

STATE OF ILLINOIS

CRIMINAL HISTORY RECORD INFORMATION PLAN

Prepared by:

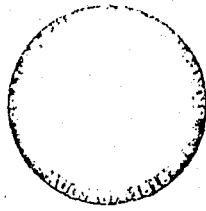
The Staff of the Illinois Law Enforcement Commission

Submitted:

March 16, 1976

43695<sup>2</sup>





## ILLINOIS LAW ENFORCEMENT COMMISSION

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CHICAGO, ILLINOIS 60606  
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March 15, 1976

Mr. Richard W. Velde, Administrator  
United States Department of Justice  
Law Enforcement Assistance Administration  
Washington, D.C. 20530

Dear Mr. Velde:

I submit herewith the State of Illinois Criminal History Record Information Plan and Certification Statements as required by Criminal Justice Information Systems Rules and Regulations, 40 F.R., 22114 et seq., May 20, 1975.

The preparation of the Plan was coordinated by the Criminal Justice Information Systems staff of the Illinois Law Enforcement Commission. The principal authors of the plan are:

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Criminal Justice Information Services, BOI  
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Identification.

I certify that to the maximum extent feasible action has been taken to comply with the procedures set forth in this Criminal History Record Information Plan of the State of Illinois.

Sincerely yours,

A handwritten signature in cursive script that reads "David Fogel".

David Fogel  
Executive Director

DF/tj

cc: Governor Walker

ATTACHMENTS:

# STATE OF ILLINOIS CRIMINAL HISTORY RECORD INFORMATION PLAN

## TABLE OF CONTENTS

i.	INTRODUCTION.....	1
1.	Definition of a Criminal Justice Information System.....	1
2.	Illinois' Efforts to Develop Uniform CJIS Policies.....	1
3.	The ILEC Advisory Committees on CJIS.....	3
	a. The Planning Committee.....	3
	b. The Policy Advisory Committee.....	7
4.	CJIS in the Illinois Context.....	8
	a. Department of Law Enforcement.....	10
	b. Illinois Department of Correction's, Corrections Information System.....	12
	c. Chicago Police Department Crime Information System.....	13
	d. Circuit Court of Cook County Clerk's Information System.....	13
	e. Peoria Police Department Computer Assisted Dispatch and and On-Line Information System (CADOLIS).....	14
	f. Lake County Circuit Court Judicial Automated Records System (JARS).....	15
	g. Bi-State Metropolitan Computer Commission QUAD NET.....	16
5.	Future Funding Needs in Illinois.....	17
ii.	GENERAL REQUIREMENTS.....	18
1.	Specification of Responsible Agency.....	18
2.	Notice to Covered Agencies.....	18
3.	Scope of Illinois Plan.....	19
A.	COMPLETENESS AND ACCURACY.....	21
1.	Complete Disposition Reporting.....	21
	a. Police.....	22
	b. Prosecutors.....	23
	c. Trial Courts.....	24
	d. Appellate Courts.....	25
	e. Probation.....	25
	f. Correctional Institutions.....	26
	g. Parole.....	26
2.	Query Before Dissemination.....	26
3.	Accuracy.....	28
4.	Notification of Errors Procedures.....	31



B.	LIMITS ON DISSEMINATION.....	32
1.	To Authorized Categories Only.....	32
2.	Applicable Limits and Sanctions on Criminal Justice Agencies.....	32
3.	Eligibility Validation Procedures.....	33
4.	Non-Criminal Justice Recipients.....	33
a.	Restrictions on Secondary Dissemination by Non-Criminal Justice Agencies.....	34
b.	Services Agencies Under Contract.....	36
5.	Restrictions On Dissemination Without Disposition.....	38
6.	Restrictions On Confirmation of Record.....	38
7.	Restrictions On Juvenile Record Dissemination.....	38
C.	AUDITS AND QUALITY CONTROL.....	40
1.	Annual Audit Procedures.....	40
2.	Audit Trail.....	40
a.	Primary Dissemination Logs.....	42
b.	Secondary Dissemination Logs.....	43
3.	Annual Audit Agency Sample Selection Criteria.....	43
4.	Agency Responsible for Annual Audit.....	43
D.	SECURITY.....	44
E.	INDIVIDUAL RIGHT OF ACCESS AND REVIEW.....	45
1.	Point of Review and Mechanism.....	45
2.	Challenge by Individual.....	46
3.	Administrative Review.....	46
4.	Administrative Appeal.....	47
5.	Correction and Notification of Error.....	47
6.	Public Notice of Right to Access.....	48

## i. INTRODUCTION

On June 19, 1975, the United States Department of Justice issued rules and regulations governing the collection, storage, and dissemination of criminal history records contained in criminal justice information systems receiving federal funds for those purposes. The State of Illinois is required to submit this comprehensive plan certifying the present status of criminal justice information systems throughout the State and the schedule the State intends to implement in order to comply with the regulations.

The issues surrounding security and privacy of criminal justice information systems were not suddenly thrust upon the State last summer. While this Illinois Plan has specifically been drafted to meet the requirements of the federal regulations, the substance of this response has been in the process of formulation since 1974.

### 1. Definition of a Criminal Justice Information System (CJIS)

A "criminal justice information system" is an organizational concept of people and devices designed to collect, store, and disseminate information to people in the criminal justice community who make decisions and to the public at large who are affected by those decisions. It must operate within and among four major functional areas and four levels of government. The four major functional areas consist of law enforcement agencies, judicial agencies (including prosecution, defense, and probation), correctional agencies (including community-based and field services), and planning agencies. The four levels of government are: local (where most of the decisions are made), regional, state, and national.

### 2. Illinois' Efforts to Develop Uniform CJIS Policies

In 1974, the Illinois Law Enforcement Commission (established in 1969 as the state planning agency for criminal and juvenile justice programs) initiated a fifteen-month criminal justice information systems survey/planning/implementation project. That project, among other things, produced several volumes of detailed and technical papers, a multi-year criminal justice information systems implementation plan, and CJIS Standards. Some of this information is reproduced in the appendices of this plan.

The criminal justice information planning effort resulted in literally hundreds of recommendations to the Illinois Law Enforcement Commission and criminal justice agencies at the state, regional, and local levels. Two of these recommendations, however, are most significant:

1. An Illinois Criminal Justice Information Systems Council (Board) should be established and vested with sufficient authority to adopt and administer security and privacy standards regarding the criminal justice information systems. (See CJIS Standard 8.1, Appendix II.)
2. Illinois should begin implementing the three Comprehensive Data Systems modules with federal CDS funds: a Statistical Analysis Center (SAC); the Offender Based Transaction Statistics (OBTS) and Computerized Criminal History (CCH) subsystems; and an upgraded Uniform Crime Reports (UCR) subsystem.

In January of 1975, a report detailing a possible CJIS/CDS implementation strategy was proposed to the Illinois Law Enforcement Commission. As a result of this report, the Commission provisionally approved the CJIS Standards for the purpose of evaluating applications for federal funds with respect to information systems. All grants, including discretionary grants, have been conditioned with the requirement that the grantee will conform to the CJIS Standards. However, the issue of dedication at the state level has not been resolved, since there has been considerable disagreement concerning the dedication issue. Therefore, the fact that CJIS Standards have been provisionally adopted does not imply that the issue of dedication has been settled as far as the Illinois Law Enforcement Commission is concerned.

The Commission decided to allow a waiver provision. When a grantee wishes to seek a waiver of specific standards it can apply directly to the Commission. To this date, no grantee has chosen to do so.

### 3. The ILEC Advisory Committees on CJIS

In order to more effectively handle the issues raised by the implementation of criminal justice information systems, the Illinois Law Enforcement Commission established two committees--the CJIS Planning Committee, which was clearly a criminal justice information systems users' group, and the CJIS Policy Advisory Committee, which was more philosophically oriented and dealt primarily with security and privacy concerns. The Policy Advisory Committee was to look at the criminal justice information system from the viewpoint of all those who would be affected by it, that is, the society as a whole. The Planning Committee looked at the system from the viewpoint of those functioning within it, that is, the user segments that in aggregate comprise the system.

On October 16, 1974, the CJIS Policy Advisory Committee and the Planning Committee met jointly to discuss the separate reports they had prepared for the Commission. The Policy Advisory Committee's report was in the form of a draft bill, and it was used as the focal point of discussing the differences between the two reports. Despite a large area of agreement and a considerable amount of compromise and reconciliation, a number of points of controversy were irreconcilable between the two Committee reports and required resolution at the Commission level.

#### a. The Planning Committee

Many members of the Planning Committee were familiar with the efforts of Project SEARCH, the National Advisory Commission on Criminal Justice Standards and Goals, and the National Criminal Justice Information and Statistics Service documented in the Criminal Justice System and the Guideline Manual: Comprehensive Data System Program. Some members, in fact, had participated in the work. They recognized that their task was not to start at the beginning, but rather to consider the implementation of the IEAA recommendations and to make them adaptable to the conditions in Illinois.

The Planning Committee decided that the necessary first step in planning for Comprehensive Data System implementation in Illinois was to conduct a careful review of the National Advisory Commission's Standards and Goals in order to arrive at an amended set of Standards for Illinois. Although the report contained significant revisions to the national Standards, it was consistent with the overall broad strategy. In addition to a network of digital communication facilities to collect the necessary data, and at the same

time, to provide criminal justice agencies with the necessary data to carry out their functions, the Planning Committee specifically recommended that the Comprehensive Data Systems Program be implemented in Illinois.

The Comprehensive Data Systems Program deals with the operations on the state level. It calls for the development of the three separate but complementary modules noted above.

1. The Statistical Analysis Center is a professional staff organized to provide statistical and interpretive analysis of collected data, and to ensure quality control in the collecting and reporting of data. The Commission approved funding the Center on January 23, 1976, utilizing LEAA Discretionary funds.
2. The OBTS/CCH System is a methodology for the collection in a centralized data base of significant data from police, prosecution, courts, and correctional agencies in order to describe accurately all the transactions with the criminal justice system of every person arrested on a serious charge. In this scheme, the data reported in response to a CCH inquiry is a subset of the data collected for statistical purposes. From the point of view of planning, resource allocation, and management of the entire Criminal Justice System, this is perhaps the most important part of the overall plan. OBTS is a means for keeping track of offender careers and for providing programmatic and other statistical management information. Initial funding was approved by the Commission also last January, using LEAA Discretionary funds.
3. The UCR is a familiar concept by now and there is an Illinois UCR program already implemented. The UCR complements the OBTS by providing pre-arrest incident data, as well as data on incidents that do not result in arrests.

The CJIS Standards adopted for application reviews by the Commission are attached hereto as Appendix 11. The numbering of the Standards in the Planning Committee Report follows exactly the numbering in the NAC volume on Criminal Justice System.

Standards 1.1 to 1.3 deal with the planning and standard setting processes. Even though CJIS is not mentioned, they were included in the CJIS Planning Committee report because they are immediately relevant in several ways. First, they give the rationale for the interest and participation of the Commission in the development and operation of a CJIS. Second, they detail the role of standard setting in the planning process, and in the granting of funds. Finally, they explain the limitations of standards and the process by which they are generated and revised. Thus, these first three are important to set the context in which one should interpret the rest of the Standards.

Standards 3.1 to 3.4 describe the kind of function that is appropriate at different levels of government. They constitute a more refined statement of the hierarchical structure of the system that is conducive to the exchange of necessary information in the criminal justice community.

Standards 4.1 to 4.8 detail the kinds of information services that should be available to serve the particular needs of a law enforcement agency.

Standards 5.1 to 5.6 describe the information services desirable in Court Information Systems.

Standards 6.1 to 6.7 describe Corrections Information Systems (including probation) capabilities.

Standards 7.1 to 7.8 deal with the general operation of the CJIS and with the operations of the CDS at the state level.

Standards 8.1 to 8.8 deal with the setting and administration of privacy and security standards. They include:

- a. The establishment of the CJIS Board with a description of its responsibilities and powers;
- b. Limits on the dissemination of information about offenders;
- c. Processes by which individuals may review and challenge their criminal history files;

- d. The classification of data sensitivity and the granting of personnel security clearances;
- e. Systems' physical security measures;
- f. The provision of data to researchers.

It should be noted that these Standards (8.1 to 8.8, 7.4 and 7.5) are most closely related to the Policy Advisory Committee Report discussed below.

Standards 9.1 to 9.3 deal with technical issues that are immediate consequences of other Standards. They are all concerned with ensuring the ability to develop a well-integrated system.

Standards 10.1 to 10.5 deal with the process of implementation of a state CJIS. They call for:

- a. A legislative foundation for the CJIS;
- b. Establishment of user groups;
- c. Development of a CJIS implementation plan;
- d. Flexibility with respect to jurisdictional responsibilities in the face of economic limitations;
- e. Adherence to Standards by grantees.

Standards 11.1 to 11.3 outline relevant considerations for monitoring the total CJIS development and component systems and for evaluating the impact of systems on the administration of criminal justice.

For the most part, the CJIS Standards are consistent with the federal CJIS Rules and Regulations. The CJIS Standards are more restrictive with respect to imposing limits on dissemination of criminal history record information to non-criminal justice agencies. The CJIS Standards prohibit disseminations to non-criminal justice agencies altogether, unless a legal right to know, demonstrated by statute or executive order, and the need to know such information can be shown. (For a more detailed comparison see Appendix i3.)

While the CDS guidelines and CJIS Standards represent the best current conception of the needs and processes for the exchange of information, and may in that sense describe an ultimate system, the system described is not the technological ultimate. Therefore, it should by no means be inferred that the Standards call for a computer in every records room. Except for operations at the state level, where computer operations are a practical necessity, no particular form of technology is specified.

b. The Policy Advisory Committee

At the same time that the Planning Committee was making its studies and recommendations, a distinguished group of individuals comprising the Policy Advisory Committee was wrestling with the issues surrounding security and privacy of records contained in criminal justice information systems. The most conspicuous product of their efforts was the report which they issued. In reality this "report" was in the form of proposed legislation which the Committee felt should be enacted by the State. (See Report of the CJIS Policy Review Advisory Committee, Appendix i2.)

This proposal constituted a comprehensive effort to legislate the collection, storage, and dissemination of criminal justice information into--investigative and intelligence information as well as arrest record and criminal history record information. The "report" included detailed definitions, sections concerning collection and dissemination of criminal justice and intelligence information, privacy and security of information considerations, an Illinois Criminal Justice Information Systems Board, audit and public notice requirements, and civil and criminal sanctions for violations.



An analysis comparing the "report" (with respect to criminal history record information) with the provisions of the federal CJIS Rules and Regulations and the ILEC/CJIS Standards is attached hereto. (See Appendix 13.) From this analysis it is evident that the "report" differs with numerous provisions of the federal regulations. Only the more significant discrepancies are highlighted here.

For instance, the "report" would impose stricter requirements on computerized criminal history record information systems than on manual systems. With respect to disseminating criminal history record information between criminal justice agencies, the "report" is more limiting and restrictive than the federal regulations and would prohibit such disseminations in certain cases. Yet surprisingly with respect to access to criminal history record information by non-criminal justice agencies and individuals, the "report" applies much less stringent criteria and would expand the number of restrictions limiting such dissemination.

#### 4. CJIS in the Illinois Context

With respect to the Standards and CDS Guidelines, and their implementation, there are presently seven major criminal justice information systems in Illinois. Three of them are in law enforcement agencies: the Illinois Department of Law Enforcement; the Chicago Police Department; and the Peoria Police Department. Two are in judicial agencies: the Cook County Circuit Court and the Lake County Circuit Court. The only major system in corrections resides in the Illinois Department of Corrections. There is also one regional system, between Rock Island County, Illinois and Scott County, Iowa, known as the Bi-State Metropolitan Computer Commission.

The main means of electronically communicating criminal justice data in Illinois is through the Law Enforcement Agencies Data System (LEADS). In addition to the on-line files maintained in LEADS, such as wanted persons and stolen articles, LEADS can inquire for information from the Computerized Criminal History (CCH) files of the Illinois Bureau of Identification and the files of the Firearm Owners Identification Division (FOID), as well as the drivers' license and vehicle registration files maintained by the Secretary of State. Through various control protocols, LEADS communicates information with a large number of Illinois law enforcement agencies, the Department of Corrections, and the National Crime Information Center (NCIC). LEADS is also used to provide reliable

communications with law enforcement agencies in other states and nations through the National Law Enforcement Telecommunications System (NLETS) and the Automated Law Enforcement Communication System (ALECS).

The Illinois Uniform Crime Reporting Program (IUCR), which is also operated by the Department of Law Enforcement, collects crime incident and arrest data from law enforcement agencies, computes statistics, reports to the Federal Bureau of Investigation, UCR Program for the State and in some cases provides those reporting agencies with some statistical data.

The Computerized Criminal History files are maintained by the Department of Law Enforcement's Bureau of Identification from paper documents accompanied by fingerprint cards for positive identification. Arrest data is supplied by law enforcement agencies. The courts provide dispositional data on cases directly, and the Department of Corrections supplies dispositional data which it receives from courts on mittimus documents. In addition, dispositional data is supplied by police departments when it is gathered by them from courts. When the offense category matches national standards, the LEADS computer automatically forwards criminal history information to the NCIC for inclusion in its CCH files.

The other system operated at the state level of government is the Department of Corrections' Corrections Information System (CIS). The system is designed to build a file on each inmate as he or she goes through the reception center process. That file is then available via remote terminals at the various corrections facilities. Continuing records are kept on population movements and status changes so that up-to-date records are available for the day-to-day management of inmate activities. The system also produces summary reports for use by the Pardon and Parole Board.

Below the state level, the two most important systems are, not surprisingly, located in Chicago. The Chicago Police Department's Crime Information System interfaces with the LEADS system, and replicates many of its capabilities at the city level. The Cook County Circuit Court Clerk's Information System is being implemented chiefly as a calendar management system with video terminals located in various court agencies and the Cook County Department of Corrections.

There are three other substantial computerized systems in the State. The QUAD NET system with headquarters in Davenport, Iowa is a metropolitan area law enforcement system (modelled on the Kansas City ALERT system). The CADOLIS system in Peoria combines a Computer Assisted Dispatch system that interfaces with LEADS with an On - Line Information System. Finally, in the Lake County Circuit Court in Waukegan is the Judicial Automated Records System which is a simple calendar management system using batch processing, with some remote data entry terminals in the clerk's records section.

A common denominator for all these systems is their current inability to communicate with other agencies across criminal justice functional boundaries. There is not yet any system which provides strong coordination for the automated exchange of useful information among interacting police, courts, and correctional agencies. Even within functional areas, there is often difficulty exchanging information across political or geographic jurisdictions.

a. Department of Law Enforcement

The hub of CJIS Operations in Illinois is the Department of Law Enforcement data center. Two IBM 370 computers communicate with almost 300 terminal devices (teletype machines and video terminals) scattered across the state, as well as several other computer systems. The DLE data system provides Illinois law enforcement agencies with the following capabilities:

- a. Access to LEADS files, such as stolen items and wanted or missing persons;
- b. Access to Computerized Criminal Histories;
- c. Interface with the National Crime Information Center, which provides similar capabilities at the inter-state level;
- d. Access to drivers' license and vehicle registration files through interface with the Secretary of State's system;
- e. Message routing between the user agencies, as well as with agencies in other states through the National Law Enforcement Telecommunications System and Automated Law Enforcement Communication Systems (for five neighboring states).

Two controls operate on the LEADS eight on-line files. First, the information contained in those files may not be used as the basis for an official action. Second, only the agency which entered a particular record in a file may alter, update, or remove that record. This maintenance function is not always carefully carried out, and it is important that inquiring agencies that get "hits" ascertain the validity of the information. In the light of these two requirements, the importance of the directed message capability of the LEADS system is apparent.

During the month of January 1976, user agencies made over 1,900,000 inquiries of the files available through LEADS and used LEADS to send messages 120,000 times. (For more detailed information on NCIC and incidence of "hits" see Appendix i4.)

The most sensitive data available through LEADS is the CCH which has close controls on its files. Agencies accessing CCH files are required to maintain tight security on those accesses. They must keep a log for three years of all requests for CCH reports, including the name of the inquirer and the reason for the inquiry. They must agree that an inquiry will only be made for a legitimate criminal justice system operation and must keep their LEADS terminal physically secure at all times. In order to ensure accuracy of data, only data that is accompanied by a fingerprint card is entered into CCH records, and original copies are kept of all source documents (either paper or video-tape). Arrest data is supplied in this manner quite uniformly by law enforcement agencies.

However, there are problems associated with the present operation. For instance, the CCH capability is not fully realized. Of the over one million records managed by the Bureau of Identification, only one hundred sixty thousand are computerized. Thus the CCH often fails to respond to users needing criminal histories.

The Department of Law Enforcement's Criminal Justice Information Services Unit also operates the Illinois Uniform Crime Reporting program. This is the statewide repository of information on criminal incidence volume in Illinois. Although this system makes it easier for law enforcement agencies to report criminal incident frequencies by transferring to the State some of the computational burden, the reports still may not be sufficiently accurate.

b. Illinois Department of Correction's Corrections Information System

The Corrections Information System is configured on the computer system maintained in Springfield by the Management Information Division of the Department of Finance, using remote terminals for on-line entry and retrieval of information, and two IBM System III computers for remote job entry.

The system performs three functions for the Department of Corrections:

1. The Reception and Diagnostic Component of the system collects information about the offender as he or she goes through the reception process and produces reports used to coordinate that process further downstream. Also, by using optical scanning devices, diagnostic tests are scored automatically and resulting reports distributed.
2. Using the remote terminals, data is entered daily on population movements and status changes, so that current information is available by inquiry and report for the day-to-day management of offender activities.
3. The Pre-Parole Medical Recommendation Module is used to manage medical examinations of offenders soon to be eligible for parole, and prepares examination reports for the Pardon and Parole Board. This is not yet implemented.

The system is designed so that necessary information is provided to personnel throughout the Department of Corrections' system, but the access to information is controlled by a set of password protocols. Each terminal operator's password controls which part of the data base he or she may access.

The system maintains an internal log of all transactions by operator terminal, transaction type, record accessed, and sequence number of the transaction. It is thus possible to audit the source of all data entered on-line. Information relating to offenders and clients is audited for accuracy at the various Record Offices and later reviewed by the Parole Board Office.

Additional audits are carried out as needed. At the present time, wardens are being issued print-outs for each offender. The wardens, in turn, will request offenders to audit data on race, ethnic background, and certain other basic information, such as offense for current incarceration. These audits will be used to update the system data values.

c. Chicago Police Department Crime Information System

The Crime Information System is configured as a police computer communication system that allows data entry and retrieval via video terminals located at district and area headquarters throughout the city. Inquiries may be made to the name file and vehicle file maintained on the system and are automatically forwarded to LEADS.

Chicago police also have access to the CCH files available, through LEADS, but not via the system terminals. Rather, police are required to submit written requests and CCH inquiries are made through a separate LEADS terminal which is not interfaced to the Chicago CIS.

The Hot Desk vehicles maintenance file is matched with LEADS files and differences adjusted. Present plans are that other audit procedures will be similar.

d. Circuit Court of Cook County Clerk's Information System

The Clerk's Information System is the result of an extensive management analysis and design process. The system is designed to satisfy the clerk's responsibility to provide the court and related agencies with the necessary information to coordinate and carry out the daily functions of the judicial process.

The system uses approximately fifty terminals to gather and disseminate information in a timely fashion. Data entry and inquiry/retrieval capabilities will be available to the Public Defender, the State's Attorney, the Cook County Department of Corrections, the Probation Department, the Juvenile Division Officer of Court Services, and the Clerk's Office. In order to ensure the accuracy and security of the files, the data

entry and inquiry capabilities from various terminals are controlled by an access need protocol. For example, only Juvenile Division terminals may access juvenile case/defendant files, and then only after the proper password is presented. Only the Cook County Department of Corrections may change the tier number in a case/defendant record. In addition, the availability of the case/defendant file through terminal inquiry via a number of indexes will be reported.

All on-line transactions will be logged and daily copies showing data values before and after data entry will be sent to the originating location the next working day.

For data entered off-line, an error report for illegal data fields will be generated and returned to the originating agency for correction. Erroneous "critical" data will cause rejection of the record entry. Otherwise, erroneous data will be supplanted by asterisks.

e. Peoria Police Department Computer Assisted Dispatch And On-Line Information System (CADOLIS)

The CADOLIS is in the Peoria Police Department and serves two functions:

1. Computer-assisted dispatching;
2. On-Line information, including LEADS interfacing.

The Computer Assisted Dispatch System provides the dispatchers with the following capabilities:

- a. Upon receiving a complaint, the most relevant data is recorded on-line.
- b. With reference to the complaint, the system generates a recommendation for patrol units to be dispatched, and records those that are dispatched.
- c. If the dispatcher so chooses, the system assigns an incident number and creates a skeletal Incident File record, to be completed later by the Criminal Records section when the officer's incident report has been submitted.

- d. The system automatically maintains in the Unit Status File statistics for each unit that characterize the performance and work load of the unit.

The system on-line information capabilities may be summarized as follows:

- a. Incident records are maintained by the system until deleted, when an incident summary is created as an entry in the Proper Name/Item of Interest File.
- b. Both Incident File and Proper Name/Items of Interest File records may be created apart from the Dispatch System.
- c. Search inquiries can be made on-line to the system's two files.
- d. The system has the necessary capabilities to govern the protocol and message switching for inquiries to the LEADS system. Name, vehicle license plate and V.I.N. inquiries to LEADS are automatically formatted. Other LEADS inquiries must be formatted by the operator.
- e. If a LEADS inquiry is made, the system automatically interrogates its own Proper Name/Items of Interest File.

The system incorporates a Master Terminal which controls the logging of all messages in the system. Logs may be kept on the master terminal or on disk, or both. In addition, the system checks data entered on-line for illegal fields.

- f. Lake County Circuit Court Judicial Automated Records System (JARS)

Lake County's Judicial Automated Record System is operated by the Lake County Department of Management Services. The system is built on IBM's Basic Court System.

The on-line part of the system is organized to allow entry and inquiry access to three files: the basic record docket, which includes general case information, papers filed, fees, names and orders of the court; the alphabetic name file; and the calender file. These files are accessed through terminals located in the Clerk's Office.



The batch process part of the system enables the following capabilities:

- a. The traffic division of the court is provided with punched cards for tickets, name and address index cards, court case schedules, case jacket labels, and some financial reports.
- b. The Clerk's Office is provided a general docket index, as well as plaintiff and defendant indices.
- c. Jury processing, registered voter lists, juror lists, mailing labels, printed jury venue and jury payment checks are provided.
- d. The adult probation department receives active probationer lists, court case histories and mailing labels.

The system checks for illegal data fields and also rejects exact duplicate data record entries. Case files are manually audited at the time of micro-filming.

g. Bi-State Metropolitan Computer Commission QUAD NET

The Bi-State Metropolitan Computer Commission was created by an agreement entered into by Rock Island County, Illinois and Scott County, Iowa. The Commission consists of five members from each of the county boards and is empowered to operate a computer system primarily for criminal justice needs, but also to ensure efficiency by providing services to non-criminal justice users. The Commission is carrying out this responsibility by implementing the Alert II system which was developed in Kansas City.

The Alert II software is designed to serve as a comprehensive regional CJIS. Its Master File can have up to 83 specified records. In addition, for an interim period, the system will hold a file of vehicle registrations for Scott County, Iowa, until the Iowa TRACIS system assumes that function.

These records will be used to support four system applications:

1. Master name file;
2. Warrants and Wants;
3. Stolen vehicles;
4. Arrests.

On-line video terminal access to these files will be available to four law enforcement agencies in Rock Island County and three in Scott County, and through the county sheriff's offices to other smaller community police departments.

QUAD NET is not qualified to interface directly to LEADS or NCIC since the Bi-State Commission is not a criminal justice agency. However, LEADS interface has been achieved by relaying messages through one of the Illinois terminal agencies (of QUAD NET) required by LEADS.

The system configuration includes a complete log of all transactions. All agencies are required to keep a hard copy of all information entered. Sheriffs will keep copies of warrants and arrests documents for non-terminal agencies they serve. Other data will be kept by originating agencies.

5. Future Funding Needs in Illinois

Based on the preceeding discussion it is obvious that the following funding requests can be anticipated:

- a. CCH File Conversion - The Bureau of Identification is swamped with paper files. In order to carry out its mission, the Bureau must go to computerized files with video file backup.
- b. The DLE Crime Studies Section will request money to upgrade the IUCR.
- c. LEADS will still want to upgrade the terminal devices.
- d. IDOC anticipates continuing its OBSCIS Project and will seek additional federal funds to come into full compliance with this Plan.

## ii. GENERAL REQUIREMENTS

### 1. Specification of Responsible Agency

In a letter to the Law Enforcement Assistance Administration's Administrator Richard Velde, dated September 26, 1975, Governor Walker officially designated the staff of the Illinois Law Enforcement Commission to submit this Illinois Criminal History Record Information Plan. (Appendix iii1)

### 2. Notice to Covered Agencies

On October 7, 1975, letters were sent by David Fogel, the Executive Director of the Illinois Law Enforcement Commission, to the Director of the Administrative Office of the Illinois Courts, to the President of the Illinois State's Attorneys Association, to the Attorney General, and to the Director of the Department of Corrections informing them that their respective agencies are covered by the federal regulations, offering them assistance in preparing their certification sections of the plan, and requesting that their certification statements be submitted at least one month before the filing deadline.

On October 20, 1975, Executive Director Fogel contacted all the police agencies in the State in a memorandum to all Chiefs of Police and Sheriffs explaining their obligations under the federal regulations, requesting them to communicate any problems or concerns regarding the regulations, and offering them assistance in writing their certification statements. (See Appendix ii2.)

The Illinois Department of Law Enforcement held 49 Security and Privacy Seminars throughout the State between October 6, 1975 and March 2, 1976. Detailed presentations on handling and utilizing computerized criminal histories (CCH), the proper use of the new disposition and fingerprint forms, and the requirements and implications of the federal security and privacy regulations were discussed. More than 2200 persons attended. In all, 1,095 criminal justice agencies were consulted, including police departments, sheriff's offices, the Illinois State Police, and State's Attorneys offices. Additionally, more than 240 judges, circuit clerks, railroad police, and college and other security police attended the various seminars.

In mid-February 1976, all the criminal justice agencies in the State of Illinois except the courts and state prosecutors, were again notified of their obligations to comply with the federal regulations and were sent copies of the latest certification form and information statements supplied by LEAA. Furthermore, the Illinois Law Enforcement Commission notified all of its grantees (other than those criminal justice agencies already notified) which received funds for collecting, storing, or disseminating criminal history record information since July 1, 1973 that they would have to certify. For example, those courts and probation departments receiving funds were notified of their obligations under the federal regulations.

### 3. Scope of Illinois Plan

The requirements of the federal regulations as applicable to this Plan cover all criminal justice agencies (as defined in section 20.3(c)) in the State of Illinois which have received federal funds for the purpose of collecting, storing, or disseminating criminal history record information (as defined in section 20.3 (b)) except those "criminal justice" agencies under the auspices of the State Attorney General and the Administrative Office of the Illinois Courts.

The Attorney General of the State of Illinois has taken the position that his office does not collect, maintain, or disseminate criminal history record information. Furthermore, it is his view that the operation of his office "is not effected by the Regulations except to the extent that we must comply with Criminal History Record Information User Agreements." (See letter of James B. Zagel, Chief of Criminal Justice Division to Executive Director David Fogel, Appendix ii3.)

The Director of the Administrative Office of the Illinois Courts has taken the position that "the regulations seem to provide for a rather limited application to the courts." (See letter of Roy O Gulley to Executive Director David Fogel, Appendix ii3.) Moreover, "the requirements concerning confidentiality contained in the regulations would be contrary to existing Illinois law governing the public nature of court files and records..." Id. Since the regulations involve a major policy question "which can only be resolved by the Illinois legislature, preparation of a court's portion of ILEC's criminal justice information plan by (the courts) is not possible, at this time." Id.

Therefore, the following discussion of the Illinois Criminal History Record Information Plan does not integrate the Office of the Attorney General or the Illinois Courts (or probation departments under the courts) in the procedures for ensuring completeness, accuracy, confidentiality, security, and individual access to criminal history record information.

## A. COMPLETENESS AND ACCURACY

Local criminal justice agencies in Illinois do store and do disseminate criminal history record information. It is clear that the Federal Regulations require that they include all dispositions available -- at least all that occur within the jurisdiction corresponding to the area for which they are directly responsible --and that they must develop and implement procedures to comply with the query before dissemination rule to ensure transmittal of current information.

Where such local repositories of criminal history data remain in operation beyond March 16, 1976, procedures will require that disposition data be obtained directly from the State Central Repository rather than from a local recording agency. The State Central Repository has already advised all criminal justice agencies at both the state and local levels of the existence of the federal regulations and of their implications for all repository users. In addition, the State Central Repository will prepare model operational procedures to assist local users in developing their own internal regulations in compliance with the federal standards pertaining to completeness and query before dissemination. The model procedures will be available by July of 1976.

### 1. Complete Disposition Reporting

The State Central Repository is authorized by statute to collect, maintain, and disseminate criminal history record information. (Ill. Rev. Stat., chapter 38 section 206, Appendix A1.) This statute, among other things, authorizes the State Central Repository to use the Bertillion system and fingerprint system as systems of positive identification for criminal history record information. In addition, the law requires that "all policing bodies" in Illinois furnish the State Central Repository with daily copies of fingerprints and descriptions of arrested persons. If a person is acquitted or released without being convicted the law requires that all records of identification be returned. Moreover, any such persons who have not been previously convicted of any criminal offense may petition to have the record of arrest expunged from the official records of the arresting authority.

The statute also mandates that the State Central Repository furnish its records to peace officers of Illinois, the United States, other states or territories, and duly authorized foreign countries. However, such releases must be predicated on signed certificates to the effect that the information is necessary for and will be used solely in the administration of criminal justice. Moreover, release of such information by the State Central Repository to any non-authorized person, bureau or institution constitutes a Class A misdemeanor.

In order to meet the disposition reporting requirements of the federal regulations, the Illinois Legislature recently amended chapter 38 section 206 by House Bill 1365 (Appendix A2). The purpose of the new amendment is to ensure "complete and accurate criminal records within the Bureau of Identification of the Department of Law Enforcement." Hence it is now necessary for the clerks of the circuit courts and State's Attorneys to submit disposition information to the State Central Repository to update arrest records. All information required by this statute must be furnished to the State Central Repository within 30 days of a decision not to file a criminal complaint after arrest or within 30 days of final disposition of the case. Thus, Illinois has chosen to cut to one-third the mandatory disposition reporting time found in the federal regulations with respect to the courts and State's Attorneys Offices. With respect to the other criminal justice agencies, the federal 90 day requirement will be met, as discussed below.

In order to meet the disposition reporting requirements of the federal regulations, the need for additional facilities and staff becomes manifest. Therefore, the State Central Repository has applied for funding and it is expected in the very near future that grants will be awarded for continued development and implementation of OBTS/CCH in conjunction with the federal rules and regulations. It should be noted however, that these current proposals will cover first year funding only and it is estimated that an additional 2 years of funding will be absolutely essential to fully complete the task.

a. Police

All law enforcement agencies in the State of Illinois are required to submit Arrest Fingerprint Cards to the State Central Repository. (See Appendix A3.) Arrest Fingerprint Cards are being received at a rate of approximately 1000/day and range from 24 hour submission to 30 days, and the Bureau of Identification responds with a criminal history transcript.

All Arrest Fingerprint Card information will be entered into CCH within a five day turn-around-time, from date of receipt to the transmission or mailing of a transcript to the Arresting Agency and the involved State's Attorney. The entry of this data into CCH will initiate the Audit Trail and monitoring system.

A copy of the Arrest Fingerprint Card is forwarded to the State's Attorney, with the complaint and/or case information. The booking charges are listed by Arrest Charge Numbers, statute citation, and classification. Reportable offenses can be found in the Appendix. (See Statute Reference Table, Appendix A4.)

b. Prosecutors

Prior to October 1, 1975, chapter 38, section 206 did not require prosecutors or the courts to submit final dispositions. Most of the dispositions that were received by the Bureau of Identification were obtained through law enforcement agencies resulting in many arrest records entered on criminal history transcripts without prosecution and court dispositions. Such a predicament caused a situation whereby arrest records could not be automatically purged (a requirement of Chapter 38-206-5) because the State Central Repository lacked decision making information; i.e., was the accused released, dismissed, acquitted, or convicted?

Under the present legislation, as amended, requiring mandatory disposition reporting from the prosecutors and the courts within 30 days after the date of final disposition, the federal CJIS rules and regulations will be met. The system will be implemented by the end of March 1976 at which time data will be entered daily into CCH, as well as manual records.

The State's Attorney, upon receipt of his or her copy of the Arrest Fingerprint Card, will initiate the Disposition Report as defined in the Form Definition Section (Appendix A3). For audit trail and cross-auditing purposes, the Document Control Number, defendant's name, date of birth, arrest date, sex, and race are transcribed from the Arrest Fingerprint Card to the Disposition Report header.



The State's Attorney Disposition is simply filed or not filed, charge by charge with disposition date for each charge. This minimum information is not quite in conformance with the minimum requirements of OBTS. However, after the first year, it is expected that more specific disposition information will be included on the form.

The Arrest Charge Numbers preprinted on the Arrest Fingerprint Card are also preprinted on the Disposition Report for prosecutor and court disposition for tracking purposes, providing a history of the charge itself as related to the Document Control Number and hence the defendant.

If the State's Attorney decides not to file on any of the Booking Charges he or she enters "charge not filed" by corresponding arrest charge number, dates each charge disposition, and forwards the Bureau's copy to the State Central Repository.

If the State's Attorney files by Booking Charge, he or she checks or "X's" the charge filed box, enters the citation, charge description and date filed, and files the form with the Circuit Clerk with the formal complaint and/or other instruments. (See Appendix A3.)

If the State's Attorney decides not to file on some charges and desires to make a change to the charge, he or she enters the charge on the corresponding line and arrest charge number as the Booking Charge, "X's" or checks charge filed and enters the date and case number.

c. Trial Courts

The Disposition Report for the courts is a combined form for prosecutors and the courts. That is, if the prosecutor terminates all charges the case is considered closed and the disposition is sent to the State Central Repository. However, if some or all of the charges are filed for prosecution, court clerk copies containing the prosecutor's intent are forwarded to the Court Clerk along with the filing of the formal complaint.

After a verdict has been rendered, the clerk enters the information by charge. Since the form also contains information regarding sentencing if convicted of some or all of the charges, the Court Clerk enters this information along with bonding information.

If the offenses for which the defendant was charged differ from those filed by the prosecutor, the Clerk must enter these new charges by corresponding charge numbers found in the prosecutor's section of the form, as well as the disposition and date. Sentencing information is entered in a like manner.

A revision copy of the Disposition Report is retained by the Clerk along with the Clerk's copy to cover appellate decisions, probation, and parole revocations.

The confining institution copy of the Disposition is forwarded with commitment papers to the confining institution. If the defendant is sentenced to probation the Confining Institution Copy is forwarded to Court Services. The State Central Repository Copy is forwarded after all sentencing information is entered by the Clerk and the individual is remanded to an institution.

d. Appellate Courts

If a case is appealed, the appellate court returns its decision to the court of original jurisdiction. If the appellate court's decision has the effect of changing the disposition sent to the State Central Repository, a revision copy of the disposition form retained by the Court Clerk is forwarded to the State Central Repository after the status change has been entered on the disposition form.

e. Probation

The sentence of probation is reported on the disposition form discussed above. In addition, if probation is revoked or if the subject is discharged from probation the court clerk simply uses the "revisions" copy of the disposition form and submits the subject's current status. It should be noted that probation is a function of Court Services and Probation Officers are under the courts.

In Cook County, disposition reporting will be via the Circuit Clerk's Information System and therefore, the Disposition Report will not be used. Each month a computer tape will be sent to the Bureau of Identification for processing against CCH.

f. Correctional Institutions

"Correctional Institutions" refers to state and local sheriff's facilities where felons are committed to state penal institutions and misdemeanants are remanded to the County Jail. However, in some cases misdemeanants reside in the State Correctional Institution in Vandalia. In either case, these institutions must report via a Custodial Fingerprint Card which is sent to the State Central Repository upon receipt of the resident along with the Confining Institution Copy of the Disposition Report. (Appendix A3) Additionally, these institutions report status changes such as release or discharge. At the state level, when a resident is released on parole it is reported to the Bureau of Identification via status copies of the Custodial Fingerprint Card. Likewise, parole revocation is reported as well as final discharge.

Note here, that the language of the current statute does not require either the correctional institutions or the Board of Pardons and Parole to report resident status. However, reporting by these agencies has occurred for some time now and is expected to be formalized by statutory revisions in 1976.

In any event, cost limitations will prohibit the Illinois Department of Corrections from fully implementing disposition reporting procedures until September 1976.

g. Parole

Explained above along with Correctional Institutions.

2. Query Before Dissemination

It is a mandatory requirement for all criminal justice agencies authorized to have access to criminal history record information collected and maintained by the State Central Repository to query the repository before disseminating such information. This mandatory provision will be enforced by requiring all criminal justice agencies with authorized access (regardless of whether or not they have received federal funding) and all individuals or agencies providing services for the purpose of administering criminal justice to sign a User's Agreement. (See Appendix A5.)

The User's Agreement, inter alia, mandates strict compliance with all present and future federal and state laws and regulations, with all rules, procedures, and policies adopted by NCIC, and with all rules, procedures, and policies adopted by the Department of Law Enforcement. "Before disseminating criminal history record information, User shall inquire from the State of Illinois Central Repository to ensure that only the most current disposition data is being disseminated." If the user criminal justice agency were to disseminate criminal histories outside of its agency, without first inquiring from the State Central Repository, that practice would be a violation of the federal regulations and the user agreement, per se, and would result in immediate suspension of services from the repository, as well as possible liability for a \$10,000 fine and fund cut-off by the Law Enforcement Assistance Administration.

Additionally, a notice making agencies aware of mandatory query will be preprinted on the criminal history transcript to serve as a reminder to them. Systematic auditing procedures will be structured such that, through logging procedures, agencies will be audited for mandatory query using their dissemination logs compared to the records they maintain. Any criminal history transcripts on file will reflect the date of issuance which can be compared to the date of dissemination.

Over 250 agencies now have the capability to query the CCH files before dissemination. These agencies are validated and logged at the time the query is made. The Department of Law Enforcement will have overcome all technical difficulties with respect to this procedure by July 1, 1976. The Department of Corrections, on the other hand, has found that it cannot have the mandatory query provision implemented because of financial limitations. According to their certification, this will be fully accomplished by December 1976.

Since the Bureau of Identification is still in the file loading stage, the User Agreement will provide for mandatory query if, and only if, the record is on the CCH file. In addition, administrative message inquiries for record checks are answered within an hour. However, if an exigency arises, agencies are authorized to check local records without first querying the State Central Repository.

The State Central Repository is presently experimenting with a facsimile system in Cook County to reduce turn around time to one hour for bond hearings. Cook County Judges want the complete "RAP" sheet for bond hearings to make more realistic decisions on defendants that come before them. If this system functions properly to meet this goal, it will be expanded to five court districts in Cook County including Chicago which will cover a major part of the State.

### 3. Accuracy

The requirement of the Certification of Compliance has three important aspects:

- a. internal verification of CCH records;
- b. internal verification of manual criminal history records;
- c. record verification of agency records which is basically tied into individual right of access and review when such reviews are necessary or filed.

It is a simple procedure for a terminal operator to verify completely the data entered into CCH. This is accomplished on the cathode ray tube (CRT) just prior to sending the record to the CCH file. Follow-up verification is connected with internal manual record verification by taking a random sample approach on CCH, and by output of a tab of those records to be audited. From the tab the Quality Assurance and Program Evaluation Unit audits manual records against computerized records. The sample size is determined from making use of the UCR Audit Manual or texts on the subject, to ensure an acceptable reliability level as approved by LEAA in their evaluation of the funded OBTS/CCH Component.

It goes without saying, that agency verification cannot be isolated from monitoring since both are interrelated to the extent that a random sample of current arrest records entered will also indicate the lack of disposition data from subsequent functions of the criminal justice system. Therefore, completeness is involved in both monitoring and accuracy verification.

Similarly arrest records that do not have disposition transactions will be included in the above-discussed monitoring subsystem. If a case has been dropped or disposed of in some way and still not pending prosecution then the arresting agency is contacted. The policy that the Bureau of Identification has been operating under since the end of February 1976 is that Arrest Fingerprint Cards are not to be submitted to the State Central Repository unless the police disposition is:

- a. Arrested and held for prosecution;
- b. The arrestee must be 17 years of age or older;
- c. The booking charges must be a felony, Class A or B misdemeanor, or certain motor vehicle offenses.

This policy is reflected in the revised legislation on disposition reporting and CCH. The offenses meeting these requirements is attached as an Exhibit in Appendix A4.

While accuracy verification procedures will be fully operational on March 16, 1976, as certified by the Department of Law Enforcement, it should be noted that cost limitations will prevent the Department of Corrections from meeting this date. Accuracy verification procedures should be operational by January 1977.

At the present time software for delinquent disposition monitoring is being developed and will be implemented March 1, 1976. At the end of each 30 day period a tab will be printed out for the field staff to follow-up by agency contact to obtain the unreported dispositions. If the case is found to be pending, an entry will be made into the CCH with the date of last agency contact. Of course, if a disposition is obtained, this transaction is entered into CCH and the disposition is filed in the criminal history jacket.

When an arrest report is entered into CCH, the monitoring system is initialized and dated. If a Disposition Report has not been received within 60 calendar days, the transaction is printed out in tabular form for the field staff. If the field staff obtains the disposition, it is entered into CCH and automatically removed from the monitoring system with an entry made for custodial record. If the custodial record is not received within 30 days, the record is tabulated and routed to the field staff. This process continues until all documents are received or the arrest record is flagged so as not to be disseminated to unauthorized non-criminal justice agencies.

In cases where a court disposition has not been received for one year a special tab is printed out. This special tab is printed monthly, if required, so that the field staff may obtain legal grounds for expunging the arrest records.

A similar situation arises pursuant to the language in Chapter 38, Section 206-5. This section requires that "all photographs, fingerprints or other records of identification so taken shall, upon the acquittal of a person charged with the crime or upon his being released without being convicted, be returned to him." The Bureau's interpretation of this language is that for a first offender (NO RECORD) or a recidivist, the arrest record must be expunged without a court order. Such records are to be returned to the defendant based upon the following administrative rules:

- (1) If there is currently pending against the individual a subsequent arrest record which may or may not be related to a prior arrest and charges, the individual must apply for return of his or her record(s) to the Superintendent of Bureau of Identification;
- (2) If the dismissal is appealed by the People, no return shall be made until the appeal has been completed. If the finding is against the individual, the record shall remain. If the finding is in favor of the individual, the record of arrest shall be expunged.

This particular language in the statute is ambiguous with respect to which agency shall return what records, the local arresting agency or the State Central Repository. The language is not clear since it is out of context with a lengthy paragraph describing the collection of information from local agencies and expungement of first offender records by court order. Consequently, an opinion from the Attorney General of Illinois may be needed to clarify the statute. Depending on that ruling, a change in administrative policy may or may not be effected.

When data collection documents are received, the clerical support staff of CCH and the manual system, edits all data elements. If data is missing or cannot be interpreted the document is copied, filed in a follow-up file, and the original is assigned to the Quality Assurance Staff to contact the agency for clarification. After all data has been properly obtained the Quality Assurance Unit forwards the original to the Editing Staff which in turn reviews, pulls the copy to be destroyed, and releases the original for entry. Delinquent disposition monitoring will be fully operational on May 1, 1976.

#### 4 Notification of Errors Procedures

From the discussion in the instructions accompanying the federal regulations, it is assumed that the logging procedures are to be finalized at this point of the State Plan, rather than being included under the Audit and Quality Control part of the Certification Checklist.

The logging sub-system is part of the CCH records and is being programmed presently. When an agency queries the CCH system and obtains a "hit," the agency's terminal code number and date will be entered as a separate segment of the individual's record and dated. A summary of the individual's criminal history record information will be transmitted.

When an inquiry is made by telephone, administrative message, letter, or submission of an arrest fingerprint card, the CCH terminal operator will make the dissemination entry. An automatic transcript that is already addressed to the inquiring agency will be printed out.

From another viewpoint, suppose that the individual is not on CCH but a manual search reveals a record. The logging is accomplished on CCH because the identification segment and arrest segment of the last event will be entered to establish the record. The remaining jacket information will be reviewed for completeness and entered within normal operating procedures. Only that data which meets the requirements of the federal rules and regulations will be entered.

Disseminations due to an error will be entered into the dissemination log (CCH) by code, and the record in error will be corrected on CCH and the manual system and will be flagged on corrected transcripts disseminated to all agencies (including non-criminal justice agencies) logged as having received such information.

Systematic audits for notice of errors will be fully implemented by July 1, 1976.



## B. LIMITS ON DISSEMINATION

### 1. To Authorized Categories Only

By July 1, 1976, the State of Illinois will totally limit the dissemination of criminal history record information to only those exceptions found in the federal regulations.

### 2. Applicable Limits and Sanctions on Criminal Justice Agencies

All criminal justice agencies authorized access to the State Central Repository's manual or computerized records shall sign a User Agreement made between the user agency and the Department of Law Enforcement. (Appendix A5 )

Under this agreement, not only must the criminal justice agency, itself, be in total compliance with the federal regulations per this Plan, but so must any other potential individual or agency to which the user criminal justice agency might disseminate criminal history record information. For example, if criminal justice agency A (which has received federal funding) has signed a user agreement with the Department of Law Enforcement, and criminal justice agency B (which has not received federal funding or signed a user agreement with the Department) requests A to provide B with criminal history record information, A must first query the State Central Repository before disseminating to B. However, if B is not in conformance with the federal regulations, even though B has not received federal funding, A may not disseminate to B since A could not ensure the confidentiality of the information once B obtained it. Therefore, if B wants to obtain criminal histories from A or provide criminal justice services for A, it must first come into compliance with the federal regulations and sign a user agreement to that effect with A. If A were to disseminate to B, A would be subject to immediate suspension of services with the State Central Repository as well as possible liability for a \$10,000 fine and funding suspension under the federal regulations.

In addition, there are statutory restrictions in Illinois limiting dissemination by the Department of Law Enforcement that far exceed the limitations imposed by the federal regulations. No file or record may be made public under the law, "except as may be necessary in the identification of persons suspected or accused of crime and in their trial

for offenses committed after having been imprisoned for a prior offense..." (For complete text of Chapter 38 section 206-7, see Appendix A1.)

### 3. Eligibility Validation Procedures

All agencies authorized access to criminal history record information will be maintained on a computerized table, such that, when an inquiry is made remotely or within the State Central Repository, the agency is validated and the inquiry logged. The Department of Law Enforcement periodically prints and updates this table of all agencies qualified to receive criminal history record information, which is sent to all law enforcement agencies. Moreover, the user agreement that all users of the State Central Repository are required to sign states that "(b)efore this agreement may take effect, User must be certified by DLE as a bona fide recipient and donor of criminal history record information." Therefore, dissemination of criminal histories to agencies not under contract agreement or not in compliance with the regulations or not on the Department of Law Enforcement's validation list will result in immediate suspension from the files of the State Central Repository and possible federal liability under the regulations.

### 4. Non-Criminal Justice Recipients

Agencies disseminating criminal history record information to non-criminal justice government agencies, private agencies, and researchers must make contractual arrangements similar to those required for criminal justice agencies. Such agreements also provide that all copies of disseminated information be returned to the disseminating agency "once the information is no longer needed to effectuate the purposes for which it was originally disseminated."

Authorized non-criminal justice agencies will be required to sign a User Agreement with the Department of Law Enforcement and they will be validated the same as criminal justice agencies by an automatic look-up table in CCH.

It should be understood that non-criminal justice agencies do not have remote access to Computerized Criminal Histories. Applicant Fingerprint Cards are processed through the State Central Repository the same as an arrest. However, CCH is used to validate the agency. In a similar manner, mail inquiries by name are processed making use of the validation table and criminal record log prior to dissemination of a transcript.

a. Restrictions On Secondary Dissemination by Non-Criminal Justice Agencies

Secondary dissemination by non-criminal justice agencies is prohibited as specified in the User Agreement. As part of the User Agreement, non-criminal justice agencies will be restricted regarding use of criminal history record information to collect, receive, store, use and disseminate such information in strict compliance with the federal regulations; ie, section 20.21(c)(2).

The User Agreement further ensures that a non-criminal justice agency will use the criminal history record information only for the purposes for which it was given and that the non-criminal justice agency will not further disseminate criminal histories. This is done by holding the criminal justice agency disseminating to the non-criminal justice agency liable for negligently failing to prevent the non-criminal justice agency from further disseminating the information. This section of the User Agreement reads:

"Liability for Dissemination. User shall be responsible for ensuring that data contained in criminal history records disseminated by it to non-criminal justice agencies or individuals is not further disseminated by them and shall be liable for any loss, cost, expense, and damage resulting from any negligence on the part of the User to prevent any such further dissemination."

A list of authorized non-criminal justice agencies follows. It is expected that LEAA will evaluate this list of agencies and make a determination that will affirm the State Central Repository's decisions regarding compliance with this subsection of the rules and regulations.

Authorized Non-Criminal Justice Agencies

1. Department of Registration and Education - Detectives and Investigators, Chapter 38, Section 201-10b(4), Illinois Revised Statutes, 1975.
2. Department of Mines and Minerals - Explosives in General - Chapter 93, Section 152.3, Illinois Revised Statutes, 1975.
3. Horse Racing Act - Illinois Racing Board, Chapter 8, Section 37c-2; Harness Racing Act, Section 37S-16a, and Quarter Horse Racing Act, Section 419, Illinois Revised Statutes, 1975.

4. Board of Fire and Police Commissioners - Appointed Officers In All Municipalities, Chapter 24, Section 3-6-5 (Auxiliary Policemen) and Section 10-2.1-6.1, Illinois Revised Statutes, 1975.
5. Dangerous Drug Advisory Council - Dangerous Drug Abuse Act, Chapter 91½, Section 120.6-6-1, Illinois Revised Statutes, 1975.
6. Liquor Control Commission - State Control Commission, Chapter 43, Section 108(3) and Section 120, Illinois Revised Statutes, 1975.
7. U.S. Civil Service Commission - Executive Order 10450 and Section 1304 of Title 5, U.S. Code.
8. Tennessee Valley Authority - Executive Order 10450.
9. U.S. Government Generally on Personnel Investigations - Executive Order 10450.
10. Military Police, Title 10, Section 504, U.S.C.; Supplement 2 Privacy and Security Planning Instructions.
11. Department of Revenue - Bingo License and Tax - Chapter 120, Section 1101(7) (a) (c), Illinois Revised Statutes, 1975.
12. Office of Investigations - U.S. Department of Agriculture, Office of Investigation. See LEAA Rules and Regulations, Appendix, Commentary on Section 20.3(c).
13. Legislative Investigation Commission - Illinois Revised Statutes, 1975, Chapter 63, Section 301 - 319 (ref. Section 310).
14. Railroad Police - Chapter 114, Section 98, Illinois Revised Statutes, 1975, authorizes railroads to provide themselves with a police force such as may be found necessary to aid and supplement the police force of any municipality. That Statute further provides that the members of such railroad police force have the same police powers as those conferred on police of cities.

