)	44 (69.8%)	63 (100%)
Collar	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0%)
Urban	0 (0.0%)	0 (0.0%)	0 (0.0%)	4 (100.0%)	4 (100%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	3 (100.0%)	3 (100%)

Appendix I

Reverse Form II Tables

Table 1
Offender's Name by Error Type by Region

Region	I5	IA	IC	IO	M5	MC	MO	Total Errors
Cook	1 (0.3%)	144 (49.7%)	29 (10.0%)	3 (1.0%)	1 (0.3%)	96 (33.1%)	16 (5.5%)	290 (99.9%)
Collar	3 (23.1%)	8 (61.5%)	1 (7.7%)	0 (0.0%)	0 (0.0%)	1 (7.7%)	0 (0.0%)	13 (100%)
Rural	0 (0.0%)	4 (100%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	4 (100%)
Urban	2 (14.3%)	6 (42.9%)	4 (28.6%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (14.3%)	14 (100.1%)

Table 2
Offender's Alias by Error Type by Region

Region	I5	IA	M5	MC	Total Errors
Cook	1 (0.9%)	8 (7.1%)	0 (0.0%)	103 (92.0%)	112 (100%)
Collar	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)
Urban	0 (0.0%)	0 (0.0%)	1 (3.5%)	28 (96.5%)	29 (100%)

Table 3
Offender's Birth Date by Error Type by Region

Region	I5	IA	IC	IO	MB	MC	MO	Total Errors
Cook	22 (12.5%)	130 (73.9%)	1 (0.6%)	5 (2.8%)	7 (4.0%)	6 (3.4%)	5 (2.8%)	176 (100%)
Collar	14 (82.4%)	3 (17.6%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	17 (100%)
Rural	0 (0.0%)	3 (75.0%)	1 (25.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	4 (100%)
Urban	1 (9.1%)	10 (90.9%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	11 (100%)

Table 4
Offender's Alias Birth Date by Error Type by Region

Region	IA	MC	Total Errors
Cook	6 (33.3%)	12 (66.7%)	18 (100%)
Collar	0 (0.0%)	0 (0.0%)	0 (0.0%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)
Urban	3 (60.0%)	2 (40.0%)	5 (100%)

Table 5
Agency's Offender Identification Number by Error Type by Region

Region	I5	IA	IC	M5	MB	MC	MO	Total Errors
Cook	0 (0.0%)	24 (4.2%)	4 (0.7%)	5 (0.9%)	101 (17.8%)	423 (74.5%)	11 (1.9%)	568 (100%)
Collar	1 (25.0%)	1 (25.0%)	0 (0.0%)	0 (0.0%)	1 (25.0%)	1 (25.0%)	0 (0.0%)	4 (100%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (18.2%)	0 (0.0%)	9 (81.8%)	11 (100%)
Urban	0 (0.0%)	7 (58.3%)	1 (8.3%)	0 (0.0%)	1 (8.3%)	2 (16.7%)	1 (8.3%)	12 (99.9%)

Table 6
Agency's Case Number by Error Type by Region

Region	I5	IA	IC	IO	M5	MB	MC	MO	Total Errors
Cook	3 (0.6%)	16 (3.0%)	4 (0.8%)	2 (0.4%)	5 (0.9%)	134 (25.2%)	360 (67.8%)	7 (1.3%)	531 (100%)
Collar	1 (50.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (50.0%)	0 (0.0%)	0 (0.0%)	2 (100%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	3 (21.4%)	1 (7.1%)	10 (71.4%)	14 (99.9%)
Urban	0 (0.0%)	10 (66.7%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	3 (20.0%)	2 (13.3%)	0 (0.0%)	15 (100%)

Table 7
Date of Arrest by Error Type by Region

Region	I5	IA	M5	MB	MC	MO	Total Errors
Cook	9 (7.6%)	67 (56.3%)	10 (8.4%)	6 (5.0%)	20 (16.8%)	7 (5.9%)	119 (100%)
Collar	1 (25.0%)	3 (75.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	4 (100%)
Rural	1 (33.3%)	0 (0.0%)	0 (0.0%)	1 (33.3%)	1 (33.3%)	0 (0.0%)	3 (99.9%)
Urban	3 (15.8%)	8 (42.1%)	2 (10.5%)	1 (5.3%)	2 (10.5%)	3 (15.8%)	19 (100%)