15. U.S. Department of Labor - Federal Register, Volume 40, Number 98, Part 4, Appendix.
16. U.S. State Department - Federal Register, Volume 40, Number 98, Part 4, Appendix.
17. Accident Investigation Unit - Illinois Department of Transportation, Chapter 95½ - 11 - 414, Illinois Revised Statutes, 1975.
18. Kane County Diagnostic Center - Chapter 38, Section 1005 - 3 - 2, Illinois Revised Statutes, 1975.
19. Chicago Gun Control Section - Section 11.1-15, Municipal Code.
20. Health and Hospitals Governing Commission of Cook County- Security Police, Chapter 34, Section 910, Illinois Revised Statutes, 1975.

b. Service Agencies Under Contract

Subsection 20.21(b)(3) of the rules and regulations requires that a contractual agreement be executed as part of a service contract wherever individuals and agencies are contracted to provide services required for the administration of criminal justice.

Under normal circumstances such services have not been required in the past by the Department of Law Enforcement and will not be required in the foreseeable future. However, if a situation does arise whereby contractual services for the administration of criminal justice are needed, the service contract is already included in the User Agreement. (Appendix A5) Other criminal justice agencies will employ their own, but similar, user agreements to bind service agencies to the provisions of the federal regulations. This will be effective by July 1, 1976.

c. Research Organizations

At the present time research organizations have not been requesting access to criminal history record information. However, in the past it has always been a policy of the Bureau of Identification to deny all such requests based upon Chapter 38, Section 206 of the Illinois Revised Statutes, which requires that criminal history record information be disseminated to authorized law enforcement agencies as follows:

"Such information shall be furnished to all peace officers of the United States, of other States or territories, of the Insular possessions of the United States, of foreign countries duly authorized to receive the same, and to all peace officers of the State of Illinois."

However, from another part of this legislation, subject to the Attorney General's opinion, the following seems to authorize the use of criminal history record information for research purposes:

"The Department shall procure and file for record, as far as can be procured from any source, photographs, all plates, outline pictures, measurements, descriptions and information of all persons who have been arrested on a charge of violation of a penal statute of this State and such information as is necessary and helpful to plan programs of crime prevention, law enforcement and criminal justice, and aid in the furtherance of those programs."

The Bureau of Identification expects to receive an opinion in the future to clarify the State Central Repository's position with respect to an obvious conflict between the regulations and the existing State legislation.

In any event, the Department of Law Enforcement has prepared a model non-disclosure agreement for researchers, which can be found in Appendix B1. Under the terms of this agreement the researcher would make a formal written application to the criminal justice agency for specific items of criminal justice information. The researcher will be prohibited from receiving any data which is identifiable to an individual unless the criminal justice agency specifically rules that the proposed research program "has conclusively demonstrated that access by individual name is indispensable to conducting its research, evaluative, or statistical program."

In those rare cases where identifiable information would be released the agreement imposes strict standards for ensuring confidentiality. Specifically, dissemination "to any other agency or individual not immediately concerned with the research program shall be totally prohibited under any circumstance." Moreover, the researcher must return all data received, must refrain from copying any materials, and must certify in writing to that fact. Sanctions include, but are not limited to, immediate recall of all information disseminated as well as cessation of all future access to criminal history record information.

5. Restrictions On Dissemination Without Disposition

The State Central Repository has procedures requiring the review of criminal history record information before dissemination of such information to a non-criminal justice agency. Records in the CCH file will be flagged to alert Repository personnel that the arrest record exceeds the one year rule. Previously, it was stated that non-criminal justice agencies do not have access to CCH via terminals. All such requests are received by the Bureau via the mail service. The monitoring system in conjunction with the field staff will determine whether or not a flag will be placed on a record due to the one year rule.

Futhermore, as already discussed, Illinois has an automatic expungement of arrest records statute for acquitted "first offenders." (See Chapter 38 section 205-5 of Ill. Rev. Stat., Appendix A1.)

6. Restrictions On Confirmation of Record

The State Central Repository's policy and procedure requires that inquiries be validated by a validation table and follow-up phone call confirming the identity of the requester prior to the dissemination of information including the confirmation of the existence or non-existence of a criminal history. Only those agencies that are authorized appear on the validation table.

7. Restrictions On Juvenile Record Dissemination

The State Central Repository is not authorized by statute to maintain juvenile records except where a juvenile is prosecuted as an adult. (Chapter 37 section 702-8 (2) of the Juvenile Court Act, Appendix B2.)

Illinois, under the state's Juvenile Court Act, has statutory provisions concerning the dissemination of juvenile records which comply with or exceed those required by the federal regulations. For instance:

"The records of law enforcement officers concerning all minors under 17 years of age must be maintained separate from the records of arrests and may not be open to public inspection or their contents disclosed to the public except by order of the court or when the institution of criminal proceedings has been permitted under Section 2-7 or such a person has been convicted of a crime and is the subject of pre-sentence investigation or proceedings on an application for probation." Chapter 37, section 702-8 (3). (Also see Chapter 37, section 703-2-2.)

The Civil Service Commission is statutorily authorized to obtain juvenile record information on applicants for a position as a law enforcement officer. (Appendix B2) Otherwise, all official court files concerning juveniles may not be made available to the general public. Such records however, "may be inspected by representatives of agencies, associations and news media or other properly interested persons by general or special order of court." Chapter 37 section 702-10.

Since the only other authorized individuals permitted to examine court files and records on juveniles are the State's Attorney and the attorney for the minor, the State of Illinois is in full compliance with the requirements of the federal regulations.

Effective December 31, 1975, the Illinois legislature established the Delinquency Prevention Commission. Among other things, this legislation established a state-wide central records systems for juveniles within the Commission. It should be noted however, that the Commission only has the authority to develop safeguards ensuring the confidentiality of juvenile records, except for dispositional hearings under the Juvenile Court Act or inquiries from registered police youth officers. House Bill 199, section 5.9. Thus, it does not have authority to regulate juvenile records with respect to completeness and accuracy, security, individual right to access, etc. For these purposes criminal justice agencies in Illinois will follow the limitations imposed by the federal regulations on adult records, to the extent that juvenile records contain criminal history record information.

Under the Juvenile Justice and Delinquency Prevention Act of 1974, 42 U.S.C. section 5601, the Illinois Law Enforcement Commission, as the state planning agency, has developed confidentiality standards to be maintained by individual grantees in the form of a contract. This contract fully incorporates the federal regulations. (See appendix B3.)



## C. AUDITS AND QUALITY CONTROL

### 1. Annual Audit Procedures

The procedures for annual audit of the State Central Repository will be completed by July 1, 1976. The persons performing the audit will be cleared by fingerprint verification prior to performing the audit and will execute a User Agreement.

- a. Procedural Audit: This audit will encompass a physical examination of all operating procedures as they relate to the actual processing of information. All deviations discovered in the operating procedures will be documented and a copy of such procedural deviations will be submitted to the head of the State Central Repository with a fixed calendar date for making the corrections.

The State Central Repository Superintendent will submit, in writing, remedial action taken and implemented on or before the calendar date established by the "Auditors."

The "Auditors" will establish a second review date, and audit the procedure deviations and remedies within the operating environment.

If the "Auditors" find that the remedial action was taken and such actions are satisfactory and in compliance with the Annual Audit Procedures, the Superintendent of the State Central Repository shall be notified promptly in writing.

- b. Records Audit: The procedural audit performed in (a) above will necessarily lead to the processing of manual and computerized criminal history record information. Assuming that systematic auditing of criminal justice agency records by the State Central Repository Field Staff is in operation, it would only be necessary for the "Auditors" to audit records maintained at the State Central Repository, since the Procedural Audit would include auditing the systematic auditing procedures performed by the Field Staff.

The Annual Audit of criminal history record information will consist of a 1% sample of records by event serial number (DCN) that would be generated from CCH using a computerized random table. A tabulation of the sample events and all transactions pertaining to those events will be printed out on three-part paper for the "Auditor" to use for auditing the manual records contained in criminal history jackets.

Errors and omissions discovered will be documented on the second copy of the audit tabulation and submitted to the State Central Repository Superintendent via a transmittal letter specifying a date by which all such errors and omissions are to be corrected. Corrections will be verified by the Field Staff prior to correcting CCH records. The corrections will be entered and automatically disseminated to all authorized agencies who have received such information. Copies of the corrected records will be presented to the "Auditors" for verification that records found in error were in fact corrected.

- c. Dissemination Audit: The computerized dissemination log will be audited in the same manner as item (b) above using a random sample of serialized events and related disseminations. Agencies listed as having received this information will be contacted and the transactions verified. Additionally, agency criminal history record information will be sampled and compared to the dissemination log of the State Central Repository since every Arrest Fingerprint Card received and processed by the State Central Repository will generate a transcript that is routinely sent to the arresting agency.

## 2. Audit Trail

In Appendix A3, the Arrest Fingerprint Card is defined as a pre-printed serialized five part form that initiates the criminal event process. The serial number is transcribed on the Disposition form along with key descriptors that identify the individual for cross-checking with the Document Control Number (DCN). In addition, sufficient copies of the Arrest Fingerprint Card and the Disposition Report are provided such that each criminal justice function retains a copy for its permanent records with one copy of the Disposition Report for the State Central Repository. Another copy is forwarded to the confining

institution, which is subsequently sent to the Bureau of Identification along with the Custodial Fingerprint Card (also found in Appendix A3).

Consequently, all agencies have permanent records of the event (including the State Central Repository) beginning with the Arrest Fingerprint Card and ending with the Custodial Fingerprint Card, all of which contain the event serial number, physical description, charges, dispositions, and fingerprints for positive identification.

Both the monitoring and systematic auditing systems contain the event numbers for follow-up on delinquent dispositions and automatic random selection of records to be audited.

As mentioned above, the hard copy manual source documents will be made available for auditing. However, such documents will not be removed from the State Central Repository premises, nor will auditors be permitted to remove records from files without a qualified employee making sure that records removed are properly marked, documented, and replaced when such records have served their purposes for auditing.

a. Primary Dissemination Logs

Primary dissemination logs are automatically maintained as part of the individual's record in CCH. Included in this record are the document control numbers related to each type of record in the CCH system. In the event an error is detected or discovered either by the Quality Assurance Staff or through right of access procedures, the specific record can be traced to the receiving agency and any secondary disseminations via their log.

Likewise, each arrest record and disposition record within each event or DCN, can be verified to correct the error if the error was made on a source document. The manual records can be audited in a similar manner by subject jacket or event number. Dissemination of the corrected criminal history record information follows immediately after verification that the record is in error. The primary dissemination log can be printed out in its entirety or in part as required by the "Auditors."

b. Secondary Dissemination Logs

Relative to CCH, user agencies can, when making a CCH inquiry for another agency, log the agency requesting the information by entering the agency's NCIC number. Other State inquiries can be logged in a similar manner.

In those cases where the inquiring agency does not use CCH, the agency must maintain a manual log for secondary dissemination. However, if the agency performs secondary dissemination without making the CCH inquiry, the agency is in violation of the mandatory query before dissemination requirement, except in cases where time is a critical factor.

In both cases of primary and secondary dissemination, the record that was corrected is flagged on the hard copy, and the dissemination log coded to indicate error correction dissemination by agency.

The State Central Repository will maintain dissemination logs for not less than three years.

3. Annual Audit Agency Sample Selection Criteria

Auditing of local agencies by the State Central Repository will be accomplished through systematic auditing of agency records compared to CCH records and repository manual records. The plan for random audits is based upon the UCR Audit Manual published by the IACP, Inc. covering police agencies, which can be applied to all criminal justice agencies.

4. Agency Responsible for Annual Audit

The Illinois Criminal Justice Information Systems Council will be responsible for performing the Annual Audit of the State Central Repository and its field operations.

#### D. SECURITY

Although the security part of this Certification need not be completed at this time, the Bureau of Identification is implementing Security and Privacy Regulations governing personnel selection and clearances, management and visitor control, physical security, terminal and document handling and control, and information dissemination.

## E. INDIVIDUAL RIGHT OF ACCESS AND REVIEW

Individual right of access and review will be treated in the I-CHRI similar to a criminal event. That is, each transaction will be tracked as part of the CCH system and will be included in the monitoring and auditing procedures.

The record will be initialized by the filing of a Request for Access and Review Form at a local law enforcement agency which requires fingerprinting and processing through the Bureau of Identification in the same manner as an arrest fingerprint card. The event is entered into CCH and a transcript is printed out. The events appearing on the Transcript will be in reverse chronological order. Therefore, the Right of Access transaction will appear first on the Transcript as a "disposition," as will all subsequent transactions, ie., Challenge Request, Administrative Review, and Administrative Appeal.

### 1. Point of Review and Mechanism

The individual right to access and review criminal history record information is ensured through the Illinois Department of Law Enforcement's "Rules and Regulations Governing Individual Right to Access & Review Criminal History Record Information" and accompanying "Instructions" issued pursuant to its statutory responsibilities as the state central repository. Ill. Rev. Stat. 1975, chapter 127, section 55a. (Appendix E1) These rules and regulations apply to every criminal justice agency in the State collecting, maintaining, or disseminating criminal history record information or generating original criminal justice process documents reflecting the facts and results of each formal stage through which an individual passes.

An individual can review his or her criminal history record at any law enforcement agency in the State, 8:00 a.m. through 4:00 p.m., excluding Saturdays, Sundays, and holidays. Since criminal history records are identified by the state central repository upon corroboration of fingerprint information, each individual requesting to inspect his or her record is required to be fingerprinted in order to verify the individual's identity. In those instances where no criminal history record exists in the files of the state central repository, the fingerprint card is automatically destroyed.

The Department of Law Enforcement's rules and regulations permit the individual to obtain a copy of his or her criminal history record, upon request, for purposes of challenge or correction. All identifying data is stripped from the individual's copy prior to giving it to him or to her. The state central repository charges no fee for providing a copy of the transcript. Although the rules and regulations permit each separate law enforcement agency to choose whether or not it will charge a fee for the actual costs involved in processing a request for access and review, no fee charged may exceed ten dollars.

## 2. Challenge by Individual

All the forms required for initiating the access and review process, for challenge to the completeness and accuracy of a criminal history record, for obtaining administrative review and administrative appeal, and for giving the individual proper and due notice are attached hereto. (Appendix A3)

After reviewing his or her criminal history record, an individual may institute a record challenge concerning any incomplete or inaccurate information. The reviewing agency forwards the record challenge to the state central repository, which must process and respond to the challenge within 30 days.

## 3. Administrative Review

If the individual is not satisfied that the proper corrections have been made after notification of the challenge decision, he or she has 60 days in which to request an administrative review of the decision. Such requests are submitted to the Superintendent of the Illinois Bureau of Identification, who, after reviewing the record, makes an independent decision within 30 days.

The individual receives notification of the administrative review decision via a "Notice of Review Form." It should be noted that a "Notice of Review Form" serves four separate functions in the access and review process. It is first used to notify the individual when his or her criminal history record information transcript is available to be inspected. It can be used a second time to notify the individual that a record challenge decision has been made and is available for review. It can also be used a third time to give notice that an administrative review decision has been reached and is available for review. Its final use is to give the individual notice that the administrative appeal decision has been made and is available for review.

4. Administrative Appeal

After receiving notification of the administrative review decision, the individual has 60 days in which to file an administrative appeal and request for hearing with the Illinois Criminal Justice Information Systems Council. The Illinois Criminal Justice Information Systems Council is an independent body created by the Governor. (Appendix E2) After receiving the final decision of the Council, an individual's only recourse is to file a civil suit.

Although the Council has not officially met, it is expected that the Council will permit the individual to appear with counsel, to present evidence, to cross-examine witnesses, and, upon request, to obtain a recording of the hearing.

5. Correction and Notification of Error

Correction and notification of error contained in criminal history record information can take place at any stage of either the access and review process or the criminal justice process. This occurs at the time an agency discovers an error or omission, through systematic or annual auditing.

When a criminal justice agency other than the state central repository discovers an error or omission, it corrects its own record, disseminates the corrected record to all criminal and non-criminal justice agencies having received the record, and reports the corrections to the state central repository within 24 hours measured from the time the error is discovered. Dissemination logs are kept to reflect those agencies which have received the corrected criminal history record information.

The state central repository corrects both manual and automated records and disseminates the corrected criminal history record information to all the agencies logged as having received this information, including the National Crime Information Center, within 24 hours.



Before making any corrections to a criminal history record, the Department of Law Enforcement's rules and regulations require that all corrections reported by a reviewing agency to the state central repository be verified by the state central repository against contributing agency records within this 24 hour period.

In cases where a record challenge by an individual reviewing his or her own transcript is accepted, the state central repository disseminates the corrections to all agencies logged as having received the incorrect information, prepares a listing of the non-criminal justice agencies which have received the information, and forwards the corrected transcripts and non-criminal justice agencies listing to the reviewing agency.

If, after an administrative appeal, the Council decides to make corrections in favor of the individual, an order is issued specifying what data is to be corrected. The order is sent to the state central repository and the corrected information is disseminated to all agencies receiving this information.

State and local criminal justice agencies must maintain and retain for at least three years records of the identities of persons or agencies having access to criminal history record information or to whom such information is disseminated, the date of access or dissemination, the purposes for which access or dissemination is requested, the identity of the individual to whom the information relates, and the items of information released.

Upon request, an individual is given the names of all the non-criminal justice agencies to which the data has been given since March 16, 1976. The Department of Law Enforcement's rules and regulations differ from the federal regulations in that an individual may obtain this list at any point in the access and review process, rather than restricting the obtaining of the list until a correction has been made.

#### 6. Public Notice of Right to Access

In order to comply with the spirit of the federal regulations, a public education campaign with respect to the access and review provisions is being instituted. Initially, the newspapers, and other communications media will receive press releases announcing the initiation of the review procedures and relating the

substance of the procedures. In this connection, it is expected that brochures and posters entitled "how to beat a bum rap sheet" will be distributed and posted throughout the State in both English and Spanish. (See Appendix E3 for the text of these materials.) This information will be available to the public through the courts, probation offices, local municipal police and county sheriff's offices, jails, libraries, and civic organizations.



CERTIFICATION STATEMENT #1

A complete discussion of the implementation of the access and review section of the federal regulations is presented in Chapter E of the Plan. The procedures for access and challenge by individual record subjects developed pursuant to Section 20.21(g) are completely operational.

The following constitutes an implementation schedule.

ILLINOIS CRIMINAL HISTORY RECORD INFORMATION PLAN  
IMPLEMENTATION SCHEDULE

DATE	ACTIVITY	RESPONSIBLE AGENCY
9/26/75	The staff of the Illinois Law Enforcement Commission authorized to submit State Plan to LEAA.	Governor
10/1/75	Legislation regarding mandatory disposition reporting goes into effect.	
10/6/75 - 3/21/76	State-wide Privacy & Security Seminars discussing implementation of federal regulations conducted.	DLE
10/7/75	State Attorney General, Illinois Courts, State's Attorneys, and Department of Corrections notified of obligations under the federal regulations.	ILEC
10/20/75	All police departments and sheriff's offices notified of obligations under the federal regulations.	ILEC
11/1/75	Preparation of brochures and posters for public education campaign regarding individual access and review commenced.	ILEC
1/23/76	Rules & Regulations and Instructions governing individual right to access and review criminal history record information promulgated.	DLE
2/17/76	User Agreement and Non-Disclosure Agreement promulgated and disseminated to all law enforcement agencies.	DLE
2/17/76	Information sheet on Certification Statements disseminated to all law enforcement agencies.	DLE
2/18/76	Notice and Certification Statement forms sent to applicable recipients of LEAA funds, informing them of requirement to certify.	ILEC
2/23/76	List of all non-criminal justice agencies authorized by statute or executive order to receive criminal history record information completed.	DLE
3/1/76	All certification forms required to be completed and returned.	ILEC-DLE

3/12/76	Designation of Illinois Criminal Justice Information Systems Council to hear challenge appeals and conduct annual audits of State Central Repository.	Governor
3/15/76	New fingerprint disposition reporting forms go into effect.	DLE
3/16/76	Official public notification of individual right to access and review provisions.	ILEC
3/16/76	All Certification Statements and Criminal History Record Information Plan submitted to LEAA.	ILEC
3/16/76	Complete disposition reporting from police, prosecutors, trial courts, appellate courts, and probation departments implemented.	DLE
3/16/76	Restrictions on confirmation of record existence implemented.	DLE-DOC
3/16/76	Recreating data entry provision implemented.	DLE-DOC
5/1/76	Delinquency disposition monitoring provision implemented.	DLE-DOC
5/1/76	Primary dissemination logs provision implemented.	DLE-DOC
7/1/76	Notice of errors provision implemented.	DLE
7/1/76	Limits on dissemination provisions, except for confirmation of record existence, implemented.	DLE-DOC
9/1/76	Complete disposition reporting from correctional institutions and parole agencies implemented.	DOC
12/1/76	Query before dissemination provision implemented.	DLE-DOC
12/31/76	Secondary dissemination logs provision implemented.	DLE-DOC
1/1/77	Accuracy verification provision implemented.	DLE-DOC

### CERTIFICATION STATEMENT #2

All current legislation that has been obtained in order to comply with the federal regulations has been discussed in the applicable sections of the Plan.

At the present time, no additional legislation has been introduced in the State of Illinois for the purpose of furthering compliance with the federal regulations.

Since November 1975, the staff of the Illinois Law Enforcement Commission has been preparing a comprehensive recommendation for legislation. The thrust of this recommendation would be to codify the intent of the provisions found in sections 20.21(a) through (g) of the regulations into State law, as well as to create an independent body with the authority to administer all of those provisions and to regulate and establish uniform policy with respect to all criminal justice information systems.

CERTIFICATION STATEMENT #3

A complete discussion of all problems impeding the implementation of the completeness and accuracy section of the federal regulations is presented in Chapter A of the Plan.



#### CERTIFICATION STATEMENT #4

Certification Statements for the State Central Repository and for each manual or automated criminal history record information system in the State of Illinois covered by the federal regulations follow in this order:

- a. The State Central Repository, Illinois Department of Law Enforcement;
- b. The Illinois Department of Corrections;
- c. State's Attorney's Offices;
- d. Courts and Probation Departments;
- e. Law Enforcement Agencies :
  - 1. Police Departments;
  - 2. Miscellaneous Criminal Justice Agencies;
  - 3. Railroad Police;
  - 4. Sheriff's Offices;
  - 5. University Police.

<b>U. S. DEPARTMENT OF JUSTICE</b> <b>LAW ENFORCEMENT ASSISTANCE ADMINISTRATION</b> <b>NATIONAL CRIMINAL JUSTICE INFORMATION AND</b> <b>STATISTICS SERVICE</b> WASHINGTON, D. C. 20531		<b>INFORMATION STATEMENT</b> (28 CFR 20.1 - 20.38)	<b>INSTRUCTIONS</b> <i>Please provide the following information, complete the attached certification form and return all parts to the address at the left.</i>
NAME/ADDRESS OF SUBMITTING AGENCY		APPLICABLE STATE	DATE PREPARED
		CONTACT NAME	TEL. NO. (Give Area Code)
<p>1. Does your agency "collect, store, or disseminate criminal history record information processed by either manual or automated operations?" "Criminal history record information" means information collected by criminal justice agencies on individuals which consist of identifiable descriptions and notations of arrests, detentions, indictments, informations, or other formal criminal charges, and any disposition arising therefrom, sentencing, correctional supervision and release. The term does not include identification information such as fingerprint records to the extent that such information does not indicate involvement of the individual in the criminal justice system.</p> <p style="text-align: center;">YES <input type="checkbox"/> NO <input type="checkbox"/></p>			
<p>2. If the answer above was "Yes," have LEAA funds been made available to the agency subsequent to July 1, 1973 for the collection, storage or dissemination of information?</p> <p style="text-align: center;">YES <input type="checkbox"/> NO <input type="checkbox"/></p>			
<p>3. Indicate the type of agency:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <span><input type="checkbox"/> PROSECUTION</span> <span><input type="checkbox"/> PUBLIC DEFENDER</span> <span><input type="checkbox"/> POLICE</span> </div> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <span><input type="checkbox"/> COURTS</span> <span><input type="checkbox"/> CORRECTIONS</span> </div>			
<p>4. Indicate the type of system:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <span><input type="checkbox"/> SUBJECT IN PROCESS</span> <span><input type="checkbox"/> CRIMINAL HISTORY</span> </div>		<p>5. Is the system automated?</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <span><input type="checkbox"/> YES</span> <span><input type="checkbox"/> NO</span> <span><input type="checkbox"/> PARTIAL</span> </div>	
<p>6. Does the system(s) exchange information with other systems? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>If "Yes," specify which other systems:</p> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span><input type="checkbox"/> REGIONAL</span> <span><input type="checkbox"/> CENTRAL STATE REPOSITORY</span> <span><input type="checkbox"/> NCIC</span> <span><input type="checkbox"/> OTHER(specify) _____</span> </div>			
<p>7. Indicate population of primary geographic jurisdiction being served:</p> <p>_____</p>		<p>8. Indicate approximate number of subjects included in system:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <span><input type="checkbox"/> 0-5,000</span> <span><input type="checkbox"/> 5,000-25,000</span> <span><input type="checkbox"/> 25,000-100,000</span> </div> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <span><input type="checkbox"/> 100,000-500,000</span> <span><input type="checkbox"/> MORE THAN 500,000</span> </div>	
<p>9. Name of authorized agency official</p>		<p>10. Title</p>	
<p>11. Agency name and address</p>		<p>12. Tel. No. (give Area Code)</p>	
		<p>13. Signature of authorized official</p>	











State of Illinois Department  
of Law Enforcement

HARVEY N. JOHNSON, Jr.  
DIRECTOR

Armory Building, Springfield, Illinois 62701

March 11, 1976

CERTIFIED RETURN RECEIPT REQUESTED

Mr. Paul Fields  
Illinois Law Enforcement Commission  
120 South Riverside  
Chicago, Illinois 60606

RE: Bureau of Identification Grant  
CCH

---

Dear Mr. Fields:

Enclosed are the properly executed information statement and certification forms as requested on March 8.

Very truly yours,

Harvey N. Johnson, Jr.

D i r e c t o r

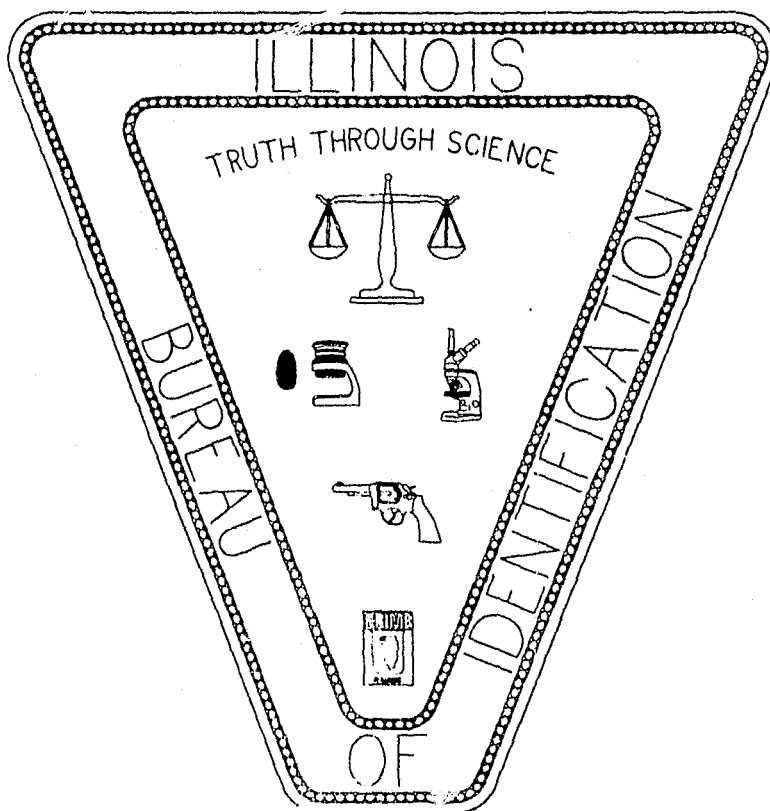
HNJ:dp

# CERTIFICATION OF COMPLIANCE

State Central Repository  
For  
Criminal History Record Information

Pursuant To

Title 28 Code of Federal Regulations Chapter 1, Part 20, Effective  
June 19, 1975, promulgated by authority of the Attorney General,  
United States Department of Justice.



Criminal Justice Information Services  
1035 Outer Park Drive West  
Springfield, Illinois 62704  
or  
515 E. Woodruff Road  
Joliet, Illinois 60432



U. S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION NATIONAL CRIMINAL JUSTICE INFORMATION AND STATISTICS SERVICE WASHINGTON, D. C. 20531		<b>INFORMATION STATEMENT</b> (28 CFR 20.1 - 20.38)	<b>INSTRUCTIONS</b> Please provide the following information, complete the attached certification form and return all parts to the address at the left. --
NAME/ADDRESS OF SUBMITTING AGENCY Illinois Department of Law Enforcement Bureau of Identification 1035 Outer Park Drive Springfield, Illinois 62704		APPLICABLE STATE Illinois	DATE PREPARED 3-8-76
CONTACT NAME Arthur C. Loos		TEL. NO. (Give Area Code) 217-782-7980	

1. Does your agency "collect, store, or disseminate criminal history record information processed by either manual or automated operations?" "Criminal history record information" means information collected by criminal justice agencies on individuals which consist of identifiable descriptions and notations of arrests, detentions, indictments, informations, or other formal criminal charges, and any disposition arising therefrom, sentencing, correctional supervision and release. The term does not include identification information such as fingerprint records to the extent that such information does not indicate involvement of the individual in the criminal justice system.  

YES ☒                      NO ☐
  
2. If the answer above was "Yes," have LEAA funds been made available to the agency subsequent to July 1, 1973 for the collection, storage or dissemination of information?  

YES ☒                      NO ☐
  
3. Indicate the type of agency:  

☐ PROSECUTION  
☐ COURTS

☐ PUBLIC DEFENDER  
☐ CORRECTIONS

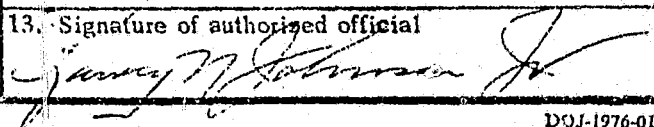
☐ POLICE  
☒ State Central Repository
  
4. Indicate the type of system:  

☐ SUBJECT IN PROCESS    ☒ CRIMINAL HISTORY
5. Is the system automated?  

☒ YES                      ☐ NO                      ☐ PARTIAL
  
6. Does the system(s) exchange information with other systems? ☒ YES    ☐ NO  
 If "Yes," specify which other systems:  

☐ REGIONAL    ☐ CENTRAL STATE REPOSITORY    ☒ NCIC    ☒ OTHER(specify) FBI - Identification Section
  
7. Indicate population of primary geographic jurisdiction being served:  

11,250,000
8. Indicate approximate number of subjects included in system:  

☐ 0-5,000    ☐ 5,000-25,000    ☐ 25,000-100,000  
☒ 100,000-500,000    ☐ MORE THAN 500,000  
 Partially loaded on CCH
  
9. Name of authorized agency official  
 Harvey N. Johnson, Jr.
10. Title  
 Director, Dept. of Law Enforcement
  
11. Agency name and address  
 Illinois Department of Law Enforcement  
 Bureau of Identification  
 1035 Outer Park Drive  
 Springfield, Illinois 62704
12. Tel. No. (give Area Code)  
 217-782-7263
13. Signature of authorized official  


UNITED STATES DEPARTMENT OF JUSTICE  
Law Enforcement Assistance Administration  
National Criminal Justice Information and  
Statistics Service  
Washington, D.C. 20531

CERTIFICATION FOR A  
CENTRAL STATE REPOSITORY

NAME/ADDRESS OF SUBMITTING AGENCY  Illinois Department of Law Enforcement Bureau of Identification 1035 Outer Park Drive Springfield, IL 62704	APPLICABLE STATE  Illinois	DATE PREPARED  3-8-76
	CONTACT NAME  Arthur C. Loos	TELEPHONE NO. (Give area code)  217-782-7980

INSTRUCTIONS: Complete the following as appropriate.

OPERATIONAL PROCEDURES

- Completeness and Accuracy  
Central State Repository:  
Statutory/Executive Authority  
Facilities and Staff  
Complete Disposition Reporting in 90 days from:  
Police  
Prosecutor  
Trial Courts  
Appellate Courts  
Probation  
Correctional Institutions  
Parole  
Query Before Dissemination:  
Notices/Agreements-Criminal Justice  
Systematic Audit:  
Delinquent Disposition Monitoring  
Accuracy Verification  
Notice of Errors  
Limits on Dissemination  
Contractual Agreements/Notices and Sanctions  
in Effect for:  
Criminal Justice Agencies  
Non-Criminal Justice Agencies Granted Access  
by Law or Executive Order  
Service Agencies Under Contract  
Research Organizations  
Validating Agency Right of Access Restrictions On  
Juvenile Record Dissemination (NOT APPLICABLE)  
Continuation of Record Existence  
Secondary Dissemination by Non-Criminal  
Justice Agencies  
Dissemination Without Disposition  
Audits and Quality Control  
Audit Trail:  
Recreating Data Entry  
Primary Dissemination Logs  
Secondary Dissemination Logs  
Annual Audit

NOW IMPLEMENTED	CHECK MARKS			ESTIMATED IMPLEMENTATION DATE
	COST	TECHNICAL	REASONS FOR NON-IMPLEMENTATION LACK OF AUTHORITY	
X				
X				
X				
X				
X				
X				
X				
X				
		X		7/1/76
		X		5/1/76
		X		3/16/76
		X		7/1/76
		X		7/1/76
		X		7/1/76
		X		3/16/76
		X		7/1/76
		X		3/16/76
		X		3/16/76
		X		12/31/76
		X		12/31/77
			X	



## INTRODUCTION

The Illinois Department of Law Enforcement consists of several major divisions; viz., the Bureau of Identification, Data Processing Division, Fire Marshall, Boiler Inspection, the State Police Division and the Illinois Bureau of Investigation (IBI).

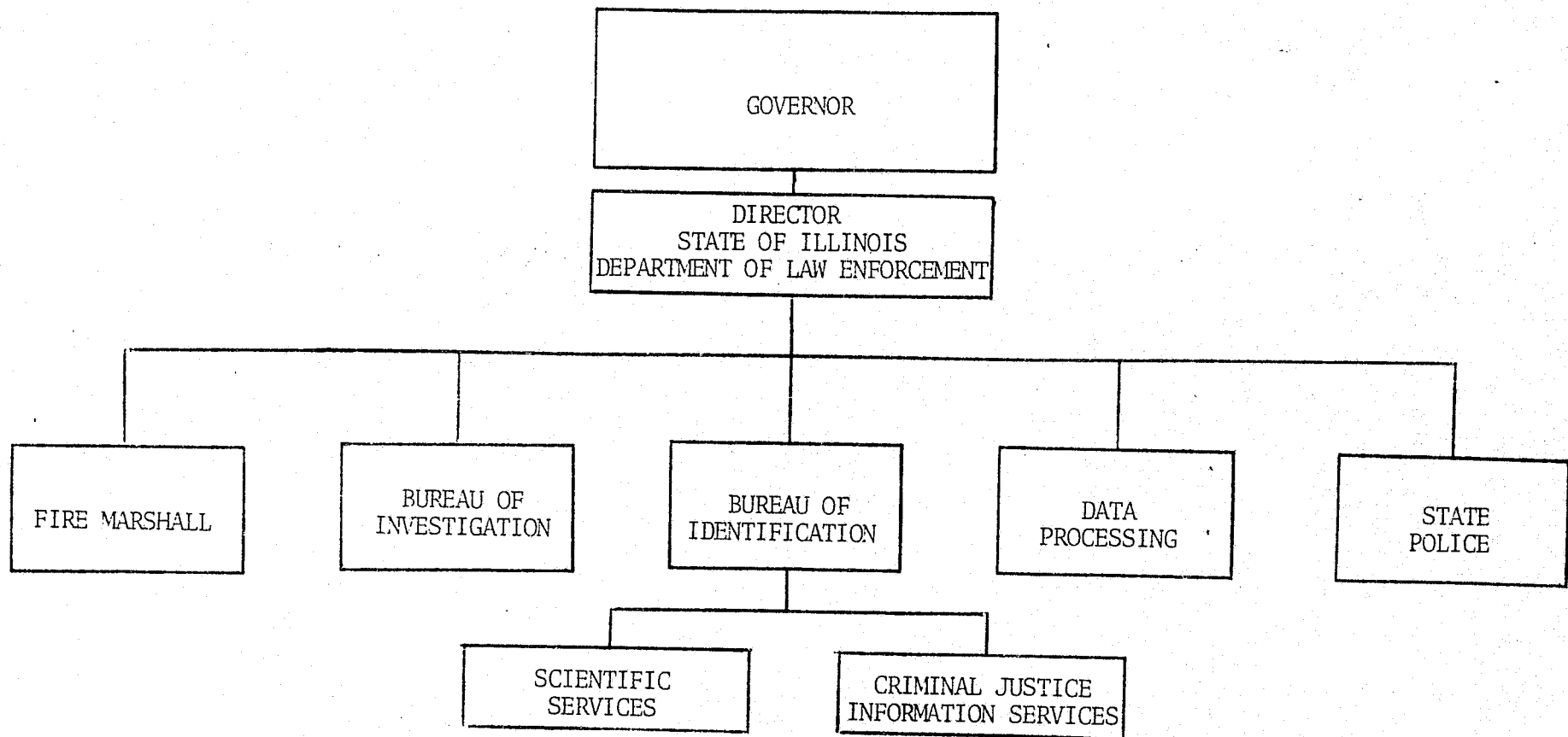
The Bureau of Identification Division consists of two sections, the Scientific Services Section and the Criminal Justice Information Services Section. The former section provides laboratory, crime scene, and polygraph services throughout the State primarily to law enforcement agencies. The latter section consists of three programs; viz., Crime Studies-Uniform Crime Reporting, Firearm Owners Identification, and Records and Identification. All three of these programs are strongly interrelated from our records and information system viewpoint. For example, Firearm Owner Applicants must be cleared through Records and Identification before issuance of an Identification Card and Crime Studies collects crime statistical data from all law enforcement agencies and will be directly involved in the OBTS system for statistical data, verification, and auditing agency records.

The Records and Identification program is the State Central Repository for Criminal History Record Information and also processes Applicant Fingerprint Cards for criminal justice agencies and non-criminal justice agencies authorized by State Statute or Executive Order.

The Records and Identification program is authorized by the Criminal Code Chapter 38, Section 206, effective July 1, 1931, Illinois Revised Statutes 1975. The Illinois Uniform Crime Reporting program is authorized by the same legislation, but was effective January 1, 1970. The Firearm Owners



ORGANIZATION CHART  
ILLINOIS DEPARTMENT OF LAW ENFORCEMENT



- RECORDS & IDENTIFICATION SECTION (CCH)
- CRIME STUDIES SECTION (I-UCR)
- FIREARM OWNER IDENTIFICATION

LOCATIONS:

Springfield - Joliet

Identification Act is authorized by the Illinois Criminal Code, Chapter 38, Section 83, effective July 1, 1968.

In July of 1975, the Superintendent of the Bureau of Identification organized the Criminal Justice Information Services Section in preparation for full implementation of OBTS/CCH and UCR components of the Comprehensive Data Systems (CDS) plans promulgated by the Law Enforcement Assistance Administration (LEAA) pursuant to the Omnibus Crime Control and Safe Streets Act, and the promulgation of the LEAA Rules and Regulations controlling Criminal History Record Information, effective June 19, 1975.

LEAA Rules & Regulations - Comments:

According to the Privacy and Security Instructions, issued June 30, 1975, pursuant to the Rules and Regulations as published in the Federal Register; "All State and local agencies receiving LEAA monies after July 1, 1973 for manual or automated systems which collect, store, or disseminate criminal history record information are subject to these regulations." Furthermore, "The regulations do not apply to agencies which have received LEAA funds for general purposes other than the collection, storage, or dissemination of criminal history record information."

Moreover, "In other words, the mere receipt of criminal history record information by Agency B from Agency A does not bring Agency B within the scope of these regulations, even if Agency A's system is federally funded. If, however, Agency B received criminal history record information under contract with Agency A in which B agreed to be bound by the provisions of the regulations the regulations would thereafter apply in toto to Agency B."

The point of controversy or confusion is the Applicability and Impact of Regulations - Matrix, page 53 of the Instructions. The criteria puts emphasis

on LEAA funds without considering that it most certainly becomes obligatory upon the State Central Repository to have contractual and/or User Agreements with Criminal Justice and Non-Criminal Justice Agencies whether they have received LEAA funds or not. For example, the Individual Right of Access and Review is applicable to any agency maintaining CHRI. If the agency is a police department in this State, it must submit Arrest Fingerprint Cards required by law, and in return the State Central Repository is forced by law to release CHRI to authorized police agencies. Therefore, the Rules and Regulations certainly must be adhered to based on security, logging, mandatory query, dissemination, verification, validation, auditing, etc., since the State Central Repository collects information from all criminal justice agencies (LEAA funded or not), which in turn must be certified since the penalties are applicable. Moreover, the penalties are applicable to those agencies that appear to be exempt----"The intent of the regulations will be undermined if receiving agencies not subject to the regulations are given criminal history record information with no controls. The plan, therefore, must provide sanctions which will subject non-federally funded agencies violating the regulations to equivalent or greater penalties than those applicable to federally funded agencies."

This Certification of Compliance and the Rules and Regulations do not address interstate dissemination exchange of CHRI. Consequently, the State of Illinois can not participate in the exchange of CHRI with other states. Therefore, other states inquiring the State Central Repository will be "shut-off" the system accordingly.

Additionally, Federal agencies who have had access to local records have been directed to the State Central Repository if they are found to be authorized by Statute or Executive Order. In some cases such as Immigration and Naturalization, we are unable to get any sense out of I & N local



agencies with respect to their legal authority to access CHRI. Secondly, it seems to this State agency that Federal Agencies which legally require CHRI information should contact the FBI to ensure that they get complete and accurate information from all states. Some Federal Agencies clear individuals centrally; i.e., transactions are processed through the affected agency and others leave it up to the individual to clear himself before the Federal agency reacts. This pertains mostly to visas, interstate commerce, and perhaps others not discovered at this time.

Another problem that confuses the State Central Repository administration and all local agencies is dissemination of CHRI. The terminology used--- dissemination versus reporting should be brought to the local level with a multitude of specific situations as examples.

And lastly, a lengthy list of questions were submitted to the LEAA for answers and to this date no answers have been received, resulting in a multitude of questions unanswered causing local agencies to over react and shut down communications between law enforcement agencies, regional networks and use of the CCH system.

The above comments are necessary to orient the readers of this Certification with respect to major unsolved problems that can influence local agency operating procedures as well as the State Central Repository.

## SCOPE OF CRIMINAL HISTORY RECORD INFORMATION SYSTEM

The recent amendments to Chapter 38, Section 206 of the Criminal Law, Illinois Revised Statutes, 1975 and the coincidental issuance of the LEAA Rules and Regulations pertaining to criminal history record information, caused the Bureau of Identification to make significant changes in data collection documents, techniques in document processing, storage, and dissemination, and the generation of new operating policies.

These changes in the CHRI system have a significant impact on all State and local law enforcement agencies as well. However, the upgraded system, now in process of being implemented, was needed for many years since in the majority of cases criminal history records are incomplete, inaccurate, and in many cases not easily accessible. Additionally, the flow of information back and forth between criminal justice agencies essentially does not exist, and hence, nurtured and prolonged fragmentation of the system coupled with ineffectiveness and inefficiencies: The system or non-system could not be accurately identified or measured with respect to what it does, how much it does, with respect to what goals.

An important consequence of the changes being made in the flow of information, hopefully will bring about a closer relationship between each criminal justice function both through joint participation in reporting transactions and subsequent compiling and issuing statistical reports for each agency for administration purposes.

There are about 1,500 criminal justice agencies throughout the State that will be directly involved in one way or another in the criminal justice information system. All of these agencies will be impacted by the LEAA Rules & Regulations, in addition to, the changes made in the CHRI information system itself.

However, the information system is designed to include many of the requirements of the Regulations resulting in simultaneous implementation of the system, regulations, and new policies and procedures which is fortunate since one "impact" will be experienced by our agencies. The data collection instruments for the Criminal History Record Information System (I-CHRI) are defined in the sections which will also include the definition of the forms used for the Individual Right of Access. Replicas of the forms can be found in the Appendix.

STATUTORY AUTHORITY

Criminal Identification and Investigation  
Act of July 2, 1931

206-1. Powers of Department of Law Enforcement-Employees or Assistants.  
The Department of Law Enforcement hereinafter referred to as the "Department", is hereby empowered to cope with the task of criminal identification and investigation.

The Director of the Department of Law Enforcement shall, from time to time, appoint such employees or assistants as may be necessary to carry out this work. Employees or assistants so appointed shall receive salaries subject to the standard pay plan provided for in the "Personnel Code", Amended by P.A. 76-444, effective January 1, 1970.

206-2. Records of Convicted Persons.

The Department shall procure and file for record, as far as can be procured from any source, photographs, all plates, outline pictures, measurements, descriptions and information of all persons who have been arrested on a charge of violation of a penal statute of this State and such other information as is necessary and helpful to plan programs of crime prevention, law enforcement and criminal justice, and aid in the furtherance of those programs. Amended by P.A. 76-444, effective January 1, 1970.

206-3. Information to be furnished Peace Officers.

The Department shall file or cause to be filed all plates, photographs, outline pictures, measurements, descriptions and information which shall be received by it by virtue of its office and shall make a complete and systematic record and index of the same, providing thereby a method of convenient reference and comparison. The Department shall furnish, upon application, all information pertaining to the identification of

any person or persons, a plate, photograph, outline picture, description, measurements, or any data of which there is a record in its office. Such information shall be furnished to peace officers of the United States, of other states or territories, of the Insular possessions of the United States, of foreign countries duly authorized to receive the same, and to all peace officers of the State of Illinois. Applications shall be in writing and accompanied by a certificate, signed by the peace officer making such application, to the effect that the information applied for is necessary in the interest of and will be used solely in the due administration of the criminal laws. As amended by act approved August 2, 1951.

#### 206-4. Systems of Identification.

The Department may use the following systems of identification: The Bertillion system, the fingerprint system, and any system of measurement or identification that may be adopted by law or rule in the various penal institutions or bureaus of identification wherever located.

The Department shall make a record consisting of duplicates of all measurements, processes, operations, signalletic cards, plates, photographs, outline pictures, measurements, descriptions of and data relating to all persons confined in penal institutions wherever located, so far as the same are obtainable, in accordance with whatever system or systems may be found most efficient and practical. As amended by act approved July 6, 1957.

#### 206-5. Daily Copies of Finger Prints-Duty of Sheriffs and Police Officers.

All policing bodies of this State shall furnish to the Department, daily, in the form and detail the Department requires, copies of finger prints and descriptions, of all persons who are arrested on charges of violating any penal statute of this State; and of all persons who have in their possession, inks, dye, paper or other articles necessary in the making of counterfeit notes or in the alteration of bank notes or dies, molds or other articles

used in making counterfeit money and intended to be used by them for such unlawful purposes; however, this Section does not apply to any of such offenses which are not classified as a felony or as a Class A or Class B misdemeanor. The Department may by its promulgated rule exempt specific police departments which have acceptable machine record reports from sending any "raw" material to the Department required by this Section except finger prints and photographs. Whenever a policing body is so exempted by rule it shall furnish to the Department acceptable copies of their machine record reports covering the exempted "raw" material. All photographs, finger prints or other records of identification so taken shall, upon the acquittal of a person charged with the crime, or, upon his being released without being convicted, be returned to him. Whenever a person, not having previously been convicted of any criminal offense or municipal ordinance violation, charged with a violation of a municipal ordinance or a felony or misdemeanor, is acquitted or released without being convicted, the Chief Judge of the circuit wherein the charge was brought, or any judge of that circuit designated by the Chief Judge, may upon verified petition of the defendant order the record of arrest expunged from the official records of the arresting authority. For purposes of this Section, convictions for moving and nonmoving traffic violations other than convictions for violations of Sections 6-303, 11-401, 11-501, 11-503, and 11-504 of "The Illinois Vehicle Code" shall not be a bar to expunging the record of arrest for violation of a misdemeanor or municipal ordinance. Notice of the above petition shall be served upon the State's Attorney or prosecutor charged with the duty of prosecuting the offense. Unless the State's Attorney or prosecutor objects to the petition within 30 days from the date of the notice, the court shall enter an order granting or denying the petition. The clerk of the court shall promptly mail a copy of the order to the accused.

206-7. Records not to be Public.

No file or record of the Department hereby created shall be made public, except as may be necessary in the identification of persons suspected or accused of crime and in their trial for offenses committed after having been imprisoned for a prior offense; and no information of any character relating to its records shall be given or furnished by the Department to any person, bureau or institution other than as herein provided. Violation of this Section shall constitute a Class A misdemeanor.

206-8. Crime statistics.

The Department shall be a central repository and custodian of crime statistics for the State and it shall have all power incident thereto to carry out the purposes of this Act, including the power to demand and receive cooperation in the submission of crime statistics from all units of government.

STATE OF ILLINOIS

# DEPARTMENT OF CORRECTIONS

INFORMATION SERVICES DIVISION

January 21, 1976

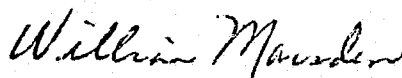
Mr. David Fogel  
Illinois Law Enforcement Commission  
120 South Riverside Plaza  
Chicago, Illinois 60601

Dear Director Fogel:

I am responding to your request dated October 7, 1975 directed to the Department of Corrections relating to the Department of Justice Order #601-75, Criminal Justice Information Systems.

Enclosed within this letter is the Department's certification of compliance and implementation plan as it relates to the above mentioned Department of Justice Order Number.

Cordially,



William Marsden, Administrator,  
Information Services Division

WM:nm

Encl.



U. S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION NATIONAL CRIMINAL JUSTICE INFORMATION AND STATISTICS SERVICE WASHINGTON, D. C. 20531		INFORMATION STATEMENT (28 CFR 20.1 - 20.38)	INSTRUCTIONS Please provide the following information: complete the attached certification form and return all parts to the address at the left.
NAME/ADDRESS OF SUBMITTING AGENCY  Department of Corrections Information Services Division P. O. Box 736 Joliet, Illinois 60434		APPLICABLE STATE  Illinois	DATE PREPARED  3/8/76
		CONTACT NAME  William Marsden	TEL. NO. (Give Area Code)  (815) 727-1414
<p>1. Does your agency "collect, store, or disseminate criminal history record information processed by either manual or automated operations?" "Criminal history record information" means information collected by criminal justice agencies on individuals which consist of identifiable descriptions and notations of arrests, detentions, indictments, informations, or other formal criminal charges, and any disposition arising therefrom, sentencing, correctional supervision and release. The term does not include identification information such as fingerprint records to the extent that such information does not indicate involvement of the individual in the criminal justice system.</p> <p>YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p>			
<p>2. If the answer above was "Yes," have LEAA funds been made available to the agency subsequent to July 1, 1973 for the collection, storage or dissemination of information?</p> <p>YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p>			
<p>3. Indicate the type of agency:</p> <p><input type="checkbox"/> PROSECUTION <input type="checkbox"/> PUBLIC DEFENDER <input type="checkbox"/> POLICE</p> <p><input type="checkbox"/> COURTS <input checked="" type="checkbox"/> CORRECTIONS</p>			
<p>4. Indicate the type of system:</p> <p><input checked="" type="checkbox"/> SUBJECT IN PROCESS <input type="checkbox"/> CRIMINAL HISTORY</p>		<p>5. Is the system automated?</p> <p><input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> PARTIAL</p>	
<p>6. Does the system(s) exchange information with other systems? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p> <p>If "Yes," specify which other systems:</p> <p><input type="checkbox"/> REGIONAL <input type="checkbox"/> CENTRAL STATE REPOSITORY <input type="checkbox"/> NCIC <input type="checkbox"/> OTHER(specify) _____</p>			
<p>7. Indicate population of primary geographic jurisdiction being served:</p> <p>11,250,000</p>		<p>8. Indicate approximate number of subjects included in system:</p> <p><input type="checkbox"/> 0-5,000 <input checked="" type="checkbox"/> 5,000-25,000 <input type="checkbox"/> 25,000-100,000</p> <p><input type="checkbox"/> 100,000-500,000 <input type="checkbox"/> MORE THAN 500,000</p>	
<p>9. Name of authorized agency official</p> <p>Allyn R. Sielaff</p>		<p>10. Title</p> <p>Director</p>	
<p>11. Agency name and address</p> <p>Department of Corrections 201 Armory Building Springfield, Illinois 62706</p>		<p>12. Tel. No. (Give Area Code)</p> <p>(217) 782-4777</p>	
		<p>13. Signature of authorized official</p> <p><i>Allyn R. Sielaff</i></p>	

UNITED STATES DEPARTMENT OF JUSTICE  
Law Enforcement Assistance Administration  
National Criminal Justice Information and  
Statistics Service  
Washington, D.C. 20531

CERTIFICATION FOR  
AGENCY SYSTEMS OTHER THAN  
THE CENTRAL STATE REPOSITORY

NAME AND ADDRESS OF SUBMITTING AGENCY

Department of Corrections  
Information Services Division  
P. O. Box 736  
Joliet, Illinois 60434

APPLICABLE STATE

Illinois

DATE PREPARED

March 8, 1976

CONTACT NAME

William Marsden

TELEPHONE NO. (Give area code)

(815) 727-1414

TYPE OF AGENCY

☐ POLICE

☐ PROSECUTOR

☐ COURT

☐ PROBATION

☒ CORRECTIONAL  
INSTITUTION

☒ PAROLE

INSTRUCTIONS: Complete the following, as appropriate.

OPERATIONAL PROCEDURES

Completeness and Accuracy

Complete Disposition Reporting from:

Police

Prosecutor

Trial Courts

Appellate Courts

Probation

Correctional Institutions

Parole

Systematic Audit:

Delinquent Disposition Monitoring

Accuracy Verification

Limits on Dissemination

Contractual Agreements, Notices and Sanctions  
in Effect for:

Criminal Justice Agencies

Non-Criminal Justice Agencies Granted Access

by Law or Executive Order

Service Agencies Under Contract

Research Organizations

Validating Agency Right of Access Restrictions On:

Juvenile Record Dissemination

Confirmation of Record Existence

Secondary Dissemination by Non-Criminal

Justice Agencies

Dissemination Without Disposition

Audits and Quality Control

Audit Trail:

Recreating Data Entry

Primary Dissemination Logs

Secondary Dissemination Logs

NOW IMPLEMENTED	CHECK MARKS			DATES
	REASONS FOR NON-IMPLEMENTATION			
	COST	TECHNICAL	LACK OF AUTHORITY	ESTIMATED IMPLEMENTATION DATE
DNA				
DNA				
DNA				
DNA				
DNA				
	X			9/1/76
	X			9/1/76
		X		5/1/76
	X			1/1/77
		X		7/1/76
		X		7/1/76
		X		7/1/76
		X		7/1/76
		X		7/1/76
X				
		X		7/1/76
		X		7/1/76
X				
		X		5/1/76
		X		5/1/76

### \* Security

Criminal Justice Agency

## Hardware Design

## Software Design

## Terminals

### Communications Control

## Processor

## Storage Devices

**Criminal Justice Agency Authority:**

## Computer Operations Policy

### Access to Work Areas

### Selection and Supervision of Personnel

**Assignment of Administrative Responsibility:**

## Physical Security

Unauthorized Access

### Physical Protection Against:

### Access to Equipment

### Theft, Sabotage

Fire, Flood, Other Natural Disaster

## Employee Training Program

### Individual Right of Access

### Rules for Access

### Point of Review and Mechanism

### Challenge by Individual

### Administrative Review

### Administrative Appeal

### Correction/Notification of Error

[illegible]

## REMARKS.

\*NOTE: Section on "Security" not required to be completed.

### Completeness and Accuracy

Disposition reporting as defined in the Department of Justice rules and regulations dated May, 1975 item 20.3e does not relate to the Department of Corrections except in the area of correctional institutions and parole.

The standards established for dissemination of Criminal History data will apply to the following areas within the State of Illinois, Department of Corrections agency:

- Correctional Centers
- Work Release Centers
- Youth Centers
- Psychiatric Centers
- Program Centers
- Community Centers

Although the Department of Corrections is not the designated central repository of Criminal History record information files in the State of Illinois, the Corrections Information System, maintained by the Information Services Division does contain substantial Criminal History record information relating to every offender incarcerated in a state correctional facility. In addition, information is updated on a monthly basis for all persons on parole. The parole record is updated on a monthly basis via a "Parole Turnaround Document" that is filled out by the parole agent (Attachment A).

All records within the system can be accessed and modified, changed and/or deleted via terminals so that portion of federal compliance is implemented.

When parole is granted, Parole Agents mail Turn-Around Documents to the Information Services Division on a monthly basis so that parolee data is kept timely and accurate.

Within the systematic audit areas that are not currently implemented, the Department of Corrections does expect to continue to receive basic information from the courts regarding offenses, sentence and pertinent dates. Some of the

data in the files is gathered from personal interviews with the offender and testing done at the Reception and Classification Centers. The data is gathered on (Attachment B) utilizing the mittimus papers from the court and detention facility plus interviewing the offender at the Reception Center. This information is placed in the computer as a record.

The information from the court relating to the offender's offense and sentence is taken as accurate when the offender is received by the Department of Corrections. The major elements of this data are edited for numeric values and similar edits are conducted on numerous fields. If data that is inputted into the computer system is found to be in error by the Department or the offender, it is corrected after checking the offender file or checking with the court.

#### Limits on Dissemination

The majority of criminal history record information is used within the confines of the Department of Corrections. If and when such information is requested by individuals or agencies other than the Department of Corrections, a written agreement will be mandatory as to the confidentiality and security of data as handled by the requester for those agencies that require a contract. Those agencies that have notices of sanctions in effect will not require contracts. Refusal by the requester as to such agreement will cause denial of dissemination by the Department.

The secondary dissemination by non-criminal justice agencies would be controlled by the signed contractual agreements. The agreement would stipulate the penalties that a group or individual may be subjected to if the dissemination of data were handled improperly.

Jackets of offenders are maintained at the institutions, or at the Parole and Pardon Board offices. One year after discharge, jackets are sent to

Information Services Division, Microfilm Section where pertinent information is microfilmed and jackets are destroyed.

#### Audits and Quality Control

Logs referencing requests for Criminal History record information by non-Departmental individuals or agencies are maintained by the Information Services Division of the Department of Corrections. These logs will be changed to include the necessary information on the offender if Criminal History information is going to be disseminated.

Up until this time, no audit of the data base has ever been done. An audit of the adult offender system is scheduled to begin in the near future by both internal and external audit personnel, after which any corrective measures necessary will be taken. The audit will consist of printing the record of the offender and checking it against the offender's "jacket". The listing will be corrected, if necessary, and then the computer record will be updated. This audit is scheduled for completion in the first quarter of FY77. At this time, funds are not available to audit the juvenile data base.

#### Security

At the present time, the processor used for updating files is located on the premises of the State Computer Center. Update is accomplished through telecommunications and batch processing both. Since Information Services Division is some 175 miles from the State Capital, all processing is done by remote job entry. A predetermined dedicated portion of core is set aside for the use of Criminal Justice processing.

All disk packs and tapes used are totally leased by DOC, and all printed output is done at Information Services Division in Joliet, Illinois.

Entry to the files is limited to Corrections by controls which include remote station and job name prefix (JCL).

All telecommunications lines used are private lines, and modems are dedicated to DOC use.

All users are assigned a unique terminal sign-on code which when entered via terminal allows predetermined access to segments of records, such as, a particular institution, or all juvenile records only, or other agreed upon and authorized segments of prison and/or parole population. Code also determines the extent of information allowed the user and ability to enter information versus inquiry only. This code is changed periodically.

Terminals are fitted with key locks and sites, when possible; are in controlled areas with limited access.

Currently, Department of Corrections payroll/personnel files are on the same storage devices as offender file. Plans are now being made to remove these files from the Criminal History files devices.

At the present time, the Department of Corrections resides with other non-Criminal Justice agencies on the same computer mainframe. Whether dedicated or non-dedicated hardware is recommended, the State of Illinois plans to eventually have transparent hardware and software at the central site. Based upon this decision, the Department of Corrections will be submitting a grant application to assist us in achieving a more current and effective utilization of software. This quite possibly could mean IMS or a more effective CICS. Once the conversion is complete, the Department of Corrections would be able to run on either the dedicated or non-dedicated hardware, as required.

### Individual Right of Access

The rules for access will be complied with by utilizing the forms prepared and distributed by the Department of Law Enforcement.

If an individual challenges his or her record, the State of Illinois Criminal Justice Information Systems Council's rules and regulations will be complied with.

The Administrative Review will be processed by the Director's office within the (Department of Corrections).

The Administrative Appeal will be handled by the Criminal Justice Information Systems Council.

If the corrections or error is found in the Department of Corrections records, they will correct the error and notify agency or agencies where information has been disseminated.



## ADULT PAROLE SERVICES TURNAROUND DOCUMENT

STATE OF ILLINOIS  
DEPARTMENT OF CORRECTIONS  
CORRECTIONS INFORMATION SYSTEMS

NAME \_\_\_\_\_

MONTHLY SPECIAL

DOCUMENT NO.

0 1 2 3 4 5 6 7 8 9

LOCATION PREFIX

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

PAGE

1 2

P.C. NO.

I.D.O.C. NO.

DATE

MONTH

DAY

YEAR

VERSION

## STATUS

CLASSIFICATION:

☐ REGULAR PAROLE☐ STATUTORY  
PAROLE☐ OUT OF STATE☐ FROM OUT  
OF STATE☐ R.I.V.  
PROGRAM☐ ON PROBATION☐ SEXUALLY  
DANGEROUS☐ PROJECT  
REDUCE

PAROLE STABILITY:

☐ GOOD☐ MARGINAL☐ POOR☐ IN JEOPARDY☐ ABSCONDED

TERMINATION:

☐ THIS MONTH

## PERSONAL

MARITAL:

☐ NEVER MARRIED☐ MARRIED  
BEFORE PAROLE☐ DIVORCED  
BEFORE PAROLE☐ SEPARATED  
BEFORE PAROLE☐ COMMON LAW☐ WIDOW(ER)☐ MARRIED  
SINCE PAROLE☐ DIVORCED  
SINCE PAROLE☐ SEPARATED  
SINCE PAROLE☐ URGENT  
PROBLEM

LIVING WITH:

☐ SPOUSE☐ CHILDREN☐ PARENTS☐ OTHER  
RELATIVES☐ FRIENDS☐ ORGANIZED  
GROUP☐ ALONE☐ URGENT  
PROBLEMNUMBER OF  
DEPENDENTS:☐ NONE☐ ONE☐ TWO☐ THREE☐ FOUR☐ FIVE☐ SIX☐ SEVEN☐ EIGHT  
OR MORE

FAMILY STABILITY:

☐ SECURE &  
STABLE☐ RECEIVING  
HELP☐ SEEKING  
HELP☐ ILLNESS☐ CRISISCOMMUNITY  
ADJUSTMENT:☐ GOOD☐ FAIR☐ POOR☐ PROBLEM  
WITH POLICE

WELFARE PROGRAMS:

☐ NOT RECEIVING☐ RECEIVING☐ TRYING  
TO OBTAIN☐ URGENT PROBLEM

## HEALTH

MEDICAL:

☐ NO PROBLEM☐ ACUTE PROBLEM☐ GETTING TREATMENT☐ GETTING MEDICATION☐ URGENT  
PROBLEM☐ CHRONIC PROBLEM☐ NEED TREATMENT☐ NEED MEDICATION

2

ADULT PAROLE SERVICES FORWARDING DOCUMENT

STATE OF ILLINOIS  
DEPARTMENT OF CORRECTIONS  
CORRECTIONS INFORMATION SYSTEM

NAME \_\_\_\_\_

MONTHLY SPECIAL		DOCUMENT NO.																		SUBMISSION DATE: ____/____/____	
		0 1 2 3 4 5 6 7 8 9																			
LOCATION PREFIX																		PAGE			
A B C D E F G H I J K L M N O P Q R S T U V W X Y Z																		1 2			
P.C. NO.						I.D.O.C. NO.						DATE MONTH DAY YEAR			VERSION						
															Counselor's Initial						

DENTAL: ☐ NO PROBLEM ☐ ACUTE PROBLEM ☐ GETTING TREATMENT ☐ NEED TREATMENT ☐ URGENT PROBLEM

PSYCHOLOGICAL: ☐ NO SERVICES NEEDED ☐ RECEIVING INPATIENT SERVICES ☐ RECEIVING OUTPATIENT SERVICES ☐ NEED SERVICES ☐ URGENT PROBLEM

NARCOTICS: ☐ NO HISTORY ☐ PAST TREATMENT (D.O.C.) ☐ SUSPECTED CURRENT USE ☐ CURRENT DEPENDENCY  
☐ PAST DEPENDENCY ☐ PAST TREATMENT (NON-D.O.C.) ☐ CURRENT USE ☐ CURRENT TREATMENT

ALCOHOL: ☐ NO PROBLEM ☐ ACUTE PROBLEM ☐ PROGRAM INVOLVEMENT ☐ NO PROGRAM INVOLVEMENT

EMPLOYMENT-EDUCATION

EMPLOYMENT: ☐ FULL-TIME ☐ PART-TIME ☐ UNEMPLOYED ☐ EMPLOYED DISSATISFIED ☐ SEEKING OTHER EMPLOYMENT ☐ UNDER-EMPLOYED ☐ UNEMPLOYABLE

EMPLOYED USING SKILLS GAINED: ☐ BEFORE COMMITMENT ☐ DURING COMMITMENT ☐ SINCE PAROLE

MONTHLY INCOME: SALARY: ☐ \$0-200 ☐ \$201-400 ☐ \$401-600 ☐ \$601-800 ☐ \$801-1000 ☐ \$1001-UP ☐ URGENT PROBLEM  
TOTAL: ☐ \$0-200 ☐ \$201-400 ☐ \$401-600 ☐ \$601-800 ☐ \$801-1000 ☐ \$1001-UP

JOB INTERVIEWS: ☐ NO NEED ☐ ACTIVE: SELF-INITIATED ☐ ACTIVE: PAROLE SERVICES INITIATED ☐ ACTIVE: OTHER AGENCY INITIATED ☐ INDIFFERENT ☐ URGENT NEED

ACADEMIC: ☐ NOT ATTENDING ☐ FULL-TIME ☐ PART-TIME ☐ PRIMARY ☐ SECONDARY ☐ COLLEGE ☐ EDUCATIONAL PROBLEM

VOCATIONAL TRAINING: ☐ NOT ATTENDING ☐ FULL-TIME ☐ PART-TIME ☐ WITH PAY ☐ PAYING FOR ☐ NEED TRAINING

DO NOT MARK HERE	

Specify new or changed occupation this report:

Specify new job skill gained this report:

SUMMARY

INFORMATION SOURCE: ☐ PAROLEE ☐ SPOUSE ☐ EMPLOYER ☐ PARENTS ☐ OTHER

SUPPLEMENTAL NARRATIVE MATERIAL ACCOMPANIES THIS REPORT:



**CONTINUED**

**1 OF 5**

(T-243) / CIS-100-2

CORRECTIONS INFORMATION SYS  
MODULE 1 1/1975

ILLINOIS DEPARTMENT OF CORRECTIONS  
ADULT DIVISION (JOLIET - DWIGHT - MENARD)  
RECEPTION AND CLASSIFICATION - ADMISSION DATA

SECTION 1: (PENT, PAKA, PCOM, PSTA, PCMF, PRAP)

NAME \_\_\_\_\_ SEX \_\_\_\_\_ RACE \_\_\_\_\_ DOC# \_\_\_\_\_

ALIAS (S) \_\_\_\_\_

ADMISSION/STATUS DATE \_\_\_\_\_ ADMISSION TYPE \_\_\_\_\_

OFFENSE	COUNTS	MIN	MAX	CC/CS	F/M	INDICT- MENT #	DATE OF SENTENCE
_____	_____	_____	_____	_____	_____	_____	/ /
_____	_____	_____	_____	_____	_____	_____	/ /
_____	_____	_____	_____	_____	_____	_____	/ /
_____	_____	_____	_____	_____	_____	_____	/ /
_____	_____	_____	_____	_____	_____	_____	/ /
_____	_____	_____	_____	_____	_____	_____	/ /
_____	_____	_____	_____	_____	_____	_____	/ /
_____	_____	_____	_____	_____	_____	_____	/ /

COUNTY \_\_\_\_\_ COURT DISPOSITION \_\_\_\_\_ JUDGE \_\_\_\_\_

LOC \_\_\_\_\_ STATUS \_\_\_\_\_ REASON \_\_\_\_\_ DATE OF CRIME /

COMPLAINANT NAME \_\_\_\_\_ ADDRESS \_\_\_\_\_

RAP PARTNER NAME \_\_\_\_\_ DOC # \_\_\_\_\_

SECTION 2: (PNBR, PEDU, PDOC, PREL, PDRG, PDES, PEMP, PPER, PSCR)

IBI# \_\_\_\_\_ FBI# \_\_\_\_\_ AGE \_\_\_\_\_ LAST GRADE COMPLETED \_\_\_\_\_

NO. PRIOR ILL. COMMITMENTS-ADULT \_\_\_\_\_ LAST DOC# \_\_\_\_\_ JUV. \_\_\_\_\_ DOC# \_\_\_\_\_

NO. PRIOR OTHER COMMITMENTS-ADULT \_\_\_\_\_ JUVENILE \_\_\_\_\_

FATHER LIVING? \_\_\_\_\_ MOTHER LIVING? \_\_\_\_\_ WIFE LIVING? \_\_\_\_\_

PERSON TO BE CONTACTED \_\_\_\_\_ STREET ADDRESS \_\_\_\_\_

CITY, STATE, ZIP \_\_\_\_\_ USE ALCOHOL? \_\_\_\_\_ USE DRUGS? \_\_\_\_\_

HEIGHT \_\_\_\_\_ WEIGHT \_\_\_\_\_ HAIR COLOR \_\_\_\_\_ SKIN TONE \_\_\_\_\_ EYE COLOR \_\_\_\_\_

NOSE \_\_\_\_\_ CHIN \_\_\_\_\_ BEARD \_\_\_\_\_ TEETH \_\_\_\_\_ BUILD \_\_\_\_\_

COMPANY LAST WORKED AT \_\_\_\_\_ STREET ADDRESS \_\_\_\_\_

CITY, STATE \_\_\_\_\_ POSITION HELD \_\_\_\_\_

DATE OF BIRTH / / PLACE OF BIRTH \_\_\_\_\_ RELIGION \_\_\_\_\_

MARITAL STATUS/NO. OF CHILDREN / OCCUPATION \_\_\_\_\_

SOCIAL SECURITY NUMBER \_\_\_\_\_

MARKS AND SCARS: \_\_\_\_\_

(T-243) / CIS-100-2

CORRECTIONS INFORMATION SYSTEM  
MODULE 1 1/1975

ILLINOIS DEPARTMENT OF CORRECTIONS  
ADULT DIVISION (JOLIET - DWIGHT - MENARD)  
RECEPTION AND CLASSIFICATION - ADMISSION DATA

SECTION 1: (PENT, PAKA, PCOM, PSTA, PCMT, FRAP)

NAME \_\_\_\_\_ SEX \_\_\_\_\_ RACE \_\_\_\_\_ DOC# \_\_\_\_\_

ALIAS (S) \_\_\_\_\_

ADMISSION/STATUS DATE \_\_\_\_\_ ADMISSION TYPE \_\_\_\_\_

OFFENSE	COUNTS	MIN	MAX	CC/CS	F/M	INDICT- MENT #	DATE OF SENTENCE	PLEA
_____	_____	_____	_____	_____	_____	_____	/ /	_____
_____	_____	_____	_____	_____	_____	_____	/ /	_____
_____	_____	_____	_____	_____	_____	_____	/ /	_____
_____	_____	_____	_____	_____	_____	_____	/ /	_____
_____	_____	_____	_____	_____	_____	_____	/ /	_____
_____	_____	_____	_____	_____	_____	_____	/ /	_____
_____	_____	_____	_____	_____	_____	_____	/ /	_____
_____	_____	_____	_____	_____	_____	_____	/ /	_____

COUNTY \_\_\_\_\_ COURT DISPOSITION \_\_\_\_\_ JUDGE \_\_\_\_\_

LOC \_\_\_\_\_ STATUS \_\_\_\_\_ REASON \_\_\_\_\_ DATE OF CRIME / /

COMPLAINANT NAME \_\_\_\_\_ ADDRESS \_\_\_\_\_

RAP PARTNER NAME \_\_\_\_\_ DOC # \_\_\_\_\_

SECTION 2: (PNBR, PEDU, PDOC, PREL, PDRG, PDES, PEMP, PPER, PSCR)

IBI# \_\_\_\_\_ FBI# \_\_\_\_\_ AGE \_\_\_\_\_ LAST GRADE COMPLETED \_\_\_\_\_

NO. PRIOR ILL. COMMITMENTS-ADULT \_\_\_\_\_ LAST DOC# \_\_\_\_\_ JUV. \_\_\_\_\_ DOC# \_\_\_\_\_

NO. PRIOR OTHER COMMITMENTS-ADULT \_\_\_\_\_ JUVENILE \_\_\_\_\_

FATHER LIVING? \_\_\_\_\_ MOTHER LIVING? \_\_\_\_\_ WIFE LIVING? \_\_\_\_\_

PERSON TO BE CONTACTED \_\_\_\_\_ STREET ADDRESS \_\_\_\_\_

CITY, STATE, ZIP \_\_\_\_\_ USE ALCOHOL? \_\_\_\_\_ USE DRUGS? \_\_\_\_\_

HEIGHT \_\_\_\_\_ WEIGHT \_\_\_\_\_ HAIR COLOR \_\_\_\_\_ SKIN TONE \_\_\_\_\_ EYE COLOR \_\_\_\_\_

NOSE \_\_\_\_\_ CHIN \_\_\_\_\_ BEARD \_\_\_\_\_ TEETH \_\_\_\_\_ BUILD \_\_\_\_\_

COMPANY LAST WORKED AT \_\_\_\_\_ STREET ADDRESS \_\_\_\_\_

CITY, STATE \_\_\_\_\_ POSITION HELD \_\_\_\_\_

DATE OF BIRTH / / PLACE OF BIRTH \_\_\_\_\_ RELIGION \_\_\_\_\_

MARITAL STATUS/NO. OF CHILDREN / OCCUPATION \_\_\_\_\_

SOCIAL SECURITY NUMBER \_\_\_\_\_

MARKS AND SCARS: \_\_\_\_\_

NAME \_\_\_\_\_

DOC# \_\_\_\_\_

SECTION 3: (PENT, PSOC, PPER, PFAT, PMOT, PREL, PADR)  
(SOCIAL HISTORY)

ETHNIC/HERITAGE PREFERENCE 1) \_\_\_\_\_ 2) \_\_\_\_\_

3) \_\_\_\_\_ NATIVE LANGUAGE \_\_\_\_\_

YR. OF IMMIGRATION \_\_\_\_\_ NATURALIZED? \_\_\_\_\_

AGE AT FIRST ARREST \_\_\_\_\_ FOR WHAT (OFFENSE) \_\_\_\_\_

WHERE RAISED? \_\_\_\_\_ AGE AT FIRST ADULT COMMITMENT? \_\_\_\_\_

CITIZENSHIP \_\_\_\_\_ RELIGION \_\_\_\_\_ PRACTICING \_\_\_\_\_

MARITAL STATUS \_\_\_\_\_ NO. OF CHILDREN \_\_\_\_\_

DRIVERS LICENSE (STATE \_\_\_\_\_ DRIVERS LICENSE NUMBER \_\_\_\_\_

NO. OF SIBLINGS \_\_\_\_\_ POSITION IN SIBSHIP \_\_\_\_\_

HISTORY OF CRIMINALITY (IN FAMILY) \_\_\_\_\_ HISTORY OF MENTAL ILLNESS (IN FAMILY) \_\_\_\_\_

HISTORY OF DRUG ABUSE (IN FAMILY) \_\_\_\_\_ HISTORY OF ALCOHOLISM (IN FAMILY) \_\_\_\_\_

FATHERS NAME \_\_\_\_\_ LIVING? \_\_\_\_\_

IF YES, ADDRESS \_\_\_\_\_

BIRTHDATE / / BIRTHPLACE \_\_\_\_\_ MARITAL STATUS \_\_\_\_\_

MOTHERS NAME \_\_\_\_\_ LIVING? \_\_\_\_\_

IF YES, ADDRESS \_\_\_\_\_

BIRTHDATE / / BIRTHPLACE \_\_\_\_\_ MARITAL STATUS \_\_\_\_\_

WIFES NAME \_\_\_\_\_ WIFE LIVING? \_\_\_\_\_

IF YES, ADDRESS \_\_\_\_\_

BIRTHDATE / / BIRTHPLACE \_\_\_\_\_ MARITAL STATUS \_\_\_\_\_

PERSON TO BE CONTACTED \_\_\_\_\_ RELATIONSHIP - PC \_\_\_\_\_

ADDRESS \_\_\_\_\_

ADDRESS AT TIME OF ARREST \_\_\_\_\_

PERSON LIVING WITH \_\_\_\_\_ RELATIONSHIP \_\_\_\_\_

NO. YRS. ILL. RESIDENT \_\_\_\_\_

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

NAME \_\_\_\_\_

DOC# \_\_\_\_\_

SECTION 4. (PEDU)  
(EDUCATION)

SCHOOL LAST ATTENDED \_\_\_\_\_

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

CITY, STATE \_\_\_\_\_

DATE LAST ATTENDED \_\_\_\_\_

NAME KNOWN BY \_\_\_\_\_

LAST GRADE COMPLETED \_\_\_\_\_

YEARS ATTENDED SCHOOL \_\_\_\_\_

TESTED LITERACY LEVEL \_\_\_\_\_

BETA IQ LEVEL \_\_\_\_\_

EXPRESSED INTEREST IN: HIGH SCHOOL COMPLETION \_\_\_\_\_

COLLEGE \_\_\_\_\_

LITERACY TRAINING \_\_\_\_\_

COMMENTS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_SECTION 5: (PEMP, PSKL)  
(VOCATIONAL AND EMPLOYMENT)

COMPANY LAST WORKED AT \_\_\_\_\_

STREET ADDRESS \_\_\_\_\_

CITY, STATE \_\_\_\_\_

POSITION HELD \_\_\_\_\_

DATE LEFT / /

NAME OF LAST SUPERVISOR \_\_\_\_\_

EMPLOYED AT TIME OF ARREST? \_\_\_\_\_

NO. OF MONTHS ON JOB \_\_\_\_\_

LONGEST EMPLOYMENT?  
(LAST 5 YEARS) \_\_\_\_\_LONGEST UNEMPLOYMENT?  
(LAST 5 YEARS) \_\_\_\_\_

LIST ANY EMPLOYABLE SKILLS 1) \_\_\_\_\_

2) \_\_\_\_\_

3) \_\_\_\_\_

COMMENTS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_SECTION 6: (PMIL)  
(MILITARY)

WERE YOU IN THE MILITARY \_\_\_\_\_

IF YES, BRANCH \_\_\_\_\_

SERIAL # \_\_\_\_\_

ENTRANCE DATE / /

DISCHARGE DATE / /

TYPE OF DISCHARGE \_\_\_\_\_

WHICH WAR/OR PEACETIME \_\_\_\_\_

NAME USED \_\_\_\_\_

DRAFT STATUS \_\_\_\_\_

DEPT. BOARD# \_\_\_\_\_

ADDRESS AT REGISTRATION \_\_\_\_\_

COURT MARTIAL \_\_\_\_\_

COMMENTS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_SECTION 7: (PDRG)  
(DRUGS AND ALCOHOL)

DO YOU SMOKE \_\_\_\_\_

DRINK \_\_\_\_\_

ALCOHOLIC \_\_\_\_\_

HEAVY \_\_\_\_\_

MOD. \_\_\_\_\_

LIGHT \_\_\_\_\_

USE DRUGS \_\_\_\_\_

WHAT KIND \_\_\_\_\_

HOW LONG \_\_\_\_\_

DRUG USAGE: HEAVY \_\_\_\_\_

OCCASIONAL \_\_\_\_\_

LIGHT \_\_\_\_\_

OFFENSE RELATED TO DRUGS? \_\_\_\_\_

OFFENSE RELATED TO ALCOHOL? \_\_\_\_\_

COMMENTS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



DOC# \_\_\_\_\_

SECTION 8: (PHSP, PHLT, PSRC)  
(MEDICAL)

EVER BEEN IN A MENTAL HOSPITAL? \_\_\_\_\_ IF YES, HOSPITAL NAME \_\_\_\_\_

STREET ADDRESS \_\_\_\_\_ CITY, STATE, ZIP \_\_\_\_\_

DATE ADMITTED \_\_\_\_ / \_\_\_\_ / \_\_\_\_ DATE RELEASED \_\_\_\_ / \_\_\_\_ / \_\_\_\_ NAME KNOWN BY \_\_\_\_\_

SERIOUS ILLNESS \_\_\_\_\_ NATURE \_\_\_\_\_ DATE \_\_\_\_ / \_\_\_\_ / \_\_\_\_ TREATMENT \_\_\_\_\_

INJURY, OPERATION \_\_\_\_\_ NATURE \_\_\_\_\_ DATE \_\_\_\_ / \_\_\_\_ / \_\_\_\_ TREATMENT \_\_\_\_\_

INJURY, OPERATION \_\_\_\_\_ NATURE \_\_\_\_\_ DATE \_\_\_\_ / \_\_\_\_ / \_\_\_\_ TREATMENT \_\_\_\_\_

GENERAL HEALTH RATING \_\_\_\_\_ LAST EXAMINATION DATE \_\_\_\_ / \_\_\_\_ / \_\_\_\_

ARE YOU (A) PHYSICALLY HANDICAPPED? \_\_\_\_\_ ARE YOU (B) MENTALLY HANDICAPPED? \_\_\_\_\_

COMMENTS: \_\_\_\_\_

SECTION 9: (PINS, PSEC)  
(CRIMINALITY)

INSTITUTION NAME \_\_\_\_\_

STREET ADDRESS \_\_\_\_\_

CITY, STATE, ZIP \_\_\_\_\_

ID# \_\_\_\_\_

OFFENSE \_\_\_\_\_

SENTENCE \_\_\_\_\_

ADMISSION DATE \_\_\_\_ / \_\_\_\_ / \_\_\_\_ \_\_\_\_ / \_\_\_\_ / \_\_\_\_ \_\_\_\_ / \_\_\_\_ / \_\_\_\_

DISCHARGE DATE \_\_\_\_ / \_\_\_\_ / \_\_\_\_ \_\_\_\_ / \_\_\_\_ / \_\_\_\_ \_\_\_\_ / \_\_\_\_ / \_\_\_\_

DISCHARGE STATUS \_\_\_\_\_

NAME KNOWN BY \_\_\_\_\_

PRIOR PROBATION \_\_\_\_\_ DATE \_\_\_\_ / \_\_\_\_ / \_\_\_\_ PLACE \_\_\_\_\_

ESCAPE RECORD \_\_\_\_\_ DATE \_\_\_\_ / \_\_\_\_ / \_\_\_\_ PLACE \_\_\_\_\_

ESCAPE RISK \_\_\_\_\_ ASSAULTIVE \_\_\_\_\_ SEXUAL ABNORMALITIES \_\_\_\_\_

SUICIDE RISK \_\_\_\_\_ MANIPULATIVE \_\_\_\_\_ FOR OWN PROTECTION \_\_\_\_\_

COMMENTS: \_\_\_\_\_

COMMENTS:

2/24/76

LISTING OF 1975 JURISDICTIONAL FILES TYPE/NAME

PAGE 1

TYPE	NOID	AGENCY	COUNTY	COUNTY SEAT	POPULATION INFO	CELT	LETHA	"NO" ON QUES. 2	Pop. Add'd
A	0166100	CHICAGO STATE UNIV	COOK	CHICAGO	X	X	X	X	
A	0150400	EASTERN ILL. UNIV.	COLES	CHARLESTON					
A	0002400	GOVERNORS ST. UNIV	WILL	PARK FOREST SOUTH	X	X	X	X	
A	0001500	ILL. CENTRAL COLL.	TAZEWELL	EAST PEORIA					
A	0571500	ILLINOIS STATE UNIV	MCLEAN	ELKHARTON				X	
A	0402200	LAKE CNTY COLLEGE	LAKE	WAUKESHA					
A	0402000	LEWIS & CLARK C C	MANISON	GODFREY				X	
A	0164400	NORTHEASTERN ILL U	COOK	CHICAGO				X	
A	0101100	NORTHERN ILL UNIV	DEKALB	DEKALB	X	X	X	X	
A	1011200	ROCK VALLEY COLL	WINNEBAGO	ROCKFORD					
A	0041600	SANGAMON STATE U	SANGAMON	SPRINGFIELD	X	X	X	X	
A	0200200	SIU	JACKSON	CARBONDALE	X	X	X	X	
A	0601700	SOUTHERN ILL. UNIV	MADISON	EDWARDSVILLE	X	X	X	X	
A	0022700	STATE COMM COLL	ST CLAIR	E ST LOUIS					
A	0160000	THORNTON COMM COL	COOK	SOUTH HOLLAND					
A	0160600	TRITON COLLEGE	COOK	WHEELER GROVE	X	X	X	X	
A	0166000	U OF T CIRCLE CAMP	COOK	CHICAGO	X	X	X	X	
A	0100700	UNIVERSITY OF ILL.	CHAMPAIGN	URBANA	X	X	X	X	
A	0160000	W B HAPPEL COLLEGE	COOK	CHICAGO					
A	0051000	WAUPONSEE COLLEGE	KANE	GENEVA	X	X	X	X	
A	0550500	WESTERN ILL UNIV	MC DONOUGH	MACOMB	X	X	X	X	
TYPE TOTAL									

14112

2/24/76

## LISTING OF 1975 JURISDICTIONAL FILES TYPE/NAME

PAGE 2

	TYPE	NCIC	AGENCY	COUNTY	COUNTY SEAT	POPULATION	INCL	ST	"No" on Qual 2	Pop
	R	0010000	ADAMS S.O.	ADAMS	QUINCY	24,014	X	X	X	✓
	R	0020000	ALEXANDER S.O.	ALEXANDER	CAIRO	4,904	X	X	X	
	R	0030000	BOND S.O.	BOND	GREENVILLE	9,739	X	X	X	
	R	0040000	BONE S.O.	BONE	HELVIDERE	12,307	X	X	X	
	R	0050000	BROWN S.O.	BROWN	MT STERLING	5,369	X	X	X	
	R	0060000	BUREAU S.O.	BUREAU	PRINCETON	21,239	X	X	X	✓
	R	0070000	CALHOUN S.O.	CALHOUN	HARDIN	5,369	X	X	X	
	R	0080000	CARROLL S.O.	CARROLL	MT CARROLL	7,342	X	X	X	
	R	0090000	CASS S.O.	CASS	VIRGINIA	4,534	X	X	X	
	R	0100000	CHAMPAIGN S.O.	CHAMPAIGN	URBANA	43,983	X	X	X	
	R	0110000	CHRISTIAN S.O.	CHRISTIAN	TAYLORVILLE	18,323	X	X	X	✓
	R	0120000	CLARK S.O.	CLARK	MARSHALL	7,924	X	X	X	
	R	0130000	CLAY S.O.	CLAY	LOUISVILLE	9,224	X	X	X	
	R	0140000	CLINTON S.O.	CLINTON	CARLYLE	29,600	X	X	X	
	R	0150000	COLES S.O.	COLES	CHAPLESTON	9,681	X	X	X	
	R	0160000	COOK S.O.	COOK	CHICAGO	149,563	X	X	X	✓
	R	0170000	CRAWFORD S.O.	CRAWFORD	ROBINSON	10,154	X	X	X	
	R	0180000	CUMBERLAND S.O.	CUMBERLAND	TOLEDO	10,355	X	X	X	✓
	R	0190000	DEKALB S.O.	DEKALB	SYCAMORE	17,243	X	X	X	
	R	0200000	DEWITT S.O.	DEWITT	CLINTON	6,542	X	X	X	
	R	0210000	DOUGLAS S.O.	DOUGLAS	TUSCOLA	16,319	X	X	X	
	R	0220000	DUPAGE S.O.	DUPAGE	WHEATON	107,897	X	X	X	
	R	0230000	EDGAR S.O.	EDGAR	PARIS	9,455	X	X	X	
	R	0240000	EDWARDS S.O.	EDWARDS	ALBION	7,322	X	X	X	
	R	0250000	EFFINGHAM S.O.	EFFINGHAM	EFFINGHAM	15,779	X	X	X	✓
	R	0260000	FAYETTE S.O.	FAYETTE	VANDALIA	15,010	X	X	X	
	R	0270000	FORD S.O.	FORD	PAXTON	6,760	X	X	X	
	R	0280000	FRANKLIN S.O.	FRANKLIN	BENTON	16,626	X	X	X	
	R	0290000	FULTON S.O.	FULTON	LEWISTOWN	24,112	X	X	X	
	R	0300000	GALLATIN S.O.	GALLATIN	SHAWNEETOWN	7,127	X	X	X	
	R	0310000	GREENE S.O.	GREENE	CARROLLTON	6,756	X	X	X	
	R	0320000	GRUNDY S.O.	GRUNDY	MORRIS	15,350	X	X	X	
	R	0330000	HAMILTON S.O.	HAMILTON	MCLEANSBURG	6,040	X	X	X	✓
	R	0340000	HANCOCK S.O.	HANCOCK	CARTHAGE	11,915	X	X	X	
	R	0350000	HARDIN S.O.	HARDIN	ELIZABETHTOWN	4,981	X	X	X	✓
	R	0360000	HENDERSON S.O.	HENDERSON	QUAWKA	8,103	X	X	X	
	R	0370000	HENRY S.O.	HENRY	CAMBRIDGE	22,731	X	X	X	
	R	0380000	IRROQUOIS S.O.	IRROQUOIS	WATSEKA	22,989	X	X	X	
	R	0390000	JACKSON S.O.	JACKSON	MURPHYSBORO	14,296	X	X	X	
	R	0400000	JASPER S.O.	JASPER	NEWTUN	7,499	X	X	X	
	R	0410000	JEFFERSON S.O.	JEFFERSON	MT VERNON	15,816	X	X	X	
	R	0420000	JERSEY S.O.	JERSEY	JERSEYVILLE	10,022	X	X	X	
	R	0430000	JO DAVIESS S.O.	JO DAVIESS	GALENA	9,913	X	X	X	
	R	0440000	JOHNSON S.O.	JOHNSON	VIENNA	8,493	X	X	X	
	R	0450000	KANE S.O.	KANE	GENEVA	46,509	X	X	X	
	R	0460000	KANKAKEE S.O.	KANKAKEE	KANKAKEE	36,134	X	X	X	✓
	R	0470000	KENDALL S.O.	KENDALL	YORKVILLE	19,826	X	X	X	
	R	0480000	KNOX S.O.	KNOX	GALESBURG	16,627	X	X	X	
	R	0490000	LAKE S.O.	LAKE	WAUKEGAN	88,333	X	X	X	
	R	0500000	LASALLE S.O.	LASALLE	OTTAWA	32,011	X	X	X	
	R	0510000	LAWRENCE S.O.	LAWRENCE	LAWRENCEVILLE	8,080	X	X	X	
	R	0520000	LEE S.O.	LEE	LITON	16,555	X	X	X	✓

2/23/76

## LISTING OF 1975 JURISDICTIONAL FILES TYPE/NAME

PAGE

3

	TYPE	NOTE	AGENCY	COUNTY	COUNTY SEAT	POPULATION	INPL	CERT	1/10/01	9/25/72
		0530000	LIVINGSTON S.D.	LIVINGSTON	PONTIAC	21,978	X	X		X
		0540000	LOGAN S.D.	LOGAN	LINCOLN	12,761	X	X		X
		0550000	MACON S.D.	MACON	DECATUR	31,743	X	X		X
		0560000	MACOUPIN S.D.	MACOUPIN	CARLINVILLE	17,676	X	X		X
		0570000	MADISON S.D.	MADISON	EDWARDSVILLE	78,592	X	X		X
		0610000	MARTIN S.D.	MARTIN	SALEM	16,530	X	X		X
		0620000	MARSHALL S.D.	MARSHALL	LACON	6,668	X	X	X	X
		0630000	MASON S.D.	MASON	HAVANA	8,800	X	X		X
		0640000	MASSAC S.D.	MASSAC	METROPOLIS	6,286	X	X	X	X
		0650000	MCDONOUGH S.D.	MCDONOUGH	MACOMB	16,258	X	X	X	X
		0660000	MCHEMPY S.D.	MCHEMPY	WOODSTOCK	58,706	X	X		X
		0670000	MCLEAN S.D.	MCLEAN	BLOOMINGTON	38,367	X	X		X
		0680000	MEMPHIS S.D.	MEMPHIS	PETERSBURG	6,782	X	X	NOTE	X
		0690000	MERCER S.D.	MERCER	ALEDO	13,344	X	X		X
		0700000	MONROE S.D.	MONROE	WATERLOO	8,883	X	X		X
		0710000	MONTGOMERY S.D.	MONTGOMERY	HILLSBORO	13,371	X	X	X	X
		0720000	MORGAN S.D.	MORGAN	JACKSONVILLE	11,802	X	X	X	X
		0730000	MOUTRIE S.D.	MOUTRIE	SULLIVAN	8,549	X	X		X
		0740000	OGLE S.D.	OGLE	OREGON	20,035	X	X		X
		0750000	PEORIA S.D.	PEORIA	PEORIA	45,201	X	X		X
		0760000	PERRY S.D.	PERRY	PINCKNEYVILLE	9,481	X	X		X
		0770000	PIATT S.D.	PIATT	MONTICELLO	9,457	X	X		X
		0780000	PIKE S.D.	PIKE	PITTSFIELD	14,469	X	X		X
		0790000	POPE S.D.	POPE	GOLCONDA	4,139	X	X		X
		0800000	PULASKI S.D.	PULASKI	MOUND CITY	8,591	X	X		X
		0810000	PUTNAM S.D.	PUTNAM	HENNEPIN	5,272	X	X		X
		0820000	RANDOLPH S.D.	RANDOLPH	CHESTER	16,708	X	X		X
		0830000	RICHLAND S.D.	RICHLAND	OLNEY	7,459	X	X		X
		0840000	ROCK ISLAND S.D.	ROCK ISLAND	ROCK ISLAND	28,860	X	X		X
		0850000	SALINE S.D.	SALINE	HARRISBURG	11,313	X	X		X
		0860000	SANGAMON S.D.	SANGAMON	SPRINGFIELD	67,949	X	X		X
		0870000	SCHUYLER S.D.	SCHUYLER	RUSHVILLE	7,712	X	X		X
		0880000	SCOTT S.D.	SCOTT	KINCHESTER	5,955	X	X		X
		0890000	SHELBY S.D.	SHELBY	SHELBYVILLE	17,725	X	X		X
		0900000	ST. CLAIR S.D.	ST. CLAIR	PELLEVILLE	69,299	X	X		X
		0910000	STARK S.D.	STARK	TULON	7,029	X	X		X
		0920000	STEPHENSON S.D.	STEPHENSON	FREEPORT	10,521	X	X		X
		0930000	TAZEWELL S.D.	TAZEWELL	PEKIN	30,733	X	X	X	X
		0940000	UNION S.D.	UNION	JONESBORO	9,131	X	X		X
		0950000	VERMILION S.D.	VERMILION	DANVILLE	42,746	X	X		X
		0960000	WARREN S.D.	WARREN	ST. CARMEL	5,121	X	X		X
		0970000	WASHINGTON S.D.	WASHINGTON	WINMOUTH	9,034	X	X		X
		0980000	WAYNE S.D.	WAYNE	NASHVILLE	12,880	X	X		X
		0990000	WHITE S.D.	WHITE	FAIRFIELD	10,781	X	X		X
		1000000	WHITESIDE S.D.	WHITESIDE	CARM	7,983	X	X		X
		1010000	WILL S.D.	WILL	JOLIET	21,095	X	X		X
		1020000	WILLIAMSON S.D.	WILLIAMSON	MARIION	98,170	X	X		X
		1030000	WINNEBAGO S.D.	WINNEBAGO	LOCKFORD	20,936	X	X		X
		1040000	WOODFORD S.D.	WOODFORD	EUKEKA	70,240	X	X		X
						23,858				
						2,176,165				

ON LETTER

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## LISTING OF 1975 JURISDICTIONAL FILES TYPE/NAME

PAGE

4

TYPE	NOTE	AGENCY	COUNTY	COUNTY SEAT	POPULATION
		ADINSON	KNOX	GALESBURG	1,965
		ADDISON	DUPAGE	WHEATON	25,445
		ALBANY	WHITESTONE	WARRISON	222
		ALBION	WHEELER	ALBION	3,350
		ALEXIS	WARREN	MEANOUTH	353
		ALCONQUIN	MCHEARY	WILLOSTOCK	3,499
		ALOFTON	ST CLAIR	BELLEVILLE	3,599
		ALSTP	COOK	CHICAGO	15,694
		ALTON	MAITSON	EDWARDSVILLE	29,300
		ANDALUSIA	ROCK ISLAND	ROCK ISLAND	1,094
		ANVA	HUNTON	JONESBORO	4,901
		ANTIOCH	LAKE	WAUKEGAN	3,677
		ANTHONY HEIGHTS	COOK	CHICAGO	52,204
		ARTHUR	DOUGLAS	TUSCOLA	2,220
		ASHLAND	CASS	VIRGINIA	1,136
		ATHENS	MCNARD	PETERSBURG	1,157
		ATWOOD	DOUGLAS	TUSCOLA	1,273
		AUBURN	SANGAMON	SPRINGFIELD	2,077
		AURORA	KANE	GENEVA	74,200
		BAMMOCKRAUPN	LAKE	WAUKEGAN	509
		BARRINGTON HILLS	COOK	CHICAGO	2,320
		BARRINGTON-PACOG	COOK	CHICAGO	10,267
		BARTLETT	COOK	CHICAGO	4,778
		BARTONVILLE	DEORIA	DEORIA	7,274
		BATAVIA	KANE	GENEVA	10,814
		BEARDSTOWN	CASS	VIRGINIA	1,001
		BEFORE PARK	COOK	CHICAGO	1,001
		BEECHER	HILL	JOLIET	1,001
		BELLEVIEW	ST CLAIR	BELLEVIEW	41,800
		BELLEVIEW	DEORIA	DEORIA	1,193
		BELLWOOD	COOK	CHICAGO	22,200
		BELVIDERE	BOONE	BELVIDERE	14,200
		BENLO	MADISON	CARLINVILLE	1,749
		BENSENVILLE	DUPAGE	WHEATON	13,510
		BENTON	FRANKLIN	BENTON	6,983
		BERKELEY	COOK	CHICAGO	4,197
		BETHWYN	COOK	CHICAGO	52,600
		BETHALTO	MAITSON	EDWARDSVILLE	9,001
		BLOOMINGDALE	DUPAGE	WHEATON	2,749
		BLOOMINGTON	MCLEAN	BLOOMINGTON	41,409
		BLUE ISLAND	COOK	CHICAGO	23,117
		BLUE MOUND	MACON	DECATUR	1,181
		BOUTHERBROOK	WILL	JOLIET	28,188
		BOURBONNAIS	KANKAKEE	KANKAKEE	8,390
		BRAEFORD	STARK	TULLIN	992
		BRADLEY	KANKAKEE	KANKAKEE	9,354
		BRAIDWOOD	WILL	JOLIET	2,503
		BROADVIEW	COOK	CHICAGO	12,600
		BRIGHTON	MADISON	CARLINVILLE	2,162
		BROADVIEW	COOK	CHICAGO	9,623
		BROOKFIELD	COOK	CHICAGO	20,300
		BROOKLYN	ST CLAIR	BELLEVIEW	1,715

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		ALBANY	WHITESTONE	WARRISON	222
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		ALEXIS	WARREN	MEANOUTH	353
		ALCONQUIN	MCHEARY	WILLOSTOCK	3,499
		ALOFTON	ST CLAIR	BELLEVILLE	3,599
		ALSTP	COOK	CHICAGO	15,694
		ALTON	MAITSON	EDWARDSVILLE	29,300
		ANDALUSIA	ROCK ISLAND	ROCK ISLAND	1,094
		ANVA	HUNTON	JONESBORO	4,901
		ANTIOCH	LAKE	WAUKEGAN	3,677
		ANTHONY HEIGHTS	COOK	CHICAGO	52,204
		ARTHUR	DOUGLAS	TUSCOLA	2,220
		ASHLAND	CASS	VIRGINIA	1,136
		ATHENS	MCNARD	PETERSBURG	1,157
		ATWOOD	DOUGLAS	TUSCOLA	1,273
		AUBURN	SANGAMON	SPRINGFIELD	2,077
		AURORA	KANE	GENEVA	74,200
		BAMMOCKRAUPN	LAKE	WAUKEGAN	509
		BARRINGTON HILLS	COOK	CHICAGO	2,320
		BARRINGTON-PACOG	COOK	CHICAGO	10,267
		BARTLETT	COOK	CHICAGO	4,778
		BARTONVILLE	DEORIA	DEORIA	7,274
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		BELLEVIEW	ST CLAIR	BELLEVIEW	41,800
		BELLEVIEW	DEORIA	DEORIA	1,193
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		BOURBONNAIS	KANKAKEE	KANKAKEE	8,390
		BRAEFORD	STARK	TULLIN	992
		BRADLEY	KANKAKEE	KANKAKEE	9,354
		BRAIDWOOD	WILL	JOLIET	2,503
		BROADVIEW	COOK	CHICAGO	12,600
		BRIGHTON	MADISON	CARLINVILLE	2,162
		BROADVIEW	COOK	CHICAGO	9,623
		BROOKFIELD	COOK	CHICAGO	20,300
		BROOKLYN	ST CLAIR	BELLEVIEW	1,715

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PAGE 7

	TYPE	NOTE	AGENCY	COUNTY	COUNTY SEAT	POPULATION	ERT	TER	NG	Pop
		0143400	ELMSWOOD	COOK	CHICAGO	8,310				
		0143500	FOREST PARK	COOK	CHICAGO	15,500	X			
		0163600	FOREST VIEW	COOK	CHICAGO	934				
		0710100	FORESTON	OGLE	LAKEON	1,234	X			
		0400400	FOX LAKE	LAKE	WAUKEGAN	4,544				
		0567400	FOX RIVER GROVE	MCHEMRY	WOODSTOCK	2,262		X		
		0650400	FRANKFORT	WILL	JOLIET	3,662				
		0163700	FRANKLIN PARK	COOK	CHICAGO	20,500				
		0820900	FREEBURG	ST CLAIR	HELLEVILLE	2,540				
		0890100	FREEPORT	STEPHENSON	FREEPORT	27,207		X		
		0020200	FULTON	WHITESIDE	MORRISON	3,657				
		0432200	GALENA	JO DAVIEN	GALENA	3,959				
		0490400	GALESBURG	KNOX	GALESBURG	36,300				
		0370500	GAIVA	HENRY	CAMBRIDGE	3,100				
		0770700	GENESEN	HENRY	CAMBRIDGE	5,383				
		0450700	GENEVA	KANE	GENEVA	4,140				
		0190100	GENOA	DEKALB	SYCAMORE	3,210				
		0270100	GIPSON CITY	BOON	PAXTON	3,477				
		0520500	GILLESPIE	MACQUIN	CARLINVILLE	3,483				
		0290200	GILMAN	IRROUOIS	WATSEKA	1,799				
		0592600	GIRARD	MACQUIN	CARLINVILLE	2,098				
		0230000	GLEN ELLYN	DUPAGE	WHEATON	22,000				
		0162800	GLENCOE	COOK	CHICAGO	10,542				
		0220800	GLENDALE HEIGHTS	DUPAGE	WHEATON	15,528				
		0163500	GLENVIEW	COOK	CHICAGO	20,551				
		0144200	GLENWOOD	COOK	CHICAGO	10,409				
		0144100	GOLF	COOK	CHICAGO	477				
		0120100	GRAFTON	JERSEY	JERSEYVILLE	1,026				
		0600700	GRANITE CITY	MADISON	EDWARDSVILLE	40,700				
		0490500	GRAYSLAKE	LAKE	WAUKEGAN	5,062				
		0870300	GRAYVILLE	WHITE	CARMI	2,050				
		0370300	GREEN ROCK	HENRY	CAMBRIDGE	2,764				
		0001400	GREEN VALLEY	TAZEWELL	PEKIN	622				
		0310200	GREENFIELD	GREENE	CARROLLTON	1,188				
		0190100	GREENUP	CHAMBERLAND	TOLEDO	1,630				
		0030100	GREENVILLE	BOON	GREENVILLE	4,807				
		0490600	GUPNEE	LAKE	WAUKEGAN	3,268				
		0340400	HAMILTON	HANCOCK	CARTHAGE	2,784				
		0450800	HAMPSHIRE	KANE	GENEVA	1,623				
		0720500	HANNA CITY	PEORIA	PEORIA	1,291				
		0144200	HANOVER PARK	COOK	CHICAGO	19,609				
		0830300	HARRISBURG	SALINE	HARRISBURG	9,605				
		0670800	HARTFORD	MADISON	EDWARDSVILLE	2,260				
		0560500	HARVARD	MCHEMRY	WOODSTOCK	5,215				
		0164300	HARVEY	COOK	CHICAGO	34,700				
		0164400	HARWOOD HEIGHTS	COOK	CHICAGO	9,127				
		0630100	HAVANA	MASON	HAVANA	4,408				
		0164500	HAZEL CREST	COOK	CHICAGO	11,657				
		0540500	HERRON	MCHEMRY	WOODSTOCK	787				
		0670400	HECKER	MONROE	WATERLOO	480				
		0420100	HENRY	MARSHALL	LACON	2,629				
		1000200	HERPIN	WILLIAMSON	MARION	9,694				

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PAGE 8

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TYPE	AGENCY	COUNTY	COUNTY SEAT	POPULATION
0431000	HERSCHEP	KANKAKEE	KANKAKEE	995
0164600	HICKORY HILLS	COOK	CHICAGO	13,951
0600500	HIGHLAND	MADISON	EDWARDSVILLE	6,025
0700700	HIGHLAND PARK	LAKE	WAUKEGAN	32,300
0490300	HIGHWOOD	LAKE	WAUKEGAN	5,010
0680100	HILLSDALE	MONTGOMERY	HILLSDALE	4,298
0164700	HILLSDALE	COOK	CHICAGO	9,466
0221300	HINDSDALE	DUPAGE	WHEATON	16,000
0164900	HODGKINS	COOK	CHICAGO	2,287
0165200	HOFERMAN ESTATES	COOK	CHICAGO	31,833
0165100	HOMETOWN	COOK	CHICAGO	6,776
0165200	HOMERWOOD	COOK	CHICAGO	20,074
0220600	HOOPESTON	VERMILION	DANVILLE	6,509
0560700	HUNTLEY	MCHENRY	WOODSTOCK	1,443
0165300	INDIAN HEAD PARK	COOK	CHICAGO	1,504
0680700	IRVING	MONTGOMERY	HILLSDALE	402
0402400	ISLAND LAKE	LAKE	WAUKEGAN	1,988
0221100	ITASCA	DUPAGE	WHEATON	7,000
0683100	JACKSONVILLE	MORGAN	JACKSONVILLE	20,600
0120200	JERSEYVILLE	JERSEY	JERSEYVILLE	7,501
1020300	JOHNSTON CITY	WILLIAMSON	MARION	3,957
0200700	JOLIET	WILL	JOLIET	79,100
0210300	JONESBORO	UNION	JONESBORO	1,688
0165500	JUSTICE	COOK	CHICAGO	9,543
0460200	KANKAKEE	KANKAKEE	KANKAKEE	33,500
0165600	KENILWORTH	COOK	CHICAGO	3,002
0270000	KEWANEE	HENRY	CAMBRIDGE	15,800
0120200	KIRKLAND	DEKALB	SYCAMORE	1,144
0480500	KNOXVILLE	KNOX	GALESBURG	2,952
0620200	LACON	MARSHALL	LACON	2,163
0165700	LAGRANGE	COOK	CHICAGO	17,900
0165800	LAGRANGE PARK	COOK	CHICAGO	15,500
0490900	LAKE BLUFF	LAKE	WAUKEGAN	5,014
0491000	LAKE FOREST	LAKE	WAUKEGAN	15,700
0609000	LAKE IN THE HILLS	MCHENRY	WOODSTOCK	4,081
0491100	LAKE VILLA	LAKE	WAUKEGAN	1,098
0491200	LAKE ZURICH	LAKE	WAUKEGAN	4,789
0561700	LAKEMOOD	MCHENRY	WOODSTOCK	789
0280200	LANARK	CARROLL	MT. CARROLL	1,506
0165900	LANSING	COOK	CHICAGO	28,232
0500100	LASALLE	LASALLE	OTTAWA	10,800
0310200	LAWRENCEVILLE	LAWRENCE	LAWRENCEVILLE	5,906
0820900	LEBANON	ST. CLAIR	BELLEVILLE	3,590
0166000	LEMON	COOK	CHICAGO	5,117
0823000	LENZBURG	ST. CLAIR	BELLEVILLE	437
0570400	LEXINGTON	MCLEAN	BLOOMINGTON	1,627
0491300	LITERTYVILLE	LAKE	WAUKEGAN	13,396
0540200	LINCOLN	LOGAN	LINCOLN	17,600
0493800	LINCOLNSHIRE	LAKE	WAUKEGAN	3,540
0166100	LINCOLNWOOD	COOK	CHICAGO	13,000
0193000	LINDENHURST	LAKE	WAUKEGAN	3,713
0221300	LISLE	DUPAGE	WHEATON	8,428

HOPEDALE PD.