Table 8
Original Agency Identifier by Error Type by Region

Region	I5	IA	IC	M5	MC	Total Errors
Cook	17 (2.2%)	206 (27.0%)	5 (0.7%)	533 (70.0%)	1 (0.1%)	762 (100%)
Collar	0 (0.0%)	2 (66.7%)	0 (0.0%)	1 (33.3%)	0 (0.0%)	3 (100%)
Rural	1 (50.0%)	0 (0.0%)	0 (0.0%)	1 (50.0%)	0 (0.0%)	2 (100%)
Urban	1 (50.0%)	1 (50.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (100%)

Table 9
Photograph Taken by Error Type by Region

Region	I5	IA	M5	MB	MC	MO	Total Errors
Cook	7 (0.8%)	75 (8.4%)	73 (8.2%)	355 (39.6%)	169 (18.9%)	217 (24.2%)	896 (100.1%)
Collar	0 (0.0%)	1 (50.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (50.0%)	2 (100%)
Rural	0 (0.0%)	1 (33.3%)	1 (33.3%)	0 (0.0%)	0 (0.0%)	1 (33.3%)	3 (99.9%)
Urban	0 (0.0%)	6 (2.9%)	137 (66.8%)	60 (29.3%)	2 (1.0%)	0 (0.0%)	205 (100%)

Table 10
Date of Offense by Error Type by Region

Region	I5	IA	IC	IO	M5	MB	MC	MO	Total Errors
Cook	6 (5.9%)	30 (29.4%)	2 (2.0%)	0 (0.0%)	25 (24.5%)	24 (23.5%)	14 (13.7%)	1 (1.0%)	102 (100%)
Collar	2 (40.0%)	2 (40.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (20.0%)	5 (100%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	61 (91.0%)	5 (5.5%)	1 (1.5%)	0 (0.0%)	67 (100%)
Urban	0 (0.0%)	9 (5.1%)	1 (0.6%)	1 (0.6%)	3 (1.7%)	151 (85.8%)	10 (5.6%)	1 (0.6%)	176 (100%)

Table 11
County of Prosecution by Error Type by Region

Region	I5	IA	M5	MB	MC	MO	Total Errors
Cook	4 (4.2%)	31 (32.3%)	29 (30.2%)	26 (27.1%)	4 (4.2%)	2 (2.1%)	96 (100.1%)
Collar	0 (0.0%)	0 (0.0%)	1 (100%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (100%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (100.0%)	0 (0.0%)	0 (0.0%)	2 (100.0%)
Urban	0 (0.0%)	4 (50.0%)	1 (12.5%)	2 (25.0%)	1 (12.5%)	0 (0.0%)	8 (100%)

Table 12
Statute Citation by Error Type by Region

Region	I5	IA	IC	IO	M5	MB	MC	MO	Total Errors
Cook	13 (1.8%)	180 (25.4%)	396 (55.9%)	6 (0.9%)	33 (4.7%)	6 (0.9%)	7 (1.0%)	67 (9.5%)	708 (100%)
Collar	2 (5.3%)	10 (26.3%)	10 (26.3%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	16 (42.1%)	38 (100%)
Rural	0 (0.0%)	2 (20.0%)	7 (70.0%)	0 (0.0%)	1 (10.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	10 (100%)
Urban	2 (1.7%)	20 (17.2%)	11 (9.5%)	0 (0.0%)	1 (0.9%)	0 (0.0%)	0 (0.0%)	82 (70.7%)	116 (100%)

Table 13
CSA by Error Type by Region

Region	I5	IA	M5	MB	MC	Total Errors
Cook	1 (0.3%)	346 (96.7%)	2 (0.6%)	2 (0.6%)	7 (1.9%)	358 (100.1%)
Collar	0 (0.0%)	6 (50.0%)	5 (41.7%)	0 (0.0%)	1 (8.3%)	12 (100%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	18 (100.0%)	0 (0.0%)	18 (100%)
Urban	4 (50.0%)	3 (37.5%)	1 (12.5%)	0 (0.0%)	0 (0.0%)	8 (100%)