TYPE	AGENCY	COUNTY	COUNTY SEAT	POPULATION	1975	1976	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100	2101	2102	2103	2104	2105	2106	2107	2108	2109	2110	2111	2112	2113	2114	2115	2116	2117	2118	2119	2120	2121	2122	2123	2124	2125	2126	2127	2128	2129	2130	2131	2132	2133	2134	2135	2136	2137	2138	2139	2140	2141	2142	2143	2144	2145	2146	2147	2148	2149	2150	2151	2152	2153	2154	2155	2156	2157	2158	2159	2160	2161	2162	2163	2164	2165	2166	2167	2168	2169	2170	2171	2172	2173	2174	2175	2176	2177	2178	2179	2180	2181	2182	2183	2184	2185	2186	2187	2188	2189	2190	2191	2192	2193	2194	2195	2196	2197	2198	2199	2200	2201	2202	2203	2204	2205	2206	2207	2208	2209	2210	2211	2212	2213	2214	2215	2216	2217	2218	2219	2220	2221	2222	2223	2224	2225	2226	2227	2228	2229	2230	2231	2232	2233	2234	2235	2236	2237	2238	2239	2240	2241	2242	2243	2244	2245	2246	2247	2248	2249	2250	2251	2252	2253	2254	2255	2256	2257	2258	2259	2260	2261	2262	2263	2264	2265	2266	2267	2268	2269	2270	2271	2272	2273	2274	2275	2276	2277	2278	2279	2280	2281	2282	2283	2284	2285	2286	2287	2288	2289	2290	2291	2292	2293	2294	2295	2296	2297	2298	2299	2300	2301	2302	2303	2304	2305	2306	2307	2308	2309	2310	2311	2312	2313	2314	2315	2316	2317	2318	2319	2320	2321	2322	2323	2324	2325	2326	2327	2328	2329	2330	2331	2332	2333	2334	2335	2336	2337	2338	2339	2340	2341	2342	2343	2344	2345	2346	2347	2348	2349	2350	2351	2352	2353	2354	2355	2356	2357	2358	2359	2360	2361	2362	2363	2364	2365	2366	2367	2368	2369	2370	2371	2372	2373	2374	2375	2376	2377	2378	2379	2380	2381	2382	2383	2384	2385	2386	2387	2388	2389	2390	2391	2392	2393	2394	2395	2396	2397	2398	2399	2400	2401	2402	2403	2404	2405	2406	2407	2408	2409	2410	2411	2412	2413	2414	2415	2416	2417	2418	2419	2420	2421	2422	2423	2424	2425	2426	2427	2428	2429	2430	2431	2432	2433	2434	2435	2436	2437	2438	2439	2440	2441	2442	2443	2444	2445	2446	2447	2448	2449	2450	2451	2452	2453	2454	2455	2456	2457	2458	2459	2460	2461	2462	2463	2464	2465	2466	2467	2468	2469	2470	2471	2472	2473	2474	2475	2476	2477	2478	2479	2480	2481	2482	2483	2484	2485	2486	2487	2488	2489	2490	2491	2492	2493	2494	2495	2496	2497	2498	2499	2500	2501	2502	2503	2504	2505	2506	2507	2508	2509	2510	2511	2512	2513	2514	2515	2516	2517	2518	2519	2520	2521	2522	2523	2524	2525	2526	2527	2528	2529	2530	2531	2532	2533	2534	2535	2536	2537	2538	2539	2540	2541	2542	2543	2544	2545	2546	2547	2548	2549	2550	2551	2552	2553	2554	2555	2556	2557	2558	2559	2560	2561	2562	2563	2564	2565	2566	2567	2568	2569	2570	2571	2572	2573	2574	2575	2576	2577	2578	2579	2580	2581	2582	2583	2584	2585	2586	2587	2588	2589	2590	2591	2592	2593	2594	2595	2596	2597	2598	2599	2600	2601	2602	2603	2604	2605	2606	2607	2608	2609	2610	2611	2612	2613	2614	2615	2616	2617	2618	2619	2620	2621	2622	2623	2624	2625	2626	2627	2628	2629	2630	2631	2632	2633	2634	2635	2636	2637	2638	2639	2640	2641	2642	2643	2644	2645	2646	2647	2648	2649	2650	2651	2652	2653	2654	2655	2656	2657	2658	2659	2660	2661	2662	2663	2664	2665	2666	2667	2668	2669	2670	2671	2672	2673	2674	2675	2676	2677	2678	2679	2680	2681	2682	2683	2684	2685	2686	2687	2688	2689	2690	2691	2692	2693	2694	2695	2696	2697	2698	2699	2700	2701	2702	2703	2704	2705	2706	2707	2708	2709	2710	2711	2712	2713	2714	2715	2716	2717	2718	2719	2720	2721	2722	2723	2724	2725	2726	2727	2728	2729	2730	2731	2732	2733	2734	2735	2736	2737	2738	2739	2740	2741	2742	2743	2744	2745	2746	2747	2748	2749	2750	2751	2752	2753	2754	2755	2756	2757	2758	2759	2760	2761	2762	2763	2764	2765	2766	2767	2768	2769	2770	2771	2772	2773	2774	2775	2776	2777	2778	2779	2780	2781	2782	2783	2784	2785	2786	2787	2788	2789	2790	2791	2792	2793	2794	2795	2796	2797	2798	2799	2800	2801	2802	2803	2804	2805	2806	2807	2808	2809	2810	2811	2812	2813	2814	2815	2816	2817	2818	2819	2820	2821	2822	2823	2824	2825	2826	2827	2828	2829	2830	2831	2832	2833	2834	2835	2836	2837	2838	2839	2840	2841	2842	2843	2844	2845	2846	2847	2848	2849	2850	2851	2852	2853	2854	2855	2856	2857	2858	2859	2860	2861	2862	2863	2864	2865	2866	2867	2868	2869	2870	2871	2872	2873	2874	2875	2876	2877	2878	2879	2880	2881	2882	2883	2884	2885	2886	2887	2888	2889	2890	2891	2892	2893	2894	2895	2896	2897	2898	2899	2900	2901	2902	2903	2904	2905	2906	2907	2908	2909	2910	2911	2912	2913	2914	2915	2916	2917	2918	2919	2920	2921	2922	2923	2924	2925	2926	2927	2928	2929	2930	2931	2932	2933	2934	2935	2936	2937	2938	2939	2940	2941	2942	2943	2944	2945	2946	2947	2948	2949	2950	2951	2952	2953	2954	2955	2956	2957	2958	2959	2960	2961	2962	2963	2964	2965	2966	2967	2968	2969	2970	2971	2972	2973	2974	2975	2976	2977	2978	2979	2980	2981	2982	2983	2984	2985	2986	2987	2988	2989	2990	2991	2992	2993	2994	2995	2996	2997	2998	2999	3000
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## LISTING OF 1975 JURISDICTIONAL FILES TYPE/NAME

PAGE 11

TYPE	NO.	AGENCY	COUNTY	COUNTY SEAT	POPULATION
	0110100	DANA	CHRISTIAN	TAYLORVILLE	4,373
	0230300	PARIS	EDGAR	PARIS	10,045
	0402500	PARK CITY	LAKE	WAUKEGAN	2,906
	0148800	PARK FOREST	COOK	CHICAGO	32,408
	0792000	PARK FOREST SD	WILL	JOLIET	4,928
	0148800	PARK RIDGE	COOK	CHICAGO	43,311
	0370200	PAXTON	FORD	PAXTON	4,405
	1010300	PECATONICA	WINNEBAGO	ROCKFORD	1,794
	0000000	PEKIN	TAZEWELL	PEKIN	32,315
	0720000	PEORIA	PEORIA	PEORIA	127,100
	0720000	PEORIA HEIGHTS	PEORIA	PEORIA	8,239
	0901000	PEOTONE	WILL	JOLIET	2,474
	0500800	PERU	LASALLE	OTTAWA	11,800
	0650100	PETERSBURG	MCNARD	PETERSBURG	2,451
	0160000	PHOENIX	COOK	CHICAGO	3,623
	0730000	PINCKNEYVILLE	PEPPY	PINCKNEYVILLE	3,402
	0750000	PITTSFIELD	PIKE	PITTSFIELD	4,275
	0991100	PLAINFIELD	WILL	JOLIET	2,950
	0470100	PLANO	KENDALL	YORKVILLE	4,936
	0710000	POLO	OGLE	GREGON	2,561
	0530000	PONTIAC	LIVINGSTON	PONTIAC	10,500
	0602100	PONTIAC BEACH	WATSON	EDWARDSVILLE	3,192
	0160100	POSEN	COOK	CHICAGO	5,530
	0750400	PRINCETON	BUFFALO	PRINCETON	7,010
	0080500	PROPHETSTOWN	WHITESIDE	MORRISON	1,929
	0010000	QUINCY	ADAMS	QUINCY	45,300
	0130400	RANTOUI	CHAMPAIGN	URBANA	25,600
	0700200	RED BIRD	RANDOLPH	CHESTER	2,578
	0561300	RICHMOND	MCHEERY	WOODSTOCK	1,162
	0160200	RIGHTON PARK	COOK	CHICAGO	4,551
	0890700	RIDOTT	STEPHENSON	FREEPORT	246
	0160400	RIVER FOREST	COOK	CHICAGO	13,400
	0160500	RIVER GROVE	COOK	CHICAGO	11,600
	0169000	RIVERDALE	COOK	CHICAGO	16,000
	0160500	RIVERSIDE	COOK	CHICAGO	10,500
	0169700	ROBBINS	COOK	CHICAGO	9,712
	0170300	ROBINSON	CRAWFORD	ROBINSON	7,231
	0710500	ROCHELIE	OGLE	GREGON	8,850
	0080600	ROCK FALLS	WHITESIDE	MORRISON	10,300
	0810400	ROCK ISLAND	ROCK ISLAND	ROCK ISLAND	50,200
	0001200	ROCKDALE	WILL	JOLIET	2,100
	1010400	ROCKFORD	WINNEBAGO	ROCKFORD	149,424
	1010500	ROCKTON	WINNEBAGO	ROCKFORD	2,114
	0169800	ROLLING MEADOWS	COOK	CHICAGO	19,785
	0001300	ROSEMONT	WILL	JOLIET	15,336
	0310300	ROTHHOUSE	GREENE	CARROLLTON	2,374
	1010400	ROSCOE	WINNEBAGO	ROCKFORD	556
	0221400	ROSELLE	DUPAGE	WHEATON	7,986
	0169900	ROSEMONT	COOK	CHICAGO	4,392
	0401400	ROUND LAKE	LAKE	WAUKEGAN	2,376
	0491700	ROUND LAKE BEACH	LAKE	WAUKEGAN	10,525
	0401800	ROUND LAKE HTS	LAKE	WAUKEGAN	1,152

S. J. Park Dist.

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LISTING OF 1975 JURISDICTIONAL FILES TYPE/NAME

PAGE 14

TYPE	NOTE	AGENCY	COUNTY	COUNTY SEAT	POPULATION
H	0164400	COOK CO. HOSPITAL	COOK	CHICAGO	
H	0164100	DAK FOREST HOSP.	COOK	CHICAGO	
TYPE TOTAL					X X X

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page 2  
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LISTING OF 1975 JURISDICTIONAL FILES	TYPE/NAME
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TYPE	NCIC	AGENCY	COUNTY	COUNTY SEAT	POPULATION
TOTAL	1000	SARASOTA	SARASOTA	SARASOTA	1000
TYPE TOTAL		FL. STATE POLICE			

2/24/76

## LISTING OF 1975 JURISDICTIONAL FILES TYPE/NAME

PAGE 16

TYPE	NOTE	AGENCY	COUNTY	COUNTY SEAT	POPULATION
D	0144E00	ALSTON PARK DIST.	COOK	CHICAGO	
D	0580700	DECATUR PK DIST	MACON	DECATUR	X
D	0901600	PEKIN PARK DIST	TAZEWELL	PEKIN	X
D	0721400	PEORIA PARK DIST	PEORIA	PEORIA	X
D	0981000	STERLING PK DIST	WHITESIDE	MORRISON	X
TYPE TOTAL					

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LISTING OF 1975 JURISDICTIONAL FILES TYPE/NAME

PAGE 17

TYPE	NCIC	AGENCY	COUNTY	COUNTY SEAT	POPULATION	CERT	LEVER	F No. 1 Nov	2
R	0855500	ALTON SOUTHERN RR	ST CLAIR	BELLEVILLE	X	X			
R	0165500	AMTBAK	COOK	CHICAGO	X				
R	0164400	ATC TOP CHI SEF RR	COOK	CHICAGO	X	X		X	
R	0164400	BFLT RAILWAY CO	COOK	CHICAGO	X		X	X	
R	0164000	BURL NORTH. RAILRD	COOK	CHICAGO	X				
R	0165400	CHESSIE RR	COOK	CHICAGO	X				
R	0164200	CHI-EASTERN ILL RR	COOK	CHICAGO	X				
R	0241200	CHI-ILL MIDLAND RR	SANGAMON	SPRINGFIELD	X			X	
R	0164V00	CHI-MII-STR-DAC RR	COOK	CHICAGO	X	X		X	
R	0161500	CHI-N.W. TRANS. RR	COOK	CHICAGO	X			X	
R	1609200	CHI-NW RR-EDSVILLE	MADISON	EDWARDSVILLE	X	X		X	
R	0164T00	CHI-WESTERN IND RR	COOK	CHICAGO	X				
R	0002500	ELGIN-OLLIET-EAST.	WILL	JOLIET	X				
R	0165500	ERIE LACKAWANNA RR	COOK	CHICAGO	X	X	X	X	
R	0164V00	GRAND TRUNK W. RR	COOK	CHICAGO	X				
R	1000100	ICG ALABAMA	ICG - TOTAL		X				
R	1000200	ICG ARKANSAS	ICG - TOTAL		X				
R	1000300	ICG FLORIDA	ICG - TOTAL		X				
R	1000400	ICG ILLINOIS	ICG - TOTAL		X	X		X	
R	1000500	ICG INDIANA	ICG - TOTAL		X				
R	1000600	ICG IOWA	ICG - TOTAL		X				
R	1000700	ICG KENTUCKY	ICG - TOTAL		X				
R	1000800	ICG LOUISIANA	ICG - TOTAL		X				
R	1000900	ICG MINNESOTA	ICG - TOTAL		X				
R	1001000	ICG MISSISSIPPI	ICG - TOTAL		X				
R	1001100	ICG MISSOURI	ICG - TOTAL		X				
R	1001200	ICG TENNESSEE	ICG - TOTAL		X				
R	1001300	ICG WISCONSIN	ICG - TOTAL		X				
R	1602700	ILL TERMINAL RR	MADISON	EDWARDSVILLE	X	X	X	X	
R	0164Y00	IN HARBOR BELT RR	COOK	CHICAGO	X	X		X	
R	0223100	LOUISVIL-NASHVL RR	ST CLAIR	PELLEVILLE	X	X	X	X	
R	0223200	MC-DAC-BELLEVIL RR	ST CLAIR	BELLEVILLE	X	X	X	X	
R	0164Z00	NORFOLK-WESTERN RR	COOK	CHICAGO	X	X	X	X	
R	0901700	PEORIA-PEKIN UN RR	TAZEWELL	PEKIN	X	X	X	X	
R	0165000	POCK ISLAND RR	COOK	CHICAGO	X				
R	0165000	SOO LINE RR	COOK	CHICAGO	X				
R	0223400	SOUTHERN RR	ST CLAIR	BELLEVILLE	X			X	
R	0223500	ST LOUIS-S.WEST. RR	ST CLAIR	BELLEVILLE	X	X	X	X	
R	0229900	TERMINAL RR SLOUIS	ST CLAIR	BELLEVILLE	X				
R	0721500	TOL-PEO-WESTERN RR	PEORIA	PEORIA	X	X		X	
TYPE TOTAL					X	X		X	

PENNY CENTRAL RR

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LISTING OF 1975 JURISDICTIONAL FILES TYPE/NAME

PAGE 18

TYPE	NCIC	AGENCY	COUNTY	COUNTY SEAT	INFO	DEPT	LETTER	POPULATION
TYPE TOTAL	0166900	CHICAGO	DEANIT AUT	COOK	CHICAGO	X	X	
		WILLIAMSON COUNTY DETECTIVE UNIT				X		

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ENCLOSURE  
124-2-72

#### CERTIFICATION STATEMENT #5

A complete list of all relevant existing legislation authorizing dissemination of criminal history record information to non-criminal justice agencies is presented in Chapter B of the Plan.







ADMINISTRATIVE OFFICE OF THE ILLINOIS COURTS

ROY O. GULLEY  
DIRECTOR  
SUPREME COURT BUILDING  
SPRINGFIELD 62706

30 NORTH MICHIGAN AVENUE  
CHICAGO 60602

October 29, 1975

Dr. David Fogel  
Director  
Illinois Law Enforcement Commission  
120 South Riverside Plaza  
Chicago, Illinois 60606

RECEIVED  
OCT 30 1975  
I. L. E. C.  
EXEC. DIR.

Dear Dr. Fogel:

I have received your letter of October 7, 1975 and accompanying documents relating to court participation in developing Illinois' criminal justice information plan, under U.S. Department of Justice Order No. 601-75 and regulations adopted pursuant thereto.

A review of the regulations indicates that, in a number of areas, Illinois law closely parallels the requirements contained therein. For example, access to juvenile court records (Regulation 20.21(d)) is limited by Ill. Rev. Stats., ch. 37, sec. 702-10; access to pre-sentence investigations is limited by Ill. Rev. Stats., ch. 38, sec. 1005-3-4; access to probation reports and records is limited by Ill. Rev. Stats., ch. 38, sec. 204-4(4); and newly enacted House Bill 1365 (Public Act 79-910) requires the clerk of the Circuit Court to furnish the Bureau of Identification with "all final dispositions of criminal cases for which the Bureau has record of an arrest." (Regulation 20.21(a)(1)).

However, the regulations and planning instructions promulgated pursuant thereto raise a number of serious questions concerning the extent of their applicability to state courts and the extent to which our courts may accept the imposition of such regulations, under Illinois law.

On their face, the regulations seem to provide for a rather limited application to the courts. Section 20.20(b)(3) and (4) provides:

"(b) The regulations in this subpart shall not apply to criminal history record information contained in: . . .  
(3) court records of public judicial proceedings compiled chronologically; (4) published court opinions or public judicial proceedings. . . ."



available to assist agencies in (1) determining to what extent their information systems are covered by the Regulations, (2) interpreting the Regulations, and (3) preparing the plans and certifications. J. David Coldren is Director of our CJIS staff and can be reached at our Chicago address.

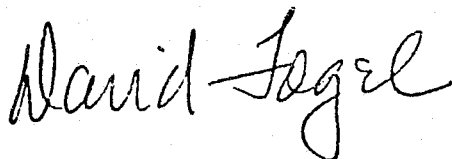
I am also enclosing copies of the June 30 Privacy and Security Planning Instructions issued by LEAA and the August 20 instructions supplement. Additional copies are available from Mr. Coldren.

We have a particularly difficult timing problem with respect to the "Individual's right to access criminal history record information" section (20.34) since that section must be implemented by December 16, 1975. Because this provision most directly effects the "state central repository", which in Illinois is the Bureau of Identification, we have asked the Department of Law Enforcement to prepare drafts of Regulations and Instructions with respect to those provisions. This task is being coordinated by Arthur C. Loos, Assistant Superintendent, Criminal Justice Information Services of DLE, who can be reached at 217/782-7980. Mr. Loos is in a position to work with you and other agencies with respect to the individual access plan and procedures.

If you need further information, I encourage you to contact Mr. Coldren and Mr. Loos as soon as possible.

We appreciate your cooperation.

Sincerely,

A handwritten signature in cursive script that reads "David Fogel". The signature is written in dark ink and is positioned above the typed name and title.

David Fogel  
Director

To Dr. Fogel  
From Judge Gulley  
Page 2

In Illinois, with the exceptions stated above, records of public judicial proceedings are by statute, Ill. Rev. Stats., ch. 25, sec. 16, public records open to public inspection:

" . . . All records, dockets and books required by law to be kept by such clerks shall be deemed public records, and shall at all times be open to inspection without fee or reward. And all persons shall have free access for inspection and examination to such records, docket books, and also to all papers on file in the different clerks' offices and shall have the right to take memoranda and abstracts thereto." (See also: Illinois Supreme Court General Administrative Order on Recordkeeping in the Circuit Courts, May 20, 1968).

The exemption of public court records provided for in section 20.20(b)(3) and (4) of the regulations may, however, only be illusory. The exemption is limited by the qualification that such records be maintained "chronologically." Thus, an alphabetical index of defendants, such as that maintained in Illinois pursuant to statute, Ill. Rev. Stats., ch. 25, sec. 16, would not be exempt, and, if the LEAA interpretation of the regulations is correct, all files and records which could be accessed through the alphabetical index would also lose their exempt status. The LEAA Privacy and Security Planning Instructions, Supplement No. 2, September 30, 1975, page 5, in attempting to explain the exemption, states:

"Alphabetical indexes to court records are generally not exempt. For example, an alphabetical index to case files . . . would be subject to the regulations. The regulations apply to combinations of any non-chronological index and file which might be used to assemble or permit retrieval of a summary criminal history on an individual. If as a result of automatic data processing, the equivalent to an alphabetical manual index exists, such automated files would likewise be subject to the regulations.

"On page 8 of the original Privacy and Security Planning Instructions the discussion of the 'court records' exception may suggest a broader interpretation of the exception than has been indicated above. To the extent that it does so, the discussion should be disregarded."

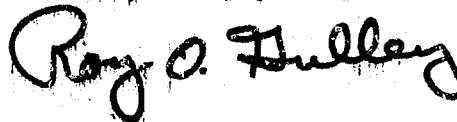
Thus, according to LEAA's interpretation, the existence of an alphabetical index brings the entire court file within the terms of the regulations. This, would be inconsistent with the public nature of court files and records provided in Ill. Rev. Stats., ch. 25, section 16, above. Although LEAA's interpretation of the regulations is subject to some question, it is clear that, at the very least, the alphabetical index would be subject to the regulations. This, also, would be contrary to ch. 25, section 16.

To Dr. Fogel  
From: Judge Gulley  
Page 3

To summarize, the requirements concerning confidentiality contained in the regulations would be contrary to existing Illinois law governing the public nature of court files and records (with the exceptions noted above, i.e., juvenile, pre-sentence investigation and probation reports). If a plan to limit access to court files and records is desirable, that determination is a major policy question which can only be resolved by the Illinois legislature. An attempt to achieve such a plan by administrative order, as you suggest in your letter, would be directly in conflict with the existing statutes on this point. Consequently, preparation of a courts' portion of ILEC's criminal justice information plan by this office is not possible, at this time. If it would be of assistance to you, please feel free to use any of the information contained in this letter in the preparation of ILEC's plan.

If you wish to discuss this matter further, please contact me.

Very truly yours,

A handwritten signature in dark ink, reading "Roy D. Gulley". The signature is written in a cursive, slightly slanted style. The first name "Roy" is written with a large, looping 'R'. The middle initial "D." is written in a smaller, more compact script. The last name "Gulley" is written with a large, sweeping 'G' and a trailing flourish.

Roy D. Gulley

ROG/app



## ILLINOIS LAW ENFORCEMENT COMMISSION

120 SOUTH RIVERSIDE PLAZA  
CHICAGO, ILLINOIS 60606  
312/454-1560

October 7, 1975

Honorable William J. Scott  
Attorney General  
500 S. Second Street  
Springfield, Illinois 62706

Dear General Scott:

As you undoubtedly know, the Law Enforcement Assistance Administration of the U. S. Department of Justice issued Order No. 601-75, "CRIMINAL JUSTICE INFORMATION SYSTEMS", effective June 19, 1975. The Order, published in the Federal Register on May 20, 1975, was issued pursuant to sections 501 and 524(b) of the Omnibus Crime Control and Safe Streets Act of 1968, as amended by the Crime Control Act of 1973.

The Order promulgated Rules and Regulations that cover nearly every criminal justice agency in the nation (directly or indirectly) with respect to information systems containing criminal history record information. A copy of the Rules and Regulations is attached.

The Regulations require each State to prepare and submit, by December 16, 1975, an implementation plan and certifications of compliance as specified at section 20.22. LEAA asked governors to designate one state agency per state to compile and submit the plan. Last week, Governor Walker designated ILEC as the agency responsible for submitting the Illinois plan.

It is our intention to work with existing state agencies and statewide organizations in preparing the plan in order to accomplish this major task within the short time period remaining. Already, the Illinois Department of Law Enforcement has contacted law enforcement agencies throughout the State and is holding workshops to explain the Rules and Regulations to police agencies. Corrections facilities' information systems under the management control of law enforcement agencies will be covered by the appropriate law enforcement agencies' plans and certifications.

It is our understanding that the Attorney General's Office is covered by the LEAA Regulations and must therefore submit a plan and such certifications of compliance as necessary to be included in the Illinois statewide implementation plan. In order to meet our deadlines, I ask that you designate a member of your staff to work with ILEC in preparing the section of the state plan relating to your office so that we may begin final compilation of the state plan by November 17th.

Members of ILEC's Criminal Justice Information Systems (CJIS) staff are

Attorney General Scott - Page 2

available to assist agencies in (1) determining to what extent their information systems are covered by the Regulations, (2) interpreting the Regulations, and (3) preparing the plans and certifications. J. David Coldren is Director of our CJIS staff and can be reached at our Chicago address.

I am also enclosing copies of the June 30 Privacy and Security Planning Instructions issued by LEAA and the August 20 instructions supplement. Additional copies are available from Mr. Coldren.

We have a particularly difficult timing problem with respect to the "Individual's right to access criminal history record information" section (20.34) since that section must be implemented by December 16, 1975. Because this provision most directly effects the "state central repository", which in Illinois is the Bureau of Identification, we have asked the Department of Law Enforcement to prepare drafts of Regulations and Instructions with respect to those provisions. This task is being coordinated by Arthur C. Loos, Assistant Superintendent, Criminal Justice Information Services of DLE, who can be reached at 217/782-7980. Mr. Loos is in a position to work with you and other agencies with respect to the individual access plan and procedures.

If you need further information, I encourage you to contact Mr. Coldren and Mr. Loos as soon as possible.

We appreciate your cooperation.

Sincerely,

A handwritten signature in cursive script that reads "David Fogel". The signature is written in dark ink and is positioned above the typed name and title.

David Fogel  
Director



WILLIAM J. SCOTT

ATTORNEY GENERAL  
STATE OF ILLINOIS

CHICAGO OFFICE  
160 NORTH LA SALLE STREET  
60601

October 22, 1975

RECEIVED  
OCT 24 1975  
793-3500

I. L. E. C.  
EXEC. DIR.

Mr. David Fogel, Director  
Illinois Law Enforcement Commission  
120 South Riverside Plaza  
Chicago, Illinois 60606

Dear Director Fogel:

Your letter of October 7, 1975 to Attorney General Scott has been referred to me. The Attorney General's Office is a Criminal Justice Agency within the meaning of the Rules and Regulations. The Attorney General's Office, however, does not maintain a "Criminal History Record Information System" nor does it collect "Criminal History Record Information". Further we do not disseminate Criminal History Record Information. On occasions we receive such information in connection with the prosecution of criminal cases. Such information is maintained in the individual case file and may include the criminal history of the accused and the witnesses. Criminal history information is not maintained in a separate file either chronologically or alphabetically. It is my view that the operation of this Office, with respect to criminal history, is not effected by the Regulations except to the extent that we must comply with Criminal History Record Information Use Agreements.

Very truly yours,

James B. Zagel  
Chief, Criminal Justice Division  
188 W. Randolph St. (Suite 2200)  
Chicago, Illinois 60601

cc: Mr. J. David Coldren



## ILLINOIS LAW ENFORCEMENT COMMISSION

120 SOUTH RIVERSIDE PLAZA  
CHICAGO, ILLINOIS 60606  
312/454-1560

October 7, 1975

Honorable Roy O. Gulley  
Administrator  
Administrative Office of the Supreme Court  
118 West Edwards  
Springfield, Illinois 62706

Dear Judge Gulley:

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The Regulations apply to all courts within Illinois. We therefore seek your guidance with respect to the inclusion of the courts' plans and certifications of compliance. It is our hope that all courts (and associated probation offices) can be covered with respect to these Regulations by an administrative order from your office. Our deadline for receiving component sections of the state plan is November 17th.

Members of ILEC's Criminal Justice Information Systems (CJIS) staff are

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B2.	Juvenile Court Act, Chapter 37, Sections 702 and 703.	38,39
B3.	Confidentiality of Juvenile Records.	39
C.	There is no Appendix for Chapter C.	
D.	There is no Appendix for Chapter D.	
E1.	Rules and Regulations Governing Individual Right to Access & Review Criminal History Record Information, and Instructions Individual Right to Access and Review Criminal History Record Information.	45
E2.	Administrative Order of Governor Walker establishing the Illinois Criminal Justice Information Systems Council.	47
E3.	"how to beat a bum rap sheet" Text for Brochures and Posters.	49



## Standard 1.1 - CRIME-ORIENTED PLANNING

Every criminal justice planning agency and coordinating council should:

1. Analyze the crime problems in its jurisdiction;
2. Identify specific crimes deserving priority attention;
3. Establish quantifiable and time phased goals for the reduction of priority crimes;
4. Evaluate and select alternative strategies and programs for reducing priority crimes;
5. Allocate its own funds and staff resources in accordance with the crime goals, strategies, and programs chosen;
6. Maintain close working relationships with criminal justice and other public agencies to implement crime reduction goals and objectives; and
7. Assume responsibility for the effective evaluation of its planning and funding decisions, and the use of evaluation results to refine goals, strategies, and programs.

## Standard 1.2 - IMPROVING THE LINKAGE BETWEEN PLANNING AND BUDGETING

State and local governments in Illinois should develop mechanisms for introducing the analyses and recommendations of criminal justice planning agencies into their budgetary processes. These mechanisms may include formal integration of planning and budgeting efforts through program budgeting systems, the institution of planning and budgeting staff coordination procedures, and the development of detailed master plans for specific areas of criminal justice operations.

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**APPENDIX ii**

**Standards: Criminal Justice Information Systems**

**standards:**

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**Criminal**

**Justice**

**Information**

**Systems**

1. By 1978, the ILEC should develop a general system of multiyear planning that takes into account all funds directed to crime control activities within the State. This would include all sources of Federal funds; State, general, and capital funds; and private donations, endorsements, and contributions. Where available, the relevant State program budgeting format should be employed. Substate criminal justice planning agencies and councils should establish congruent and supportive systems of multiyear planning to those established by the State.

2. Planning and budgeting units should immediately adopt additional coordinating mechanisms such as joint staff teams on special problems and planning staff participation budget hearings.

3. Detailed "master plans" should be developed where appropriate for those specific areas of criminal justice operations that require forecasts of long-term problems and needs. Assuming continuous evaluation and update, such plans should serve as a basis for annual budgeting and appropriations decisions. Although either operating agencies or criminal justice planning agencies may provide and direct staff effort, both should be directly involved in the development of master plans.

#### Standard 1.3 - SETTING MINIMUM STATEWIDE STANDARDS FOR RECIPIENTS OF GRANTS AND SUBGRANTS

The ILEC should establish minimum standards for making grants and subgrants from all funds under its control to criminal justice and related public and private agencies. Grants and subgrants to specific agencies should be contingent upon the agency's adoption of established minimum standards.

1. Standard-setting efforts should be limited to those human resources, physical resources, and management and operations requirements that are clearly essential to the achievement of the goals of the criminal justice system.

2. Where existing State bodies have established standards, such standards should be considered controlling, and the ILEC should use them as minimum standards for funding.

3. Standards should be adopted by the ILEC only after a thorough effort has been made to notify all interested and affected parties and to solicit their opinions.

4. The ILEC in its standard setting efforts should refer to, and consider, major national studies on standards, such as the National Advisory Commission on Criminal Justice Standards and Goals, and the standards of major professional associations.

5. Continuous evaluation of the usefulness of adopted standards in meeting established goals should be undertaken by the ILEC.

### Standard 3.1 - COORDINATION OF INFORMATION SYSTEMS DEVELOPMENT

Illinois should create an organizational structure for coordinating the development of information systems and for making maximum use of collected data in support of criminal justice management by taking the following steps:

1. Establish a criminal justice information planning and analysis unit that will coordinate the development of an integrated network of information systems in the State that will satisfy information needs of management decision making for State and local criminal justice agencies as well as satisfying established Federal requirements for information.
2. While making provisions for continual review and refinement, prepare a master plan for the development of an integrated network of criminal justice information systems (including the production of data needed for statistical purposes) specifying organizational roles and timetables.
3. Provide technical assistance and training to all jurisdiction levels and agencies in data collection methods, system concept development, and related areas.
4. Arrange for system audit and inspection to insure the maintenance of maximum quality in each operating system.

### Standard 3.2 - STATE ROLE IN CRIMINAL JUSTICE INFORMATION AND STATISTICS

Illinois should establish a criminal justice information system that provides the following services:

1. On-line files fulfilling a common need of all criminal justice agencies, including wanted persons (felony and misdemeanor), and identifiable stolen items;
2. Computerized criminal history files for persons arrested for an NCIC-qualified offense, with on-line availability of at least a summary of criminal activity and current status of offenders;

3. Access by computer interface to vehicle and driver files, if computerized and maintained separately by the Secretary of State;
4. A high-speed interface with NCIC providing access to all NCIC files as consistent with Illinois privacy and security regulations, where they are at variance with NCIC regulations;
5. All necessary telecommunications media and terminals for providing access to local users, either by computer-to-computer interface or direct terminal access;
6. The computerized switching of agency-to-agency messages for all intrastate users and routing (formatting) of messages to and from qualified agencies in other States;
7. The collection, processing, and reporting of Uniform Crime Reports (UCR) from all law enforcement agencies in the State with report generation for the Federal Government agencies, appropriate State agencies, and contributors;
8. In conjunction with criminal history files, the collection and storage of additional data elements and other features to support offender-based transaction statistics;
9. Entry and updating of data to a national index of criminal offenders as envisioned in the NCIC Computerized Criminal History files as consistent with Illinois privacy and security regulations, where they are at variance with NCIC regulations.
10. Reporting offender-based transaction statistics to the Federal Government.

### Standard 3.3 - LOCAL CRIMINAL JUSTICE INFORMATION SYSTEMS

Every locality should be serviced by a local\* criminal justice information system which supports the needs of criminal justice agencies.

\*"Local" as used in this and following standards means a criminal justice information system serving one or more governmental subdivisions below the State level. Multi-jurisdictional (i.e., "regional") criminal justice information systems fall within the definition of a LCJIS. (See Standard 10.4)

1. The local criminal justice information system (LCJIS) should contain information concerning every person arrested within that locality from the time of arrest until no further criminal justice transactions can be expected within the locality concerning that arrest.

2. The LCJIS should contain the present criminal justice status for each individual under the cognizance of criminal justice agencies within that locality.

3. The LCJIS should provide prompt response to inquiries from criminal justice agencies that have provided information to the data base of LCJIS.

4. LCJIS should provide a master name index of persons of interest to the criminal justice agencies in its jurisdiction. This index should include identifying information concerning persons within the locality under the cognizance of criminal justice agencies.

5. The LCJIS should provide to the proper State agencies all information concerning postarrest offender statistical data as required.

6. The LCJIS should provide to the proper State agencies all postarrest data necessary to maintain a current criminal history record on persons arrested and processed within a locality.

7. If automated, LCJIS should provide telecommunications interface between the State CJIS and criminal justice agencies within its locality.

#### Standard 3.4 - CRIMINAL JUSTICE COMPONENT INFORMATION SYSTEMS

Every component agency of the criminal justice system (police, courts, corrections) should be served by an information system which supports its intraagency needs.

1. The component information system (CIS) should provide the rationale for the internal allocation of personnel and other resources of the agency.

2. The CIS should provide a rational basis for scheduling of events, cases, and transactions within the agency.



3. The CIS should provide the agency administrator with clear indications of changes in workload and workload composition, and provide the means of distinguishing between short-term variations (e. g., seasonal variations) and long-term trends.

4. The CIS should provide data required for the proper functioning of other systems as appropriate, and should retain only that data required for its own specific purposes.

5. The CIS should provide the interface between LCJIS and individual users within its own agency. This interface provision should include telecommunications facilities as necessary.

6. The CIS should create and provide access to files needed by its users that are not provided by the State or local criminal justice information systems to which it is interfaced.

7. The CIS should support the conduct of research and program evaluation to serve agency managers.

#### Standard 4.1 - POLICE INFORMATION SYSTEMS

Every police agency should have a well-defined information system. Proper functions of such a system include:

1. Dispatch information, including the generation of data describing the dispatch operation and data useful in the dispatching process;
2. Event information, including the generation and analysis of data on incidents and crimes;
3. Case information, including data needed during followup until police disposition of the case is completed;
4. Reporting and access to other systems which provide required data for operational or statistical purposes; and
5. Patrol or investigative support data not provided by external systems, such as misdemeanor want/warrant data, traffic and citation reporting, and local property data.

#### Standard 4.2 - CRIME ANALYSIS CAPABILITY

Every police department should improve its crime analysis capability by utilizing information provided by its information system and by the State and regional information systems. Crime analysis may include the utilization of the following:

1. Methods of operation of individual criminals;
2. Pattern recognition;
3. Field interrogation and arrest data;
4. Crime report data;
5. Incident report information;
6. Dispatch information; and
7. Traffic reports, both accidents and citations.

These elements must be carefully screened for information that should be routinely recorded for crime analysis.

#### Standard 4.3 - MANPOWER RESOURCE ALLOCATION AND CONTROL

Every police agency should develop a manpower resource allocation and control system that will support major efforts to:

1. Identify through empirical means the need for manpower within the department;
2. Provide planning for maximum utilization of available resources;
3. Provide information for the allocation and instruction of patrol officers and specialist officers; and
4. Provide for the evaluation of the adopted plan.

#### Standard 4.4 - POLICE INFORMATION SYSTEM RESPONSE TIME

Information should be provided to users in sufficient time to affect the outcome of their decisions. The maximum allowable delay for information delivery, measured from initiation of the request to the delivery of a response, varies according to user type.

1. For users engaged in unpredictable field activity of high potential danger (e.g., vehicle stop) the maximum delay should be 120 seconds.
2. For users engaged in field activity without direct exposure to high potential danger (e.g., checking parked vehicles) the maximum delay should be 5 minutes.
3. For users engaged in investigatory activity without personal contact (e.g., developing suspect lists), the maximum delay should be 8 hours.
4. For users engaged in postapprehension identification and criminal history determinations, the maximum delay should be 4 hours.

#### Standard 4.5 - UCR PARTICIPATION

Every police agency must, as a minimum, participate fully in the Illinois Uniform Crime Reporting program.

#### Standard 4.6 - EXPANDED CRIME DATA

For use at the local level, or for State and regional planning and evaluation, data collected concerning an incident regarded as a crime should include as a minimum:

1. Incident definition, including criminal statute violated and UCR offense classification;
2. Time, including time of day, day of week, month, and year;
3. Location, including coded geographical location and type of location;
4. Incident characteristics, including type of weapon used, method of entry (if applicable), and degree of intimidation or force used;
5. Incident consequences, including type and value of property stolen, destroyed, or recovered, and personal injury suffered;
6. Offender characteristics (each offender), including relationship to victim, age, race, sex, residency, prior criminal record, criminal justice status (on parole, etc.), employment and educational status, apparent intent, and alcohol/narcotics usage history;
7. Type of arrest (on view, etc.); and
8. Witnesses and evidence.

#### Standard 4.7 - QUALITY CONTROL OF CRIME DATA

Every police agency should make provision for an independent audit of incident and arrest reporting. The audit should verify that:

1. Crime reports are being generated when appropriate;
2. Incidents are being properly classified; and
3. Reports are being properly prepared and submitted.

To establish an "audit trail" and to provide the basic documentation needed by management, the following key characteristics or records should be adopted:

1. The police response made to every call for police service should be recorded, regardless of whether a unit is dispatched. Dispatch records should be numbered and time noted; if the service leads to a complaint, the complaint should be registered on a numbered crime report, and that number also be shown on the dispatch record.

2. All dispatches should be recorded, indicating time of dispatch and arrival on scene.

3. Dispatch records should show the field unit disposition of the event, and should be numbered in such a way as to link dispatches to arrest reports or other event disposition reports.

4. All self-initiated calls should be recorded in the same manner as citizen calls for service.

#### Standard 4.8 - GEOCODING

Where practical, and in concert with Illinois Criminal Justice Information System requirements, police should establish a geographical coding system that allows addresses to be located on a coordinate system as a basis for collecting crime incidence statistics by beat, district, census tract, and by other "zoning" systems such as schools, planning zones, and zip codes.

#### Standard 5.1 - DECISION MAKING IN INDIVIDUAL CASES

A court information system should provide information unique to the defendant and to the case, such as the following:

1. Defendant background data and other characteristics needed in decision making such as defendant's family status, employment, residence, education, past history, indigency information relative to appointment of counsel, and such data as might be determined by a bail agency interview.
2. Current case history stating the proceedings already completed, the length of time between proceedings, continuances (by reason and source), representation, and other participants.

#### Standard 5.2 - CALENDAR MANAGEMENT IN THE COURTS

Courts should be provided with sufficient information on case flow to permit efficient calendar management. Basic data to support this activity include the following:

1. Periodic disposition rates by proceeding; these statistics can be used to formulate and adjust calendar caseload limits;
2. An attorney and police witness schedule which can be used to minimize scheduling conflicts;
3. Judge and courtroom schedule;
4. Range of time which proceedings consume;
5. An age index of all cases in pretrial or awaiting trial (by type of trial requested) to determine if special attention is required or the speedy trial rule endangered;
6. An index relating scheduled cases to whether the defendant is confined, released, rearrested, at large, or undergoing adjudication on a separate offense;
7. An index of multiple cases pending against individual defendants, to permit consolidation;

8. An index of information on possible or existing case consolidations; and

9. An index of defendants whose existing probation or parole status may be affected by the outcome of current court action.

10. A recapitulation of offenders booked in jail but not released, to determine if special attention is required.

#### Standard 5.3 - COURT MANAGEMENT DATA

For effective court administration, courts must have the capability to determine monthly case flow and judicial personnel workload patterns. This capability requires the following statistical data for both in misdemeanors and felonies:

1. Filing and dispositions -- number of cases filed and the number of defendants disposed of by offense categories;

2. Monthly inventory -- cases in pretrial or preliminary hearing stage; cases scheduled for trial (by type of trial) or preliminary hearing; and cases scheduled for sentencing, with delay since previous step in adjudication;

3. Status of cases on pretrial, settlement, or trial calendars -- number and percent of cases sent to judges; continued (listed by reason and source), settled, placed off-calendar; nolle prosequi, bench warrants; terminated by trial (according to type of trial);

4. Time periods between major steps in adjudication, including length of trial proceedings by type of trial;

5. Judges' workload -- number of cases disposed of by type of disposition and number of cases heard per judge by type of proceeding or calendar;

6. Prosecutor/defense counsel workload -- number of cases disposed of by type of disposition and type of proceeding or calendar according to prosecutor, appointed defense counsel, or private defense counsel representation;

7. Jury utilization -- number of individuals called, placed on panels, excused, and seated;

8. Number of defendants admitted to bail, released on their own recognizance, or retained in custody;

9. Number of witnesses called at hearings on serious felonies, other felonies, and misdemeanors; and

10. Courtroom utilization record.

#### Standard 5.4 - CASE MANAGEMENT FOR PROSECUTORS

For the purpose of case management, prosecutors shall be provided with the data and statistics to support charge determination and case handling. This capability shall include, as appropriate, the following:

1. A means of weighting cases according to prosecution priority, policy, and the probability of success;

2. Time periods between major steps in adjudication;

3. Daily calendar workloads and dispositions;

4. Age of cases in pretrial or awaiting trial (by type of trial) to determine in part whether the right to a speedy trial is enforced;

5. Case schedule index listing police witnesses, expert witnesses, defense counsel, assigned prosecutor, and type of hearing.

6. Record of continuances by case, number, and party requesting;

7. Selection criteria for witnesses at court hearings.

#### Standard 5.5 - RESEARCH AND EVALUATION IN THE COURTS

To create the capability for continued research and evaluation, courts should participate in or adopt for their own use a minimum set of data on the transactions between defendants and various court agencies, including the outcome of such transactions.



### Standard 6.1 - DEVELOPMENT OF A CORRECTIONS (INCLUDING PROBATION) INFORMATION SYSTEM

A corrections information system must satisfy the following requirements:

1. The information/statistics functions of offender accounting, administrative decisionmaking, ongoing research, and rapid response to questions should be supported.
2. The information now used or needed by corrections personnel at each decision point in the corrections system should be ascertained before the information system is designed.
3. The requirements of other criminal justice information systems for corrections data should be considered in the data base design. Interface between the corrections system and other criminal justice information systems should be developed.

### Standard 6.2 - UNIFORM CLASSIFICATION OF DATA

Uniform definitions should apply to all like data in all institutions and divisions of the corrections system. Standard procedures should be established and clearly outlined for recording, collecting, and processing each item of statistical data.

### Standard 6.3 - EXPANSION OF CORRECTIONS

The corrections information/statistics system should be flexible enough to allow for expansion of the data base and to meet new information needs. A modular system should be designed and implemented to provide this flexibility. Techniques should be established for testing new modules without disrupting the ongoing operation of the system. Interaction with planners and administrators should take place before the data base is expanded or new techniques are introduced.

#### Standard 6.4 - OFFENDER STATISTICAL DATA

The following types of corrections data about the offender should be collected. Minimum requirements are:

1. Official data, including date of entry into the correctional system, offenses and sentences, concurrent or consecutive sentences, recommendations of the court, conditions of work release or assignment to halfway houses or other community supervision, and county (court) of commitment or entry into the correctional system;
2. Personal data, including age, race, and sex; marital/family status; military experience; classification category; other test and evaluative information, job placement, housing arrangements, and diagnostic data; and
3. Historical data, including family data, educational data, occupational record, alcohol and drug use data, and prior criminal history.

The correctional system may not need all of the information described above for persons involved in short-term custody. Each system should make a careful determination of its information needs concerning short-term detainees.

#### Standard 6.5 - CORRECTIONS POPULATION AND MOVEMENT

The corrections information and statistics system should account for the number of offenders in each corrections program and the daily changes in those numbers. Offenders should be identified by the institution or jail in which they are incarcerated or the probation, parole, or other community program to which they are assigned.

Movement of an individual from one institution or program to another should be recorded in the corrections information system as soon as possible. Assignment to special status such as work release or weekend furlough also should be recorded to enable the system to account for all persons under supervision. Sufficient information must be recorded to identify the offender and the reason for movement. Each agency should record admissions and departures and give the reasons for each.

## Standard 6.6 - CORRECTIONS EXPERIENCE DATA

Prior to the release of the offender, data describing his corrections experiences should be added to his statistical record. When associated with postrelease outcomes, these data can be particularly valuable in evaluating correctional programs. Such data should include:

1. Summary of work and training experience, job placement, salary, etc.;
2. Summary of educational experience and accomplishments;
3. Participation in counseling or other specialized programs;
4. Participation in treatment for drug addiction or alcoholism;
5. Participation in special organizations (self-help groups, community-based programs);
6. Frequency of contacts with major programs, attempts to match offenders with directors of major programs, and direct services provided by the programs;
7. Services provided by other agencies outside the corrections system;
8. Summary of disciplinary infractions in an institution or violations of probation or parole; and
9. Special program exposure.

Much of this information will not be applicable to persons involved in short-term custody. Each system should make an appropriate determination of its information needs concerning short-term detainees.

## Standard 6.7 - EVALUATION THE PERFORMANCE OF THE SYSTEM

An information system for corrections should provide performance measures that serve as a basis for evaluation on two levels -- overall performance or system reviews as measured by recidivism and other performance measures, and program reviews that emphasize more immediate program goal achievement.

### Standard 7.1 - DATA ELEMENTS FOR OFFENDER-BASED TRANSACTION STATISTICS AND COMPUTERIZED CRIMINAL HISTORY RECORDS

Identical data elements should be used to satisfy requirements for similar information to be developed from either an OBTS or CCH system over all areas of the criminal justice system.

Advisory committees determining the designs of both systems should have some membership in common to assure data elements compatibility. Before completion of the data element list for both systems, conferees from both advisory committees should meet to confirm data element conformity.

The coding structure of all overlapping data elements should be developed to guarantee that both statistical and operational information will be available and comparable. Where national specifications and requirements for data element structure exist, they should be considered the minimum acceptable.

### Standard 7.2 - CRIMINAL JUSTICE AGENCY COLLECTION OF OBTS-CCH DATA

The collection of data required to satisfy both the OBTS and CCH systems should be gathered from operating criminal justice agencies in a single collection and be maintained in one place. Forms and procedures should be designed to assure that data coded by agency personnel meets all requirements of the information and statistics systems, and that no duplication of data is requested.

### Standard 7.3 - OBTS-CCH FILE CREATION

Files created as data bases for OBTS and CCH systems, because of their common data elements and their common data input from operating agencies, should be developed simultaneously and maintained as much as possible within a single activity.

Juvenile record information should not be entered into adult criminal history files or adult OBTS files.

#### Standard 7.4 - TRIGGERING OF DATA COLLECTION

With the exception of intelligence files, collection of criminal justice information concerning individuals should be triggered only by a formal event in the criminal justice process and contain only verifiable data. In any case where dissemination beyond the originating agency is possible, this standard should be inviolable.

#### Standard 7.5 - COMPLETENESS AND ACCURACY OF OFFENDER DATA

Agencies maintaining data or files on persons designated as offenders shall establish methods and procedures to insure the completeness and accuracy of data, including the following:

1. Every item of information should be checked for accuracy and completeness before entry into the system. In no event should inaccurate, incomplete, unclear, or ambiguous data be entered into a criminal justice information system. Data is incomplete, unclear, or ambiguous when it might mislead a reasonable person about the true nature of the information.

2. A system of verification and audit should be instituted. Files must be designated to exclude ambiguous or incomplete data elements. Steps must be taken during the data acquisition process to verify all entries. Systematic audits must be conducted to insure that files have been regularly and accurately updated. Where files are found to be incomplete, all persons who have received misleading information should be immediately notified. In no event should information about cases still pending be disseminated without information indicating the current case status.

3. Unless otherwise required by Illinois law, the following rules shall apply to purging these records:

- a. General file purging criteria. In addition to inaccurate, incomplete, misleading, unverified, and unverifiable items of information, information that, because of its age or for other reasons, is likely to be an unreliable guide to the subject's present attitudes or behavior should be purged from the system. Files shall be reviewed periodically.

b. Purging by virtue of lapse of time. Every copy of criminal justice information concerning individuals convicted of a serious crime should be purged from active files 10 years after the date of release from supervision. In the case of less serious offenses the period should be 5 years. Information should be retained where the individual has been convicted of another criminal offense within the United States, where he is currently under indictment or the subject of an arrest warrant by a U.S. criminal justice agency.

c. Use of purged information. Information that is purged but not returned or destroyed should be held in confidence and should not be made available for review or dissemination by an individual or agency except as follows:

(1) Where necessary for in-house custodial activities of the recordkeeping agency or for the regulatory responsibilities of the Illinois Criminal Justice Information Systems Board;

(2) Where the information is to be used for statistical compilations or research studies, in which the individual's identity is not disclosed and from which it is not ascertainable;

(3) Where the individual to whom the information relates seeks to exercise rights of access and review of files pertaining to him;

(4) Where necessary to permit the adjudication of any claim by the individual to whom the information relates that it is misleading, inaccurate, or incomplete; or

(5) Where a statute of a State necessitates inquiry into criminal offender record information beyond the 5- and 10-year limitations.

When the information has been purged and the individual involved is subsequently wanted or arrested for a crime, such records should be reopened only for purposes of subsequent investigation, prosecution, and disposition of that offense. If the arrest does not terminate in conviction, the records shall be reclosed. If conviction does result, the records should remain open and available.

Upon proper notice, a criminal justice agency should purge from its criminal justice information system all information about which a challenge has been upheld. Further, information should be purged by operation of statute, administrative regulation or ruling, or court decision, or where the information has been purged from the files of the State which originated the information.

#### Standard 7.6 - SEPARATION OF COMPUTERIZED FILES

For systems containing criminal offender data, the following protections should apply:

1. At the State level all criminal offender record information should be stored in a computer dedicated solely to and controlled by criminal justice agencies.

2. At the regional or local level, where limitations prevent the use of a solely dedicated computer, that portion of the computer and associated peripheral devices used by the criminal justice system should be under the management control of a criminal justice agency in the following manner:

- a. Files should be stored on the computer in such a manner that they cannot be modified, destroyed, accessed, changed, purged, or overlaid in any fashion by non-criminal-justice terminals.

- b. The senior criminal justice agency employee in charge of computer operations should write and install, or cause to have written and installed, a program that will prohibit inquiry, and record updates or destruction of records from any terminal other than criminal justice system terminals which are so designated.

The destruction of records should be limited to specifically designated terminals under the direct control of the criminal justice agency responsible for maintaining the files.

c. The senior criminal justice agency employee in charge of computer operations should have written and installed a classified program to detect and store for classified output all attempts to penetrate any criminal offender record information system, program, or file.

This program should be known only to the senior criminal justice agency employee, and the control employee and his immediate assistant, and the records of the program should be kept continuously under maximum security conditions. No other persons, including staff and repair personnel, should be permitted to know this program.

d. The appropriate criminal justice agency or agencies should obtain assurances of the necessary reliability and availability of the system, or system services they will use, by contractual arrangements.

3. Under no circumstances should criminal justice manual or computerized files be linked to or aggregated with non-criminal-justice files for the purpose of amassing information about a specified individual or specified group of individuals.

#### Standard 7.7 - ESTABLISHMENT OF COMPUTER INTERFACES FOR CRIMINAL JUSTICE INFORMATION SYSTEMS

The establishment of a computer interface to other criminal justice information systems will constitute the acceptance of responsibility for a control unit for those agencies served by the interface.

1. Each computer interface in the criminal justice hierarchy from local criminal justice information systems through the national systems will be considered a control terminal and allowed to interface if all of the identified responsibilities are accepted by that control unit.

2. Each control unit must maintain technical logging procedures and allow for 100 percent audit of all traffic handled by the interface. Criminal history response logs should be maintained for 2 years -- others for 1 year.

3. The control unit must maintain backup or duplicate copies of its files in secure locations away from the primary site.

4. All personnel involved in a system are subject to security checks.



5. The control unit must establish a log checking mechanism where machine-generated logs of other than "no record" responses are compared with manual terminal logs and discrepancies between the two resolved.

#### Standard 7.8 - THE AVAILABILITY OF CRIMINAL JUSTICE INFORMATION SYSTEMS

The availability of an automated information system should not be less than 90 percent. This availability must be measured at the output device serving the user and may in fact be several times removed (technically) from the data base providing the information.

For an on-line system, availability is the ratio of the time that the system is fully operating and can process inquiries to the time that it should be available.

For a batch process system, it is the percentage of the time it is processing jobs on schedule, according to a schedule predetermined by the user and the computing facility management.

## Standard 8.1 - SECURITY AND PRIVACY ADMINISTRATION

1. State Enabling Act. The State of Illinois should adopt enabling legislation for protection of security and privacy in criminal justice information systems. The enabling statute shall establish an administrative structure, minimum standards for protection of security and privacy, and civil and criminal sanction for violation of statutes or rules and regulations adopted under it.

2. Illinois Criminal Justice Information Systems Board (ICJISB). Illinois shall establish - by legislative act - a Criminal Justice Information Systems Board. Not less than one third of the members named to the Board shall be private citizens who are unaffiliated with the State's criminal justice system. The remainder shall include representatives of the criminal justice information systems and other appropriate government agencies. The ICJISB shall be vested with sufficient authority to adopt and administer security and privacy standards for all criminal justice information systems within Illinois and to establish the operating policies of the State CJS.

Civil and criminal sanctions should be set forth in the enabling act for violation of the provision of the statute or rules or regulations adopted under it. Penalties should apply to improper collection, storage, access, and dissemination of criminal justice information.

3. Training of System Personnel and Public Education. All persons involved in the direct operation of an automated criminal justice information system should be required to attend approved courses of instruction concerning the system's proper use and control. Instruction may be offered by any agency or facility, provided that curriculum, materials, and instructors' qualifications have been reviewed and approved by the Board.

Minimum course time should be 10 hours for operators, with 15 hours required of immediate supervisors. Each operator or supervisor shall attend a course of instruction within a reasonable period of time after assignment to the criminal justice information system.

The Board should conduct a program of public education concerning the purposes, proper use, and control of criminal justice information. It may make available upon request facilities, materials, and personnel to educate the public about the purposes, proper use, and control of criminal justice information.

## Standard 8.2 - SCOPE OF FILES

An item of data may be collected and stored in a criminal justice information system only if the potential benefits from its use outweigh the potential injury to privacy and related protected interests.

## Standard 8.3 - ACCESS AND DISSEMINATION

Unless otherwise required by Illinois law:

1. General Limits on Access. Information in criminal justice files should be made available only to public agencies which have both a "need to know" and a "right to know". The user agency should demonstrate, in advance, that access to such information will serve a criminal justice purpose.
2. Terminal Access. Criminal justice agencies should be permitted to have terminal access to computerized criminal justice information systems where they have both a need and a right to know. Non-criminal justice agencies having a need and right to know or being authorized by statute to receive criminal justice information should be supplied with such information only through the State CJIS under regulations set forth by the ICJISB.
3. Certification of Non-Criminal-Justice Users. ICJISB should receive and review applications from non-criminal-justice government agencies for access to criminal justice information. Each agency which has, by statute, a right to such information or demonstrates a need to know and a right to know in furtherance of a criminal justice purpose should be certified as having access to such information through the State CJIS.
4. Limited Access to Data. Criminal justice agencies should be entitled to all unpurged data concerning an individual contained in a criminal justice information system only on a need to know basis. Non-criminal-justice agencies should receive only those portions of the file directly related to the inquiry. Special precautions should be taken to control dissemination to non-criminal-justice agencies of information which might compromise personal privacy including strict enforcement of need to know and right to know criteria.

5. Arrest Without Conviction. All copies of information filed as a result of an arrest that is legally terminated in favor of the arrested individual should be expunged and returned to that individual within 60 days of final disposition and purged from automated systems, or if a court order is presented, or upon formal notice from one criminal justice agency to another. Information includes fingerprints and photographs. Such information should not be disseminated outside criminal justice agencies.

However, files may be retained if another criminal action or proceeding is pending against the arrested individual, or if he has previously been convicted in any jurisdiction in the United States of an offense that would be deemed a crime in Illinois, or if he is a fugitive, unless expungement is ordered by a court.

6. Dissemination. Dissemination of personal criminal justice information should be on a need and right to know basis within the government. There should be neither direct nor indirect dissemination of such information to nongovernmental agencies or personnel. Each receiving agency should restrict internal dissemination to those employees with both a need and right to know.

Legislation should be enacted which limits questions about arrests on applications for employment, licenses, and other civil rights and privileges to those arrests where records have not been returned to the arrested individual or purged. Nor shall employers be entitled to know about offenses that have been expunged by virtue of lapse of time.

7. Accountability for Receipt, Use, and Dissemination of Data. Each person and agency that obtains access to criminal justice information should be subject to civil, criminal, and administrative penalties for the willful improper receipt, use, and dissemination of such information.

The penalties imposed would be those generally applicable to breaches of system rules and regulations as noted earlier.

8. Currency of Information. Each criminal justice agency must ensure that the most current record is used or obtained.

#### Standard 8.4 - CRIMINAL HISTORY RECORD INFORMATION REVIEW

1. Right to Review Information. Every person should have the right to review criminal history record information relating to him. Each criminal justice agency with custody or control of criminal history record information shall make available convenient facilities and personnel necessary to permit such reviews. Criminal history records are those records kept by agencies to summarize the experience of an individual with that agency or with the criminal justice system, whether they are automated or manual records.

2. Review Procedures.

a. Any individual who believes that a criminal justice information system or criminal justice agency maintains criminal history record information concerning him, shall upon satisfactory verification of his identity, be entitled to review such information in person or through counsel and to obtain a certified copy of it for the purpose of challenge or correction.

b. A record of such review should be maintained by each criminal justice agency by the completion and preservation of an appropriate form. Each form should be completed and signed by the supervisory employee or agent present at the review. The reviewing individual should be asked, but may not be required, to verify by his signature the accuracy of the criminal history record information he has reviewed. The form should include a recording of the name of the reviewing individual, the date of the review, and whether or not any exception was taken to the accuracy, completeness, or contents of the information reviewed.

c. Each reviewing individual should be informed of his rights of challenge. He should be informed that he may submit written exceptions as to the information's contents, completeness or accuracy to the criminal justice agency with custody or control of the information. Should the individual elect to submit such exceptions, he should be furnished with an appropriate form. The form should include an affirmation, signed by the individual or his legal representative, that the exceptions are made in good faith and that they are true to the best of the individual's knowledge and belief. One copy of the form shall be forwarded to the Illinois CJIS Board.

d. The criminal justice agency should in each case conduct an audit of the individual's criminal history record information to determine the accuracy of the exceptions. The ICJISB and the individual should be informed in writing of the results of the audit. Should the audit disclose inaccuracies or omissions in the information, the criminal justice agency should cause appropriate alterations or additions to be made to the information, and should cause notice of such alterations or additions to be given to the Board, the individual involved, and any other agencies in this or any other jurisdiction to which the criminal history record information has previously been disseminated.

### **3. Challenges to Information.**

a. Any person who believes that criminal history record information that refers to him is inaccurate, incomplete, or misleading may request any criminal justice agency with custody or control of the information to purge, delete, modify, or supplement that information. Should the agency decline to do so, or should the individual believe the agency's decision to be otherwise unsatisfactory, the individual may request review by the ICJISB.

b. Such requests to the Board (in writing) should include a concise statement of the alleged deficiencies of the criminal history record information, shall state the date and result of any review by the criminal justice agency, and shall append a sworn verification of the facts alleged in the request signed by the individual or his attorney.

c. The Board should establish a review procedure for such appeals that incorporates appropriate assurances of due process for the individual.

## **Standard 8.5 - DATA SENSITIVITY CLASSIFICATION**

1. Each criminal justice agency maintaining criminal justice information should establish procedures in order to implement a sensitivity classification system. The general guidelines for this purpose are:

- a. Places and things should be assigned the lowest classification consistent with their proper protection.
- b. Appropriate utilization of classified places and things by qualified users should be encouraged.
- c. Whenever the sensitivity of places or things diminishes or increases it should be reclassified without delay.
- d. In the event that any place or thing previously classified is no longer sensitive and no longer requires special security or privacy protection it should be declassified.
- e. The originator of the classification is wholly responsible for reclassification and declassification.
- f. Overclassification should be considered to be as dysfunctional as underclassification.

It shall be the responsibility of the ICJISB to assure that appropriate classification systems are implemented, maintained and complied with by criminal justice agencies, within a given State.

#### Standard 8.6 - SYSTEM SECURITY

System security provisions should be instituted for an information system that are appropriate to the use of the system by the agency it serves, and to the sensitivity of the data in the system.

1. Protection from Accidental Loss. Information system operators should institute procedures for protection of information from environmental hazards including fire, flood, and power failure. Appropriate elements should include:

- a. Adequate fire detection and quenching systems;
- b. Watertight facilities;
- c. Protection against water and smoke damage;
- d. Liaison with local fire and public safety officials;
- e. Fire resistant materials on walls and floors;

- f. Air conditioning systems;
- g. Emergency power sources; and
- h. Backup files.

2. Intentional Damage to System. Agencies administering criminal justice information systems should adopt security procedures which limit access to information files. These procedures should include use of guards, keys, badges, passwords, access restrictions, sign-in logs, or like controls.

All facilities which house criminal justice information files should be so designed and constructed as to reduce the possibility of physical damage to the information. Appropriate steps in this regard include: physical limitations on access; security storage for information media; heavy duty, non-exposed walls; perimeter barriers; adequate lighting; detection and warning devices, and closed circuit television.

3. Unauthorized Access. Criminal justice information systems should maintain controls over access to information by requiring identification, authorization, and authentication of system users and their need and right to know. Processing restrictions, threat monitoring, privacy transformations (e. g., scrambling, encoding/decoding), and integrity management should be employed to ensure system security.

#### 4. Personnel Security.

a. Preemployment Screening: Applicants for employment in information systems should be expected to consent to an investigation of their character, habits, previous employment, and other matters necessary to establish their good moral character, reputation, and honesty. Giving false information of a substantial nature should disqualify an applicant from employment.

Investigation should be designed to develop sufficient information to enable the appropriate officials to determine employability and fitness of persons entering critical/sensitive positions. Whenever practicable, investigations should be conducted on a preemployment basis and the resulting reports used as a personnel selection device.



b. Clearance, Annual Review, Security Manual, and In-Service Training: System personnel including terminal operators in remote locations, as well as programmers, computer operators, and others working at, or near the central processor, should be assigned appropriate security clearances and should have their clearances renewed annually after investigation and review.

Each criminal justice information system should prepare a security manual listing the rules and regulations applicable to maintenance of system security. Each person working with or having access to criminal justice information files should know the contents of the manual. To this end, each employee should receive not less than 10 hours of training each year concerning system security.

c. System Discipline: The management of each criminal justice information system should establish sanctions for accidental or intentional violation of system security standards. Supervisory personnel should be delegated adequate authority and responsibility to enforce the system's security standards.

Any violations of the provisions of these standards by any employee or officer of any public agency, in addition to any applicable criminal or civil penalties, shall be punished by suspension, discharge, reduction in grade, transfer, or such other administrative penalties as are deemed by the criminal justice agency to be appropriate.

Where any public agency is found by the ICJISB willfully or repeatedly to have violated the requirements of the standard (act), the Board may, where other statutory provisions permit, prohibit the dissemination of criminal history record information to that agency, for such periods, and on such conditions as the Board deems appropriate.

#### Standard 8.7 - PERSONNEL CLEARANCES

1. The ICJISB shall also have the responsibility of assuring that a personnel clearance system is implemented and complied with by criminal justice agencies within the State.

2. Personnel shall be granted clearances for access to sensitive places and things in accordance with strict right to know and need to know principles.

3. In no event may any person who does not possess a valid sensitivity clearance indicating right to know have access to any classified places or things, and in no event may any person have access to places or things of a higher sensitivity classification than the highest valid clearance held by that person.

4. The possession of a valid clearance indicating right to know does not warrant unconditional access to all places and things of the sensitivity classification for which the person holds clearance. In appropriate cases such persons may be denied access because of absence of need to know.

5. In appropriate cases, all persons in a certain category may be granted blanket right to know clearance for access to places and things classified as restricted or confidential.

6. Right to know clearances for highly sensitive places and things shall be granted on a selective and individual basis only and must be based upon the strictest of personnel investigations.

7. Clearances shall be granted by the head of the agency concerned and shall be binding only upon the criminal justice agency itself, except that right to know clearances for members of the Board and the staff of the Board shall be granted and shall be valid for all purposes where a need to know exists.

8. Clearances granted by one agency may be given full faith and credit by another agency; however, ultimate responsibility for the integrity of the persons granted right to know clearances remains at all times with the agency granting the clearance.

9. Right to know clearances are executory and may be revoked or reduced to a lower sensitivity classification at the will of the grantor. Adequate notice must be given of the reduction or revocation to all other agencies that previously relied upon such clearances.

10. It shall be the responsibility of the criminal justice agency with custody and control of classified places and things to prevent compromise of such places and things by prohibiting access to persons without clearances or with inadequate clearance status.

11. The Board shall carefully audit the granting of clearances to assure that they are valid in all respects, and that the categories of personnel clearances are consistent with right to know and need to know criteria.

12. Criminal justice agencies shall be cognizant at all times of the need periodically to review personnel clearances so as to be certain that the lowest possible clearance is accorded consistent with the individual's responsibilities.

13. To provide evidence of a person's sensitivity classification clearance, the grantor of such clearance may provide an authenticated card or certificate. Responsibility for control of the issuance, adjustment, or revocation of such documents rests with the grantor. In any event, all such documents must have an automatic expiration date requiring affirmative renewal after a reasonable period of time.

#### Standard 8.8 - INFORMATION FOR RESEARCH

1. Research Design and Access to Information. Researchers who wish to use criminal justice information should submit to the agency holding the information a completed research design that guarantees adequate protection of security and privacy. Authorization to use criminal justice information should only be given when the benefits reasonably anticipated from the project outweigh the potential harm to security or privacy.

2. Limits on Criminal Justice Research. Research should preserve the anonymity of all subjects. In no case should criminal justice research be used to the detriment of persons to whom information relates nor for any purposes other than those specified in the research proposal. Each person having access to criminal justice information should execute a binding nondisclosure agreement with penalties for violation.

3. Role of ICJISB. The Board should establish uniform criteria for protection of security and privacy in research programs. If a research or an agency is in doubt about the security or privacy aspects of particular research projects or activities the advice of the Board through its staff should be sought. The Board should maintain general oversight of all research projects using criminal justice information.

4. Duties and Responsibilities of the Holding Agency. Criminal justice agencies should retain and exercise the authority to approve in advance, monitor, and audit all research using criminal justice information. All data generated by the research program should be examined and verified. Data should not be released for any purposes if material errors or omissions have occurred which would affect security and privacy.

## Standard 9.1 - STANDARDIZED TERMINOLOGY

To establish appropriate communications among local, State, and Federal criminal justice agencies, the data elements for identification, offense category and disposition on each offender shall be consistent with specifications prescribed in the NCIC operating manual, or if not covered in NCIC, the Project SEARCH Implementing State-wide Criminal Justice Statistics -- The Model and Implementation Environment Technical Report No. 4 and the National Criminal Justice Information and Statistics Service Comprehensive Data System guidelines. There may be a need for additional or translated equivalents of the standard data elements at individual agencies; if so, it shall be the responsibility of that agency to assure that the basic requirements of this standard are met.

## Standard 9.2 - PROGRAMING LANGUAGE

Every agency contemplating the implementation of computerized information systems should insure that specific programing language requirements are established prior to the initiation of any programing effort. The ICJISB should provide the direction concerning programing language requirements already in force, or establish the requirements based on current or projected hardware installation and programing needs (especially from a system standpoint) of present and potential users. The programing language(s) shall not be system- or manufacturer-dependent.

## Standard 9.3 - TELEPROCESSING

During the design phase of the development of information and statistics systems, each agency must provide sufficient resources to assure adequate teleprocessing capability to satisfy the intra- and inter-agency communications requirements. Attention should be given to other criminal justice information systems (planned or in operation) at the national, State and local levels to insure the design includes provision for interfacing with other systems as appropriate. Additionally, the specific requirements for internal communications must be included in the technical system design.

## Standard 10.1 - LEGISLATIVE ACTIONS

To provide a solid basis for the development of systems supporting criminal justice, at least three legislative actions are needed:

1. Statutory authority should be established for planning, developing, and operating State level information and statistical systems.
2. Illinois should establish, by statute, mandatory reporting of data necessary to operate the authorized systems.
3. Statutes should be enacted to establish security and confidentiality controls on all systems.

## Standard 10.2 - THE ESTABLISHMENT OF CRIMINAL JUSTICE USER GROUPS

All criminal justice information systems, regardless of the level at which they operate, must establish user groups. These groups should, depending on the particular system, have considerable influence over the operation of the system, its continuing development, and modifications to it.

1. A user group should be established from representatives of all agencies who receive service from the criminal justice information system.
2. The user group should be considered as an advisory board to ICJISB and local and/or regional CJIS operating agencies assisting in establishing the operating policy for the criminal justice information system.
3. The user group should also be responsible for encouraging utilization of the system in all agencies and should be directly concerned with training provided by both their own staff and the central agency.
4. Membership in the user group should include the officials who are actually responsible for the various agencies within the criminal justice system.
5. Technical representation on the user group should be of an advisory nature, should assist in providing information to the user group but should not be a voting or full member of the user group.

### Standard 10.3 - SYSTEM PLANNING

Each State should establish a plan for the development of information and statistical systems at State and local levels. Critical elements of the plan are as follows:

1. The plan should specify system objectives and services to be provided, including:
  - a. Jurisdictional (State, local) responsibilities;
  - b. Organizational responsibilities at the State level;
  - c. Scope of each system; and
  - d. Priorities for development.
2. The plan should indicate the appropriate funding source both for development and operation of the various systems.
3. The plan should provide mechanisms for obtaining user acceptance and involvement.

### Standard 10.4 - CONSOLIDATION AND SURROGATE SERVICE

In those cases where it is not economically feasible to provide the information support functions described in Standard 3 at the organizational level specified, these services should be provided through consolidation of adjacent units at the organizational level specified, or by the establishment of a "surrogate" at the next higher organizational level.

1. Agency support should be provided within the agency requiring the support. When economically infeasible, such services should be provided by a consortium of nearby agencies of similar type (e. g., two nearby police departments). Alternatively, such services can be provided by the local CJIS on a "service bureau" basis.

2. Local criminal justice information system services, if economically unjustified for an individual locality, should be provided by a regional CJIS composed of adjacent localities. Alternatively, such services can be provided by the State CJIS on a service bureau basis.

3. State CJIS functions, if economically unjustified for an individual State, should be provided on a regional basis by the collective action of several States. Provision of these services by the next higher (Federal) level of CJIS is not appropriate.

4. Financial responsibility for the provision of services in cases where consolidation or surrogate provisions are carried out should remain at the organizational levels specified in this standard.

The basis for establishing the costs of such service, and the quality of performance deemed adequate for the provision of each individual service rendered should be expressed in contractual terms and agreed to by all parties to the consolidation or surrogate relationship.

5. In cases of consolidation or surrogate relationships, a strong voice in the policies and general procedures of the information system should be vested in a users group in which all users of the system are represented.

6. If at all practical, surrogate agencies should provide the same level of data that would be provided if the lower level agencies had their own systems.

#### Standard 10.5 - SYSTEMS ANALYSIS AND DESIGN

Any individual systems covered under the plan described above, funded by Safe Streets Act moneys or other State grant programs, should be predicated on a system analysis and design consistent with the standards in this report.

## Standard 11.1 - PREIMPLEMENTATION MONITORING

Especially in the case of major projects, a system of preimplementation monitoring should be used by the ILEC staff, and reported upon before any funds are released for actual implementation. Preimplementation monitoring should consist of a continuous review, analysis, and assessment of available documentation and milestone achievement covering system analysis, design, development, and initial steps leading toward actual implementation. All items should be monitored relative to costs (both dollars and man-hours); milestone accomplishment (time); and quality (response time, scope, sophistication, and accuracy). Both intra- and interagency considerations should be included, particularly with respect to consistency with other planned or operational information and statistical systems.

The following items should be considered in this monitoring standard:

1. System Analyses Documentation.
2. System Requirement Documentation.
3. System Design Documentation.
  - a. Functional specifications;
  - b. Component flow charts;
  - c. Data base design (or administration);
  - d. Groupings of files;
  - e. Structure of data in files;
  - f. File maintenance;
  - g. File capacity;
  - h. Timeliness of data inputs to file;
  - i. Data standards;
  - j. Module interfaces/data links;
  - k. Edit criteria;
  - l. Output reports; and
  - m. Response time requirements.



4. System Development Documentation.
  - a. Module description;
  - b. Component description;
  - c. User manuals;
  - d. Operations description;
  - e. Data base description; and
  - f. Processing modes description (manual, computer-based batch, on-line, real-time).
5. System Implementation Documentation.
  - a. Component implementation report;
  - b. Data base implementation report;
  - c. Test plan report;
  - d. Hardware requirements report;
  - e. Software requirements report;
  - f. Physical site report;
  - g. Data security and confidentiality report;
  - h. Implementation monitoring report;
  - i. Impact evaluation report; and
  - j. System training report.

## Standard 11.2 - IMPLEMENTATION MONITORING

A key consideration in implementing systems is providing maximum assurance that the eventual operating system meets the design objectives. Implementation monitoring should employ a specific series of quantifiable measuring instruments that report on the cost and performance of component parts and the total system. The cost/performance monitoring of an operating or recently developed system should focus on: man-machine interaction, software (computer and/or manual processes), and hardware (computer and/or nonautomated equipment).

## Standard 11.3 - IMPACT EVALUATION

All major projects or programs supported by the ILEC should be evaluated in order to provide information for planning decisions. Impact evaluation should begin with an investigation of system outputs at the component level. Once individual components have been assessed as to their capability for supporting users, impact analyses should be conducted for larger aggregations made up first of multiple and then total components. This process permits criminal justice agencies to draw conclusions about the immediate and long-range effects of various inputs.

In general, an impact evaluation should determine: (1) what information, communication and decision processes in a criminal justice agency exhibit the greatest positive and negative impact due to the information and statistic system; and (2) what relationships exist between specific features of the system and the benefits to the user.

Impact evaluation should adhere to the following criteria:

1. Installation of the impact plan. Operation of each component of the system should be evaluated. Quantifiable data that is needed to evaluate an investigative file/data base includes:
  - a. Number of inquiries or file searches per specified time period;
  - b. Number of investigative leads or clues provided per specified period;
  - c. Number of accurate versus erroneous suspects identified;



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**2 OF 5**

d. Number of arrests as a result of identification by the system;

e. Number of criminal cases cleared as a result of an arrest and/or conviction; and

f. Dollar value of property recovered.

This should be computed on a per capita basis and cost ratio with the system. Similar formal evaluation should be undertaken of such files as traffic citations, calls for service, case reporting, in-custody, want/warrant, court scheduling, criminal histories, and so forth.

2. Analysis of operational impacts over time. Each component of the system as well as the entire system should be regularly analyzed. These evaluations should include the more significant data suggested above and should be focused on how much more effectively an agency is attaining its goals and objectives. For information systems serving multiple agencies, the evaluations should focus on achieving integrated criminal justice system goals.

3. Analysis of attitudinal and behavioral impacts over time. The entire system should be assessed for a change in the attitudes and behavior of the users. This is a relatively subjective evaluation but can be quantified by appropriate, periodic user surveys.

4. Analysis of management and planning capabilities. The system should be evaluated to learn if it aids criminal justice managers and planners in achieving coordination of resources. For example, how many criminal justice managers used the system and how often? What degree of support did the system provide the manager? In retrospect, how accurate was the system in planning? Was it accurate, for example, in predicting the calls for service in a reporting district over the subsequent 12 months? Or how effectively was a court calendar scheduled?

5. Analysis of management decisions as they relate to the cost of criminal justice operations. The system should be designed to report on the ratio of its cost to the expenses of overall agency operations. Cost centers should be established and the expense of the system reported by user and organizational unit. Costs should also be determined for criminal justice programs and processes (e.g., public relations programs, probation programs, the prevention/suppression process, etc.) on regional bases (county, area, State, country) as well as on a user or agency basis.

The revenue derived from the service of warrants, cost of the system per suspect arrested, and cost of the system in reducing response time are a few of the possible criteria to be used for a police agency. Similar standards can be generated for court and corrections systems. It may prove worthwhile to allocate a portion of each user unit's budget to support the cost of the information system.

6. Analysis of technology or equipment. The cost of a hardware should be subjected to a tradeoff analysis. For example, if a rotating filing cabinet were installed, what would be the monetary savings and user advantages in terms of more rapid access to warrants or prisoner records, accuracy of filing, and ease of file maintenance? Similarly, for computer systems: What are the savings and advantages? Will the information be available and helpful to more people? Are there some other uses for the equipment which would affect the net cost of the system?

7. Analysis of program and policy change. All programmatic and policy changes within the criminal justice agency should be related to the influence that the information and statistical system may exert on them.

8. Evaluation of achievement. Criminal justice personnel, management, and citizens in need of service are best qualified to measure how effectively the system aids accomplishment of the agency's goals. By far, the most challenging requirement is to assess the "worth" of an information system as it relates to a particular set of goals. To illustrate: Does the information system reduce police response time from 4 minutes to 2 on an average per call for service? Or, does the system aid in rehabilitation by predicting effective treatment methods for individual offenders? This analysis will necessarily be more subjective than others.

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APPENDIX i2

Report of the CJIS Review Advisory Committee

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APPENDIX iii

September 26, 1975 letter of Governor Daniel Walker to LEAA Administrator  
Richard Velde



September 26, 1975

REC-10  
3-1-75  
I. L. E. C.  
EXEC. DIR.

Mr. Richard W. Velde  
LEAA Administrator  
Law Enforcement Assistance  
Administration  
U.S. Department of Justice  
Washington, D.C. 20530

Dear Mr. Velde:

I have designated the staff of the Illinois Law Enforcement Commission to prepare and submit the Security and Privacy Implementation Plan as requested in your letter of June 13, 1975. David Fogel, Executive Director of ILEC, is authorized to approve the plan and he will submit it directly to the National Criminal Justice Information and Statistic Section of LEAA.

Sincerely,

/s/ Dan Walker

DW:RHS:amm

cc: Mr. David Fogel  
Mr. Eugene Eidenberg  
Mr. Richard H. Schnadig

OFFENSES

IN

CHAPTER 38 - CRIMINAL LAW AND PROCEDURE

ILLINOIS REVISED STATUTES

- - -

DIVISION I  
(Criminal Code of 1961)

- - -

DIVISION II  
(Miscellaneous Penal Provisions)

- - -

DIVISION V  
(Supplementary Provisions)

BUREAU OF IDENTIFICATION  
CRIMINAL JUSTICE INFORMATION SERVICES

STATUTE REFERENCE TABLE

Includes:

Chapter 38

Chapter 56 1/2

Chapter 95 1/2

APPENDIX ii2

October 20, 1975 Memorandum of Executive David Fogel  
To Chiefs of Police, Sheriffs



## ILLINOIS LAW ENFORCEMENT COMMISSION

120 SOUTH RIVERSIDE PLAZA  
CHICAGO, ILLINOIS 60606  
312/454-1560

MEMORANDUM FOR: CHIEFS OF POLICE      October 20, 1975  
SHERIFFS

FROM: DAVID FOGEL, Executive Director

A handwritten signature in dark ink, reading "D. Fogel", is written over the typed name "DAVID FOGEL".

SUBJECT: INFORMATION SYSTEM RULES & REGULATIONS

At a meeting of the Illinois Law Enforcement Commission (ILEC) devoted to discussions related to criminal justice information systems, members of the Commission indicated that there was widespread confusion among law enforcement agencies throughout the State with respect to the Criminal Justice Information Systems Rules and Regulations published by the U. S. Department of Justice on May 20, 1975, the effect of those Rules and Regulations on Illinois law enforcement agencies, and ILEC's role in the implementation planning process. I hope this memorandum will clarify those issues.

It is a clearly stated policy objective of the Law Enforcement Assistance Administration of the U. S. Department of Justice and the Illinois Law Enforcement Commission to assist criminal justice agencies in carrying out their statutory responsibilities. One of the top priorities that has emerged as a result of intensive consultation and planning at local, regional, state and federal levels within LEAA and ILEC is the development of improved, more efficient and more effective criminal justice information systems.

At the same time, the U. S. Congress and legislatures throughout the country have been focusing on legislative remedies to correct real and imagined abuses of the collection, maintenance, and dissemination of information about citizens by criminal justice agencies. The Senate of the United States is debating this month a bill (SB 2008) authored by Senator Tunney that would establish fairly comprehensive federal statutes governing the collection, maintenance, and dissemination of criminal justice information.

# REVIEW

CASE NUMBER

BCI :

[illegible]

REQUESTOR

## REVIEWING

AGENCY

(NAME, ADDRESS, TELEPHONE, NCIC NUMBER)

NAME

STREET ADDRESS

CITY

STATE

ZIP CODE

DATE OF BIRTH

SEX

RACE

TELEPHONE NUMBER

THIS IS A ROUGH COPY.

FORM BEING PRINTED BY VENDOR AT PRESENT TIME.

ITEMS TO BE REVIEWED

1

2

3

FOR EACH ITEM TO BE REVIEWED, INDICATE  
BELOW WHAT YOU BELIEVE TO BE THE CORRECT  
INFORMATION OR REASON FOR REVIEW. CITE  
ORIGINAL DOCUMENTS WHERE POSSIBLE.

1

2

3

REQUESTOR'S SIGNATURE:

DATE

UNSWEDEN 4 7 7

**LITIFICATION NUMBER**

### INSTRUCTIONS

1. TYPE or PRINT all information; use BLACK INK.
2. USE LEADS/NCIC abbreviation only.
3. ALL signatures must be present.
4. CORRECT and LEGIBLE entry of the CASE NUMBER and BCI number.
5. COMPLETENESS and ACCURACY of all information is essential.

Mail State Central Repository copies to:

DEPARTMENT OF LAW ENFORCEMENT  
Bureau of Identification  
Quality Assurance Unit  
515 E. Woodruff Road  
Joliet, Illinois 60432

Telephone No. 815/782-5242

REPORT OF THE CJIS  
POLICY REVIEW ADVISORY COMMITTEE

DEFINITIONS

§1. For the purposes of this Act--

(1) "Information system" means a system, whether automated or manual, operated or leased by Federal, regional, state, or local government or governments, including the equipment, facilities, procedures, agreements, and organizations thereof, for the collection, processing, preservation, or dissemination of information.

(2) "Criminal justice information system" means an information system for the collection, processing, preservation or dissemination of criminal justice information.

(3) "Criminal justice intelligence information system" means an information system for the collection, preservation, or dissemination of criminal justice intelligence information.

(4) "Automated system" means an information system that utilizes electronic computers, central information storage facilities, telecommunications lines, or other automatic data processing equipment used wholly or in part for data collection, analysis, or display as distinguished from a system in which such activities are performed manually.

(5) "Disposition" means information disclosing that criminal proceedings have been concluded, including information disclosing that the police have elected not to refer a matter to a prosecutor or that a prosecutor has elected not to commence criminal proceedings and also disclosing the nature of the termination in the proceedings; or information disclosing that proceedings have been indefinitely postponed and also disclosing the reason for such postponement. Dispositions shall include, but not be limited to, acquittal, acquittal by reason of insanity, acquittal by reason of mental incompetence, case continued without finding, charge dismissed, charge dismissed due to insanity, charge dismissed due to mental incompetency, charge still pending due to insanity, charge still pending due to mental incompetence, guilty plea, nolle prosequi, no paper, nolo contendere plea, convicted, deceased, deferred disposition, dismissed-civil action, extradited, found insane, found mentally incompetent, pardoned, probation before conviction, sentence commuted, adjudication withheld, mistrial-defendant discharged, or executive clemency.

(6) "Dissemination" means the transmission of information, mechanically, orally, or in writing.

(7) "Criminal justice information" means information on individuals collected or disseminated, as a result of arrest, detention, or the initiation of criminal proceeding, by criminal justice agencies, including arrest record information, correctional and release information, criminal history record information, conviction record information, identification record information, and wanted persons record information. The term shall not include statistical or analytical records or reports, in which individuals are not identified and from which their identities are not ascertainable. The term shall not include criminal justice intelligence information.



(8) "Arrest record information" means information concerning the arrest, detention, or commencement of criminal proceedings on an individual which does not include the disposition of the charge arising out of that arrest, detention, or proceeding.

(9) "Correctional and release information" means information on an individual compiled by a criminal justice or noncriminal justice agency in connection with bail, pretrial or posttrial release proceedings, reports on the mental condition of an alleged offender, reports on presentence investigations, reports on inmates in correctional institutions or participants in rehabilitation programs, and probation and parole reports.

(10) "Criminal history record information" means information disclosing both that an individual has been arrested or detained or that criminal proceedings have been commenced against an individual and that there has been a disposition of the criminal charge arising from that arrest, detention, or commencement of proceedings. Criminal history record information shall disclose whether such disposition has been disturbed, amended, supplemented, reduced, or repealed by further proceedings, appeal, collateral attack, or otherwise.

(11) "Conviction record information" means information disclosing that a person has pleaded guilty or nolo contendere to or was convicted on any criminal offense in a court of justice, sentencing information, and whether such plea or judgment has been modified.

(12) "Identification record information" means fingerprint classifications, voice prints, photographs, and other physical descriptive data concerning an individual which does not include any indication or suggestion that the individual has at any time been suspected of or charged with criminal activity.

(13) "Wanted persons record information" means identification record information on an individual against whom there is an outstanding arrest warrant including the charge for which the warrant was issued and information relevant to the individual's danger to the community and such other information that would facilitate the regaining of the custody of the individual.

(14) "Criminal justice intelligence information" means information on an individual on matters pertaining to the administration of criminal justice, other than criminal justice information, which is indexed under an individual's name or which is retrievable by reference to identifiable individuals by name or otherwise. This term shall not include information on criminal justice agency personnel, or information on lawyers, victims, witnesses, or jurors collected in connection with a case in which they were involved.

(15) "The administration of criminal justice" means any activity by a governmental agency directly involving investigation, apprehension, detention, pretrial release, posttrial release, prosecution, defense, adjudication, or rehabilitation of accused persons or criminal offenders or the collection, storage, dissemination, or usage of criminal justice information.

(16) "Criminal justice agency" means a court sitting in criminal session or a governmental agency created by law or any subunit thereof created by law, which performs as its principal function, as expressly authorized by law, the administration of criminal justice. A criminal justice agency also includes an organization which by contract with a criminal justice agency performs a function which is the administration of criminal justice but only to the extent that it performs that function. Any provision of this Act which relates to the activities of a criminal justice agency also relates to any information system under its management control or any such system which disseminates information to or collects information from that agency.

(17) "Purge" means to remove information from the records of a criminal justice agency or a criminal justice information system so that there is no trace of information removed and no indication that such information was removed.

(18) "Seal" means to close a record possessed by a criminal justice agency or a criminal justice information system so that the information contained in the record is available only (a) in connection with research pursuant to section 2 (d), (b) in connection with review pursuant to section 8 by the individual or his attorney, (c) in connection with an audit pursuant to section 13, or (d) on the basis of a court order pursuant to section 6.

(19) "Judge of competent jurisdiction" means (a) a judge of any court of general criminal jurisdiction of a State who is authorized by a statute of that State to enter orders authorizing access to criminal justice information; (b) a judge of a United States district court or a United States court of appeals; and (c) a Justice of the Supreme Court of the United States.

(20) "Attorney General" means the Attorney General of the State of Illinois.

(21) "State" means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, and any territory or possession of the United States.

TITLE II -- COLLECTION AND DISSEMINATION OF CRIMINAL JUSTICE INFORMATION  
AND CRIMINAL JUSTICE INTELLIGENCE INFORMATION  
Dissemination, Access and Use -- Generally

§2. (a) Criminal justice information may be maintained or disseminated, by compulsory process or otherwise, outside the criminal justice agency which collected such information, only as provided in this Act.

(b) Criminal justice information or intelligence information may be collected only by or disseminated only to officers and employees of criminal justice agencies: Provided, however, That beginning two years after enactment of this Act such information may be collected only by or disseminated only to officers and employees of criminal justice agencies which are expressly authorized to receive such information by Federal or State statute. Criminal justice information or criminal intelligence shall be used only for the purpose of the administration of criminal justice.

(c) Except as otherwise provided by this Act, conviction record information may be made available for purposes other than the administration of criminal justice only if expressly authorized by applicable State or Federal statute.

(d) Criminal justice information may be made available to qualified persons for research related to the administration of criminal justice under regulations issued by the Illinois Criminal Justice Information Systems Board, created pursuant to §10 hereof. Such regulations shall require preservation of the anonymity of the individuals to whom such information relates, shall require the completion of nondisclosure agreements by all participants in such programs and shall impose such additional requirements and conditions as the Illinois Criminal Justice Information Systems Board finds to be necessary to assure the protection of privacy and security interests. In formulating regulations pursuant to this section the Board shall develop procedures designed to prevent this section from being used by criminal justice information agencies arbitrarily to deny access to qualified persons for research purposes where they have otherwise expressed a willingness to comply with regulations issued pursuant to this section.

(e) No provision of this Act shall prohibit an employee of a criminal justice agency from confirming to members of the news media or any other citizen that an individual was arrested, detained, indicted, or that an information or other formal criminal charge was filed against the individual on a particular date at a particular place based on the employee's personal recollection or by reference to an original book of entry or police blotter maintained by a law enforcement agency at the place of original arrest or detention, not indexed or accessible by name and required to be made public, or by reference to court records of public criminal proceeding or official records of pardons or paroles indexed or accessible by date or indexed by name so long as such index only contains docket or file numbers of original court records.

§3. (a) Except as otherwise provided in this section and in section 4, a criminal justice agency may disseminate to another criminal justice agency only conviction record information.

(b) A criminal justice agency may report arrests to authorized central record keeping agencies and may otherwise disseminate arrest record information on an individual to another criminal justice agency --

(1) If that individual has applied for employment at the latter agency and such information is to be used for the sole purpose of screening that application,

(2) If the matter about which the arrest record information pertains has been referred to the latter agency for the purpose of commencing or adjudicating criminal proceedings and that agency may use the information only for a purpose related to that proceeding, or

(3) If the latter agency has arrested, detained, or commenced criminal proceedings against that individual for a subsequent offense, and the arrest record information in the possession of the former agency indicates (a) that there was a prior arrest, detention, or criminal proceeding commenced occurring less than one year prior to the date of the request, and (b) that active prosecution is still pending on the prior charge. In computing the one-year period, time during which the individual was a fugitive shall not be counted. The indication of all relevant facts concerning the status of the prosecution on the prior arrest, detention, or proceeding must be sent to the latter agency and that agency may use this information only for a purpose related to the subsequent arrest, detention, or proceeding.

(c) A criminal justice agency may disseminate criminal history record information on an individual to another criminal justice agency --

(1) If that individual has applied for employment at the latter agency and such information is to be used for the sole purpose of screening that application,

(2) If the matter about which the criminal history information pertains has been referred to the latter agency for the purpose of commencing or adjudicating criminal proceedings or for the purpose of preparing a pretrial release, posttrial release, or presentence report and that agency may use the information only for a purpose related to that proceeding or report, or

(3) If the requesting agency has arrested, detained, or commenced criminal proceedings against that individual for a subsequent offense or if the agency is preparing a pretrial release, posttrial release, or presentence report on a subsequent offense and such information is to be used only for a purpose related to that arrest, detention, or proceeding.

(d) A criminal justice agency may disseminate correctional and release information to another criminal justice agency or to the individual to whom the information pertains, or his attorney, where authorized by Federal or State statute.

(e) This section shall not bar any criminal justice agency which lawfully possesses arrest record information from obtaining or disseminating dispositions in order to convert that arrest record information to criminal history information.

§4. Identification record information may be disseminated to criminal justice and to noncriminal justice agencies for any purpose related to the administration of criminal justice. Wanted persons information may be disseminated to criminal justice and noncriminal justice agencies only for the purpose of apprehending the subject of the information.

§5. Agencies and individuals having access to criminal justice information shall not, directly or through any intermediary, disseminate, orally or in writing, such information to any individual or agency not authorized to have such information nor use such information for a purpose not authorized by this Act: Provided, however, That rehabilitation officials of criminal justice agencies with the consent of the person under their supervision to whom it refers may orally represent the substance of such individual's criminal history record information to prospective employers if such representation is in the judgment of such officials and the individual's attorney, if represented by counsel, helpful to obtaining employment for such individual. In no event shall such correctional officials disseminate records or copies of records of criminal history record information to any unauthorized individual or agency. A court may disclose criminal justice information on an individual in a published opinion in a public criminal proceeding.

§6. (a) Except as provided in subsection 2 (d) or in subsection (b) of this section, an automated criminal justice information system may disseminate arrest record information, criminal history record information, or conviction record information on an individual to another criminal justice agency only if the inquiry is based upon positive identification of the individual by means of identification record information. The Illinois Criminal Justice Information Systems Board shall issue regulations to prevent dissemination of such information, except in the above situations, where inquiries are based upon categories of offense or data elements other than identification record information. For the purpose of this section "positive identification" means identification by means of fingerprints or other reliable identification record information.

(b) Notwithstanding the provisions of subsection (a), access to arrest record information, criminal history record information, or conviction record information contained in automated criminal justice information systems on the basis of data elements other than identification record information shall be permissible if the criminal justice agency seeking such access has first obtained a class access warrant from a State judge of competent jurisdiction, if the information sought is the possession of a State or local agency or information system, or from a Federal judge of competent jurisdiction, if the information sought is in the possession of a Federal agency or information system. Such warrants may be issued as

a matter of discretion by the judge in cases in which probable cause has been shown that (1) such access is imperative for purposes of the criminal justice agency's responsibilities in the administration of criminal justice and (2) the information sought to be obtained is not reasonably available from any other source or through any other method. A summary of each request for such a warrant, together with a statement of its disposition, shall within ninety days of disposition be furnished the Illinois Criminal Justice Information Systems Board by the judge.

(c) Access to criminal justice information which has been sealed pursuant to section 7 shall be permissible if the criminal justice agency seeking such access has obtained an access warrant from a State judge of competent jurisdiction. Such warrants may be issued as a matter of discretion by the judge in cases in which probable cause has been shown that (1) such access is imperative for purposes of the criminal justice agency's responsibilities in the administration of criminal justice, and (2) the information sought to be obtained is not reasonably available from any other source or through any other method.

§7. Each criminal justice information system shall adopt procedures reasonably designed --

(a) To insure the physical security of the system, to prevent the unauthorized disclosure of the information contained in the system, and to insure that the criminal justice information in the system is currently and accurately revised to include subsequently received information. The procedures shall also insure that all agencies to which such records are disseminated or from which they are collected are currently and accurately informed of any correction, deletion, or revision of the records. Such regulations shall require that automated systems shall as soon as technically feasible inform any other information system or agency which has direct access to criminal justice information contained in the automated system of any disposition relating to arrest record information on an individual or any other change in criminal justice information in the automated system's possession.

(b) To insure that criminal justice information is purged or sealed when required by State or Federal statute, State or Federal regulations, or court order, or when, based on considerations of age, nature of the record, or the interval following the last entry of information indicating that the individual is under the jurisdiction of a criminal justice agency, the information is unlikely to provide a reliable guide to the behavior of the individual. Such procedures shall, as a minimum, provide --

(1) For the prompt sealing or purging of criminal justice information relating to an individual who has been free from the jurisdiction or supervision of any law enforcement agency for (a) a period of seven years if

such individual has previously been convicted of an offense classified as a felony under the laws of the jurisdiction where such conviction occurred, or (b) a period of five years, if such individual has previously been convicted of a nonfelonious offense as classified under the laws of the jurisdiction where such conviction occurred, or (c) a period of two years if no conviction of the individual occurred during that period, no prosecution is pending at the end of the period, and the individual is not a fugitive; and

(2) for the prompt sealing or purging of criminal history record information in any case in which the police have elected not to refer the case to the prosecutor or in which the prosecutor has elected not to commence criminal proceedings.

(c) To insure that criminal justice agency personnel may use or disseminate criminal justice information only after determining it to be the most accurate and complete information available to the criminal justice agency. Such regulations shall require that, if technically feasible, prior to the dissemination of arrest record information by automated criminal justice information systems, an inquiry is automatically made of and a response received from the agency which contributed that information to the system to determine whether a disposition is available.

(d) To insure that information may not be submitted, modified, updated, disseminated, or removed from any criminal justice information system without verification of the identity of the individual to whom the information refers and an indication of the person or agency submitting, modifying, updating, or removing the information.

§8. (a) Any individual who believes that a criminal justice information system or criminal justice agency maintains criminal justice information concerning him, shall upon satisfactory verification of his identity, be entitled to review such information in person or through counsel and to obtain a certified copy of it for the purpose of challenge, correction, or the addition of explanatory material, and in accordance with rules adopted pursuant to this section, to challenge, purge, seal, delete, correct, and append explanatory material. Nothing in this statute however, shall be deemed to give any individual the right to access to any specific data that identifies informers, witnesses, or jurors.

(b) Each criminal justice agency and criminal justice information system shall adopt and publish regulations to implement this section which shall, as a minimum, provide --

(1) The time, place, fee to the extent authorized by statute, and procedure to be followed by an individual or his attorney in gaining access to criminal justice information;

(2) That any individual whose record is not purged, sealed, modified, or supplemented after he has so requested in writing shall be entitled to a hearing within thirty days of such request before an official of the agency or information system authorized to purge, seal, modify, or supplement the criminal justice information at which time the individual may appear with counsel, present evidence, and examine and cross-examine witnesses;

(3) Any record found after such a hearing to be inaccurate, incomplete, or improperly maintained shall within thirty days of the date of such finding, be appropriately modified, supplemented, purged, or sealed;

(4) Each criminal justice information system shall keep and, upon request, disclose to such person the names of all persons, organizations, criminal justice agencies, noncriminal justice agencies, or criminal justice information systems to which and the date upon which such criminal justice information was disseminated;

(5) (a) beginning on the date that a challenge has been made to criminal justice information pursuant to this section, and until such time as that challenge is finally resolved, any criminal justice agency or information system which possesses the information shall disseminate the fact of such challenge each time it disseminates the challenged criminal justice information. In the case of a challenge to criminal justice information maintained by an automated criminal justice information system, such system shall automatically inform any other information system or criminal justice agency to which such automated system has disseminated the challenged information in the past, of the fact of the challenge and its status;

(b) if any corrective action is taken as a result of a review or challenge filed pursuant to this section, any agency or system which maintains or has ever received the uncorrected criminal justice information shall be notified as soon as practicable of such correction and immediately correct its records of such information. In the case of the correction of criminal justice information maintained by an automated criminal justice information system, any agency or system which maintains or has ever received the uncorrected criminal justice information shall if technically feasible be notified immediately of such correction and shall immediately correct its records of such information; and

(6) the action or inaction of a criminal justice information system or criminal justice agency on a request to review and challenge criminal justice information in its possession as provided by this section shall be reviewable by the appropriate Illinois court pursuant to a civil action under section 15.

(c) No individual who, in accord with this section, obtains criminal justice information regarding himself may be required or requested to show or transfer records of that information to any other person or any other public or private agency or organization: Provided, however, That if a Federal or State statute expressly so authorizes, conviction record information may be disseminated to noncriminal justice agencies and an individual might be requested or required to show or transfer copies of records of such conviction record information to such noncriminal justice agencies.

§9. (a) Criminal justice intelligence information shall not be maintained in criminal justice information systems.



(b) Criminal justice intelligence information shall not be maintained in automated systems.

#### ILLINOIS CRIMINAL JUSTICE INFORMATION SYSTEMS BOARD

§10. (a) CREATION AND MEMBERSHIP -- There is hereby created an Illinois Criminal Justice Information Systems Board (hereinafter the "Board") which shall have overall responsibility for the administration and enforcement of this Act. The Board shall be composed of eleven members.

(1) The Board shall be composed of eleven members appointed by the Governor, nine of which shall be appointed with the advice and consent of the Illinois Senate.

(2) Of the two members appointed by the governor alone, one shall be the Director of the Department of Law Enforcement and one shall be a private citizen.

(3) Of the nine members appointed by the governor with the advice and consent of the Illinois Senate, two will be representatives of State criminal justice agencies; three shall be representatives of county or municipal criminal justice agencies; and four will be private citizens including persons well-qualified in such fields as law, information systems technology, and business, and not excluding an ex-offender who has been free from criminal justice jurisdiction for at least five years.

(b) QUORUM AND COMPENSATION OF MEMBERS --

(1) The Governor shall designate the Chairman of the Board. Six members shall constitute a quorum for the transaction of business. There shall be no voting by proxy.

(2) Members of the Board who are not public employees shall be compensated at the rate of \$100 per day for each day spent on the work of the Board, and all members shall be paid actual travel expenses and per diem in lieu of subsistence expenses when away from their usual places of residence, at the same rate as members of the legislature.

(3) The Board may appoint and fix the compensation of a staff director, legal counsel, and such other staff personnel as it deems appropriate, in accordance with state personnel policies and appropriate rates of compensation.

(c) AUTHORITY -- For the purpose of carrying out its responsibilities under the Act the Board shall have authority to --

(1) Issue regulations as authorized by law;

(2) Review and disapprove of regulations issued by any criminal justice agency which the Board finds to be inconsistent with the Act;

(3) Bring actions under section 15 for declaratory and injunctive relief;

(4) Conduct an ongoing study of the policies of various agencies of the State of Illinois in the operation of information systems;

(5) Require any department or agency of the State of Illinois or criminal justice agency to submit to the Board such information and reports with respect to its policy and operation of information systems or with respect to its collection and dissemination of criminal justice information or criminal justice intelligence information and such department or agency shall submit to the Board such information and reports as the Board may reasonably require; and

(6) Conduct audits as required by Section 13; and

(7) Where any criminal justice agency, after a hearing, is found by the Board willfully or repeatedly to have violated the requirements of this Act or the regulations issued by the Board, the Board may prohibit the dissemination of criminal justice information to that agency, for such periods, and on such conditions as the Board deems appropriate.

(d) REPORT TO GENERAL ASSEMBLY AND TO THE GOVERNOR --

The Board shall issue an annual report to the General Assembly and to the Governor. Such report shall at a minimum contain --

(1) The results of audits conducted pursuant to Section 13;

(2) A summary of public notices filed by criminal justice information systems, criminal justice intelligence information systems, and criminal justice agencies pursuant to Section 12; and

(3) Any recommendations the Board might have for new legislation on the operation or control of information systems or on the collection and control of criminal justice information or criminal justice intelligence information.

§11. The Board shall, after appropriate consultation with representatives of State and local criminal justice agencies participating in information systems covered by this Act and other interested parties, promulgate such rules, regulations, and procedures as it may deem necessary to effectuate the provisions of the Act. The Board shall follow the provisions of the Illinois Administrative Procedure Act with respect to the issuance of such rules. All regulations issued by the Board or any criminal justice agency pursuant to this Act shall be published and easily accessible to the public.

## PUBLIC NOTICE REQUIREMENT

§12. Any criminal justice agency maintaining an automated criminal justice information system or a criminal justice intelligence information system shall give public notice of the existence and character of its system once each year. Any agency maintaining more than one system shall publish such annual notices for all its systems simultaneously. Any agency proposing to establish a new system, or to enlarge an existing system, shall give public notice long enough in advance of the initiation of the enlargement of the system to assure individuals who may be affected by its operation a reasonable opportunity to comment. The public notice shall be transmitted to the Board and shall specify --

- (1) The name of the system;
- (2) The nature and purposes of the system;
- (3) The categories and number of persons on whom data are maintained;
- (4) The categories of data maintained, indicating which categories are stored in computer-accessible files;
- (5) The agency's operating rules and regulations issued pursuant to sections 7 and 8 of the agency's policies and practices regarding data information storage, duration of retention of information, and disposal thereof;
- (6) The categories of information sources;
- (7) A description of all types of use made of information, indicating those involving computer-accessible files, and including all classes of users and the organizational relationships among them; and
- (8) The title, name, and address of the person immediately responsible for the system.

§13. (a) No more than once every two years the Board may conduct an audit of the practices and procedures of any agency which collects and disseminates information pursuant to this Act to insure compliance with its requirements and restrictions.

(b) Each criminal justice information system shall conduct an audit of its own practices and procedures once annually.

(c) The results of audits made under subsection (b) shall be made available to the Board which shall report the results of such audits once annually to the Illinois General Assembly by May 1 of each year beginning on May 1 following the first full calendar year after the effective date of the Act.

## CIVIL REMEDIES

§14. (a) Any person aggrieved by a violation of this Act shall have a civil action for damages or any other appropriate remedy against any person, system, or agency responsible for such violation after he has exhausted the administrative remedies provided by section 8.

(b) The Board shall have a civil action for declaratory judgments, cease and desist orders, and such other injunctive relief against any criminal justice agency, criminal justice information system, or criminal justice intelligence information system within its regulatory jurisdiction.

(c) Such person, agency, or the Board may bring a civil action under this Act in any Circuit Court of Illinois in the country in which the violation occurs, or in any county in which such person resides or conducts business, or has his principal place of business.

(d) In any action brought pursuant to this Act, the Court may in its discretion issue an order enjoining maintenance or dissemination of information in violation of this Act, or correcting records of such information or any other appropriate remedy except that in an action brought pursuant to subsection (b) the court may order only declaratory or injunctive relief. In any action brought pursuant to this Act the court may also order the Board to conduct an audit of the practices and procedures of the agency in question to determine whether information is being collected and disseminated in a manner inconsistent with the provisions of this Act.

(e) In an action brought pursuant to subsection (a), any person aggrieved by a violation of this Act shall be entitled to a \$500 recovery for each violation plus actual and general damages and reasonable attorneys' fees and other litigation costs reasonably incurred. Exemplary and punitive damages may be granted by the court in appropriate cases brought pursuant to subsection (a). Any person, system, or agency responsible for violations of this Act shall be jointly and severally liable to the person aggrieved for damages granted pursuant to this subsection. Any criminal justice information system or any criminal justice intelligence information system which facilitates the transfer of information in violation of this Act shall be jointly and severally liable along with any criminal justice agency or person responsible for a violation of this Act.

(f) For the purposes of this Act the State of Illinois shall be deemed to have consented to suit, and any agency or system operated by the State of Illinois, found responsible for violation shall be liable for damages, reasonable attorneys' fees, and litigation cost as provided in subsection (e).

§15. Whoever willfully disseminates, maintains, or uses information knowing such dissemination, maintenance, or use to be violation of this Act shall be fined not more than \$5,000 or imprisoned for not more than five years, or both.

§16. If any provision of this Act or the application thereof to any person or circumstance is held invalid, the remainder of the Act and the application of the provision to other persons not similarly situated or to other circumstances shall not be affected thereby.

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**APPENDIX i3**

**Analysis of LEAA Regulations in Comparison With CJIS Standards and Policy Advisory  
Committee Report**

**Analysis of LEAA Regulations in Comparison With**  
**CJIS Standards and Policy Advisory Committee Report**

Prepared by:  
Criminal Justice Information Systems Staff  
Illinois Law Enforcement Commission  
November 21, 1975

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Analysis of LEAA Regulations in Comparison with  
CJIS Standards and Policy Advisory Committee Report

Introduction

The following constitutes an analysis of the provisions of the Department of Justice CJIS Regulations (the Regulations), governing all state and local agencies and individuals receiving LEAA funds for the purpose of collecting, storing, or disseminating criminal history record information, with ILEC's own CJIS Standards (the Standards) and the Report of the CJIS Policy Advisory Committee (the Report).

Specifically, the term "criminal history record information" is defined and discussed with respect to three basic issues:

1. What is the scope of criminal history record information files; i.e., how are they created, and what do they contain?
2. How is criminal history record information controlled?
3. To whom may criminal history record information be disseminated and under what conditions?



## SUMMARY OF ANALYSIS

PROVISIONS OF SOURCE DOCUMENTS	REGS	STDS	RPT
Definition of Criminal History Record Information.....	C	C	C
Creation of Criminal History Record Information.....	C	C	C

### Contents of Criminal History Record Information

complete and accurate.....	C	C	C
exclusions.....	C	C	C
sealed or purged.....		n	n

### Control of Criminal History Record Information

by dedication.....	n	n	
by treating manual & computerized systems the same	C	C	I
by establishing a State central repository.....	C	C	C
by establishing a Security and Privacy Council....	C	C	C
by conducting annual audits.....	C	C	n
by creating audit trails through retention logs...	C	C	
by maintaining physical & environmental security..	C	C	C
by maintaining personnel security checks.....	C	C	
through special education & training of personnel.	C	C	
upon use by non-criminal justice agencies.....	n	n	
upon use of juvenile record information.....	n	n	
by giving public notice of computerized systems...			n
by expunging records.....		n	

### Dissemination of Criminal History Record Information

between criminal justice agencies.....	C	C	I
to non-criminal justice agencies.....	C	C	I
for individual access & review.....	I	C	C

#### KEY

REGS = Department of Justice, Criminal Justice Information Systems Regulations  
 STDS = ILEC Criminal Justice Information Systems Standards  
 RPT = Report of the Criminal Justice Information Systems Policy Advisory Committee  
 C = compatible with another source document  
     = provision omitted in source document  
 I = incompatible with another source document  
 n = neither compatible or incompatible, provision merely differs from another source document

### General Analysis

By definition, "criminal history record information" means data collected by criminal justice agencies about individuals, consisting of identifiable descriptions and summary notations of formal events occurring in the criminal justice system, and any dispositions arising therefrom. This definition is completely consistent with the Regulations and the Report, as well as with data elements of OBTS-CCH mentioned in the Standards.

Regarding the creation and contents of criminal history record information files, the criteria of all three of the documents are in agreement. Moreover, they all mandate that criminal history record information contain reliable information and, to that end, make accurate record keeping a requirement of every criminal justice agency.