Table 14
Class by Error Type by Region

Region	I5	IA	M5	MB	MC	MO	Total Errors
Cook	6 (0.4%)	220 (14.7%)	30 (2.0%)	1209 (81.0%)	20 (1.3%)	8 (0.5%)	1493 (99.9%)
Collar	2 (2.3%)	0 (0.0%)	2 (2.3%)	82 (93.1%)	2 (2.3%)	0 (0.0%)	88 (100%)
Rural	0 (0.0%)	0 (0.0%)	0 (0.0%)	1 (100.0%)	0 (0.0%)	0 (0.0%)	1 (100%)
Urban	9 (19.2%)	4 (8.5%)	7 (14.9%)	17 (36.2%)	9 (19.2%)	1 (2.1%)	47 (100.0%)

Appendix J[1]
Sample Rap Sheet

ILLINOIS STATE POLICE
CRIMINAL HISTORY RECORD INFORMATION
SUBJECT IDENTIFICATION INFORMATION

SID: IL00000000

FBI: 0000000 CHICAGO: IR0000000

NCIC FINGERPRINT CLASSIFICATION: 00000000000000000000
HENRY FINGERPRINT CLASSIFICATION: 00) 0 0 0 000 00

NAME:	**DOB:**
TEST1, TEST	00/00/0000
TEST2, TEST	00/00/0000

SEX	:	MALE		
RACE	:	BLACK		
EYE	:	BROWN	BROWN	
HAIR	:	MEDIUM		
HEIGHT	:	602	**DATE REPORTED:**	00/00/0000
WEIGHT	:	165	**DATE REPORTED:**	00/00/0000

SCARS/MARKS/TATTOOS

TATTOO ARM, LEFT, NONSPECIFIC

PLACE OF BIRTH

ILLINOIS

SOCIAL SECURITY NUMBER

000000000

DRIVERS LICENSE NUMBER

X00000000000 **ILLINOIS**

(END OF SUBJECT IDENTIFICATION)

IL 000-0000 **STATE USE ONLY** **ISP0-000 (0/00)**

DATE: 000000 ORI: IL0000000 RO: 0000 PCN: 000000000 PAGE: 1

[1] The information on this rap sheet was taken from an actual rap sheet analyzed during the audit. The identifying information was removed.

ILLINOIS STATE POLICE
CRIMINAL HISTORY RECORD INFORMATION
SUBJECT IDENTIFICATION INFORMATION

SID: IL00000000

FBI: 0000000 CHICAGO:IR0000000

AGENCY INFORMATION	SUBJECT INFORMATION	DATE	CHARGE INFORMATION
ARREST	TEST1,TEST		
PHOTO AVAILABLE	00/00/0000	04/19/90	38-16-1-D
IL1010400	TEST2,TEST		THEFT
ROCKFORD PD			CLASS A MISDEMEANOR
DCN			
207342553			IN-STATE WARRANT
AGENCY CASE#			
MID2450			
90054746			
ARREST BOND			
IL1010400			$2,500.00
ROCKFORD PD			
207342553			
S.A. DISPOSITION			
IL101013A		04/23/63	NOT REPORTED
WINNEBAGO CO SA			38-16-1-D
DCN			THEFT
207342553			CLASS A MISDEMEANOR
COURT INITIATION		04/20/90	
IL101025J			
WINNEBAGO CO CIR CRT			
COURT CASE#			
90CM2873			
COURT DISPOSITION			
IL101025J	00/00/0020	07/25/90	GUILTY
WINNEBAGO CO CIR CRT			38-16-1
DCN			THEFT
207342553			
COURT CASE#			
90CM2873			
	SENTENCED	07/25/90	SENTENCED TO IMPRISONMENT-JAIL
			60 DAYS
			SENTENCED TO CONDITIONAL DISCHARGE
			1 YEAR
			SENTENCED TO FINE AND/OR COSTS
			$200.00

(CONTINUED ON NEXT PAGE)

Appendix J2

CIRCUIT CLERKS ARE REQUIRED TO REPORT CONVICTIONS AND FORFEITURES OF BAIL FOR ILLINOIS VEHICLE CODE VIOLATIONS TO THE SECRETARY OF STATE AS PRESCRIBED IN CHAPTER 95.9 SECTION 6-204. THIS INFORMATION MAY BE OBTAINED FROM SOS OFFICES.

WARNING: RELEASE OF THIS INFORMATION TO UNAUTHORIZED INDIVIDUALS OR AGENCIES OR MISUSE IS PROHIBITED BY FEDERAL LAW TITLE 42 USC 3789g PERTAINING TO CRIMINAL HISTORY INFORMATION.

(END OF TRANSCRIPT)

Appendix K

Statutory Classes of State's Attorney Charges and Court Dispositions

Table 1
Statutory Class of State's Attorney Charges
Cycle v. Extended Cycle Analysis

Statutory Class of States Attorney Charge	Cycle		Extended Cycle	
	Number of Cases	Percent of Total	Number of Cases	Percent of Total
Missing	3,069	54.5%	2,171	64.3%
Murder	45	0.8	16	0.5
Class X	67	1.2	22	0.7
Class 1	52	0.9	19	0.6
Class 2	170	3.0	80	2.4
Class 3	112	2.0	66	2.0
Class 4	194	3.4	92	2.7
Class A	1,795	31.9	788	23.3
Class B	42	0.7	17	0.5
Class C	86	1.5	104	3.1
Total	5,632	99.9	3,375	100.1

Table 2
Statutory Class of Court Dispositions
Cycle v. Extended Cycle Analysis

Statutory Class of Court Disposition	Cycle		Extended Cycle	
	Number of Cases	Percent of Total	Number of Cases	Percent of Total
Missing	816	47.9%	2,757	81.7%
Murder	6	0.4	5	0.1
Class X	26	1.5	12	0.4
Class 1	47	2.8	26	0.8
Class 2	60	3.5	37	1.1
Class 3	57	3.3	44	1.3
Class 4	97	5.7	62	1.8
Class A	212	12.4	155	4.6
Class B	2	0.1	2	0.1
Class C	381	22.4	275	8.1
Total	1,704	100.0	3,375	100.0

Appendix L

1993-4 Police Agency Questionnaire

Please complete the following questionnaire regarding your agency's Criminal History Record Information (CHRI) maintenance, security and reporting procedures. Circle Y for "yes" and N "no." Space has been provided for additional comments. All answers will remain strictly confidential. You may fax completed questionnaires to the Criminal History Records Audit Center. The fax number is (312)793-8422. You may also mail the completed questionnaire in the postage paid envelope provided to:

Criminal History Records Audit Center
Illinois Criminal Justice Information Authority
120 South Riverside Plaza
Chicago, Illinois 60606

If you have any questions, please contact the Criminal History Records Audit Center at (312) 793-8550.

I. AGENCY INFORMATION

1. Agency Name _____
   Chief _____
   Address _____
   _____
   _____
   Telephone _____
   Fax Number _____

2. Records Personnel Contact:

   Name *Title*

   _____ _____

3. Other official(s) to contact for follow-up questions concerning audit:

   _____
   _____
   _____

II. CHRI FILE MAINTENANCE

1. Identify files your agency maintains that contain criminal history record information (arrest/fingerprint cards, arrest reports, etc.). Please list *all* sources and indicate how files are organized and numbered.

2. How many years does the agency maintain each of its criminal history record information files? Who decides when records are destroyed? Please list the record type and the retention period.

3. Does the agency maintain its own automated CHRI files?

Y **N** Comment

a. If automated, when did automation begin?

b. What years' records are automated? manual?

4. Are juvenile records maintained separately from adult records?

Y N Comment _____

5. Are the agency's CHRI files sealed or expunged upon receipt of a court order?

Y N Comment _____

III. REPORTING TO ISP

1. Does the agency conduct its own arrest booking? If not, please list the agency(ies) with this responsibility.

Y N _____

2. Does the agency conduct its own Computerized Criminal History (CCH) queries? Please specify method(s) used (e.g. mail, phone, LEADS):

Y N _____

3. Does the agency report CHRI through use of the five-part arrest card form provided by Illinois State Police? If not, in what manner does the agency transmit CHRI to ISP?

Y N

_____

_____

_____

_____

_____

_____

4. Are arrest fingerprint cards prepared and submitted to ISP for:

Y N All persons arrested for felonies?

Y N All persons arrested for class A or B misdemeanors?

Y N All persons ordered by a court to be fingerprinted after conviction for reportable offenses (and not previously fingerprinted)?

Y N All minors under 17 years of age who are arrested or taken into custody for unlawful use of weapons or forcible felonies?

Y N All minors ordered to be tried as adults?