The only variation by any of the documents, with respect to the scope of the files issue, is found in the area of sealing or purging their contents. The Regulations omit this procedure in favor of leaving this decision to the individual states, whereas, both the Standards and the Report call for the purging of files, once certain conditions have occurred.

On the whole, with respect to controlling the use of criminal history record information, the methods employed by the Regulations and Standards are consistent with each other. The Report, on the other hand, chooses means which vary markedly from the other two documents. For instance, the Report would treat computerized criminal history record information differently from manual systems. The Report also omits several important control mechanisms found in both the Regulations and Standards and therefore is not compatible with their control provisions.

The greatest discrepancies found among the documents exist in the manner in which they handle dissemination of criminal history record information. With respect to disseminating criminal history record information to other criminal justice agencies, the provisions of the Report are more limiting and restrictive than those of the Regulations or the Standards. On the other hand, with respect to access by non-criminal justice agencies and individuals, the Report applies much looser criteria than those found in either the Regulations or the Standards.

Generally, the procedures for obtaining individual access to review one's personal criminal history record are the same in all three of the documents, with one major exception. The Regulations allow an individual to obtain only a list of non-criminal justice agencies receiving his or her criminal history record, while both the Standards and the Report permit an individual upon request to obtain a list of all the recipients.

## Detailed Analysis

### Creation of Criminal History Record Information

A criminal history record concerning an individual is created by the triggering of some formal proceeding in the criminal justice system. All three documents conform to this criteria, explicitly in the case of the Regulations and Standards, implicitly in the case of the Report.

### Contents of Criminal History Record Information

Specific types of information are excluded by the documents from the definition of criminal history record information. For example, identification information such as fingerprint records, as well as wanted persons posters, police blotters and court records compiled chronologically, or published court opinions are not considered criminal history record information. Under the Report, arrest information lacking dispositions will not qualify as criminal history record information.

The Regulations omit any requirements calling for the purging or sealing of the contents of criminal history record information. On the other hand, both the Standards and the Report require the purging of any information which, because of some indication of inaccuracy, would be unlikely to provide a reliable guide to the behavior or present attitude of the individual. Specifically, the Standards demand purging after a ten year period following release from a felony conviction and five years subsequent to release from a misdemeanor. The Report mandates seven and five year criteria, respectively, and contains an additional provision for sealing or purging the contents of criminal history record information two years after an arrest for which no prosecution is currently pending.

## Control of Criminal History Record Information

One crucial and controversial issue with respect to the control of criminal history record information is the concept of a dedicated computer system. The LEAA Regulations first demanded that all systems be totally dedicated, both at the State and local levels. That position, however, is now in the process of being modified. The Standards require dedication at the State level only. The Report omits this question altogether.

Similarly, the pros and cons of manual versus computerized information systems have been debated often. The Regulations and the Standards make no special distinctions in dealing with either manual or computerized systems. The Report, however, does distinguish between the two and would limit criminal justice agency access to criminal history record information contained in automated systems. For example, access sought on the basis of data elements other than identification record information would be permitted only if the requesting agency has first obtained a class access warrant based upon a probable cause showing that such access is "imperative" to carrying out the criminal justice agency's responsibilities and that the information is not reasonably obtainable from some other source or through another method. Therefore, by treating automated systems differently, the Report is not in line with the Regulations or the Standards.

The establishment of a State central repository to act as a clearinghouse for maintaining complete and accurate criminal history record information is another means of controlling its use. The Regulations mandate that procedures be established for criminal justice agencies to query the State central repository for the most current version prior to any dissemination, except in cases where time is of the essence. Similarly, the CJIS Standards call for the establishment of a State central repository. While the Report neither accepts nor rejects the concept of centralization, it could reasonably be inferred that the Report contemplates a central repository due to its provision that allows for a criminal justice agency to "report arrests to authorized central record

Moreover, the Report permits any criminal justice agency possessing arrest record information to obtain or disseminate dispositions in order to convert the notation of arrest into criminal history record information. Practically, a central repository would be necessary to facilitate this task.

All the documents indicate the necessity of establishing an independent authority to administer and control the use of criminal history record information. The CJIS Standards and the Report explicitly call for the creation of an independent State CJIS Board to adopt, administer, and enforce security and privacy regulations. Since the LEAA Regulations require that an impartial State Authority audit the dissemination of criminal history record information by the State central repository, as well as provide for a means of appellate review for those persons challenging their records, the need for an Illinois CJIS Board is similarly confirmed by them.

The question of auditing the use of criminal history record information is another issue of major concern. The Regulations call for annual audits of State and local criminal justice agencies chosen on a random basis, as well as for the retention of dissemination logs for at least one year. The Standards are consistent with this provision by calling for periodic quality controls and verification audits by criminal justice agencies and retention of dissemination logs for a period of at least two years. The Report, however, limits the scope of audits to annual reviews of a criminal justice agency, conducted by the criminal justice agency itself. It also limits the Illinois CJIS Board to conducting audits only once every two years. Moreover, the Report does not require any retention of audit logs, and therefore, is not consistent with the other documents.

An important method of controlling the use of criminal history record information is through the maintenance of stringent guidelines with respect to checking physical, environmental and personnel security. All the documents require that physical and environmental safeguards be maintained for criminal history record information systems. In addition, both the Regulations and the Standards provide for personnel security.

checks and clearances as well as for their periodic review. The Report however, does not. Moreover, the Report omits the features found in both the Regulations and the Standards requiring special education and training courses for employees dealing with criminal history record information as a means of maintaining quality security levels.

Secondary dissemination of criminal history record information by non-criminal justice agencies or individuals presents a pressing problem which is difficult to control. The Regulations limit disseminations to non-criminal justice agencies to the purposes for which they were given, and would prohibit any further disseminations by them. They suggest enforcing this position by statute or by imposing strict "user contracts" upon the recipients. Similarly, the Standards require that any non-criminal justice agency or individual must receive certification by the Illinois CJIS Board in addition to demonstrating a right and a need to receive the information. The Report is silent as to the types of controls it would place upon non-criminal justice agencies.

Limiting the use of juvenile record information through specific control procedures is another important issue raised by the documents. The Regulations prohibit access to them by non-criminal justice agencies, unless specifically authorized by statute or executive order. The Standards prohibit the maintenance of juvenile record information in adult information files altogether. The Report does not mention the issue.

One additional feature of the Report, however, not found in the other two documents is the requirement that each criminal justice agency maintaining an automated system give public notice of the existence and character of its system at least once each year. A provision of the Standards omitted in the other documents is the requirement that all copies of information, including fingerprints and photographs, filed as result of an arrest which terminated in favor of the defendant be expunged and returned to the individual within sixty days of the final disposition.

## Dissemination of Criminal History Record Information

The criteria found in the Regulations and the Standards for permitting dissemination of criminal history record information between criminal justice agencies are generally consistent with each other. However, the provisions of the Report are at odds with the other two documents. Rather than allowing criminal justice agencies to disseminate criminal history record information freely, provided it is for criminal justice purposes and the requesting criminal justice agency can demonstrate both the need and legal right to know the information, the Report would limit criminal justice agency access to those instances where:

1. the individual has an employment application pending with the requesting criminal justice agency; or
2. the person has an active case pending that has been referred to the requesting agency for the purpose of commencing criminal proceedings or preparing pretrial, posttrial, or presentence reports; or
3. the requesting agency needs the information, with respect to a subsequent offense, for the commencement of criminal proceedings or for preparing similar reports.

Disseminations of criminal history record information to non-criminal justice agencies or individuals are, as a general rule, forbidden to some extent by all the documents. There is one common exception among all the documents, however, which would allow dissemination to anyone for the purpose of conducting statistical research and evaluations which cannot be identified with any specific individual. Both the Regulations and the Report prohibit disseminations to non-criminal justice agencies only if arrest records lack dispositions and more than one year has elapsed with no active prosecution pending. The Standards prohibit disseminations



to non-criminal justice agencies altogether, unless a legal right to know, demonstrated by statute or executive order, and the need to know can be shown.

The Report would allow for a greater degree of access, with respect to dissemination to non-criminal justice agencies, than those situations defined by the Regulations. For instance, under the Report, rehabilitation officials may, with consent of the individual, orally give criminal history record information to prospective employers if it were to be considered beneficial in gaining employment. This practice is forbidden by the Regulations. Another example is demonstrated by the fact that the Report allows an employee of a criminal justice agency to confirm information to the public concerning a formal event in the criminal justice system about an individual on a particular date, at a particular time. This disclosure, according to the Report, can be based solely upon the employee's personal recollection, thus creating an exclusion not mentioned in the Regulations.

With respect to a person's ability to gain access to his or her criminal history record, all the source documents have similar procedures. The LEAA Regulations differ from the Standards and the Report in that an individual whose record has been corrected would be limited to obtaining a list of only those disseminations made to non-criminal justice agencies. The Standards, implicitly, and the Report, explicitly, would permit the individual to receive a list of all the agencies obtaining access, criminal justice or non-criminal justice. In this respect, the Report goes even further than the other documents by specifically entitling the individual to a hearing within thirty days, to appear with counsel, to present evidence, and to cross-examine witnesses. The Report also requires that all recipients of criminal history record information be notified when the record is under challenge of that fact.

Of immediate concern to all criminal justice agencies now, however, is Section 524(b) of the Omnibus Crime Control and Safe Streets Act of 1968 as amended by the Crime Control Act of 1973. That Section reads:

"All criminal history information collected, stored, or disseminated through support under this title shall contain, to the maximum extent feasible, disposition as well as arrest data where arrest data is included therein. The collection, storage, and dissemination of such information shall take place under procedures reasonably designed to insure that all such information is kept current therein; the (Law Enforcement Assistance) Administration shall assure that the security and privacy of all information is adequately provided for and that information shall only be used for law enforcement and criminal justice and other lawful purposes. In addition, an individual who believes that criminal history information concerning him contained in an automated system is inaccurate, incomplete, or maintained in violation of this title, shall, upon satisfactory verification of his identity, be entitled to review such information and to obtain a copy of it for the purpose of challenge or correction."

Section 524(c) of the same Act reads: "Any person violating the provisions of this section, or of any rule, regulation, or order issued thereunder, shall be fined not to exceed \$10,000, in addition to any other penalty imposed by law."

The LEAA Criminal Justice Information System Rules and Regulations were issued pursuant to Section 524(b) and Section 501 (which gives LEAA authority to issue Rules and Regulations). Those Rules and Regulations are, therefore, now an official part of the Code of Federal Regulations (Chapter I of Title 28) and have the effect of law.

Under the Regulations, each State is required to:

- (1) submit a plan, by December 16, 1975, indicating how criminal justice agencies within that State will develop operational procedures to comply with the law no later than December 31, 1977;
- (2) submit certifications, by December 16, 1975, indicating which of the operational procedures identified in the plan are being complied with now; and
- (3) have completely operational, by December 16, 1975, procedures providing for an individual's access and review of his criminal history information.

Each governor was asked to designate a state agency to submit the plan and certifications to LEAA. Governor Walker called upon the ILEC staff to provide this coordination and planning function.

Because the Regulations impose special restrictions upon the "State Central Repository" (in Illinois, the Department of Law Enforcement's Bureau of Identification) and those agencies that provide information services similar to those provided by the State Central Repository, and because the policies developed by the State Central Repository pursuant to the Regulations will have an effect on nearly all criminal justice agencies using the Bureau of Identification and LEADS, we asked the Department of Law Enforcement to develop their implementation plan and certification statement immediately, explain their plan to local law enforcement agencies, and provide assistance to local law enforcement agencies with respect to whatever plans and certifications are required from local agencies under the Regulations. A session was presented at the LEADS conference in Springfield (to which all LEADS users were invited) and five regional seminars were held throughout the State earlier this month (to which all law enforcement agencies were invited).

Further, because the individual access and review regulations clearly involve the State Central Repository and a State administrative appeal procedure, we asked the Department of Law Enforcement to draft appropriate State regulations and procedures and to discuss these procedures with local law enforcement agencies at the regional seminars. Every law enforcement agency attending one or more of the seminars received copies of the draft regulations and instructions for Illinois' implementation of the individual access and review Regulations. Agencies that did not attend at least one of the seminars will receive copies of the draft regulations and instructions (and other materials) from the Department of Law Enforcement for review and comment.

For your information, we have asked the Administrative Office of the Illinois Courts to coordinate the submission of plans and certifications to ILEC with respect to the judicial system in Illinois, and we have asked the Illinois State's Attornies Association to assist in the preparation of plans and certifications as required of prosecutors.

It is our responsibility to collect the submissions of the various components of the Illinois criminal justice system and prepare the State's submission for LEAA.

There apparently is some confusion as well about the standing of the "Privacy and Security Planning Instructions" which were distributed. While those instructions, which interpret the Regulations, do not have the force of law (as the Regulations do), the instructions were prepared at the request of LEAA; they were reviewed by LEAA; and since LEAA has clear authority to approve or disapprove of Illinois' plan and certifications based upon their interpretations of the actual Regulations, it seems prudent to use the instructions and interpretations with that in mind.

Let me stress, however, that in those instances where law enforcement agencies can demonstrate that LEAA's interpretations of their Regulations make it impossible or impractical for law enforcement agencies to carry out their statutory obligations, we are prepared to bring these problems to LEAA's attention and to seek amendments to their interpretations.

You should communicate your concerns--in writing--to me as soon as possible so that we may work with LEAA well before the December 16th deadline. In addition, if you have concerns about the Department of Law Enforcement's plan, you should communicate with Director Harvey Johnson or me about those matters immediately.

I hope this clarification has been helpful. If you have additional questions, please do not hesitate to call ILEC's Criminal Justice Information Systems staff specialists or the Department of Law Enforcement's Criminal Justice Information Services Division. They are prepared to assist you in complying --in the short time we have been allocated--with the Federal Statute and Regulations.

cc: Commissioners

Director Johnson

APPENDIX ii3

October 22, 1975 letter of response from Chief of Criminal Justice Division, James B. Zagel to Executive Director David Fogel and October 29, 1975 letter of response from Director of Administrative Office of the Illinois Courts Roy O. Gulley to Executive Director David Fogel.

APPENDIX i4

Law Enforcement Agencies Data System Statistical Summary  
For January 1976

Law Enforcement Agencies Data System Statistical Summary for January 1976

	Total Traffic	Directed Messages	Inquiries	Hits	Hits %	Messages to NCIC	Messages from NCIC	Hi-Way Condition File
CHF (Computer Hot File - stolen property, wanted and missing persons etc.)	886,921	39,473	777,508	9,516	1.2	323,303	323,303	17,434
FOID (Firearm Owners Identification Division)	33,060	132	14,265					
TIPS (Traffic Information Planning System)	693,473		294,051					
CCH (Computerized Criminal History)	135,081	232	30,315	5,679	18.7	26,462	10,535	
ALECS (Automated Law Enforcement Communication Systems)	133,202	69,347	63,855					
NLETS (National Law Enforce- ment Telecommunications Systems)	52,184	11,766	22,307					
SALOON (State Alcohol Licensing On-Line Operational Network)	11,678		1,980					
<b>TOTALS</b>	<b>1,945,599</b>	<b>120,950</b>	<b>1,204,281</b>			<b>349,765</b>	<b>333,838</b>	<b>17,434</b>
<b>Usage Summary:</b>								
Transactions/Day	62,761	3,902	38,848			11,283	10,769	562
Transactions/Hour	2,615	163	1,619			470	449	23
Transactions/Minute	44	2.71	27			7.8	7.5	0.4





### NOTICE TO REQUESTOR

You have a right to access and review criminal history record information maintained and disseminated about yourself by any criminal justice agency. Any errors, omissions, or illegally obtained or maintained information can be challenged in order to correct the record. Below are the stages to follow.

#### REQUEST FOR ACCESS AND REVIEW

This stage will initiate the Access and Review procedures. All criminal history record information from the State Central Repository and the Federal Bureau of Investigation will be made available for your inspection. To ensure proper identification, your fingerprints must be taken. You will receive a Notice of Review when this material is available. It must be inspected at the agency where the request was filed.

#### RECORD CHALLENGE

If you believe an error, omission, or illegally obtained or maintained information is included in the record, you may challenge that information by completing a form which includes what you believe a correct version of the information to be corrected and substantiating documents. This material will be reviewed and a decision made.

#### REQUEST FOR ADMINISTRATIVE REVIEW

If the challenge has been denied, you may file a Request for Administrative Review. The Superintendent of the Bureau of Identification will review the challenge and make a decision.

#### ADMINISTRATIVE APPEAL COMPLAINT

If the challenge is denied by the Superintendent, you may file an Administrative Appeal Complaint with the Security and Privacy Council.

YOU MUST PRESENT YOUR COPY OF THE REQUEST FOR ACCESS AND REVIEW, AND TRANSCRIPT IF YOU RECEIVED ONE, TO FILE A CHALLENGE, REQUEST FOR ADMINISTRATIVE REVIEW OR ADMINISTRATIVE APPEAL.

### INSTRUCTIONS

1. TYPE or PRINT all information; use BLACK INK.
2. USE LEADS/NCIC abbreviation only.
3. ALL signatures must be present.
4. CORRECT and LEGIBLE entry of the CASE NUMBER and BCI number.
5. COMPLETENESS and ACCURACY of all information is essential.

Mail State Central Repository copies to:

DEPARTMENT OF LAW ENFORCEMENT  
Bureau of Identification  
Quality Assurance Unit  
515 E. Woodruff Road  
Joliet, Illinois 60432

Telephone No. 815/782-5242

# RECORD CHALLENGE

CASE NUMBER \_\_\_\_\_

BCI:

IL									
----	--	--	--	--	--	--	--	--	--

CHALLENGER				REVIEWING AGENCY (NAME, ADDRESS, TELEPHONE, NCIC NUMBER)					
NAME									
STREET ADDRESS									
CITY		STATE						ZIP CODE	
DATE OF BIRTH		SEX	RACE						
TELEPHONE NUMBER									

## ITEMS CHALLENGED

1	
2	
3	

FOR EACH ITEM CHALLENGED, INDICATE BELOW WHAT YOU BELIEVE TO BE THE CORRECT INFORMATION OR REASON FOR CHALLENGE: CITE ORIGINAL DOCUMENTS WHERE POSSIBLE TO SUBSTANTIATE YOUR CHALLENGE AND INCLUDE A COPY.

1	
2	
3	

CHALLENGER'S SIGNATURE	DATE	REVIEWING OFFICER	DATE
------------------------	------	-------------------	------

### INSTRUCTIONS

1. TYPE or PRINT all information; use BLACK INK.
2. USE LEADS/NCIC abbreviation only.
3. ALL signatures must be present.
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Quality Assurance Unit  
515 E. Woodruff Road  
Joliet, Illinois 60432

Telephone No. 815/782-5242

APPENDIX A1

Statutory Authority, Criminal Identification and Investigation Act of July 2, 1931, chapter 38, section 206.

STATUTORY AUTHORITY

Criminal Identification and Investigation  
Act of July 2, 1931

206-1. Powers of Department of Law Enforcement-Employees or Assistants.  
The Department of Law Enforcement hereinafter referred to as the "Department", is hereby empowered to cope with the task of criminal identification and investigation.

The Director of the Department of Law Enforcement shall, from time to time, appoint such employees or assistants as may be necessary to carry out this work. Employees or assistants so appointed shall receive salaries subject to the standard pay plan provided for in the "Personnel Code", Amended by P.A. 76-444, effective January 1, 1970.

206-2. Records of Convicted Persons.

The Department shall procure and file for record, as far as can be procured from any source, photographs, all plates, outline pictures, measurements, descriptions and information of all persons who have been arrested on a charge of violation of a penal statute of this State and such other information as is necessary and helpful to plan programs of crime prevention, law enforcement and criminal justice, and aid in the furtherance of those programs. Amended by P.A. 76-444, effective January 1, 1970.

206-3. Information to be furnished Peace Officers.

The Department shall file or cause to be filed all plates, photographs, outline pictures, measurements, descriptions and information which shall be received by it by virtue of its office and shall make a complete and systematic record and index of the same, providing thereby a method of convenient reference and comparison. The Department shall furnish, upon application, all information pertaining to the identification of

# NOTICE OF REVIEW

CASE NUMBER \_\_\_\_\_

BCI:

I	L								
---	---	--	--	--	--	--	--	--	--

REQUESTOR

REVIEWING AGENCY

(NAME, ADDRESS, TELEPHONE, NCIC NUMBER)

NAME

STREET ADDRESS

CITY

STATE

DATE OF BIRTH

SEX

THIS IS A ROUGH COPY.

FORM BEING PRINTED BY VENDOR AT PRESENT TIME.

THE DOCUMENTS LISTED  
BELOW ARE AVAILABLE  
FOR REVIEWING AT THE  
FOLLOWING TIME AND PLACE

RESCHEDULED TIME FOR REVIEW

IF YOU CANNOT REVIEW THE INFORMATION  
AT THE TIME INDICATED YOU MAY CALL THE  
REVIEWING AGENCY TO RESCHEDULE IT OR  
COMPLETE THIS SECTION INDICATING ALTERNATE  
TIME AND MAIL TO REVIEWING AGENCY.

TIME a.m. DATE  
p.m.

STREET ADDRESS

CITY

STATE

ZIP

REVIEWING OFFICER

IDENTIFICATION NUMBER

TIME a.m. DATE  
p.m.

TIME a.m. DATE  
p.m.

TIME a.m. DATE  
p.m.

TIME a.m. DATE

YOU MUST EITHER REVIEW THE INFORMATION AT THE TIME INDICATED OR CONTACT  
THE REVIEWING AGENCY WITH 30 DAYS OR THE REVIEW WILL BE TERMINATED.

THE FOLLOWING ARE AVAILABLE FOR REVIEW

- |  |  |
|--|--|
| <input type="checkbox"/> CRIMINAL HISTORY RECORD INFORMATION | <input type="checkbox"/> DECISION ON ADMINISTRATIVE REVIEW           |
| <input type="checkbox"/> DECISION ON RECORD CHALLENGE        | <input type="checkbox"/> DECISION ON ADMINISTRATIVE APPEAL COMPLAINT |

☐

I HAVE REVIEWED THE DOCUMENTS INDICATED ABOVE

REQUESTOR SIGNATURE

DATE

DATE ITEM RECEIVED

DATE NOTICE MAILED

DATE REVIEW HELD





DCN <b>A00034223</b>		APPLICANT		STATE BUREAU NUMBER - BCI IL		LAST NAME - NAM		FIRST NAME		MIDDLE NAME	
CONTRIBUTOR - NCIC NO. - ORI		POSITION TITLE		RESIDENCE NUMBER		STREET		APARTMENT		SEX	
IL										DOB	
CITIZENSHIP		CITY		STATE		ZIP CODE		HAIR - HAI		SKIN - SKN	
								SCARS/MARKS/TATTOOS - SMT		HEIGHT	
								SOCIAL SECURITY NUMBER - SOC		WEIGHT	
										EYES	
REPLY TO								MISCELLANEOUS NUMBER - MNU		STATE USE ONLY	
										CLASSIFICATION	
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		IDENTIFICATION NO								REFERENCE	
										NCIC FINGERPRINT CLASSIFICATION - IPC	
SIGNATURE OF PERSON BEING PRINTED		DATE PRINTED								CITY OF BIRTH	
										TID	
NOTICE: THIS DATA MAY BE COMPUTERIZED IN LOCAL, STATE AND NATIONAL FILES.											

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

ADDITIONAL INFORMATION

ILLINOIS DEPARTMENT OF LAW ENFORCEMENT  
BUREAU OF IDENTIFICATION  
515 EAST WOODRUFF ROAD, JOLIET, ILLINOIS 60432

PASTE PHOTO IN THIS AREA  
IF PHOTO IS NOT AVAILABLE "X" THIS ☐  
IF PHOTO IS AVAILABLE BUT NOT SUBMITTED  
PLEASE INDICATE AGENCY OF RECORD  
IN THIS SPACE

ABBREVIATIONS

BCI - Bureau of Identification No.  
ORI - NCIC Number  
SEX - Enter M or F  
SKN - Subject - kin - one  
SOB - State of Birth  
TID - State Use Only

RACE - ENTER:

W- White  
N- Negro  
J- Japanese  
I- Indian  
C- Chinese  
O- Other

Always refer to the NCIC Codes  
and abbreviations when in doubt  
in making entries.

CHIS-OPER-0101-0070

INSTRUCTIONS

1. Complete responses for applicable information category.
2. TYPE or PRINT all information; use black ink.
3. Note full physical description; use LEADS/NCIC abbreviations only.

YOUR FPCARD IS BEING RETURNED BECAUSE:

Name - Incomplete or Unclear  
No Race Shown  
Race Shown Not Clear  
No Date of Birth  
No Official Signature  
No Position Title Given  
Not Fully Rolled  
Improperly Inked  
Smudged, Blurred or Unreadable  
UnClassifiable  
Missing Impressions  
Hands Reversed  
OTHER:

CASE NUMBER		REVIEWING AGENCY - NCIC NO. ORI		STATE BUREAU NUMBER - FBI		LAST NAME - NAM		FIRST NAME		MIDDLE NAME	
AGENCY NAME AND ADDRESS		DATE RECEIVED - CJIS		FBI NUMBER - FBI							
		DATE RECEIVED - AGENCY		CITY OF BIRTH		COUNTY OF BIRTH					
REVIEWING AGENCY PHONE NUMBER		ALSO KNOWN AS - AKA				SEX		RACE		DOB	
DATE PRINTED		ALSO KNOWN AS - AKA				HAIR - HAI		SKIN - SKI		SCARS/MARKS/TATTOOS - L...	
CONTRIBUTING AGENCY - NCIC NO.		ALSO KNOWN AS - AKA				SOCIAL SECURITY NUMBER - SOC				MISCELLANEOUS NUMBER - "NU"	
SIGNATURE OF REVIEWING OFFICER		IDENTIFICATION NUMBER				CLASSIFICATION		STATE USE ONLY			
SIGNATURE OF REQUESTOR		DATE				NCIC FINGERPRINT CLASSIFICATION - FFC					
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		IDENTIFICATION NUMBER									
LAST NAME		FIRST NAME		MIDDLE NAME		LAST NAME		ATTORNEY FIRST NAME		MIDDLE NAME	
STREET ADDRESS						STREET ADDRESS					
CITY		STATE		ZIP CODE		CITY		STATE		ZIP CODE	
TELEPHONE NUMBER						TELEPHONE NUMBER					

REQUEST FOR ACCESS AND REVIEW OF CRIMINAL HISTORY RECORD INFORMATION  
STATE BRIEFLY THE PURPOSE OF REQUEST FOR ACCESS AND REVIEW

REQUEST FOR ACCESS AND REVIEW

THIS IS A ROUGH COPY.

FORM BEING PRINTED BY VENDOR AT PRESENT TIME.

<input type="checkbox"/> I HAVE RECEIVED A COPY OF MY TRANSCRIPT	REQUESTOR SIGNATURE	DATE
<input type="checkbox"/> I HAVE REVIEWED MY TRANSCRIPT AND VERIFIED ITS CORRECTNESS	REQUESTOR SIGNATURE	DATE
<input type="checkbox"/> I HAVE REVIEWED MY TRANSCRIPT AND BELIEVE IT IS INCORRECT	REQUESTOR SIGNATURE	DATE

COPY 1 - STATE CENTRAL REPOSITORY

### INSTRUCTIONS

1. TYPE or PRINT all information; use black ink.
2. Note full physical description; use LEADS/NCIC abbreviations only.
3. All three signatures must be present; reviewing officer, requestor, official taking Fingerprints.
4. Completeness and accuracy is essential to ensure proper identification.

### COPY DISPOSITIONS

- Copy 1, 3, 5. Department of Law Enforcement  
Bureau of Identification  
Quality Assurance Unit  
515 E. Woodruff Road  
Joliet, Illinois 60432  
Telephone No. 815/782-5242
- Copy 2. Reviewing Agency
- Copy 4. Requestor

### ABBREVIATIONS

HGT - Height  
SEX - Enter M or F  
SKN - Subjects Skin Tone  
SOB - State of Birth  
WGT - Weight  
RACE - ENTER  
W - White  
N - Negro  
M - Mexican  
J - Japanese  
I - Indian  
P - Puerto Rican  
C - Chinese  
O - Other

Always refer to NCIC CODES  
and abbreviations when in  
doubt in making entries.

### YOUR FP CARD IS BEING RETURNED BECAUSE:

☐ Name Incomplete or Unclear  
☐ No Race Shown  
☐ Race Shown Not Clear  
☐ No Date of Birth  
☐ No Official Signature  
☐ Not Fully Rolled  
☐ Improperly Inked  
☐ Smudged, Blurred or Unreadable  
☐ Un-Classifiable  
☐ Missing Impression  
☐ Hands Reversed  
☐ No Requestor Signature  
☐ Other



**State of Illinois Department  
of Law Enforcement  
Bureau of Identification**

515 East Woodruff Road,  
Joliet, Illinois 60432

**AGENCY REQUESTING TRANSCRIPT**

NAME  
BIRTHDATE  
ALIAS DOB  
MISC. NO.

SEX      RACE

HAIR  
HGT. FT. IN.  
HENRY FP CLASS

EYES  
WEIGHT  
NIP FP CLASS

ILL. BUREAU NO.  
FBI NUMBER  
CHICAGO IR NO

NUMBER OF BONDS  
BFW ISSUED  
BFW QUASHED

**WARNING:** RELEASE OF THIS INFORMATION TO UNAUTHORIZED INDIVIDUALS OR AGENCIES OR MISUSE IS PROHIBITED BY FEDERAL LAW TITLE 42 USC 377/b PERTAINING TO CRIMINAL HISTORY INFORMATION.

CONTRIBUTOR DOCUMENT CONTROL NO. AGENCY CONTROL NO.	T R A N S  C O D E	D A T E  O F  T R A N S.	A  C  H	S T A T U T E  C I T A T I O N	A C T I O N	N A M E  U S E
DATE . 1196-0003-627 SERIAL NO. / PART SET						

THIS IS A ROUGH COPY.  
FORM BEING PRINTED BY VENDOR AT PRESENT TIME.



**CUSTODIAL RECORD**

ILLINOIS DEPARTMENT OF LAW ENFORCEMENT  
BUREAU OF IDENTIFICATION  
515 EAST WOODRUFF ROAD, JOLIET, ILLINOIS 60432

**COMMENTS:**

PASTE PHOTO IN THIS AREA

IF PHOTO IS NOT AVAILABLE "X" THIS ☐

IF PHOTO IS AVAILABLE BUT NOT SUBMITTED  
PLEASE INDICATE AGENCY OF RECORD  
IN THIS SPACE

**ABBREVIATIONS**

BCI - Bureau of Identification No.  
ORI - NCIC Number  
SEX - Enter M or F  
SKN - Subjects Skin Tone  
SOB - State of Birth  
TID - State Use Only

**RACE - ENTER:**

W- White  
N- Negro  
J- Japanese  
I- Indian  
C- Chinese  
O- Other

Always refer to the NCIC Codes  
and abbreviations when in doubt  
in making entries.

**INSTRUCTIONS**

1. Complete responses for applicable information category.
2. TYPE or PRINT all information: use black ink.
3. Note full physical description: use LEADS/NCIC abbreviations only.

**YOUR FP CARD IS BEING RETURNED BECAUSE:**

Name Incomplete or Unclear  
No Race Shown  
Race Shown Not Clear  
No Date of Birth  
No Official Signature  
No Charge Given  
Not Fully Rolled  
Improperly Inked  
Smudged, Blurred or Unreadable  
Un-Classifiable  
Missing Impressions  
Hands Reversed  
OTHER:



COPIES 1, 2 & 3 ARE TO BE RETAINED BY INSTITUTION FOR REPORTING FUTURE STATUS CHANGES.  
COPIES 4 & 5 ARE TO BE FORWARDED TO BUREAU OF IDENTIFICATION UPON RECEIPT OF RESIDENT.

DCN <b>000 005520</b>	AGENCY RECEIVED FROM - ORI <b>IL</b>	STATE BUREAU NUMBER - BUI <b>IL</b>	LAST NAME - NAM	FIRST NAME	MIDDLE NAME
CONFINING INSTITUTION - ORI	DATE RECEIVED	FBI NUMBER - FBI	SEX	RACE	DOB
INSTRUCTIONS: TYPE OR PRINT ALL INFORMATION IN BLACK TIC MARKS ARE USED TO STRUCTURE HAND PRINTING FOR LEGIBILITY NOTE: IF YOU TYPE DO NOT FOLLOW TIC MARKS			HEIGHT	WEIGHT	FEET
INSTITUTION NUMBER - ITD <b>IL</b>	ALSO KNOWN AS - ANA		HAIR - HAI	SKIN - SKN	SCARS MARKS TATTOOS - SMT
CONFINING OFFENSE DESCRIPTION	CHAPTER ARTICLE SECTION		SOCIAL SECURITY NUMBER - SOC	MISCELLANEOUS NUMBER - MNC	
CONFINING OFFENSE DESCRIPTION	CHAPTER ARTICLE SECTION		STATE USE ONLY		
SENTENCE TERM			CLASSIFICATION		
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS	IDENTIFICATION NO.		REFERENCE		
SIGNATURE OF RESIDENT	DATE PRINTED		NCIC FINGERPRINT CLASSIFICATION - FCC		
NOTICE: THIS DATA MAY BE COMPUTERIZED IN LOCAL, STATE AND NATIONAL FILES			CITY OF BIRTH		

STATUS	CODE	STATUS	CODE
Absconded	401	Mandatory Release Revoked	415
Administrative Discharge	402	Pardoned	416
Cert. of Relief	403	Paroled	417
Committed Suicide	404	Parole Revoked	418
Commutation-Prior Sentence Rescinded	405	Probation	419
Conditional Release	406	Probation Revoked	420
Conditional Release Revoked	407	Released by Court Order	422
Deceased	408	Released-Expiration of Minimum Time	428
Discharged from Criminal Justice System	409	Released on Appeal Bond	423
Escaped	410	Sentence Commuted	424
Executed	411	Work Furlough	425
Furloughed	412	Work Furlough Revoked	426
Furlough Revoked	413	Transferred	427
Mandatory Release	414	Accepted Parole Jurisdiction	429
		Accepted Probation Jurisdiction	430

DURATION OF STATUS CHANGE

DATE OF TRANSACTION

SIGNATURE OF OFFICIAL

DOCUMENT CONTROL NUMBER

DATE OF ARREST

LAST NAME

FIRST NAME

MIDDLE NAME

SEX RACE

DATE OF BIRTH

STATE USE ONLY

BCI

## DISPOSITION REPORT

## STATE'S ATTORNEY DISPOSITION

STATE'S ATTORNEY NCIC NO.

IL

☐ REVISION☐ ADDITIONAL

ARREST CHARGE NUMBER	CHARGE NOT FILED	CHARGE FILED	CHAPTER	ARTICLE	SECTION	SUBSECTION	C S A	CLASS	DATE OF DISPOSITION	CASE NUMBER
1										
2										
3										
4										
5										
6										
7										
8										

## COURT DISPOSITION

COURT'S NCIC NUMBER

IL

☐ REVISION☐ ADDITIONAL

ARREST CHARGE NUMBER	DISMISSED	LEAVE TO REINSTATE	ACQUITTED	CONVICTED	CHAPTER 56 1/2 SECTION 1410, 710 PROBATION	CHAPTER	ARTICLE	SECTION	SUBSECTION	C S A	CLASS	DATE OF DISPOSITION	CASE NUMBER
1													
2													
3													
4													
5													
6													
7													
8													

ARREST CHARGE NUMBER	SENTENCE						TERM			AMOUNT IN DOLLARS
	DEATH	IMPRISONMENT	PERIODIC IMPRISONMENT	PROBATION	COURT SUPERVISION	FINE				
							YEARS	MONTHS	DAYS	
1										
2										
3										
4										
5										
6										
7										

## BOND INFORMATION

\_\_\_ RELEASED ON RECOGNIZANCE

\_\_\_ REMANDED TO COUNTY JAIL

\_\_\_ BOND

\_\_\_ AMOUNT

BOND FORFEITURE  
WARRANT ISSUED

\_\_\_ YES \_\_\_ NO

BOND FORFEITURE  
WARRANT QUASHED

\_\_\_ YES \_\_\_ NO

CRIMINAL JUSTICE INFORMATION SERVICES

1035 OUTER PARK DRIVE WEST  
SPRINGFIELD, ILLINOIS 62704



## DATA MASTER GRAPHICS

DOCUMENT CONTROL NUMBER <b>000000102</b>		ARRESTING AGENCY NCIC NO. ORI <b>IL</b>		STATE BUREAU NUMBER - BCI <b>IL 0</b>		LAST NAME - NAM		FIRST NAME	
<b>ARREST CARD</b>		CONTRIBUTOR - NCIC NO. - ORI		FBI NUMBER - FBI		SEX RACE SOB		DATE OF BIRTH - DOB	
		ARREST JACKET NUMBER - IJD <b>IL</b>		ARRESTEE HELD FOR PROSECUTION <input type="checkbox"/> YES <input type="checkbox"/> NO		HAIR - HAI		SKIN - SKN	
ALSO KNOWN AS - ANA		ALIAS DOB		SCARS/MARKS/TATTOOS - SMT		HEIGHT		WEIGHT	
ALSO KNOWN AS - ANA		ALIAS DOB		SOCIAL SECURITY NUMBER - SOC		MISCELLANEOUS NUMBER - MNU		EYES	
DATE OF ARREST - DOA		DATE OF OFFENSE - DOO		CLASSIFICATION		STATE USE ONLY		REFERENCE	
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS.		IDENTIFICATION NO.		NCIC FINGERPRINT CLASSIFICATION - FPC		SIGNATURE OF ARRESTEE		DATE PRINTED	
NOTICE: THIS INFORMATION MAY BE COMPUTERIZED IN LOCAL STATE AND NATIONAL FILES.		CAUTION BASIS FOR CAUTION - ICO		7SD		CITY OF BIRTH		RESIDENCE ADDRESS	
CITY OF BIRTH		RESIDENCE ADDRESS		CITY		STATE		ZIP CODE	
ARRESTING OFFICER - NAME		ID OR BADGE NO.		DEFENDANT'S DRIVERS LICENSE		NUMBER OF DEFENDANTS		NUMBER OF CHARGES	
BOOKING NUMBER		REPORT REFERENCE NO.		OFFENSES		C S A		M Q T	
TIME OF ARREST		BEAT		SUB-BEAT		CHARGE NUMBER		CHAPTER ARTICLE SECTION SUBSECTION	
ARREST LOCATION CODE		TYPE WEAPON		ARREST LOCATION/DATE		DESCRIPTION OF OFFENSE			
REGISTERED ASSAULTED INJURED SOBER NARCOTICS		YES NO YES NO YES NO YES NO YES NO		PHOTOGRAPHED PHOTO NUMBER		WARRANT NUMBER		WARRANT CLEARED LEADS	
YES NO YES NO YES NO YES NO YES NO		YES NO YES NO YES NO YES NO YES NO		YES NO YES NO YES NO YES NO YES NO		YES NO YES NO YES NO YES NO YES NO		YES NO YES NO YES NO YES NO YES NO	
WARRANT NUMBER		WARRANT CLEARED LEADS		YES NO YES NO YES NO YES NO YES NO		YES NO YES NO YES NO YES NO YES NO		YES NO YES NO YES NO YES NO YES NO	
WARRANTED BY		WARRANT NUMBER		ISSUE DATE		BOND SET BY: (1) RULE OF COURT OR (2) JUDGE-ENTER JUDGE'S NAME		BOND NUMBER	
SEND CRIMINAL HISTORY RECORD TO:		NCIC AGENCY		NCIC AGENCY		BOND AMOUNT		BOND DEPOSIT	
AGENCY INFORMATION:		TYPE BOND: CASH		CARD		PROP BOND		10% BOND	
		INITIAL COURT DATE		TIME		INITIAL COURT LOCATION			

COPY 1 ARRESTING AGENCY

ILLINOIS DEPARTMENT  
OF  
LAW ENFORCEMENT  
BUREAU OF IDENTIFICATION  
515 EAST WOODRUFF ROAD  
JOLIET, ILLINOIS 60432

INSTRUCTIONS

Offenses considered Criterion offenses will be submitted to the Bureau of Identification via Arrest Fingerprint Card if the subject is to be held for prosecution.

A Criterion Offense includes all felonies, Class A or B misdemeanors and certain Chapter 95½ of the Illinois Vehicle Code offenses. Other traffic offenses shall not be submitted to the Bureau of Identification.

PASTE PHOTO IN THIS AREA  
IF PHOTO IS NOT AVAILABLE "X" THIS SQUARE ☐

IF PHOTO IS AVAILABLE BUT NOT SUBMITTED  
PLEASE INDICATE AGENCY OF RECORD  
IN THIS SPACE.

1. Complete responses for applicable information category.
2. TYPE or PRINT all information, use black ink.
3. Note full physical description; use LEADS/NCIC abbreviations only.
4. Basis for caution; i.e., armed and dangerous, suicidal, etc.—enter in ICO space.

ABBREVIATIONS

SEX - Enter M or F  
SKN - Subjects Skin Tone  
SOB - State of Birth  
TID - State Use Only

RACE ENTER:

W - White      I - Indian  
N - Negro      C - Chinese  
J - Japanese   O - Other

Always refer to the  
NCIC CODES and  
abbreviations when in  
doubt in making entries.

YOUR FP CARD IS  
BEING RETURNED BECAUSE:

- ☐ Name Incomplete or Unclear
- ☐ No Race Shown
- ☐ Race Shown Not Clear
- ☐ No Date of Birth
- ☐ No Official Signature
- ☐ No Charge Given
- ☐ No Date of Arrest Given
- ☐ Not Fully Rolled
- ☐ Improperly Inked
- ☐ Smudged, Blurred or Unreadable
- ☐ Un-Classifiable
- ☐ Missing Impressions
- ☐ Hands Reversed
- ☐ OTHER \_\_\_\_\_



REMARKS (17) DATE PRINTED - enter the month, day and year that the subject was fingerprinted in this section.

**MANDATORY (2A) HAIR (HAI)** - record the color of the defendant's hair in this section by using one of the three character codes listed below:

MANDATORY (28) EARS, MARKS AND TATTOOS (EMT) - record the most prominent scar, mark or tattoo utilizing a ten character code obtained from the NCIC CODE 500-10 AFFIDAVIT pages 7 thru 13.

NOTE: IN SELECTING THE MOST PROMINENT SCAR, MARK OR TATTOO, CHOOSE THE ONE MOST LIKELY TO BE NOTICED BY A VICTIM. THIS CATEGORY OF INFORMATION IS MOST IMPORTANT IN DEALING WITH ASSAULTIVE-TYPE OFFENDERS.

MAX. NO. (35) TID (Type Identification Number) - STATE USE ONLY

ILLINOIS CRIMINAL JUSTICE INFORMATION SERVICES  
DEPARTMENT OF LAW ENFORCEMENT - BUREAU OF IDENTIFICATION  
1935 Outer Park Drive - Springfield, Illinois 62704  
217/782-7980

March 4, 1976

BOOKING CHARGE SECTION - LOWER PORTION OF ARREST FINGERPRINT CARD

INSTRUCTIONS FOR BOOKING CHARGE SECTION OF ARREST FINGERPRINT CARD

- COOK COUNTY AGENCIES (EXCEPT CHICAGO) USE BLOCK INFORMATION BELOW.
- AGENCIES OUTSIDE COOK COUNTY REFER TO INSTRUCTIONS IN LOWER RIGHT CORNER OF THIS SHEET.
- BOOKING CHARGE SECTION - LOWER PORTION OF ARREST FINGERPRINT CARD.

Block numbers in parentheses for the Booking Charge Section are defined as follows: ( ) = Field contents are mandatory - MUST BE FILLED IN. ( ) = Field contents are optional - HOWEVER, IF INFORMATION IS FILLED IN IT MUST BE IN THE CORRECT FORMAT.

MANDATORY ( ) = FIELD CONTENTS ARE MANDATORY - MUST BE FILLED IN.

OPTIONAL ( ) = FIELD CONTENTS ARE OPTIONAL - HOWEVER, IF INFORMATION IS FILLED IN IT MUST BE IN THE CORRECT FORMAT.

OPTIONAL ( ) CITY OF BIRTH - enter the subject's city of birth in this section.

MANDATORY ( ) REFERENCE ADDRESS - enter the street, number (apartment number if applicable), and city, state and zip code of the defendant in this block.

MANDATORY ( ) CASE NUMBER - The Circuit Court Clerk will furnish the CASE NUMBER pertaining to the offense(s).

OPTIONAL ( ) CASE NUMBER - The Circuit Court Clerk will record his or her CASE NUMBER.

OPTIONAL ( ) ARRESTING OFFICER NAME - provide the name of the arresting officer in this block.

MANDATORY ( ) ID OR DATE NUMBER - Enter the arresting officer's ID or date number in this block.

OPTIONAL ( ) DEFENDANT'S DRIVER'S LICENSE NUMBER - record defendant's license number here and indicate the state of licensing.

MANDATORY ( ) NUMBER OF DEFENDANTS - enter the number of defendants involved in the case pending before the Circuit Court of Cook County in this portion of the form.

MANDATORY ( ) NUMBER OF CHARGES - record the number of charges in this section.

MANDATORY ( ) BOOKING NUMBER - indicate the arrest booking number pertaining to the defendant in this block.

OPTIONAL ( ) REPORT REFERENCE NUMBER - enter the reporting agency's reference number, that is, the arrest report number of specific agency.

OPTIONAL ( ) TIME OF ARREST - indicate the time the subject was arrested in this block. Use military time.

OPTIONAL ( ) BEAT AND SUB-BEAT - report the beat and sub-beat of arrest in this portion of the form.

OPTIONAL ( ) ARREST LOCATION CODE - enter the three character Arrest Location Code furnished to all agencies by the Cook County Circuit Clerk's Office.

OPTIONAL ( ) TYPE WEAPON - if a weapon was involved in the offense in this block, enter weapon type here. (Handgun, Rifle, Shotgun, Knife, Club, etc.)

OPTIONAL ( ) ARREST LOCATION AND DATE - report the arrest location and date of arrest in this block.

OPTIONAL ( ) RESISTED, ASSAULTED OFFICER, INJURED OFFICER, SOBER, NARCOTICS - indicate whether the subject resisted at the time of his arrest, whether or not officer(s) were assaulted or whether officer(s) were injured, whether the defendant was sober and whether narcotics were involved in the appropriate section of the arrest information section.

OPTIONAL ( ) SUBJECT PHOTOGRAPHED - indicate whether the subject was photographed or not. Indicate photo number if photos were taken.

OPTIONAL ( ) WARRANT NUMBER - enter the applicable warrant number in this section, if available. Also record whether or not the warrant was cleared from the Illinois System (place an X in the YES or NO block).

OPTIONAL ( ) WAIVED BY - WARRANT NUMBER - ISSUE DATE - if the warrant in block ( ) is not used, indicate who is the source authority for such action. Also, show the new Warrant Number and source date.

MANDATORY ( ) BOND SET (1) RULE OF COURT, OR (2) JUDGE NAME - enter the words RULE OF COURT (set by rules of Supreme Court) or the JUDGE'S NAME (set by judge in open court) who set the bond in this block.

MANDATORY ( ) BOND NUMBER - BOND AMOUNT - enter the BOND NUMBER and AMOUNT in this block.

OPTIONAL ( ) TYPE BOND - Place an X in the appropriate box to indicate in what manner the bond was posted: CASH or CASH OR BOND DEPOSIT or PROFESSIONAL BOND or 101 BOND or ROR (Released on Own Recognition.)

MANDATORY ( ) INITIAL COURT DATE - enter the Initial Court Date set for the arrestee.

MANDATORY ( ) INITIAL COURT LOCATION - enter the Initial Court Location where the ARRESTEE WILL APPEAR.

OPTIONAL ( ) SEND CRIMINAL HISTORY RECORD TO: NCIC and AGENCY - if you want the Bureau of Identification to furnish a Transmittal (RAP SHEET) to other agencies, indicate them by placing the NCIC NUMBER and AGENCY NAME in this block.

OPTIONAL ( ) AGENCY INFORMATION - indicate any additional information you feel is pertinent in this space.

CITY OF BIRTH (36)		REFERENCE ADDRESS (37)		STATE (38)		ZIP CODE (39)	
ARRESTING OFFICER'S NAME (40)		CASE NUMBER (41)		DEFENDANT'S DRIVER'S LICENSE (42)		NUMBER OF DEFENDANTS (43)	
BOOKING NUMBER (44)		REPORT REFERENCE NO. (45)		CHARGES (46)		OFFENSES (47)	
TIME OF ARREST (48)		BEAT (49)		SUB-BEAT (50)		DESCRIPTION OF OFFENSE (51)	
ARREST LOCATION CODE (52)		TYPE WEAPON (53)		ARREST LOCATION AND DATE (54)		RESISTED, ASSAULTED OFFICER, INJURED OFFICER, SOBER, NARCOTICS (55)	
WARRANT NUMBER (56)		WARRANT CLEARED (57)		ISSUE DATE (58)		BOND SET BY: (1) RULE OF COURT OR (2) JUDGE NAME (59)	
WAIVED BY (60)		WARRANT NUMBER (61)		BOND NUMBER (62)		BOND AMOUNT (63)	
AGENCY INFORMATION (64)		TYPE BOND (65)		CASH OR BOND DEPOSIT (66)		PROFESSIONAL BOND (67)	
INITIAL COURT DATE (68)		INITIAL COURT LOCATION (69)		INITIAL COURT DATE (70)		INITIAL COURT LOCATION (71)	

MANDATORY ( ) CHAPTER - ARTICLE - SECTION - SUB-SECTION - enter the Chapter, Article, Section and Sub-Section from the Illinois Revised Statutes that correspond to the offense(s) which is being charged. Each entry must be made at the time of the defendant's arrest should be entered in the most serious offense first if there is not a more serious offense.

MANDATORY ( ) DESCRIPTION OF OFFENSE - enter the literal description which corresponds to the Chapter, Article, Section and Sub-Section entered in block ( ). Examples would be Burglary, Aggravated Battery-Firearm, Disorderly Conduct, etc.

MANDATORY ( ) CSA (Criminal Sex Act) - Solicitation - Inducement - enter the field intended to capture data relating to the CSA. If the arresting agency places a 1, 2, 3, or 4 in this field, the effect will be to make the arrestee liable for the offense, i.e., ATTEMPTED RAPIST, ATTEMPTED MURDER, etc. If offense was not included in nature leave this block blank.

MANDATORY ( ) CLASS (Classification) - enter the Classification of the offense or felony in this block, i.e., 1, 2, 3, or 4 for a felony or A or B for a misdemeanor (Refer to the Statute Reference Table for these classifications).

MANDATORY ( ) MOFT (Misdemeanor/Quasi-Felony/Infraction) - enter the appropriate letter in this section to indicate whether the offense was a MISDEMEANOR, a QUASI-FELONY, or an INFRACTION. (Refer to Statute Reference Table).

INSTRUCTIONS FOR AGENCIES OUTSIDE COOK COUNTY

• You must fill in block numbers (36) thru (71). This data must appear on any Arrest Fingerprint Card you submit to Bureau of Identification in Joliet.

• All other Blocks are optional (72) thru (76).





---

## APPENDIX A3

### Data Collection & Dissemination Documents

1. Arrest Fingerprint Card
2. Disposition Report
3. Custodial Fingerprint Card
4. Transcript
5. Applicant Fingerprint Card
6. Request for Access & Review Form
7. Notice of Review Form
8. Record Challenge Form
9. Request for Administrative Review Form
10. Administrative Appeal Complaint Form

## DATA COLLECTION & DISSEMINATION DOCUMENTS

This section will briefly present the data collection and dissemination instruments being implemented by the State Central Repository. All of the forms are designed to comply with local agency requirements, the LEAA Rules & Regulations, and the Illinois Criminal Code, Chapter 38, Section 206. The new forms provide an auditable track of the arrest event, all charges and all dispositions of each charge, confinement, release and discharged. Technically, the Identification and Arrest segments are structured for direct terminal input into Computerized Criminal History system including the event serial number or Document Control Number. A replica of each form can be found in the Appendix.

### Arrest Fingerprint Card, CJIS-OPER-0103-11/75

The Arrest Fingerprint Card is a serialized, five part, "snap-out" form set, containing all of the data elements required for, identification, arrest, charges, validation of contributing agency, audit trail, and interfacing with the Computerized Criminal History system, the NCIC and the Cook County Circuit Clerks Information System. In order to ensure positive identification of the defendant to all data elements on the Arresting Agency's copy, the reverse side of this form copy will contain the individual's fingerprints.

Distribution copies include: (1) the arresting agency, (?) State's Attorney, (3) Court Clerks and (4) State Central Repository (2 copies).

The State Central Repository will furnish Arrest Fingerprint forms to all authorized policing agencies.

### Disposition Report, CJIS-OPER-0110-12/75

The Disposition report is a five part "snap-out" form containing the

Arrest Fingerprint Card, Document Control Number, defendant's name, date of birth, sex, race, date of arrest, and all data elements required to establish dispositions by charge and date, by the state's attorney, courts, sentencing, bond information, and establishes a document interface with the confining institutions.

Copy distribution includes: (1) State's Attorneys, (2) Court Clerks, (3) Court Clerk's revision copy, (4) Confining institution, and (5) State Central Repository.

Final dispositions are to be reported within 30 days from the date of disposition, by law; Chapter 38, Section 206-5.

The State Central Repository will furnish Disposition Report Forms to all State's Attorneys.

#### Custodial Fingerprint Card, CJIS-OPER-0102-8/75

The Custodial Fingerprint Card is a five part "snap-out" form set, containing the required information to identify the resident, institution, status changes and dates.

Copy distribution includes: (1) Copies 1, 2 and 3 to be retained by the institution for subsequent status changes and (2) copies 4 and 5 are forwarded to the State Central Repository upon admission of the resident.

The State Central Repository will furnish Custodial Fingerprint forms to all confining institutions, State and Local.

#### Transcript, CJIS-OPER-0111-1/76

The Offender Transcript (Rap Sheet) has been redesigned to be output directly from CCH, in lieu of manually preparing the transcript. Hence, when a new offender is entered on CCH a transcript is automatically printed out and sent to the State's Attorney and the Arresting Agency. If the entry

results in a "hit" on CCH or the master name file then an update is entered or the full updated criminal history record information is entered (if such records meet the completeness requirement of LEAA Rules & Regulations) and a transcript is output in a like manner. When the disposition is entered an automatic notice is sent to the arresting agency to complete his records. When a person is released or discharged from the State Penal Institution, Parole, or Probation, the Arresting Agency is notified. The new transcript has each charge indicated on it beginning with the booking charges, what the State's Attorney does with the charges, what the offender was convicted of by charge and related sentencing. It also contains bond performance for judges to make more meaningful decisions about accused individuals, and complete identification information including the Henry and NCIC fingerprint classifications. Each charge is by State Statute which is converted to the Uniform Offense Codes via computer for entry into the NCIC-CCH system. Consequently, the Illinois criminal justice agencies can deal with the individual by defined criminal behavior and the national system can integrate the converted information with other state information in a uniform manner.

#### Applicant Fingerprint Card, CJIS-OPIR-0101-8/75

The Applicant Fingerprint Card is a three part "snap-out" form set, containing required information for positive identification of the applicant, identification of the criminal or authorized non-criminal justice agency submitting the Applicant Card and employment data.

All three copies of the form are submitted to the State Central Repository. The State Central Repository will furnish these forms to all authorized criminal and non-criminal justice agencies.

#### Individual Right of Access & Review forms, CJIS-OPIR-0105-12/75

This is a five part serialized form the same size as a standard fingerprint

form, 8" X 8". The copy designation is: Copy 1, State Central Repository; Copy 2, Reviewing Agency; Copy 3, Coordination Traveler; Copy 4, Requestor; Copy 5, Fingerprint-State Central Repository. The Requestor's copy shall be backed with brief statements regarding his or her right to receive a copy of the CHRI, to challenge CHRI information, to file an Administrative Review, right to file an Administrative Appeal and forms to use in each stage of the right to access and review Criminal History Record Information.