Comment_____

_____

_____

_____

_____

5. Is the five-part arrest card form the original source document for subject identification and arrest charge information, or is the information on ISP's five-part arrest card form taken from other records, such as the agency's arrest report?

___Five-part arrest card form is the original source document

___Information entered on the five-part form is taken from other records

Comment_____

_____

_____

_____

_____

_____

6. How often are arrest fingerprint cards, charges, and descriptions for all reportable offenses sent to ISP (e.g. daily, weekly, etc.)?

Comment_____

7. How are arrest fingerprint cards submitted to ISP (mail, fax, etc.)?

8. Is there a procedure in effect for "felony review" by the State's Attorney prior to sending fingerprint cards to ISP? Please explain procedure.

Y N Comment_____

9. Does the agency notify ISP of all decisions to not refer arrests for prosecution?

Y N

Comment_____

10. Does the agency notify ISP and request an error correction regarding incorrect information on an individual whose arrest fingerprint card form has already been submitted to ISP?

Y N Comment_____

11. Has the agency entered into arrangements with other agencies for the purpose of furnishing daily fingerprints, charges, and descriptions to ISP upon its behalf?

Y N Comment_____

12. Are procedures in place to ensure that copies 3 and 4 of the completed ISP five-part arrest card form are forwarded to the State's Attorney? Please explain procedure.

Y N Comment_____

13. Does the agency provide training for new officers in the taking of fingerprints and filling out the reporting forms?

Y N Comment_____

IV. OTHER AGENCY POLICIES

1. Are all records or files that include CHRI physically located so that access can be controlled?

Y N Comment_____

2. Are procedures in place to ensure that only authorized persons can access CHRI or enter secured areas?

Y N Comment_____

3. Are adequate procedures in place to ensure that personnel who have access to CHRI files or facilities can obtain only authorized data and perform only authorized functions?

Y N Comment_____

4. Is a log maintained to document all CHRI transactions (inquiries and disseminations)?

Y N Comment_____

5. Are all CHRI storage areas and facilities adequately protected from fire, or other natural or manmade disasters?

Y N Comment_____

6. Are all computer terminals and other automated equipment that can access CHRI located in secure areas?

Y N Comment_____

7. Are all computer terminals and printers attended during all hours when they are in use and locked or made inoperable during non-use or off-duty hours?

Y N Comment_____

8. Does the agency have procedures to provide for the destruction or secure storage of computer printout sheets that contain CHRI?

Y N Comment_____

V. AGENCY COMMENTS

1. Please describe the process by which all appropriate personnel are trained and supervised to ensure that they are familiar with legal requirements applicable to CHRI, such as dissemination limitations, reporting requirements, access and review procedures and security requirements.

2. In your opinion, could the CHRI system be improved? If yes, how?

Y N

Appendix M

References

Publications from the U.S. Department of Justice, Bureau of Justice Statistics, and SEARCH, The National Consortium for Justice Information and Statistics

Assessing Completeness and Accuracy of Criminal History Record Systems: Audit Guide. 1991.

Report of the National Task Force on Criminal History Record Disposition Reporting. June 1992.

Statutes Requiring the Use of Criminal History Record Information. 1991.

Survey of Criminal History Information Systems, 1993. January 1995.

Use and Management of Criminal History Record Information: A Comprehensive Report. 1993.

Publications from the U.S. Department of Justice

Criminal History Record Disposition Reporting: Findings and Strategies. Bureau of Justice Statistics, March 1992.

Guidance for the Improvement of Criminal Justice Records. Bureau of Justice Assistance, 1991.

Publications from SEARCH, The National Consortium for Justice Information and Statistics

Audit Manual for Criminal History Record Systems. 1982.

Audit Documentation Guide: A Model Study Approach. 1984.

Publications from the Illinois Criminal Justice Information Authority

Annual Audit Report for 1988: Illinois' Computerized Criminal History System.

Annual Audit Report for 1989: Audit of Illinois' Repositories for Criminal History Record Information.

Annual Audit Report for 1990: Audit of Illinois' Computerized Criminal History System.

CHRI Advisory. *The Illinois Facsimile Network.* July 1988.

Criminal History Records Improvement Plan. June 1992.

An Overview of the Illinois Criminal History Records Information (CHRI) System. December 1994.

1992 Audit of the Illinois Computerized Criminal History System. December 1992.

The 1993-4 Criminal History Records Audit Methodology. December 1993.