This form is used to initiate Access and Review procedures at any police department or sheriff's office termed a Reviewing Agency at the time the request is initiated. The Department of Law Enforcement shall distribute RAR's as required by Reviewing Agencies and furnish detail instructions for completing the same.

Minimum data contents shall be: State Central Repository address and telephone number, Reviewing Agency name and NCIC NUMBER, Reviewing Agency telephone number, Document Serial number, State Bureau Identification number, Federal Bureau of Investigation number, Last, First, and Middle name, Nickname, Aliases, Current Address, City of Birth, County, Date of Birth, Height, Weight, Sex, Race, Scars/Marks/Tattoos, Telephone Number, Fingerprints, Date Fingerprinted, Signature of Officer who rolled prints, Officer's Identification Number, Reviewing Officer's Name, Requester's signature; and if represented by counsel, Counselor's Full Name, Address and Telephone Number. In addition, a place shall be provided to state purpose of Access and Review by the Requestor.

Notice of Review form, CJIS-OPER-0106-12/75

This is a three part form, 8 1/2" X 11". Copy designation is: Copy 1, State Central Repository; Copy 2, Reviewing Agency; Copy 3, Requestor. The Requestor's copy shall be backed with brief statements regarding

his or her right to receive a copy of the CHRI, to challenge CHRI information, to file an Administrative Review, right to file an Administrative Appeal and forms to use in each stage of the right to Access and Review Criminal History Record Information.

Minimum data contents shall be: State Central Repository Address and Telephone Number, Reviewing Agency Name, NCIC Identification Number, Document Serial Number (transcribed clearly from the RAR), Individual's Full Name (name indicated on RAR), Address, State Bureau Identification Number, Date of Birth, Sex, Preprinted Statement of Review with places for Date, Time and Place of Review, Reviewing Officer's Name and Identification Number, Agency's Telephone Number, Notices such as response time, documents, re-schedule of review, date and time; etc., Date mailed and copy designation literals.

The Department of Law Enforcement shall distribute Notice of Review forms to Reviewing Agencies as required and furnish detail instructions for completing same. This form is used by Reviewing Agencies to notify individuals requesting Access and Review of Criminal History Record Information after receiving a response from the State Central Repository that the information requested is now available for review.

Record Challenge Form, CJIS-OPER-0107-12/75

This is a four part, 8 1/2" X 11" form. Copy designation is: Copy 1, State Central Repository; Copy 2, State Central Repository; Copy 3, Reviewing Agency; Copy 4, Challenger. The Requester's copy shall be backed with brief statements regarding his or her right, to receive a copy of the CHRI, to challenge CHRI information, to file an Administrative Review, right to file an Administrative Appeal and forms to use in each stage of the right to access and review Criminal History Record Information.

any person or persons, a plate, photograph, outline picture, description, measurements, or any data of which there is a record in its office. Such information shall be furnished to peace officers of the United States, of other states or territories, of the Insular possessions of the United States, of foreign countries duly authorized to receive the same, and to all peace officers of the State of Illinois. Applications shall be in writing and accompanied by a certificate, signed by the peace officer making such application, to the effect that the information applied for is necessary in the interest of and will be used solely in the due administration of the criminal laws. As amended by act approved August 2, 1951.

#### 206-4. Systems of Identification.

The Department may use the following systems of identification: The Bertillion system, the fingerprint system, and any system of measurement or identification that may be adopted by law or rule in the various penal institutions or bureaus of identification wherever located.

The Department shall make a record consisting of duplicates of all measurements, processes, operations, signalletic cards, plates, photographs, outline pictures, measurements, descriptions of and data relating to all persons confined in penal institutions wherever located, so far as the same are obtainable, in accordance with whatever system or systems may be found most efficient and practical. As amended by act approved July 6, 1957.

#### 206-5. Daily Copies of Finger Prints-Duty of Sheriffs and Police Officers.

All policing bodies of this State shall furnish to the Department, daily, in the form and detail the Department requires, copies of finger prints and descriptions, of all persons who are arrested on charges of violating any penal statute of this State; and of all persons who have in their possession, inks, dye, paper or other articles necessary in the making of counterfeit notes or in the alteration of bank notes or dies, molds or other articles



used in making counterfeit money and intended to be used by them for such unlawful purposes; however, this Section does not apply to any of such offenses which are not classified as a felony or as a Class A or Class B misdemeanor. The Department may by its promulgated rule exempt specific police departments which have acceptable machine record reports from sending any "raw" material to the Department required by this Section except finger prints and photographs. Whenever a policing body is so exempted by rule it shall furnish to the Department acceptable copies of their machine record reports covering the exempted "raw" material. All photographs, finger prints or other records of identification so taken shall, upon the acquittal of a person charged with the crime, or, upon his being released without being convicted, be returned to him. Whenever a person, not having previously been convicted of any criminal offense or municipal ordinance violation, charged with a violation of a municipal ordinance or a felony or misdemeanor, is acquitted or released without being convicted, the Chief Judge of the circuit wherein the charge was brought, or any judge of that circuit designated by the Chief Judge, may upon verified petition of the defendant order the record of arrest expunged from the official records of the arresting authority. For purposes of this Section, convictions for moving and nonmoving traffic violations other than convictions for violations of Sections 6-303, 11-401, 11-501, 11-503, and 11-504 of "The Illinois Vehicle Code" shall not be a bar to expunging the record of arrest for violation of a misdemeanor or municipal ordinance. Notice of the above petition shall be served upon the State's Attorney or prosecutor charged with the duty of prosecuting the offense. Unless the State's Attorney or prosecutor objects to the petition within 30 days from the date of the notice, the court shall enter an order granting or denying the petition. The clerk of the court shall promptly mail a copy of the order to the accused.

Minimum data contents shall be: State Central Repository address and telephone number, Reviewing Agency's name and NCIC number, RAR Document serial number, State Identification Number, Challenger's full name, Address. Telephone number, Date of Birth, Sex, Preprinted Instruction Narrative, Reviewing Officer's name and Identification number, Challenger's signature and date, Space for Challenger's Narrative and Document references, and Copy designation literals.

The Department of Law Enforcement shall distribute Record Challenge forms to Reviewing Agencies as required, and furnish detail instructions for completing the same. This form is used to record facts of the challenge, to record what the individual believes to be a correct version of the information to be corrected, and to record documents and attachments substantiating the individual's challenge.

Request for Administrative Review form, CJIS-OPER-0109-12/75

This is a four part, 8 1/2" X 11" form. Copy designation is: Copy 1, Superintendent, Illinois Bureau of Identification; Copy 2, Same as Copy 1; Copy 3, Reviewing Agency; Copy 4, Requester. The Requester's copy shall be backed with brief statements regarding his or her right to receive a copy of the CRI, to challenge CRI information, to file an Administrative Review, right to file an Administrative Appeal and forms to use in each stage of the right to access and review Criminal History Record Information.

Minimum data contents shall be: Superintendent, State Central Repository and address, Reviewing Agency's name and NCIC number, State Identification number, individual's full name, Address and Telephone number, Date of Birth, Notices and Instructions, Reviewing Officer's name and Identification number, Individual's signature, date filed and space for narrative.

Department of Law Enforcement shall distribute Request for Administrative

Review forms to all Reviewing Agencies as required, and furnish detail instructions for completing the same. This form is used to record facts of the challenge and a statement relating to the factual controversy leading to this stage of the review and subsequent denial of the challenge.

Administrative Appeal Complaint form, CJIS-OPER-0108-12/75

This is a five part 8 1/2" X 11" form. Copy designation is: Copy 1, Security and Privacy Council; Copy 2, Security and Privacy Council; Copy 3, State Central Repository; Copy 4, Individual's Copy; Copy 5, Reviewing Agency.

This form and instructions shall be furnished to all reviewing agencies by the Security and Privacy Council to be used for filing an Administrative Appeal.

Minimum data contents shall be; Security and Privacy Council Address and Telephone Number, Reviewing Agency's Name and NCIC Number, State Identification Number, Individual's Full Name, Address and Telephone Number, Date of Birth, Notices and Instructions, Reviewing Officer's Name and Identification Number, Individual's Signature, Date filed and space for narrative.

206-7. Records not to be Public.

No file or record of the Department hereby created shall be made public, except as may be necessary in the identification of persons suspected or accused of crime and in their trial for offenses committed after having been imprisoned for a prior offense; and no information of any character relating to its records shall be given or furnished by the Department to any person, bureau or institution other than as herein provided. Violation of this Section shall constitute a Class A misdemeanor.

206-8. Crime statistics.

The Department shall be a central repository and custodian of crime statistics for the State and it shall have all power incident thereto to carry out the purposes of this Act, including the power to demand and receive cooperation in the submission of crime statistics from all units of government.

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APPENDIX A2

House Bill 1365

79th GENERAL ASSEMBLY  
State of Illinois

1975 and 1976

INTRODUCED \_\_\_\_\_, BY

*Kuinski*  
*Shea*  
*Madigan*

AMENDED

3' NOPSIS: (Ch. 38, new par. 206-2.1)

Amends the Criminal Identification and Investigation Act. Requires Circuit Clerks and State's Attorneys to provide information concerning disposition of all criminal cases and also information concerning arrests in which no charges are filed.

LRB0366-79-DDC/mf

A BILL FOR

1 AN ACT to add Section 2.1 to and to amend Section 5 of 11  
2 "An Act in relation to criminal identification and 12  
3 investigation", approved July 2, 1931, as amended.

4 Be it enacted by the People of the State of Illinois, 14  
5 represented in the General Assembly: 15

6 Section 1. Section 5 of "An Act in relation to criminal 17  
7 identification and investigation", approved July 2, 1931, as 18  
8 amended, is amended, and Section 2.1 is added thereto, the 19  
9 added and amended Section to read as follows:

(Ch. 38, new par. 206-2.1) 21

10 Sec. 2.1. For the purpose of maintaining complete and 23  
11 accurate criminal records within the Bureau of Identification 24  
12 of the Department of Law Enforcement, it is necessary for the 25  
13 clerk of the circuit court and State's Attorney of each 26  
14 county to submit certain criminal case information to the 27  
15 Bureau of Identification for filing along with criminal 28  
16 arrest records.

17 The clerk of the circuit court of each county shall 30  
18 furnish the Bureau of Identification with all final 31  
19 dispositions of criminal cases for which the Bureau has 32  
20 record of an arrest.

21 The State's Attorney of each county shall notify the 34  
22 Bureau of Identification of all charges filed and whether 35  
23 charges were not filed in criminal cases for which the Bureau 36  
24 has record of an arrest.

25 All information required by this Section shall be 38  
26 furnished within 30 days of any decision not to file a 39  
27 criminal complaint after arrest; or if a complaint is filed, 40  
28 within 30 days of final disposition of the case. 41

(Ch. 38, par. 206-5) 43

29 Sec. 5. All policing bodies of this State shall furnish 46  
30 to the Department, daily, in the form and detail the 47  
31 Department requires, copies of finger prints and 48

1 descriptions, of all persons who are arrested on charges of 48  
2 violating any penal statute of this State; and of all persons 49  
3 who have in their possession, inks, dye, paper or other 50  
4 articles necessary in the making of counterfeit notes or in 51  
5 the alteration of bank notes or dies, molds or other articles 52  
6 used in the making of counterfeit money and intended to be 53  
7 used by them for such unlawful purposes; however, this  
8 Section does not apply to any of such offenses, which are not 54  
9 classified as a felony or as a Class A or Class B misdemeanor 55  
10 for which the only penalties provided by law are a fine or a 56  
11 sentence of not more than 10 days. The Department may by its 57  
12 promulgated rule exempt specific police departments which 58  
13 have acceptable machine record reports from sending any 'raw'  
14 material to the Department required by this Section except 59  
15 finger prints and photographs. Whenever a policing body is 60  
16 so exempted by rule it shall furnish to the Department 61  
17 acceptable copies of their machine record reports covering 62  
18 the exempted "raw" material. All photographs, finger prints  
19 or other records of identification so taken shall, upon the 63  
20 acquittal of a person charged with the crime, or, upon his  
21 being released without being convicted, be returned to him. 64  
22 A person, not having previously been convicted of any 65  
23 criminal offense or municipal ordinance violation, charged  
24 with a violation of a municipal ordinance or a felony or 66  
25 misdemeanor, if he was acquitted or released without being  
26 convicted, may petition the Chief Judge of the Circuit 67  
27 wherein the charge was brought to have the record of arrest 68  
28 expunged from the official records of the arresting  
29 authority. For purposes of this Section, convictions for 69  
30 moving and nonmoving traffic violations other than 70  
31 convictions for violations of Sections 6-303, 11-401, 11-501, 71  
32 11-503 and 11-504 of "The Illinois Vehicle Code" shall not be  
33 a bar to expunging the record of arrest for violation of a 74  
34 misdemeanor or municipal ordinance. Notice of the above 75  
35 petition shall be served upon the prosecuting authority 76



1 charged with the duty of prosecuting the offense. Such 77  
2 petition by the accused shall be accompanied by a waiver, in  
3 a manner satisfactory to the Court, waiving any and all 78  
4 claims he or any other person may have against the arresting 79  
5 officer or officers in the case arising out of the incident 80  
6 of arrest.  
7 The Chief Judge shall enter an order either denying the 82  
8 motion to expunge or an order expunging the arrest record. 83



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APPENDIX A4

Bureau of Identification, Criminal Justice Information Service's Statute Reference, Table Reportable Offenses, Includes: chapter 38; chapter 56½, chapter 95½.

### INSTRUCTIONS

1. TYPE or PRINT all information; use BLACK INK.
2. USE LEADS/NCIC abbreviation only.
3. ALL signitures must be present.
4. CORRECT and LEGIBLE entry of the CASE NUMBER and BCI number.
5. COMPLETENESS and ACCURACY of all information is essential.

Mail State Central Repository copies to:

DEPARTMENT OF LAW ENFORCEMENT  
Bureau of Identification  
Quality Assurance Unit  
515 E. Woodruff Road  
Joliet, Illinois 60432

Telephone No. 815/782-5242

# COMPLAINT

BCI:

I	L					/
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REQUESTOR

## REVIEWING

**AGENCY**

(NAME. ADDRESS. TELEPHONE. NCIC NUMBER)

NAME

STREET ADDRESS

CITY

STATE

ZIP CODE

DATE OF BIRTH

SEX

RACE

TELEPHONE NUMBER

ITEMS TO BE REVIEWED

1

2

3

FOR EACH ITEM TO BE REVIEWED, INDICATE  
BELOW WHAT YOU BELIEVE TO BE THE CORRECT  
INFORMATION OR REASON FOR REVIEW. CITE  
ORIGINAL DOCUMENTS WHERE POSSIBLE.

1

2

3

THIS IS A ROUGH COPY.

FORM BEING PRINTED BY VENDOR AT PRESENT TIME.

CHAPTER 38 SECTION		OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	CEE STATUTE
DIVISION I Criminal Code of 1961							
8-1		Solicitation					X
8-2		Conspiracy					X
8-4		Attempt:					X
		to commit murder	1				
		to commit a Class 1 felony	2				
		to commit a Class 2 felony	3				
		to commit any felony other than murder, a Class 1 or Class 2	4				
9-1		Murder	Murder				
9-2		Voluntary Manslaughter	2				
9-3		Involuntary Manslaughter <sup>1</sup>	3				
		Reckless Homicide	4				
9-3.1		Concealment of Homicidal Death	3				
9-4		Concealing Death of Bastard		A			
10.1		Kidnaping	3				
10-2		Aggravated Kidnaping	1				
10-3		Unlawful Restraint	4				

CHAPTER 38 SECTION	OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
11-1	Rape	1				
11-3	Deviate Sexual Assault	1				
11-4	Indecent Liberties with a Child	1				
11-5	Contributing to the Sexual Delinquency of a Child		A			
11-6	Indecent Solicitation of a Child		A			
11-7	Adultery		A			
11-8	Fornication		B			
11-9	Public Indecency		A			
11-10	Aggravated Incest	2				
11-11	Incest	3				
11-12	Bigamy	4				
11-13	Marrying a Bigamist		A			
11-14	Prostitution		A			
11-15	Soliciting for a Prostitute		A			
11-16	Pandering	4				
11-17	Keeping a Place of Prostitution		A			
11-18	Patronizing a Prostitute		B			
11-19	Pimping		A			
11-20	Obscenity		A			
	second or subsequent offense	4				

<u>CHAPTER 38</u> <u>SECTION</u>	OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
11-21	Harmful Material:  Distribution of -  second or subsequent offense	4	A			
	False representation of age to purchase or view		B			
11-22	Tie-in Sales of Obscene Publications			x		
12-1	Assault		C			
12-2	Aggravated Assault		A			
12-3	Battery		A			
12-4	Aggravated Battery	3				
12-5	Reckless Conduct		A			
12-5.1	Criminal Housing Management		A			
12-6	Intimidation	3				
12-6.1	Compelling organization membership of persons under 17 years					X
12-7	Compelling Confession or Information by Force or Threat	4				
12-8	Dueling		A			
12-10	Tattooing Body of Minor		C			
13-2	Violation of Civil Rights		B			
14-2	Eavesdropping		A			
16-1	Theft:  not from person and not exceeding \$150 in value		A			
	a second or subsequent offense after conviction of any type of theft	4				
	from the person or exceeding \$150	3				





**CONTINUED**

**3 OF 5**

<u>CHAPTER 38</u> <u>SECTION</u>	OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
16-2	Theft of Lost or Mislaid Property			X		
16-3	Theft of Labor or Services or Use of Property		A			
16-5	Theft from Coin-operated Machine  a second or subsequent con- viction	4	A			
16-6	Coin-operated Machines - Possession of a Key or Device		A			
17-1	Deceptive Practices:  Subsections (a) through (d)		A			
17-2	Impersonating Member of Police, Fraternal or Veteran's Organi- zation, or Representative of Charitable Organization		C			
17-3	Forgery	3				
17-4	Deceptive Altering or Sale of Coins		A			
17-5	Deceptive Collection Practice				X	
18-1	Robbery	2				
18-2	Armed Robbery	1				
19-1	Burglary	2				
19-2	Possession of Burglary Tools	4				

CHAPTER 38 SECTION		OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
20-1	Arson		2				
20-2	Possession of Explosives or Ex- plosive or Incendiary Devices		2				
21-1	Criminal Damage to Property:			A			
	except, when an act enumerated in Subsections (a) or (f) re- sults in damage exceeding \$150		4				
21-1.1	Criminal Damage of Fire Fighting Apparatus, Hydrants or Equip- ment			B			
21-2	Criminal Trespass to Vehicles			A			
21-3	Criminal Trespass to Land			C			
21-4	Criminal Damage to State Support- ed Property:						
	when damage is \$500 or less			A			
	when damage exceeds \$500		4				
21-5	Criminal Trespass to State Supported Land			A			
21-6	Unauthorized Possession or Storage of Weapons			A			
21.1-2	Residential Picketing			B			
21.2-2	Interference with Public Insti- tution of Higher Education			C			
	second or subsequent offense			B			
22-50)	Hypodermic Syringes and Needles			A			
22-51)	Act						
22-52)	for a second or any succeed- ing offense		4				

CHAPTER 38 SECTION	OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
24-1	Unlawful Use of Weapons:					
	Subsections (a) (1) through (a) (6), or (a) (8) or (a) (10)		A			
	a second or subsequent violation of subsection (a) (4)	4				
	Subsections (a) (7) or (a) (9)	4				
	Violation of any subsection, by a person convicted of a felony, within 5 years of release from penitentiary or within 5 years of conviction if penitentiary sentence has not been imposed.	3				
24-3	Unlawful Sale of Firearms		A			
24-3.1	Unlawful Possession of Firearms and Firearm Ammunition		A			
24-4	Register of Sales by Dealer		B			
24-5	Defacing Identification Marks of Firearms		A			
25-1	Mob Action		C			
	if participant in mob action which, by violence, inflicts injury to person or property of another	4				
	if participant in mob action who does not withdraw on being commanded to do so by peace officer		A			

CHAPTER 38 SECTION	OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
26-1	Disorderly Conduct					
	Subsection (a) (1) or (a) (2)		C			
	Subsection (a) (3)	4				
	Subsection (a) (4)		A			
	Subsection (a) (5) or (a) (6)		B			
	Subsection (a) (7)				X	
26.1-2)	Solicitation of Alcoholic and			X		
26.1-3)	Nonalcoholic Beverages					
26.1-4)						
27-1	Criminal Defamation		A			
28-1	Gambling					
	Subsection (a) (1) or (a) (2)		A			
	Subsections (a) (3) through (a) (10)		A			
	Second or subsequent con- viction under any of sub- sections (a) (3) through (a) (10)	4				
28-1.1	Syndicated Gambling	3				
28-3	Keeping a Gambling Place		A			
	second or subsequent offense	4				
28-4	Registration of Federal Gambli- ing Stamps		B			
	Second or subsequent violation		A			
29-1	Offering a Bribe	4				
29-2	Accepting a Bribe	4				
29-3	Failure to Report Offer of Bribe		A			
29A-1	Commercial Bribery				X	

CHAPTER 38 SECTION	OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
30-1	Treason	1				
30-2	Misprision of Treason	4				
30-3	Advocating Overthrow of Govern- ment	3				
31-1	Resisting or Obstructing a Peace Officer		A			
31-3	Obstructing Service of Process		B			
31-4	Obstructing Justice	4				
31-5	Concealing or Aiding a Fugitive	4				
31-6	Escape					
	Subsection (a)	2				
	Subsection (b) or (c)		A			
	Subsection (d), or a vio- lation of subsection (b) or (c) while armed with a dan- gerous weapon	4				
31-7	Aiding Escape					
	Subsection (a), (c), (d), (e) or (f)		A			
	Subsection (b)	2				
	Subsection (g), or a vio- lation of subsection (c), (d) or (e) while armed with a dangerous weapon	2				
31-8	Refusing to Aid an Officer			X		
32-1	Compounding a Crime			X		
32-2	Perjury	3				
32-3	Subornation of Perjury	4				

CHAPTER 38						
SECTION		FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
32-4	Communications with Jurors and Witnesses					
	Subsection (a)		A			
	Subsection (b)	4				
32-4a	Harassment of Jurors and Wit- nesses		A			
32-5	False Personation of Judicial or Governmental Official		B			
32-6	Performance of Unauthorized Acts	4				
32-7	Simulating Legal Process		B			
32-8	Tampering with Public Records	4				
32-9	Tampering with Public Notice			X		
32-10	Violation of Bail Bond					
	if bail was given in connect- ion with a charge of felony or pending appeal or cert- iorari after execution of any offense	4				
	if bail was given in con- nection with a charge of committing a misdemeanor, or for appearance as a witness		A			
33-1	Bribery	4				
33-2	Failure to Report a Bribe		A			
33-3	Official Misconduct	4				
33A-2	Armed Violence	4				
	or maximum sentence provided for same act while unarmed, which ever is greater					



CHAPTER 38 SECTION	OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
37-1	Maintaining Public Nuisance		A			
	Each subsequent offense	4				
39-1	Criminal Usury	4				
39A-1	Juice Racketeering Transaction	3				
40-2	Criminal Misrepresentation of Factoring	3				
42-1	Looting	4				
<u>DIVISION II</u>						
<u>Miscellaneous Penal Provisions</u>						
50-1 & 50-2	Aerial Exhibitions		A			
50-31 & 50-32	Containers - Labeling				X	
60-3	Antitrust Act Subsection (1) and (4)	4				X
65-1	Blind Persons - Exclusion of guide dogs		C			
65-11	Disclosure of Information Ob- tained in Business of Preparing Income Tax Returns		A			
65-23 thru 27	Unlawful Employment and Housing Practices		C			
70-1	Misuse of Official Stationery or Seal of Institution of Higher Learning			X		
70-51	Inducement to Sell or Purchase Realty by Reason of Race, Color, Religion or National Origin or Ancestry		A			
	Second or subsequent vio- lation	4				

CHAPTER 38 SECTION	OFFENSE	FELONY	MISDE- MEANOR	PETTY OFFENSE	BUSINESS OFFENSE	SEE STATUTE
81-1 & 81-2	Use or Sale or Intoxicating Compounds		C			
81-17	Abortion					
	Subsection (a): Criminal Abortion	2				
	(b): Advertising, etc.		B			
	(c): Failure to submit report or failure to maintain con- fidentiality		B B			
	(d): Sale of abortifacient					
82-2 & 82-3	Unlawful Sale, Possession or Use of Air Rifles			X		
83-1, et.seq.	Firearm and Ammunition		A			
84-1, et.seq.	Boarding Aircraft with Firearm, Explosive or Lethal Weapon		B			
85-1, et.seq.	Public Demonstrations Law		A			
86-4 through 86-7	Litter Control Act			X		
90-1	Legislative Misconduct	3				
90-11	Destruction or Mutilation of Draft Card	4				
<u>DIVISION V</u>						
<u>Supplementary Provisions</u>						
201-	Detectives and Investigators					
	All violations of act, except Section 201-12,		B			
201-12	Employee Divulging Information		A			
202-	Detection of Deception Examiners		B			
206-7	Criminal Identification and Investigation Act		A			

OFFENSES

IN

CHAPTER 56½ - FOOD AND DRUGS

ILLINOIS REVISED STATUTES

- - -

CANNABIS CONTROL ACT

- - -

CONTROLLED SUBSTANCES ACT

CHAPTER 56x SECTION	OFFENSE	FELONY	MISDE- MEANOR
CANNABIS CONTROL ACT			
4	Possession of cannabis		
	Subsection 4 (a)		C
	Subsection 4 (b)		B
	Subsection 4 (c)		A
	Subsequent offense	4	
	Subsection 4 (d)	4	
	Subsequent offense	3	
	Subsection 4 (e)	3	
5	Manufacture or delivery of cannabis		
	Subsection 5 (a)		B
	Subsection 5 (b)		A
	Subsection 5 (c)	4	
	Subsection 5 (d)	3	
	Subsection 5 (e)	2	
8	Production of cannabis sativa plant		A
9	Calculated criminal cannabis conspiracy	3	
	if after one or more prior convictions under this section, section 4 (d), section 5 (d), or any law relating to cannabis, or controlled substances	1	

CHAPTER 562 SECTION	OFFENSE	FELONY	MISDE- MEANOR
CONTROLLED SUBSTANCE ACT			
401	Manufacture or Delivery		
	Subsection 401 (a)	1	
	Subsection 401 (b)	2	
	Subsection 401 (c)	3	
	Subsection 401 (d)	3	
	Subsection 401 (e)	4	
	Subsection 401 (f)	4	
402	Possession		
	Subsection 402 (a)	1	
	Subsection 402 (b)	3	
403	Counterfeit substances - Manufacture or Delivery		
	Subsection 403 (a)	2	
	Subsection 403 (b)	3	
	Subsection 403 (c)	4	
	Subsection 403 (d)		A
	Subsection 403 (e)		A
404	Substance represented as controlled substance		
	Delivery or Possession	3	
405	Calculated criminal drug conspiracy	1	

CHAPTER 56: SECTION	OFFENSE	FELONY	MISDE- MEANOR
406	Miscellaneous violations		
	Subsection 406 (a)		A
	subsequent offense	4	
	Subsection 406 (b)		A
	subsequent offense	4	

OFFENSES

IN

CHAPTER 95 1/2 - ILLINOIS VEHICLE CODE

ILLINOIS REVISED STATUTES

CHAPTER 95 1/2 SECTION	OFFENSE	FELONY	MISDE- MEANOR
3-702	Operation when Registration is cancelled, suspended or revoked.		A
3-703	Improper use of plates or title.		A
4-102(a)	Damage or remove part of vehicle.		A
4-102(b)	Tamper with vehicle.		A
4-102(c)	False report of theft.		A
4-102(d)	Buy, receive, possess or sell parts with serial number removed.		A
4-103(a)	Receiving, etc. stolen vehicles.	4	
4-103(b)	Remove identification number of vehicle or parts.	4	
4-103(c)	Conceal or misrepresent identity of vehicle or part.	4	
4-103(d)	Receive vehicle or part knowing identification number changed.	4	
4-104(a)	Permit another to use title.		A
4-104(b)	Unlawful use of title, registration or plates.		A
4-104(c)	Failure to mail or deliver plates, title or registration within 24 hours after receipt from Secretary of State.		A
4-105(a)	Alter, forge, counterfeit a title, registration or plates.	/	
4-105(b)	Alter or forge an assignment or releasing of security interest.	4	
4-105(c)	Possession of title knowing it to have been altered, forged or counterfeited.	4	
4-105(d)	Possess or use registration card or plates altered, forged or counterfeited.	4	
4-105(e)	False or fictitious name or address.	4	
4-105(f)	Fraudulent application.	4	



CHAPTER 95 1/2 SECTION	OFFENSE	FELONY	MISDE- MEANOR
6-301.1	Display or possess false license or permit.		A
6-301.2	Lend license or permit.		A
6-301.3	Display or represent as his own a license or permit not issued to him.		A
6-301.4	Fail or refuse to surrender suspended, revoked or cancelled license or permit.		A
6-301.5	Permit unlawful use of license or permit issued to him.		A
6-301.6	Take exam for some other person.		A
6-301.8	Possess or sell blank license or permit.		A
6-303(a)	Drive while license or permit suspended or revoked.		A
11-204	Fleeing		B
11-401(a)	Accidents involving injury or death, give information and render aid.		A
11-401(b)	Failure to stop and failure to report within 48 hours.	4	
11-402	Failure to stop at accident involving damage to property.		B
11-409	False accident reports.		A
11-501	Driving while intoxicated.		A
11-503	Reckless Driving.		B
11-504	Drag Racing.		B

APPENDIX A5

Criminal History Record Information User Agreement

# CRIMINAL HISTORY RECORD INFORMATION USER AGREEMENT

between

THE ILLINOIS DEPARTMENT OF LAW ENFORCEMENT

and

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The Illinois Department of Law Enforcement (hereinafter "DLE"), acting as the State of Illinois Central Repository for criminal history record information, pursuant to Ill. Rev. Stat. 1975, ch. 127, Section 55a, and \_\_\_\_\_ (hereinafter "User") (either a criminal justice agency as defined by the Department of Justice, Criminal Justice Information Systems Rules and Regulations, Section 20.3 (c), 40 F.R. 22114, May 20, 1975 or an individual or an agency providing services to DLE that are required for the administration of criminal justice as defined by Section 20.3 (d) of said Rules and Regulations) hereby agree to exchange such criminal history record information, wanted persons information and missing persons information for the administration of criminal justice as is available in the State of Illinois Central Repository, in the files of User, the National Crime Information Center of the Federal Bureau of Investigation (hereinafter "NCIC"), or in the files of the Law Enforcement Agencies Data System, subject to the following terms and conditions:

1. Purpose of Agreement. This agreement provides for DLE to serve as the state agency responsible for the exchange of statewide criminal history record information and other criminal justice information between DLE and User. In addition, it provides for DLE to serve as state control terminal to facilitate the interchange of computerized criminal history data between NCIC and User.
2. Duties of DLE. Upon receipt of inquiries from User which contain all the data elements required by DLE, DLE will promptly search its files and return, in as expeditious manner as is possible and consistent with delivery systems available to it, such information contained in its files as may be relevant to the inquiries. DLE further agrees to provide such criminal justice information as is available through the NCIC and

3. Duties of User. User will collect, receive, store, use and disseminate all information covered by the terms of this agreement in strict compliance with all present and future federal and state laws and regulations, with all rules, procedures, and policies adopted by NCIC, and with all rules, procedures, and policies adopted by DLE. User will familiarize its personnel with and fully adhere to section 524 (b) of the Crime Control Act 1973 (42 U.S.C. 3771 (b) ) and regulations issued pursuant thereto, regulations issued by DLE, specifically those entitled "Rules and Regulations Governing Individual Right to Access & Review Criminal History Record Information," the State Plan submitted pursuant to 42 U.S.C. 3771 (b), and the Law Enforcement Agencies Data System Rules and Regulations. The documents referred to above are attached hereto and incorporated by reference in this agreement.
4. Suspension of Service. DLE reserves the right to immediately suspend furnishing information covered by the terms of this agreement to User when any terms of this agreement or documents incorporated therein are violated or reasonably appear to be violated. DLE shall resume furnishing such information upon receipt of satisfactory assurances that such violations did not occur or that such violations have been fully corrected or eliminated.
5. Cancellation. Either DLE or User may cancel this agreement upon thirty days notice to the other party.
6. Executory Clause. It is understood by and between the parties hereto that DLE is obligated to provide the services described in Section 2 above to User only to the extent that public funds are made available to DLE for that purpose. DLE shall incur no liability on account thereof beyond the money made available for such purpose.
7. Certification. Before this agreement may take effect, User must be certified by DLE as a bona fide recipient and donor of criminal history record information. Personnel assigned by User as terminal operators shall be identified to DLE and authorized to perform terminal operations only after having been provided adequate training.

8. Completeness and Accuracy. The completeness and accuracy of information is paramount and User shall maintain only accurate and up-to-date criminal history records. User will cooperate with regular audits conducted by DLE to assure reliability of data. In addition, measures for purging or cancelling entries will be adhered to in order to enhance reliability of all data. Before disseminating criminal history record information, User shall inquire from the State of Illinois Central Repository to ensure that only the most current disposition data is being disseminated.
9. Liability for Dissemination. User shall be responsible for ensuring that data contained in criminal history records disseminated by it to non-criminal justice agencies or individuals is not further disseminated by them and shall be liable for any loss, cost, expense, and damage resulting from any negligence on the part of User to prevent any such further dissemination.
10. Audits. User hereby agrees to make its records available to DLE for the purpose of conducting periodic audits of User's compliance with all laws and regulations regarding the processing of information furnished to User under the terms of this agreement. User agrees to keep such records as DLE may from time to time direct in order to facilitate such audits. At a minimum, User shall record the identities of persons or agencies having access to criminal history records and all disseminations of criminal history records on a log showing the name of the accessor or requester, the authority of the requester, the purpose of the request, the identity of the individual to whom the information relates, and the date of the dissemination. Such log shall be maintained and retained for a period of at least three (3) years.
11. Security. User shall designate an official custodian who shall be responsible for the maintenance, care, and security of all of its criminal history records.
12. Notice of Changes. DLE hereby agrees that no changes will be made in the rules, procedures, and policies adopted by it and incorporated in this agreement without furnishing notice to User and a 30-day period in which User can submit comment to DLE.

13. Indemnification. User hereby agrees to indemnify and save harmless DLE and its employees and officials from and against any and all claims, demands, action, suits, and proceedings brought by others, and against all liability to others arising out of the agreement or founded upon the negligence or other tortious conduct of User, including but not limited to any liability for any loss, cost, expense and damages by reason of any claim of false imprisonment, false arrest, or any other cause of action, in the exercise or enjoyment of this agreement.

14. Construction. This agreement shall be liberally construed to apply to both manual and automated information systems wherever and whenever possible.

15. Effective Date. This agreement will become effective on \_\_\_\_\_, 19\_\_.

In WITNESS WHEREOF, the parties hereto caused this agreement to be executed by the proper officers and officials.

The Illinois Department of Law Enforcement

Criminal Justice Agency

by: \_\_\_\_\_

title: Director

date: \_\_\_\_\_, 19\_\_

by: \_\_\_\_\_

title: \_\_\_\_\_

date: \_\_\_\_\_

APPENDIX B1

Non-Disclosure of Criminal History Record Information Agreement

NON-DISCLOSURE OF CRIMINAL HISTORY RECORD INFORMATION AGREEMENT

between

THE ILLINOIS DEPARTMENT OF LAW ENFORCEMENT

and

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WHEREAS, \_\_\_\_\_ (hereinafter "Researcher") has requested permission from the Illinois Department of Law Enforcement (hereinafter "DLE") to utilize certain criminal history record information for the purpose of research, evaluative, or statistical activities in connection with a program defined in Researcher's formal application request to DLE dated \_\_\_\_\_, 19\_\_; and

WHEREAS, the Director of DLE or authorized designee has approved said application;

NOW, THEREFORE, in consideration of the furnishing of criminal history record information by DLE to Researcher, the parties agree as follows:

1. The following items of information shall be supplied by DLE to Researcher, to the extent such items are contained in the files of DLE, and shall be subject to the terms and conditions of this agreement.  
(Describe items to be supplied)
2. Access to the identities of the individuals whose records are sought by Researcher shall be prohibited, unless Researcher's program conclusively demonstrates in its application to DLE that access by individual name is indispensable to conducting that program.



3. DLE hereby finds that Researcher has/has not conclusively demonstrated that access by individual name is indispensable to conducting its research, evaluative, or statistical program.
4. Researcher acknowledges the confidential nature of the criminal history record information supplied to it and agrees that disclosure by Researcher in any manner, of the identities of the individuals or in a form which is identifiable to the individuals whose records are sought, to any other agency or individual not immediately concerned with the research program shall be totally prohibited under any circumstance.
5. All copies of criminal history record information disseminated to Researcher that identify an individual or from which an identity is ascertainable, shall be returned to DLE once the information is no longer needed to effectuate the purposes for which it was originally disseminated.
6. Researcher shall certify in writing that it has returned all criminal history information that it has received from DLE and that it has refrained from making any copies thereof.
7. DLE shall monitor, audit, and review Researcher's program activities and policies to ensure compliance with the requirements of this agreement and with any applicable federal or state laws and regulations.
8. If DLE determines either that the requirements of this agreement have not been satisfied or that Researcher's program otherwise threatens privacy or security interests, it may prohibit Researcher from obtaining access to any criminal history record information.
9. In order to conceal the identity of persons whose criminal history records are supplied to Researcher, Researcher agrees to:

- A. use the information furnished under this agreement only for the purpose described in Researcher's application to DLE;
  - B. replace the name and address of any record subject with an alpha-numeric or other appropriate code where possible;
  - C. restrict access to all data supplied by DLE to those employees whose responsibilities under the program cannot be accomplished without such access;
  - D. store all data received from DLE in secure locked containers;
  - E. refrain from copying any data furnished by DLE and to retain such data only so long as may be necessary to effectuate the purposes of the program.
10. Researcher agrees to insert in the preface of any report of the program conducted pursuant to this agreement, whether published or unpublished, a disclaimer of DLE's responsibility for the methods of statistical analysis as well as the conclusions derived therefrom contained in such a report.
11. Researcher hereby agrees to hold DLE harmless from any damages or other liability which might be assessed against DLE as a result of disclosure by Researcher of any information received from DLE pursuant to the terms of this agreement.
12. Researcher hereby agrees to pay to DLE the sum of \$\_\_\_\_\_ for each search for a criminal history record which DLE performs at Researcher's request.

13. In the event that Researcher fails to comply with any of the terms of this agreement, DLE may immediately cease to supply criminal history record information to Researcher, may demand the return of all criminal history record information previously furnished to Researcher, and may take such other actions as it deems appropriate to protect security and privacy interests.

In WITNESS WHEREOF, the parties have signed their names hereto this \_\_\_\_ day of \_\_\_\_, 19\_\_.

Illinois Department of Law Enforcement

Researcher

By: \_\_\_\_\_

By: \_\_\_\_\_

Title: Director

Title: \_\_\_\_\_

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APPENDIX B2

Juvenile Court Act, Chapter 37, Sections 702 and 703

ARTICLE 2—JURISDICTION; VENUE; RELATION-  
SHIP TO CRIMINAL PROCEEDINGS; RECORDS

702—1. § 2-1. Jurisdictional Facts.) Pro-  
ceedings may be instituted under the provisions of  
this Act concerning boys and girls who are delin-  
quent, otherwise in need of supervision, neglected  
or dependent, as defined in Sections 2-2 through  
2-5.<sup>1</sup>

<sup>1</sup> Sections 702-2 thru 702-5 of this chapter.

702—2. § 2-2. Delinquent Minor.) Those  
who are delinquent include any minor who prior to  
his 17th birthday has violated or attempted to vic-  
late, regardless of where the act occurred, any fed-  
eral or state law or municipal ordinance; and (b)  
prior to January 1, 1974, any minor who has vio-  
lated a lawful court order made under this Act.  
Amended by P.A. 77-2096, § 1, eff. Jan. 1, 1973.

702—3. § 2-3. Minor Otherwise in Need of Su-  
pervision.) Those otherwise in need of supervi-  
sion include (a) any minor under 18 years of age  
who is beyond the control of his parents, guardian  
or other custodian; (b) any minor subject to com-  
pulsory school attendance who is habitually truant

from school; (c) any minor who is an addict, as defined in the "Drug Addiction Act";<sup>1</sup> and (d) on or after January 1, 1974, any minor who violates a lawful court order made under this Act.

Amended by P.A. 77-2096, § 1, eff. Jan. 1, 1973.

<sup>1</sup> Chapter 91½, § 120.1 et seq.

**702-4. § 2-4. Neglected Minor.)** (1) Those who are neglected include any minor under 13 years of age

(a) who is neglected as to proper or necessary support, education as required by law, or as to medical or other remedial care recognized under State law or other care necessary for his well-being, or who is abandoned by his parents, guardian or custodian; or

(b) whose environment is injurious to his welfare or whose behavior is injurious to his own welfare or that of others.

(2) This Section does not apply to a minor who would be included herein solely for the purpose of qualifying for financial assistance for himself, his parents, guardian or custodian. As amended by act approved July 31, 1967. L.1967, p. 2359.

**702-5. § 2-5. Dependent Minor.)** (1) Those who are dependent include any minor under 18 years of age (a) who is without a parent, guardian or legal custodian;

(b) who is without proper care because of the physical or mental disability of his parent, guardian or custodian; or

(c) who has a parent, guardian or legal custodian who with good cause, wishes to be relieved of all residual parental rights and responsibilities, guardianship or custody, and who desires the appointment of a guardian of the person with power to consent to the adoption of the minor under Section 5-9.1

(2) This Section does not apply to a minor who would be included herein solely for the purpose of qualifying for financial assistance for himself, his parents, guardian or custodian. As amended by act approved July 31, 1967. L.1967, p. 2359.

<sup>1</sup> Chapte. 37, § 705-9.

**702-6. § 2-6. Venue.)** (1) Venue in any case lies in the county where the minor resides or is found. In the case of a delinquent minor described in Section 2-2,<sup>1</sup> venue also lies in the county where the alleged attempt to violate or violation of federal, state or local law occurred or in the county where the order of the court, alleged to have been violated by such minor, was made unless subsequent to the order the proceedings have been transferred to another county.

(2) If proceedings are commenced in any county other than that of the minor's residence, the court in which the proceedings were initiated may at any time before or after adjudication of wardship transfer the case to the county of the minor's residence by transmitting to the court in that county an authenticated copy of the court record, including all documents, petitions and orders filed therein, and the minute orders and docket entries of the court. Transfer in like manner may be made in the event of a change of residence from one county to another of a minor concerning whom proceedings are pending.

<sup>1</sup> Section 702-2 of this chapter.

**702-7. § 2-7. Criminal Prosecutions Limited.)** (1) Except as provided in this Section, no minor who was under 17 years of age at the time of the alleged offense may be prosecuted under the criminal

laws of this State or for violation of an ordinance of any political subdivision thereof.

(2) Subject to paragraph (1) of Section 2-8.1 any minor alleged to have committed a traffic, boating or fish and game law violation or an offense punishable by fine only may be prosecuted therefor and if found guilty punished under any statute or ordinance relating thereto, without reference to the procedures set out in this Act.

(3) If a petition alleges commission by a minor 13 years of age or over of an act which constitutes a crime under the laws of this State, and, on motion of the State's Attorney, a Juvenile Judge, designated by the Chief Judge of the Circuit to hear and determine such motions, after investigation and hearing but before commencement of the adjudicatory hearing, finds that it is not in the best interests of the minor or of the public to proceed under this Act, the court may enter an order permitting prosecution under the criminal laws.

(a) In making its determination on a motion to permit prosecution under the criminal laws, the court shall consider among other matters: (1) whether there is sufficient evidence upon which a grand jury may be expected to return an indictment; (2) whether there is evidence that the alleged offense was committed in an aggressive and premeditated manner; (3) the age of the minor; (4) the previous history of the minor; (5) whether there are facilities particularly available to the Juvenile Court for the treatment and rehabilitation of the minor; and (6) whether the best interest of the minor and the security of the public may require that the minor continue in custody or under supervision for a period extending beyond his minority. The rules of evidence shall be the same as under Section 5-1 of this Act.<sup>2</sup> (b) If criminal proceedings are instituted, the petition shall be dismissed insofar as the act or acts involved in the criminal proceedings are concerned. Taking of evidence in an adjudicatory hearing in any such case is a bar to criminal proceedings based upon the conduct alleged in the petition.

(4) Nothing in this Act prohibits or limits the prosecution of any minor for an offense committed on or after his 17th birthday even though he or she is at the time of the offense a ward of the court.

(5) If a petition alleges commission by a minor 13 years of age or over of an act which constitutes a crime under the laws of this State, the minor, with the consent of his counsel, may, at any time before commencement of the adjudicatory hearing, file with the court a motion that criminal prosecution be ordered and that the petition be dismissed insofar as the act or acts involved in the criminal proceedings are concerned. If such a motion is filed as herein provided, the court shall enter its order accordingly.

Amended by P.A. 77-2096, § 1, eff. Jan. 1, 1973; P.A. 78-341, § 1, eff. Oct. 1, 1973.

<sup>1</sup> Chapter 37, § 702-8.

<sup>2</sup> Chapter 37, § 705-1.

**702-8. § 2-8. Confinement, Fingerprints, Photographs and Arrest Information.)** (1) No minor under 18 years of age may be confined in a jail or place ordinarily used for the confinement of prisoners in a police station. Minors under 17 years of age must be kept separate from confined adults and may not at any time be kept in the same cell, room, or yard with adults confined pursuant to the criminal law.

(2) No law enforcement officer or other person or agency may knowingly transmit to the Depart-

ment of Corrections, Adult Division or the Department of Law Enforcement or to the Federal Bureau of Investigation any fingerprint or photograph relating to a minor who has been arrested or taken into custody before his 17th birthday, unless the court in proceedings under this Act authorizes the transmission or enters an order under Section 2-7<sup>1</sup> permitting the institution of criminal proceedings.

(3) The records of law enforcement officers concerning all minors under 17 years of age must be maintained separate from the records of arrests and may not be open to public inspection or their contents disclosed to the public except by order of the court or when the institution of criminal proceedings has been permitted under Section 2-7 or such a person has been convicted of a crime and is the subject of pre-sentence investigation or proceedings on an application for probation. Amended by P.A. 77-2096, § 1, eff. Jan. 1, 1973; P.A. 78-255, § 61, eff. Oct. 1, 1973.

<sup>1</sup> Chapter 37, § 702-7:

**702-9. § 2-9. Admissibility of Evidence in Other Proceedings.)** (1) No adjudication, disposition or evidence given in proceedings under this Act is admissible as evidence against the minor for any purpose whatever in any civil, criminal or other cause or proceeding except in subsequent proceedings under this Act concerning the same minor. No adjudication or disposition under this Act operates to disqualify a minor from subsequently holding public office nor operates as a forfeiture of any right, privilege or right to receive any license granted by public authority except that the court which adjudicates that a minor has committed any offense relating to motor vehicles prescribed in subsections (a) through (d) of Section 4-102 of The Illinois Vehicle Code<sup>1</sup> shall notify the Secretary of State of such adjudication and such notice shall constitute sufficient grounds for revoking that minor's driver's license or permit as provided in subsection (c) of Section 6-205 of The Illinois Vehicle Code;<sup>2</sup> and no minor shall be denominated a criminal by reason thereof; nor shall any such adjudication be denominated a conviction. Neither the fact that a minor has been the subject of proceedings under this Act nor any confession, admission or statement made by him to the court or to any officer thereof before his 18th birthday is admissible as evidence against him or his interests in any other court or proceeding, except in trials of suits for libel or slander, wherein the fact, confession, admission or statement is material and relevant.

(2) Notwithstanding the foregoing provisions of this Section, whenever anyone who has been adjudicated to be a delinquent minor described in Section 2-2<sup>3</sup> is convicted of a crime in any court, the court in which the conviction has been entered may, in passing upon an application for probation or in determining the sentence to be imposed, examine the records of disposition or evidence which were made in proceedings under this Act.

(3) Nothing in this Section affects the right of a Civil Service Commission or appointing authority examining the character and fitness of an applicant for a position as a law enforcement officer to ascertain whether that applicant was ever adjudicated to be a delinquent minor and, if so, to examine the records of disposition or evidence which were made in proceedings under this Act.

Amended by P.A. 77-1672, § 1, eff. July 1, 1972.

<sup>1</sup> Chapter 95½, § 4-102.

<sup>2</sup> Chapter 95½, § 6-205.

<sup>3</sup> Chapter 37, § 702-2.

**702-10. § 2-10. Impounding of Certain Files.)** The official court file and other files containing any memorandum or report and any transcript of testimony in proceedings under this Act shall be impounded and shall not be made available to the general public but may be inspected by representatives of agencies, associations and news media or other properly interested persons by general or special order of court. The State's Attorney and the attorney for the minor shall at all times have the right to examine court files and records except as provided in Section 5-1.<sup>1</sup>

<sup>1</sup> Section 705-1 of this chapter.

**702-11. § 2-11. Designation of Special Courtrooms.)** Special courtrooms may be provided in any county for the hearing of all cases under this Act.

#### ARTICLE 3—TEMPORARY CUSTODY, DETENTION AND SHELTER CARE

**703-1. § 3-1. Taking into Custody.)** (1) A law enforcement officer may, without a warrant, take into temporary custody a minor (a) whom the officer with reasonable cause believes to be a person described in Section 2-1<sup>1</sup>; (b) who has been adjudged a ward of the court and has escaped from any commitment ordered by the court under this Act; or (c) who is found in any street or public place suffering from any sickness or injury which requires care, medical treatment or hospitalization.

(2) Whenever a petition has been filed under Section 4-1<sup>2</sup> and the court finds that the conduct and behavior of the minor may endanger the health, person, welfare, or property of himself or others or that the circumstances of his home environment may endanger his health, person, welfare or property, a warrant may be issued immediately to take the minor into custody.

(3) The taking of a minor into temporary custody under this Section is not an arrest nor does it constitute a police record.

<sup>1</sup> Section 702-1 of this chapter.

<sup>2</sup> Section 704-1 of this chapter.

**703-2. § 3-2. Duty of Officer; Admissions by Minor.)** (1) A law enforcement officer who takes a minor into custody without a warrant under Section 3-1<sup>1</sup> shall immediately make a reasonable attempt to notify the parent or other person legally responsible for the minor's care or the person with whom the minor resides that the minor has been taken into custody and where he is being held; and the officer shall without unnecessary delay take the minor to the nearest juvenile police officer designated for such purposes in the county of venue or shall surrender the minor to a juvenile police officer in the city or village where the offense is alleged to have been committed. The minor, if not released, shall be delivered without unnecessary delay to the court or to the place designated by rule or order of court for the reception of minors.

(2) The records of law enforcement officers concerning all minors taken into custody under this Act shall be maintained separate from the records of arrests and may not be inspected by or disclosed to the public except by order of the court.

<sup>1</sup> Section 703-1 of this chapter.

**703-3. § 3-3. Shelter Care.)** Any minor taken into temporary custody who requires care away from his home but who does not require physical restriction shall be given temporary care in a foster family home or other shelter facility designated by the court.

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APPENDIX B3

Confidentiality of Juvenile Records



### Confidentiality of Juvenile Records

Grantees expressly agree to maintain the following standards and perform the following duties for the protection of juvenile recipients' rights to privacy.

1. The grantee shall maintain accurate and up-to-date records of juveniles served by the grantees.
2. Records maintained by the grantee shall contain only information which is strictly related to the particular type of service provided by the grantee. Such information shall not be released, disclosed or otherwise disseminated under any condition except as follows:
  - a) to the juvenile subject of the records, his or her parent or guardian or legal representative upon proper identification.
  - b) To any person or organization for research purposes provided that authorization to use the information for research purposes should be given only upon a determination that the benefits anticipated from the project outweigh the potential harm to security and privacy of the juvenile. Any person or organization so authorized shall not receive data specifically identifiable to the individual who is the subject of the record.
  - c) to any agency or individual with the written consent of the juvenile or his parent, to the extent that the information contained in the record does not contain criminal history record information.
  - d) to any agency or individual specifically authorized by statute, court or executive order to receive such information. A record of each such request for information pertaining to an individual shall be maintained by the grantee as part of that individual's file. Such record shall include the name of the requesting organization or individual and the date and purpose of the request.
  - e) the grantee is responsible for insuring that the data contained in the records is not further disseminated by persons or agencies receiving information from the grantee records to other agencies or individuals unauthorized to receive such information.
  - f) reasonable effort shall be made to notify the individual subject of a grantee record prior to dissemination of the record or any of its contents to other persons or agencies pursuant to (d).
3. Each grantee shall designate an official records custodian who is responsible for the maintenance, care and security of all grantee records concerning juveniles served.

4. The Grantee herein agrees to abide by and to be bound by the Department of Justice, Criminal Justice Information Systems Rules and Regulations issued pursuant to sections 501 and 524 (b) of the Omnibus Crime Control and Safe Streets Act of 1968, as amended by the Crime Control Act of 1973.

5. The Grantee herein agrees to abide by and to be bound by the Illinois Law Enforcement Commission Criminal Justice Information Systems Standards.

There is no Appendix for chapter C

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There is no Appendix for chapter D

APPENDIX E1

Rules and Regulations Governing Individual Right to Access & Review Criminal History  
Record Information and Instructions Individual Right to Access and Review Criminal  
History Record Information.

# RULES AND REGULATIONS GOVERNING INDIVIDUAL RIGHT TO ACCESS & REVIEW CRIMINAL HISTORY RECORD INFORMATION

EFFECTIVE March 16, 1976

REVISED: January 23, 1976

## GENERAL

These rules and regulations are issued to comply with Title 28 of the Code of Federal Regulations, Judicial Administration, Chapter 1 - Department of Justice (Order No. 601-75), Part 20-Criminal Justice Information Systems effective June 19, 1975, in particular Subpart B, Section 20.21, Paragraph (g); and the Illinois Criminal Law and Procedure for 1975, Division V, Section 206. Reference should be made to the Omnibus Crime Control and Safe Streets Act of 1968 as amended by the Crime Control Act of 1973, Sections 501 and 524 (b); 42 U.S.C. Section 3771 effective July 1, 1973, and related penalties for non-compliance of both Federal and State Legislation.

These rules and regulations pertain to one paragraph of the United States Department of Justice Rules and Regulations as cited above and are issued to implement Individual Right to Access and Review on or before March 16, 1976, and shall be filed with the Index Division of the Secretary of State, as provided in Chapter 127, Sections 263-268.1, Illinois Revised Statutes, and as such shall have the force of law pertaining to Chapter 38, Section 33.3 and 206 with respect to Agreements and/or Certifications pertaining to Criminal History Record Information collected, maintained, and disseminated by the State Central Repository and secondary dissemination of State Central Repository Criminal History Record Information by other State and Local Criminal Justice Agencies. This includes Criminal History Record Information collected from Federal, State, and Local Criminal Justice Agencies which is maintained and/or disseminated by State and Local Criminal Justice Agencies other than the State Central Repository.

These rules and regulations pertaining to Individual Right to Access and Review are written to comply with the spirit and intent of the Regulations and pending congressional legislation.

## 1.0 DEFINITIONS

1.1 CRIMINAL HISTORY RECORD INFORMATION (CHRI) means information collected by criminal justice agencies on individuals consisting of identifiable descriptions and notations of arrests, detentions, indictments, informations, or other formal criminal charges and any disposition arising therefrom, sentencing, correctional supervision, and release. Fingerprint identification is not a necessary informational prerequisite to the collection, maintenance, and dissemination of Criminal History Record Information. CHRI can be construed to mean files maintained by criminal justice agencies containing a series of arrest reports and disposition information; CHRI is an arrest report, for example, with notations of formal transactions as a result of being processed through the criminal justice system. In short, CHRI generally means Transcript or "RAP SHEET" information, and does not pertain to source documentation of individual transactions, nor to investigative and intelligence information.

- 1.2 INFORMATION SUBJECT TO REVIEW means Criminal History Record Information concerning an individual pertaining to the fact, date, location, and results of each formal stage of the criminal justice process through which the individual passed. He or she is entitled to review such information to ensure that all such steps are completely and accurately recorded. Original criminal justice agency documents generated at each formal stage, intelligence and investigation information, and other substantive information compiled about the individual are not subject to access and review. In short, CHRI means a Transcript or "RAP SHEET", maintained by the State Central Repository or any history of arrests and formal criminal justice transactions pertaining to an individual maintained by a criminal justice agency.
- 1.3 CRIMINAL HISTORY RECORD TRANSCRIPT means the State Central Repository official document used to disseminate Criminal History Record Information to authorized criminal justice agencies upon request.
- 1.4 STATE CENTRAL REPOSITORY (SCR) means the Illinois Bureau of Identification authorized by Chapter 38, Section 206, Illinois Criminal Law and Procedure For 1975, effective July 2, 1931, and Chapter 127 Section 55a, Illinois Revised Statutes.
- 1.5 THE ILLINOIS DEPARTMENT OF LAW ENFORCEMENT shall be referred to as the Department herein.
- 1.6 INFORMATION SUBJECT TO CHALLENGE means an oral or written contention by an individual that his or her Criminal History Record is inaccurate and/or incomplete or illegally obtained and/or maintained. In order to challenge information the individual must provide a correct version, in writing, of his or her criminal history record, substantiated by legal documents if such documents exist or reasons why he or she believes his or her version to be correct.
- 1.7 REVIEWING AGENCY means a law enforcement criminal justice agency such as municipal police or county sheriff's office.
- 1.8 ADMINISTRATIVE REVIEW means an individual who challenges his or her criminal history record is entitled to have the record appropriately corrected, and if there is a factual controversy resolved against him or her, he or she is then entitled to a review of that decision by someone in the agency other than the person who made the decision not to correct the record.
- 1.9 ADMINISTRATIVE APPEAL means that an individual has the right to appeal when a criminal justice agency refuses to correct challenged information in the Administrative Review process to the satisfaction of the individual to whom the information relates. Appeals shall be submitted to, and processed by, the Criminal Justice Information Systems Council on forms provided for this purpose and made available to all reviewing agencies.
- 1.10 COMPUTERIZED CRIMINAL HISTORY (CCH) means computerized Criminal History Record Information maintained by the State Central Repository and its contents which are made available to authorized criminal justice agencies via the Law Enforcement Agencies Data System (LEADS).

1.11 CRIMINAL JUSTICE INFORMATION SYSTEMS COUNCIL means a body created pursuant to Statute or Executive Order whose purpose is to resolve factual controversies arising from the Right to Access and Review process.

2.0 DEFINITION OF FORMS USED

2.1 REQUEST FOR ACCESS AND REVIEW CJIS-OPER-0105-12/75 (RAR). This form is used to initiate Access and Review procedures at a criminal justice agency. The contents of the form shall contain sufficient information to identify the requester and the facts related to the information requested for review. The Department of Law Enforcement shall provide Request for Access and Review forms to Reviewing Agencies with instructions for completing the same.

2.2 NOTICE OF REVIEW FORM CJIS-OPER-0106-12/75 (NOR). This form is used by Reviewing Agencies to notify individuals who have caused to be filed a Request for Access and Review that the information requested is available for review. The contents of the form shall contain sufficient information to identify the individual and the transaction referred to, and certain notices regarding re-identification and failure to answer the Notice. The Department of Law Enforcement shall provide Notice of Review forms to Reviewing Agencies with instructions for completing the same.

2.3 RECORD CHALLENGE FORM CJIS-OPER-0107-12/75. This form is used by the Reviewing Agencies to provide an instrument for recording the facts of a record being challenged. The contents of the form shall contain sufficient information to identify the individual and the transaction referred to, and adequate space shall be provided for the individual to record the facts of the challenge. The Department of Law Enforcement shall provide Record Challenge Forms to Reviewing Agencies with instructions for completing the same.

2.4 REQUEST FOR ADMINISTRATIVE REVIEW CJIS-OPER-0109-12/75 (RAR). This form is used by Reviewing Agencies to provide an instrument for an individual to file an Administrative Review. The contents of the form shall contain sufficient information to identify the individual, the transaction referred to, and a statement by the individual regarding the proposed corrections. The Department of Law Enforcement shall provide Request for Administrative Review forms to Reviewing Agencies with instructions for completing the same.

2.5 ADMINISTRATIVE APPEAL COMPLAINT FORM CJIS-OPER-0108-12/75. This form is used by Reviewing Agencies to provide an instrument for an individual to file an Administrative Appeal Complaint. The contents of the form shall contain sufficient information to identify the individual, the transaction referred to, and a brief statement by the individual regarding the facts of the complaint. The Criminal Justice Information Systems Council shall provide Administrative Appeal Complaint Forms to Reviewing Agencies or the individual directly, with instructions for completing the same.



### 3.0 APPLICABILITY

- 3.1 These rules and regulations are applicable to all criminal justice agencies collecting, maintaining, and disseminating manual and/or computerized Criminal History Record Information.
- 3.2 These rules and regulations are applicable to all criminal justice agencies generating original documents reflecting the facts and results of each formal stage of the criminal justice process through which an individual passed.
- 3.3 These rules and regulations are applicable to the Department of Law Enforcement responsible for the collection, maintenance, and dissemination of manual and computerized Criminal History Record Information, designated the State Central Repository by Statute.
- 3.4 These rules and regulations are applicable to the Criminal Justice Information Systems Council responsible for processing Administrative Appeals to the extent that they are not superseded by or in conflict with any rules or regulations issued by the Council.

### 4.0 RULES FOR ACCESS AND REVIEW

- 4.1 AVAILABILITY OF RULES AND REGULATIONS. The Department shall make these regulations available to all criminal justice agencies for dissemination to individuals being processed or already processed through the criminal justice system, institutions, and the media. Additionally, the Department shall make available pamphlets highlighting and illustrating the essence of the Right to Access and Review regulations.
- 4.2 LANGUAGE. The rules and regulations and pamphlets shall be printed in the English language to ensure communications within this State consistent with Chapter 38, Section 103-7, Illinois Revised Statute, 1975, Posting Notice of Rights.
- 4.3 FORMS. The Department shall make available to all criminal justice agencies forms and instructions necessary for carrying out the intent of the right to access and review Criminal History Record Information as defined in Section 2.0 of the Rules and Regulations.
- 4.4 PROCESSING SERVICES. The Department shall make available necessary services to criminal justice agencies by promptly responding to requests for access and review, challenges, and administrative reviews in accordance with time constraints contained herein and Right to Access and Review Procedure.
- 4.5 POINT OF REVIEW. State and local law enforcement agencies shall process requests for access and review of Criminal History Record Information through all stages of the process to their final disposition. If an individual requests access and review at the jurisdiction of residence of another jurisdiction's record (not the State Central Repository), the law enforcement agency in the jurisdiction of residency will process the review in accordance with this procedure through the State Central Repository as in any other case.

- 4.6 ORIGINAL DOCUMENT AVAILABILITY. All criminal justice agencies will make original documents or copies available to the State Central Repository for the purpose of auditing information being challenged by an individual.
- 4.7 VERIFICATION METHOD. Fingerprinting, fingerprint classification, and classification master file search will be applied to establish the individual's positive identification to ensure accuracy in providing information to the individual.
- 4.8 LEGAL REPRESENTATIVE. Access and Review of an individual's Criminal History Record Information through his or her attorney or authorized agent of his or her attorney requires the presence of the individual for fingerprinting and fingerprint verification as stated in part 4.7 above.
- 4.9 TIMING.
- a. State and local law enforcement agencies shall make available access and review services between the hours of 8:00 a.m. and 4:00 p.m. daily excepting Saturdays, Sundays, and legal holidays.
  - b. Requests for Access and Review shall be forwarded to the State Central Repository by the Reviewing Agency within 7 calendar days measured from the date the request was filed. A review shall take no longer than 2 hours.
  - c. The State Central Repository shall respond to Requests for Access and Review within 30 calendar days measured from the receiving date.
  - d. The Reviewing Agency shall notify the individual that the Transcript is available for review within 5 days measured from the time the Transcript was received from the State Central Repository.
  - e. Challenges shall be forwarded to the State Central Repository by the Reviewing Agency within 7 calendar days measured from the date the challenge was filed.
  - f. The State Central Repository shall respond to challenges within 30 calendar days measured from the receiving date. Corrections reported by the Reviewing Agency to the State Central Repository shall be verified against contributing agency records. The State Central Repository shall disseminate corrections to all agencies logged as having received the incorrect information, prepare a listing of non-criminal justice agencies which have received the information, and forward the corrected Transcript and non-criminal justice agency listing to the Reviewing Agency.
  - g. The Reviewing Agency shall notify the individual of the availability of the Challenge decision within 5 days measured from the date the information was received from the State Central Repository.
  - h. Requests for Administrative Review shall be forwarded to the Superintendent of the State Central Repository by the Reviewing Agency within 7 calendar days measured from the date the Request for Administrative Review was filed with the Reviewing Agency. Requests for Administrative Review shall be submitted by the individual to the Reviewing Agency within 60 days from the date that the individual is notified of the Challenge decision.

- i. The Department shall respond to Requests for Administrative Review within 30 calendar days measured from the receiving date of the Request for Administrative Review.
  - j. The Reviewing Agency shall notify the individual of the availability of the Administrative Review decision within 5 days measured from the date the information was received.
  - k. Administrative Appeals shall be processed by the Criminal Justice Information Systems Council within 30 calendar days measured from the receiving date of filing the Administrative Appeal. Appeals to the Council shall be submitted within 60 days measured from the date the individual is notified of the Administrative Review decision.
- 4.10 FEES. No fees shall be charged by the State Central Repository for processing Right to Access and Review documents. Local criminal justice agencies may charge a fee for this service. The fee charged for review should not exceed actual costs of processing reviews and shall not exceed \$10.
- 4.11 LACK OF FORMS. The lack of Right to Access and Review forms shall not be grounds for denying the Right to Access and Review of an individual's Criminal History Record Information by a Reviewing Agency.
- 4.12 MONITORING. The Department shall be responsible for monitoring the Right to Access and Review process and filing of reports reflecting monitoring statistics, characteristics of requests, challenges, administrative reviews, and the outcome of each stage of the process.
- 4.13 RECORDS OF REVIEW. The Department shall maintain files of all reviews and ensure updating of existing Criminal History Record Information in manual and computerized files, treating all such requests as an event followed by recorded transactions on all computerized and manually prepared Transcripts to ensure coordination with agencies receiving such records by subsequent dissemination. A copy of each Record of Review shall become part of the individual's file and will be subject to the Right to Access regulations stated herein.
- 4.14 LIST OF DISSEMINATIONS. Upon request, the individual shall be given during the review a list of all non-criminal justice agencies to whom the data has been disseminated.
- 4.15 REQUEST DENIED. Any individual denied the right to file a Request for Access and Review, Record Challenge, or Administrative Review by a Reviewing Agency may write the Superintendent of the Illinois Bureau of Identification for appropriate action and disposition. Any individual denied the right to file a request for Administrative Appeal may write to the Criminal Justice Information Systems Council for appropriate action.
- 4.16 CORRECTED CHRI. Criminal History Record Information corrected and/or completed by a criminal justice agency shall be disseminated to all agencies who have received this information, by the agency correcting and/or completing CHRI. Upon request, an individual whose record has been corrected shall be given the names of all non-criminal justice agencies to whom the data has been given.

- 4.17 DISSEMINATION LOGS. State and Local criminal justice agencies shall maintain records of the identities of persons or agencies having access to criminal history information or to whom such information is disseminated, the date of access or dissemination, the purpose for which access or dissemination is requested, the identity of the individual to whom the information relates, and the items of information released. Dissemination logs shall be maintained and retained for at least three (3) years.
- 4.18 PRIMARY DISSEMINATION. The State Central Repository shall maintain primary dissemination logs as stated in Section 4.0, Part 4.17.
- 4.19 SECONDARY DISSEMINATION. Criminal justice agencies requesting and/or receiving CHRI (Transcript) from the State Central Repository, and/or compiling, maintaining and disseminating CHRI shall maintain secondary dissemination logs as stated in Section 4.0, Part 4.17.
- 4.20 LOCAL REVIEWS. A Request for Access and Review of specific local records of the agency of jurisdiction shall at all times be processed through the State Central Repository to ensure consistency, completeness, and accuracy of the Criminal History Record Information being reviewed.
- 4.21 CRIMINAL JUSTICE INFORMATION SYSTEMS COUNCIL. The Criminal Justice Information Systems Council shall make final decisions regarding the disposition of factual controversies arising from the Access and Review process.

INSTRUCTIONS  
INDIVIDUAL RIGHT TO ACCESS AND REVIEW  
CRIMINAL HISTORY RECORD INFORMATION

EFFECTIVE: MARCH 16, 1976

REVISED: January 23, 1976

GENERAL

The purpose of these instructions is to provide a medium for implementing the Individual Right to Access and Review Criminal History Record Information, Rules and Regulations effective March 16, 1976, in compliance with Rules and Regulations issued by the Law Enforcement Assistance Administration (LEAA); authorized by Title 28 - Judicial Administration, Chapter 1 - Department of Justice (Order No. 601-75), Part 20 - Criminal Justice Information Systems, Subpart B, effective June 19, 1975 and 42 U.S.C. Section 3771. Reference should be made to Chapter 38, Section 206 (Criminal Identification and Investigation), in particular Section 206-2, 206-2.1 (Mandatory Disposition Reporting, HB 1365, effective October 1, 1975), 206-5 and 206-7 (Records Not to be Made Public), Illinois Revised Statutes.

Individual Right to Access and Review Criminal History Record Information is applicable to all criminal justice agencies, including courts, corrections, prosecution, and police agencies. An individual may request or demand a particular criminal justice agency to make available his or her Criminal History Record Information maintained by the agency and/or the State Central Repository (Bureau of Identification, Chapter 38-206).

The LEAA Rules and Regulations pertain to RAP Sheet or Criminal History Transcript in the main, as maintained and disseminated to authorized criminal justice agencies on request. However, police agencies generally maintain records or jackets on individuals consisting of Arrest and Offense Reports, notations of normal transactions of the criminal justice process pertaining to an individual and such records are therefore criminal history record information. Master Name Files containing indexes to criminal history record information are also criminal history record information. Likewise, any other criminal justice agency maintaining a history of criminal events and transactions pertaining to an individual is subject to the Rules and Regulations.

On the other hand, a chronology of arrests related to a number of individuals or cases, as on a docket or "blotter", is not criminal history record information. However, a chronology of criminal justice events and transactions collected and maintained over time (history) pertaining to an individual is criminal history record information.

The Rules and Regulations issued by LEAA are interpreted to mean that original records of formal stages of the criminal justice process and investigative and intelligence information are not subject to access and review. A consequence of this rule is that investigative and intelligence information should not be commingled with Criminal History Record Information.

The following procedures will be adhered to by all criminal justice agencies involved in processing requests to Access and Review Criminal History Record Information as it pertains to Criminal History Record Information collected, maintained, and disseminated by the State Central Repository. It should be understood that the State Central Repository collects, maintains, and disseminates Criminal History Record Information and is not an agency generating original documents pertaining to an individual. Therefore, an individual who requests Access and Review of his or her Criminal History Record Information resulting in a factual controversy with the Reviewing Agency and the State Central Repository, may cause the initiation of a challenge involving a criminal justice agency of original record, resulting in an audit of original documents maintained by that criminal justice agency.

Consequently, when a challenge is made by an individual, the State Central Repository has a duty to search original documents to determine whether an error has been made in the information reflected on the Transcript (Rap Sheet), or that a particular transaction was not communicated to the SCR and the record is incomplete, or that the criminal event and/or record is being illegally maintained for one reason or another. Therefore, individual agencies must make original documents available for verification purposes when such transactions pertain to the criminal justice event or events being challenged.

## 1.0 DEFINITIONS OF FORMS USED

### 1.1 REQUEST FOR ACCESS & REVIEW FORM-CJIS-OPER-0105-12/75 (RAR).

This is five part serialized form the same size as a standard fingerprint form, 8" by 8". The copy designation is: Copy 1, STATE CENTRAL REPOSITORY; Copy 2, REVIEWING AGENCY; Copy 3, COORDINATION TRAVELER; Copy 4, REQUESTER; Copy 5, FINGERPRINT-STATE CENTRAL REPOSITORY. The Requester's copy shall be backed with brief statements regarding his or her right to receive a copy of the CHRI, to challenge CHRI information, to file an Administrative Review, to file an Administrative Appeal, and forms to use in each stage of the right to access and review Criminal History Record Information.

This form is used to initiate Access and Review procedures at any police department or sheriff's office termed a Reviewing Agency at the time the request is initiated. The Department of Law Enforcement shall distribute RAR's as required by Reviewing Agencies and furnish detailed instructions for completing the same.

Minimum data contents shall be: State Central Repository address and telephone number, Reviewing Agency name and NCIC number, Reviewing Agency telephone number, Document Serial number, State Bureau of Identification number, Federal Bureau of Investigation number, Last, First, and Middle Name, Nickname, Aliases, Current Address, City of Birth, County of Birth, Date of Birth, Height, Weight, Sex, Race, Scars/Marks/Tattoos, Telephone Number, Fingerprints, Date Fingerprinted, Signature of Officer who rolled prints, Officer's Identification Number, Reviewing Officer's Name, Requester's signature, and if represented by counsel, Counselor's Full Name, Address, and Telephone Number. In addition, a place shall be provided to state purpose of Access and Review by the Requester.

1.2

NOTICE OF REVIEW FORM-CJIS-OPER-0106-12/75. This is a four part, 8½" by 11", form. Copy 1, STATE CENTRAL REPOSITORY; Copy 2, REQUESTER; Copy 3 & 4, REVIEWING AGENCY. The Requester's copy shall be backed with brief statements regarding his or her right to receive a copy of the CHRI, to challenge CHRI information, to file an Administrative Review, to file an Administrative Appeal, and forms to use in each stage of the right to Access and Review Criminal History Record Information.

Minimum data contents shall be: State Central Repository Address and Telephone Number, Reviewing Agency Name, NCIC Identification Number, Document Serial Number (transcribed clearly from the RAR), Individual's Full Name (name indicated on the RAR), Address, State Bureau of Identification Number, Date of Birth, Sex, Preprinted Statement of Review with places for Date, Time, and Place of Review, Reviewing Officer's Name and Identification Number, Agency's Telephone Number, and Notices pertaining to response time, specific documents, reschedule of review, date mailed, and copy designation information.

The Department of Law Enforcement shall distribute Notice of Review forms to Reviewing Agencies as required and furnish detailed instructions for completing the same. This form is used by Reviewing Agencies to notify individuals requesting Access and Review of Criminal History Record Information after receiving a response from the State Central Repository that the information requested is now available.

1.3

RECORD CHALLENGE FORMS-CJIS-OPER-0107-12/75. This is a four part, 8½" by 11", form. Copy designation is: Copy 1, STATE CENTRAL REPOSITORY; Copy 2, STATE CENTRAL REPOSITORY; Copy 3, REVIEWING AGENCY; Copy 4, CHALLENGER. The Challenger's copy shall be backed with brief statements regarding his or her right to receive a copy of the CHRI, to challenge CHRI information, to file an Administrative Review, to file an Administrative Appeal, and forms to use in each stage of the right to access and review Criminal History Record Information.

Minimum data contents shall be: State Central Repository address and telephone number, Reviewing Agency's Name and NCIC number, RAR Document serial number, State Identification number, Challenger's full name, Address, Telephone number, Date of Birth, Sex, Preprinted Instruction Narrative, Reviewing Officer's name and Identification number, Challenger's signature and date, Space for Challenger's Narrative and Document references, and Copy designation information.

The Department of Law Enforcement shall distribute Record Challenge forms to Reviewing Agencies as required and furnish detailed instructions completing the same. This form is used to record items of the challenge, to record what the individual believes to be a correct version of the information to be corrected, and to record documents and attachments substantiating the individual's challenge.

- 1.4 REQUEST FOR ADMINISTRATIVE REVIEW-CJIS-OPER-0109-12/75. This is a four part 8½" by 11", form. Copy designation is: Copy 1, SUPERINTENDENT, ILLINOIS BUREAU OF IDENTIFICATION; Copy 2, SAME AS COPY 1; Copy 3, REQUESTER; Copy 4, REVIEWING AGENCY. The Requester's copy shall be backed with brief statements regarding his or her right to receive a copy of the CHRI, to challenge CHRI information, to file an Administrative Review, to file an Administrative Appeal, and forms to use in each stage of the right to access and review Criminal History Record Information.

Minimum data contents shall be: Superintendent, State Central Repository address and telephone number, Reviewing Agency's name and NCIC number, State Identification number, Individual's full name, Address and Telephone number, Date of Birth, Notices and Instructions, Reviewing Officer's name and Identification number, Individual's signature, date filed, and space for narrative.

The Department of Law Enforcement shall distribute Request for Administrative Review forms to all Reviewing Agencies as required and furnish detailed instructions for completing the same. This form is used to record facts of the challenge and a statement relating to the factual controversy leading to this stage of review.

- 1.5 ADMINISTRATIVE APPEAL COMPLAINT FORM-CJIS-OPER-0108-12/75. This is a five part, 8½" by 11", form. Copy designation is: Copy 1, CRIMINAL JUSTICE INFORMATION SYSTEMS COUNCIL; Copy 2, CRIMINAL JUSTICE INFORMATION SYSTEMS COUNCIL; Copy 3, STATE CENTRAL REPOSITORY; Copy 4, INDIVIDUAL'S COPY; Copy 5, REVIEWING AGENCY.

This form and instructions shall be furnished to all reviewing agencies by the Criminal Justice Information Systems Council to be used for filing an Administrative Appeal.

Minimum data contents shall be: Criminal Justice Information Systems Council Address and Telephone number, Reviewing Agency's name and NCIC number, State Identification number, Individual's Full name, Address and Telephone number, Date of Birth, Notices and Instructions, Reviewing Officer's Name and Identification Number, Individual's signature, date filed, and space for narrative.

## 2.0 ACCESS AND REVIEW PROCEDURES

- 2.1 REQUEST FOR ACCESS AND REVIEW. Any individual who has or has had a criminal history record may file a Request for Access and Review of his or her criminal history record information at the law enforcement agency within his or her community. If the individual wishes to file the Request for Access and Review of records he or she believes are maintained by the law enforcement agency itself, the Request for Access and Review shall be processed in accordance with this procedure.

If the individual is filing the Request for Access and Review Criminal History Record Information maintained by the State Central Repository, then the Request for Access and Review shall be processed according to this procedure as if the agency's records were being requested for access and review.

If the individual wishes to file the Request for Access and Review at the law enforcement agency of jurisdiction of another law enforcement agency's criminal history record information, the request shall be processed in accordance with this procedure.



If an incarcerated individual wishes to file a Request for Access and Review of his or her Criminal History Record Information as defined by the Rules and Regulations he or she shall follow these procedures if, and only if the information being requested involved information maintained by the State Central Repository. Similarly, all other criminal justice agencies shall follow this procedure if the Request for Access and Review is filed at the agency itself if, and only if the request pertains to Criminal History Record Information maintained by the State Central Repository and maintained as a matter of record within the agency.

The above is based on the premise that the State Central Repository collects information from a multitude of criminal justice agencies involving an individual and therefore, in order to comply with the intent of the Rules and Regulations, it becomes incumbent upon criminal justice agencies to make sure that individual criminal history records subject to access and review are accurate and complete. In general, this procedure is directed toward law enforcement agencies who are more involved in maintaining CHRI.

- 2.1.1 The law enforcement agency shall furnish to the individual requesting access and review the appropriate forms and instructions for filling out the same, as provided by the Department of Law Enforcement. This law enforcement agency is termed the Reviewing Agency.
- 2.1.2 The Reviewing Officer shall complete the identification parts of the form and the requesting individual shall complete his or her part of the request as indicated on the form, aided by the Reviewing Officer.
- 2.1.3 The Reviewing Officer shall review the form for completeness, fingerprint the individual, clearly sign the form in the appropriate places, enter his or her identification number, enter the date, and have the Requester sign and enter the date. At this time, the Reviewing Officer shall collect the fee charged for processing the review, which should reflect the actual costs involved and shall not in any case exceed \$10.
- 2.1.4 The Reviewing Officer shall separate the copies as indicated on each copy, give the requester his or her copy, and refer to the instructions on the reverse side of the form, indicating that the individual must bring a copy with him or her to a subsequent appointment when the information will be made available for review. The copies marked State Central Repository and Traveler Copy shall be placed in a prepaid return envelope (normally used for submitting fingerprint cards) and mailed to the State Central Repository. The Reviewing Agency's copy shall be filed in a Right to Access and Review Pending File.
- 2.2 The State Central Repository shall receive the request, enter the date received, and forward the RAR to the Quality Assurance Unit. The Quality Assurance Unit shall remove the individual's Criminal History Jacket from file and forward the fingerprint card to Identification. The file contents shall be audited against information on the request and any discrepancies noted. An inquiry shall be made of the Computerized Criminal History file and the contents audited with discrepancies noted. If discrepancies are discovered between the Repository manual file and the computer record, the computerized record shall be corrected after the RAR has been processed. If a

National Crime Information Center (NCIC) response is received showing additional transactions or transactions different in any way from those contained in State records a Transcript must be requested from the FBI.

If a transaction has been entered on the current Transcript indicating an arrest without disposition and 90 calendar days have elapsed, the State Central Repository shall obtain the status of this event to ensure record completeness.

- 2.2.1 When the FBI Transcript is received and dated, the State Transcript is updated to include transactions that have not been previously entered. Moreover, the RAR is considered a transaction and must be entered on the transcript using the serial number appearing on the Request for Access and Review form for event identification. Discrepancies involving the same transaction are identified and noted on the updated Transcript and the FBI Transcript stapled to it. Discrepancies noted when comparing the State file with the request for Access and Review are appropriately noted on the State Transcript. The RAR copies are updated with identification information as a result of processing the fingerprint card, and one copy is filed in a pending file that is appropriately marked. The Traveler Copy of the request is stapled to the Transcript for document identification purposes, dated when mailed, and mailed to the Reviewing Agency.
- 2.2.2 Notification shall be disseminated to all agencies who have received this record according to the dissemination log if discrepancies, errors, or omissions were discovered in the manual or computerized Criminal History file. Moreover, the record shall be "flagged", "THIS RECORD IS NOW BEING REVIEWED."
- 2.2.3 If the individual does not have a jacket on file and no identification is made, the State Central Repository's copy of the RAR and the Traveler are stamped "NO RECORD." The fingerprint card shall be destroyed and the RAR Traveler returned to the Reviewing Agency.
- 2.3 The Reviewing Agency shall, upon receipt of the CHRI Transcript, enter the date received on the Traveler Copy and Agency Copy. The documents are reviewed for completeness and the document serial number compared to the serialized copy on file at the Reviewing Agency and the document serial number on the updated Transcript to ensure that all documents and events pertain to the same transaction.
- 2.3.1 Within 5 calendar days after the date the Transcript is received, the Reviewing Agency shall notify the individual requesting Access and Review using the Notice of Review form. The document serial number of the RAR shall be entered accurately and legibly in the space provided on the Notice of Review form, the date, time, and place of review shall be specified, along with the name of the reviewing officer. The date mailed shall be entered on the notice and the third copy shall be mailed to the subject of review. Copy 1 is forwarded to the State Central Repository and Copy 2 is filed with the Reviewing Agency's copy of the RAR.

- 2.3.2 If the individual cannot be present at the scheduled time appearing on the notice, he or she shall contact the Reviewing Agency and establish a new review date (preprinted on the form). If the individual does not acknowledge within 30 calendar days measured from the date mailed, the review shall be considered complete, the Notice of Review shall be labelled "unacknowledged," and the Transcript, RAR Traveler, and Copy 1 of the Notice shall be promptly returned to the State Central Repository for permanent recording, and removal of the "flag" on the computer record completing the transaction and closing of the transaction on the Transcript. This does not mean that the same individual cannot file an RAR on some date in the future. However, the RAR event shall become a permanent record in the Computerized Criminal History file and a permanent entry and disposition on the CHRI Transcript.
- 2.3.3 If the individual does respond to the Notice, the Reviewing Agency, at the time of the review, shall compare the document serial number of the Requester's copy with the copy retained by the Reviewing Agency, the Traveler and the Transcript, all physical description and identifiers (driver's license, SSN, race, scars, marks, tattoos, etc.) to establish the individual's identity short of fingerprint comparison. At no time shall a review take place when the individual does not have his or her copy of the RAR.
- 2.3.4 If the individual does not have his or her copy of the RAR, the review is terminated and the subject told that he or she must get his or her copy of the RAR.

If he or she claims that the RAR copy is lost or misplaced, then another shall be completed and fingerprints rolled on the appropriate copy. The reviewing officer at this point of the procedure can exercise an option. He or she can decide to continue the review or exercise his or her option to process the second RAR through the State Central Repository, noting the facts, and returning the appropriate copies to the State Central Repository along with the Transcript and go through the procedure again. If he or she decides to go on with the review and is satisfied that he or she has identified the requester, then the review continues and the Reviewing Agency assumes the responsibility of identification and subsequent action that may take place. In this case, when the individual cannot produce his or her copy of the RAR, then a request for a copy of the CHRI shall be denied as well as notations of the Transcript contents.

- 2.3.5 The Reviewing Officer shall aid the individual to interpret the Transcript and notes of discrepancies, if any, between the RAR and source documents (Fingerprint cards, dispositions, etc.) maintained by the State Central Repository. Discrepancies should be clarified satisfactorily prior to continuation of the review, because this information must be returned to the State Central Repository at the conclusion of the review for record update. Special attention should be given to correct name (as many of the Repository's records reflect aliases), correct spelling, nicknames, date of birth and sex. The next step is to clarify any discrepancies between the State Central Repository Criminal History Record Information Transcript and, if it is attached, the FBI Transcript. The discrepancies must be reconciled with the individual, if at all possible, and the disposition of each discrepancy noted on the State Transcript. If the reviewing officer determines that the individual is not providing satisfactory answers about information recorded about him or her, or he or she is not sure, the review should be terminated and referred to the State Central

2.3.6 If the individual is satisfied that the CHRI is accurate and complete, he or she may be asked, but not required to sign the Transcript, RAR Traveler and Agency copies, in the place provided, stating the same. The RAR Traveler and Transcript are returned to the Repository and become part of the individual's records. The Agency copy is noted accordingly and filed. The computerized system maintained by the State Central Repository shall be updated showing the transaction completed with appropriate dates and ORI (Reviewing Agency) documented. Likewise, subsequent dissemination of the individual's CHRI shall show this transaction to notify all criminal justice agencies that they should update their records accordingly.

2.3.7 A copy of the Transcript shall be given to the individual upon demand if he or she states that a copy is required to challenge or correct the record. The Transcript is stripped of all personal identifiers prior to giving the individual a copy to prevent misuse, and only the RAR Traveler is returned to the State Central Repository. The individual may or may not file the Challenge Request at this point in the procedure. If he or she does not, then the individual shall be told that the Transcript and RAR copy must be presented at the time he or she decides to challenge; if he or she does decide to file a challenge, a Record Challenge form shall be provided to the individual by the Reviewing Agency.

2.4 RECORD CHALLENGE. The purpose of the Record Challenge is to specify exactly what information is being challenged. Also, a more comprehensive audit is made by the State Central Repository at this time to verify each transaction being challenged. The Reviewing Officer shall complete all information as designated on the form with emphasis on accurate recording of the document serial number appearing on the Request for Access and Review. The narrative portion of the form must clearly present the facts by the individual and be specific as to the facts about the specific data being challenged. The reviewing officer shall indicate clearly on the Transcript what data is in error or omitted or illegally maintained as challenged by the individual. The Challenge Request is reviewed to ensure completeness and clarity of signature and date. A copy of the Challenge Request is provided to the individual as indicated on the form, one copy is maintained by the Reviewing Agency along with the Agency's copy of the RAR. The State Central Repository copies (2) are attached to the Right to Access and Review Traveler Copy and Transcript and forwarded to the State Central Repository.

2.4.1 If the case arises whereby the individual does not make the challenge at the time of review, he or she shall be warned that in the event he or she may want to challenge the Transcript or CHRI record in the future, the RAR copy and the Transcript copy that he or she demanded must be returned to the Reviewing Agency to commence the challenge procedure for identification purposes. Additionally, the reviewing officer shall show the individual the Right to Access and Review rules on the back of the form.

2.5 The State Central Repository shall date stamp the Challenge Request received, inspect the documents for completeness, and forward the document to the Quality Assurance Unit for auditing. The RAR Copy is pulled from the file and a determination is made regarding what criminal justice agencies must be contacted either by a Field Analyst or by mail, specifying in detail what

record must be verified relative to accuracy, completeness, or legality of record maintenance. A copy of the Challenge Request shall be attached to the inquiry to show the fact that a challenge has been made in accordance with the procedure and for proper interpretation of what information is being challenged. A second copy is maintained in the RAR file. After the facts have been collected and analyzed by the Quality Assurance Unit of the SCR, a report is drafted for the Assistant Superintendent of Criminal Justice Information Services for review and a decision is made whether to accept or deny the Challenge Request. If the Challenge Request is denied, a letter is drafted stating why the Challenge is denied and sent to the Reviewing Agency, addressed to the individual. The Reviewing agency shall notify the individual, review the challenge denial, and inform him or her of his or her right to file an Administrative Review.

- 2.5.1 If the Challenge is accepted by the SCR, the Transcript is updated, the computerized and manual systems are updated, all criminal and non-criminal justice agencies logged as receiving this information are informed of the error or omission, and the corrected CHRI is disseminated to them. The manual records are corrected accordingly and a list of all non-criminal justice agencies receiving this data compiled.

The list of non-criminal justice agencies who received this information (already informed), the RAR Traveler, SCR Challenge Copy and Transcript are stapled together, the transaction is documented by the Quality Assurance Unit and the documents mailed to the Reviewing Agency.

- 2.6 The Reviewing Agency shall stamp date received, review the information, and generate a Notice of Review specifying date, time, and place of the review within 5 calendar days after receiving the Challenge decision. A copy of the Notice is filed, a copy is mailed to the individual, and one copy is mailed to the State Central Repository. When the individual arrives for the review, he or she is identified by presentation of his or her copies of the RAR and Record Challenge. The documents received from the SCR are reviewed with the individual, signed, dated on the SCR Challenge copy and Agency copy. Copies of the Transcript (stripped) and list of non-criminal justice agencies who received this information are given to him or her, if desired. The SCR Challenge Copy, RAR Traveler, and Transcript shall be returned to the Repository for recording. The Reviewing Agency's copy of the RAR is affixed to the Notice of Review and Challenge, filed at the Reviewing Agency, and maintained for one year.

- 2.6.1 If the individual elects not to file an Administrative Review, based upon a challenge denial, he or she may be asked, but not required, to sign and date in the appropriate place on the SCR's copy of the Challenge Request form, indicating that the individual is satisfied with the review. The RAR Traveler, Transcript, and SCR Challenge Request are returned to the Repository.

- 2.7 An individual who disagrees with a challenge denial by the State Central Repository may file an Administrative Review. The Reviewing Agency shall complete the identification part of the form and the individual must complete the narrative part of the form. Both the individual filing the Administrative

Review and the Reviewing Officer must sign and date as indicated on the form. The Reviewing Agency gives a copy of the form to the individual, keeps the Agency copy, and staples a copy to the RAR Traveler, SCR Challenge Record, a copy of the Challenge denial letter, and a copy of the Transcript and mails the documents to the Superintendent of the Bureau of Identification.

- 2.7.1** The Superintendent of the Bureau of Identification shall review the facts presented by the State Central Repository and the individual, as specified on the Administrative Review form, and shall decide in favor or against the individual.

A decision in favor of the individual requires a directive to the SCR to correct or complete the information being challenged if, and only if the error or incomplete record is not a source document residing at a criminal justice agency, and the agency of record has produced facts supporting the original records and refuses to alter it. Consequently, a decision in favor of the Challenge means a directed change in State Central Repository records only if a criminal justice agency of record refuses to alter an official document or if the SCR has not considered all of the facts related to the Challenge and has omitted an error.

If the State Central Repository has made an error, the Superintendent composes a letter explaining that the record has been corrected in accordance with the Challenge. This letter is sent to the Reviewing Agency along with the RAR Traveler and amended Transcript. If the individual agrees with the corrections, he or she must sign the SCR copy of the Challenge Request and the agency must update its records and the RAR Traveler. The Transcript and SCR Challenge Request copy are returned to the SCR. If the record cannot legally be changed, the Superintendent explains the facts in his or her letter and advises the individual that he or she has a right to file an Administrative Appeal on forms available at the local reviewing agency provided by the Criminal Justice Information Systems Council.

- 3.0** ADMINISTRATIVE APPEAL. The identification part of the Administrative Appeal form is completed by the Reviewing Officer, dated, and signed. The narrative is completed and signed by the individual. Two copies, as designated, are sent to the Criminal Justice Information Systems Council by the individual. One Copy is retained for file at the Reviewing Agency, one copy is given to the individual and one is sent to the State Central Repository with the Administrative Review letter (copy), RAR Traveler and Transcript.

- 3.1** The Criminal Justice Information Systems Council shall receive the Appeal, date stamp, and initiate a case for investigation. The case developed by the State Central Repository for Administrative Review shall be requested from the State Central Repository and inquiries initiated pertaining to the information being challenged as related to the agency or agencies of record. The decision made by the Criminal Justice Information Systems Council shall be considered final unless the individual desires to file a cause for civil action.

If the Criminal Justice Information Systems Council decides in favor of the individual, an order is issued to the agency or agencies of record specifying what data are to be corrected or completed. A copy of the order is sent to the State Central Repository for record correction and the corrected information is disseminated to all agencies which have received this information.

#### 4.0 CORRECTION PROCEDURES

- 4.1 CORRECTION TO CHRI can take place at any stage of the Access and Review process or at any stage of the criminal justice process due to an agency discovering an error or omission, systematic auditing, or annual auditing. When errors and/or omissions are discovered by a local or state criminal justice agency (other than the State Central Repository), it shall correct its own records, disseminate the corrected record to all agencies who have received this individual's record, and report the corrections to the State Central Repository within 24 hours measured from the time the error was discovered.
- 4.2 THE STATE CENTRAL REPOSITORY shall correct both manual and computerized records, and disseminate the corrected CHRI to all agencies logged as having received this information including the National Crime Information Center (NCIC) within 24 hours after receiving this information.
- 4.3 STATE AND LOCAL CRIMINAL JUSTICE AGENCIES shall disseminate corrections to CHRI to both criminal and non-criminal justice agencies alike who have received this information, and disseminating logs shall reflect those agencies that have received corrected CHRI.
- 4.4 LOGGING shall pertain to both primary and secondary dissemination by all State and Local criminal justice agencies. Logs, whether computerized or manual, or both, must contain as a minimum the subject of CHRI disseminated, agency name or identifier, individual's name receiving CHRI, date information was released, and items of information released.

Computerized Criminal History Record Information (CCH) shall include this information as part of the individual's criminal record. Manual Criminal History Record Information shall have a logging card containing the same information as the computerized record until such time that all active criminal history records have been entered on the computerized system at the State Central Repository. Inquiries through the Computerized system, as well as agency validation, will be automatically logged to determine if the criminal justice agency is authorized to receive CHRI. Inquiries by administrative message, letter, or fingerprint card shall be logged on the computer by the State Central Repository or logged on the manual record contained in the individual's "jacket" if a computerized record does not exist or is not entered as a result of fingerprint card processing.

In a similar way, all State and Local criminal justice agencies shall follow this procedure if criminal history record information is collected, maintained, and disseminated.

- 4.5 MANDATORY INQUIRY. All criminal justice agencies collecting, maintaining, and disseminating CHRI shall query the State Central Repository prior to disseminating CHRI to ensure that records being disseminated are accurate and complete and that records are not being disseminated that are prohibited by the Regulations. This procedure will make primary and secondary logging procedures identical, making it relatively easy to audit the log periodically. For example, a police department having a requirement for dissemination to another authorized agency completes two important steps under mandatory inquiry, namely, (1) the query is logged with the Reviewing Agency's identifier tied to the subject's record and (2) the requesting agency is validated and the

NOTE: Questions regarding these instructions should be directed to Art Loos, Assistant Superintendent, Criminal Justice Information Services, Bureau of Identification, 1035 Outer Park Drive, Springfield, Illinois 62704. Telephone 217-782-7980.



APPENDIX E2

Administrative Memorandum of Governor Walker establishing the Illinois Criminal Justice Information Systems Council.

March 9, 1976

M E M O R A N D U M

TO: Director Sielaff  
Director H. Johnson  
Executive Director Sorrentino  
Chairman Eidenberg  
Executive Director Fogel ✓

FROM: Governor Walker

RE: Criminal Justice Information Systems Council

RECEIVED  
MAR 12 1976  
I. L. E. C.  
EXEC. DIR.

In accordance with the provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, and regulations issued thereunder, I am hereby establishing the Criminal Justice Information Systems Council.

The Council shall:

1. act as the administrative appeal body to hear and make final determinations on complaints and challenges of persons who question the accuracy or completeness of his or her criminal history records maintained by criminal justice agencies under the Governor's jurisdiction;
2. conduct annual and periodic audits of the procedures, policies, and practices of state central repositories for criminal history record information for the purpose of ensuring compliance with federal regulations respecting correction, retention and elimination of such information;
3. adopt bylaws respecting its organization and procedure and establish uniform standards to be used by it in appeals and audits;
4. make recommendations to the Governor and the Illinois Law Enforcement Commission on policies relating to criminal justice information systems;

5. have access to and utilize the staff, resources and facilities in the Illinois Law Enforcement Commission for the purpose of carrying out its functions and responsibilities.

I also designate as the initial membership of the Council the following persons:

Elliot Epstein, Director of Finance, who shall act as Chairman;

Chester Kamin, Esq. - Partner, Jenner & Block;

Louis Vitullo, Assistant to the Governor.

If experience demonstrates that additional appointments are necessary, I shall make them at the appropriate time.

cc: All Appointees

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APPENDIX E3

"how to beat a bum rap sheet" Text for Brochures and Posters

how to beat a bum rap  
sheet

YOU HAVE A RIGHT TO SEE A COPY OF YOUR CRIMINAL HISTORY RECORD \*

Beginning March 16, 1976, every person has the right to see and correct information that the police, courts, correctional, and other agencies maintain. Included in your record is a list of what you have been arrested for, the dates you were arrested and released, and other details about each case.

WHY BOTHER?

The main reason you should want to review your record is to make sure that the information in it is correct. You will also want to be sure that your record includes only legally maintained information. A record with incorrect information could keep you from getting a State or Federal job, from joining a branch of the armed services, or from obtaining a license in any of a number of different professions. Judges, military recruiters, and various authorized employers can examine your record and they may be influenced by what they see. So you want to be sure that your record tells the true story of what happened, with the correct dates and facts.

IS IT HARD TO DO?

No. Reviewing your record is a very simple matter. First you must identify yourself and submit the proper form. Then you can look at your record and correct any errors that you find.

\* also known as a "rap sheet"

---

YOU HAVE A RIGHT TO SEE A COPY OF YOUR CRIMINAL HISTORY RECORD

- \* Beginning March 16, 1976
- \* The information in your record should be correct.
- \* If the information is not correct, you can have it changed.
- \* Review forms are available at your local police station.
- \* Read the instructions inside.

## HOW TO SEE YOUR RECORD

### 1. IDENTIFY YOURSELF

Go to any police station or county sheriff's office in the state of Illinois between the hours of 8 A.M. and 4 P.M., Monday through Friday. Tell them that you want to see your criminal history record. You will be given a form to fill out called a Request for Access and Review. A copy will be yours to keep. You will have to show some form of positive identification such as a driver's license or birth certificate, and you will be fingerprinted. Your prints have to be compared with those in your file to make sure that no one claiming to be you sees your record.

A fee may be charged by the local law enforcement agency to cover the costs of processing your review. This fee will not be more than \$10.

### 2. MAKE AN APPOINTMENT

Put your copy of your Request for Access and Review in a safe place. Within 6 weeks you will receive an appointment notice in the mail telling you that your record is available. If you cannot come at the appointed time, let them know within 25 days by telephoning or by returning the notice in the mail. You should write a date and time on the notice when you will be able to come to see your record.

### 3. BRING YOUR COPY

Be sure to bring your Request for Access and Review and some form of positive identification with you when you go to see your record. If you forget to bring your request form, you will not be able to see your record at that time. If you have lost this form, you will probably have to start over, at step (1).

If you have any official documents concerning your record, you should also bring them with you.

---

#### 4. BRING YOUR ATTORNEY

You may bring your attorney when you go to review your record. In fact, if you want your attorney to review your criminal history record for you, he or she can complete this process once you have identified yourself properly, as in step (1).

#### 5. INSPECT YOUR RECORD CAREFULLY

Read your record over very carefully. Make sure that the information about you is completely true. If you have any questions, ask the reviewing officer and he or she will be able to help you. If you ask for it, you will be given a list of the non-criminal justice agencies which have obtained copies of your record since March 16, 1976.

If there are any errors on your record, no matter how small, tell the reviewing officer about them immediately. For further instructions, see the next section called "IF THERE ARE ANY ERRORS."

If there are no errors on your record, you may be asked to sign a statement saying that your record is correct. Whether you choose to sign this statement or not, your review is now complete.



## IF THERE ARE ANY ERRORS

### 6. REQUEST CORRECTIONS

If you find any errors, the reviewing officer will give you a form called a Record Challenge. List the correct information on this paper and explain in detail why these corrections should be made. A copy of your Record Challenge will be given to you to keep.

If you need a copy of your record, you can obtain one by asking the reviewing officer.

### 7. A DECISION WILL BE MADE

Within 6 weeks you will receive a notice in the mail. This notice will tell you whether your corrections were approved or denied.

If your corrections were approved, you should bring your Request for Access and Review and your Record Challenge forms to the police station and check to see that the corrections have been made properly. All the organizations which have received copies of your record since March 16, 1976 will be notified of these corrections.

At this time, you may be asked to sign a statement saying that your record is correct. Whether you choose to sign this statement or not, your review is now complete.

## IF YOUR CORRECTIONS ARE DENIED

If your corrections are denied, in whole or in part, the notice you receive will tell you when you can see a written explanation of the decision. Bring both your Request for Access and Review and your Record Challenge to this appointment.

If you are not satisfied with the explanation you are given, there are two things that you can do. First you can apply for an Administrative Review. Application forms for this procedure are available at your local police station. If you are still not satisfied with the results after the Administrative Review has been completed, then you may file an Administrative Appeal with the Illinois Criminal Justice Information Systems Council. The Council's decision will be final unless you choose to file a civil suit in a court of law.

### FOR FURTHER INFORMATION:

Contact your local police or county sheriff's office.

### WARNING

IT IS A VIOLATION OF FEDERAL LAW (42 U.S.C. § 3771) TO USE THESE PROCEDURES FOR ANY PURPOSE OTHER THAN THE INDIVIDUAL REVIEW OF A CRIMINAL HISTORY RECORD. ANY EMPLOYER WHO REQUIRES SUCH INFORMATION AS A CONDITION OF EMPLOYMENT WILL BE SUBJECT TO A \$10,000 FINE. VIOLATIONS SHOULD BE REPORTED TO THE UNITED STATES ATTORNEY'S OFFICE AND TO THE ILLINOIS CRIMINAL JUSTICE INFORMATION SYSTEMS COUNCIL IMMEDIATELY.



Illinois Criminal Justice Information Systems Council

Illinois Law Enforcement Commission

120 South Riverside Plaza

Chicago, Illinois 60606

how to beat a bum rap  
sheet

BEGINNING MARCH 16, 1976, YOU HAVE A RIGHT TO SEE YOUR  
CRIMINAL HISTORY RECORD

Criminal history records are maintained by State and Federal law enforcement agencies. Included in your record is a list of what you have been arrested for, the dates you were arrested and released, and other details about each case.

A record with incorrect information could keep you from getting a State or Federal job, from joining a branch of the armed services, or from obtaining a license in any of a number of different professions. Judges, military recruiters, and various authorized employers can examine your record and they may be influenced by what they see. So you want to make sure that your record tells the true story of what happened, with the correct dates and facts.

REVIEWING YOUR RECORD IS A SIMPLE MATTER.

You must first identify yourself and apply to see your record at your local police station or county sheriff's office. Then you will be given an appointment when you can review your record and correct any errors that you might find.

FOR MORE INFORMATION:

Contact your local police or county sheriff's office.



Illinois Criminal Justice Information Systems Council  
Illinois Law Enforcement Commission  
120 South Riverside Plaza  
Chicago, Illinois 60606



REVISED

STATE OF ILLINOIS

CRIMINAL HISTORY RECORD INFORMATION PLAN

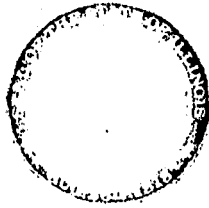
For Dissemination and Security of Criminal History Record Information

Prepared by:

The Staff of the Illinois Law Enforcement Commission

Submitted:

June 17, 1976



**ILLINOIS LAW ENFORCEMENT COMMISSION**

120 SOUTH RIVERSIDE PLAZA  
CHICAGO, ILLINOIS 60606  
312/454-1560

June 15, 1976

Mr. Richard W. Velde, Administrator  
U.S. Department of Justice  
Law Enforcement Assistant Administration  
633 Indiana Avenue N.W.  
Washington, D.C. 20531

Dear Mr. Velde:

I submit herewith the State of Illinois Criminal History Record Information Plan for dissemination and security, as required by the Criminal Justice Information Systems Rules and Regulations, 41 F.R. 11713 et seq., March 19, 1976.

The other sections of the Plan (completeness and accuracy, audits and quality control, individual right of access and review) submitted to you on March 16, 1976, remain in full force.

I certify that to the maximum extent feasible action has been taken to comply with the procedures set forth in this Criminal History Record Information Plan of the State of Illinois.

Sincerely yours,

A handwritten signature in cursive script that reads "David Fogel".

David Fogel  
Executive Director

DF/tj

cc: Governor Walker

ATTACHMENTS:

**NCJRS**

JAN 16 1979

**ACQUISITIONS**

REVISED

STATE OF ILLINOIS CRIMINAL HISTORY RECORD INFORMATION PLAN

TABLE OF CONTENTS

I.	Chapter B LIMITS ON DISSEMINATION.....	1
1.	To Authorized Categories Only.....	4
2.	Applicable Limits and Sanctions.....	4
a.	Criminal Justice Agencies.....	4
b.	Non-Criminal Justice Agencies.....	7
c.	Service Agencies Under Contract.....	11
d.	Research Organizations.....	11
3.	Validating Agency Right of Access.....	13
4.	Restrictions on Dissemination Without Disposition.....	13
5.	Restrictions on Confirmation of Record Existence.....	14
6.	Restrictions on Juvenile Record Dissemination.....	14
II.	Chapter D SECURITY.....	16
1.	Executive/Statutory Standards.....	16
2.	Prevention of Unauthorized Access and Tampering.....	19
3.	Criminal Justice Agency Authority.....	19
4.	Physical Security.....	20
5.	Employee Training Program.....	20

## B. LIMITS ON DISSEMINATION

The issues surrounding dissemination of criminal history record information are probably the most controversial and emotional as any provoked by the federal regulations. This fact is evidenced by the major change in policy by LEAA from restricted dissemination to nearly unfettered dissemination under the amended regulations. As a result, the State of Illinois feels that the section dealing with dissemination, which was submitted to LEAA on March 16, 1976, is no longer in the best interest of constitutional rights or effective law enforcement and should be withdrawn at this time.

The quest for "balancing" the public's right to know and the individual's right to privacy in Illinois, as elsewhere, is a difficult task. The Illinois Constitution explicitly protects free speech and the right to privacy, as well as providing remedies for all injuries and wrongs to a person's privacy or reputation. (Article 1, sections 4, 6, and 12, Constitution of the State of Illinois.)

In 1931, the legislature created (what is known today as the Department of Law Enforcement) the state central repository for criminal records. By statute, the Department may release its records only to authorized peace officers upon written certification "that the information applied for is necessary in the interest of and will be used solely in the due administration of the criminal laws." (Illinois Revised Statutes, chapter 38, section 206-3.) The Department may also make its records available "as is necessary and helpful to plan programs of crime prevention, law enforcement and criminal justice, and aid in furtherance of those programs." (Illinois Revised Statutes, chapter 38, section 206-7.) Logically, the Department may also release its records to those agencies or individuals specifically authorized (either by statute, executive order, local ordinance consonant with state law, or court rule, decision or order) to receive criminal history record information. Except "as may be necessary in the identification of persons suspected or accused of crime and in their trial for offenses committed after having been imprisoned for a prior offense," the Department is prohibited from making any of its records available to any person, bureau, or institution. (Illinois Revised Statutes, chapter 38, section 206-7.)



To complicate matters, the leading case law in Illinois states that chapter 38, section 206, which limits dissemination of criminal history record information, is applicable only to the Department of Law Enforcement and not to the local criminal justice agencies. (Kolb v. O'Connor, 14 Ill. App. 2d 81, 142 N.E. 2d 818. This 1957 case has been reaffirmed by the Illinois Supreme Court on three occasions, most recently in 1973. Thus, Illinois is presently in a most unusual situation--the state central repository may release its records only under controlled circumstances and not to the public; the local criminal justice agencies have no guidelines or statutory requirements placed upon the collection, maintenance or use of their own criminal history records. Obviously, such a situation begets inconsistency, at the very least.

In order to help salvage this situation, the Illinois Law Enforcement Commission asked the public to comment on the dissemination provisions affecting Illinois and to suggest what policy should be adopted in the State Plan.

As was to be expected, intelligent comments were received praising the virtues of complete and open dissemination; equally cogent comments espoused the need to protect a person's privacy and reputation at all costs. On the whole, however, the comments ignored the dichotomy existing between restricted state records and unrestricted local records. It is from this scenario that the Illinois Plan, with respect to dissemination, has evolved.

Since the federal regulations, as originally promulgated, were consistent with state policy at the state level, the Department of Law Enforcement sought to treat, through its user agreements with the local criminal justice agencies, both state and local criminal history record information systems uniformly. With the loosening of dissemination restrictions by the federal government, however, the Department of Law Enforcement will no longer require that dissemination of local criminal history records be restricted, even though it will continue to place strict controls on the use of the state records.

Before 1978, the staff of the Illinois Law Enforcement Commission intends to resolve the dissemination of criminal history record information problem by seeking to introduce legislation establishing uniform state policy. Until that is accomplished, however, the State of Illinois will ensure that the federal limits on dissemination will be accomplished in the following manner:

- a. At the state level, the Department of Law Enforcement will abide by the dictates of chapter 38, section 206 of the Illinois Revised Statutes governing the use of criminal history record information.
- b. Limits on dissemination of criminal history record information found in the records of the state central repository will be ensured at the local level through the requirements of the user agreement between the local criminal justice agency and the Department of Law Enforcement. (See Appendix B.4) These limitations will be implemented on or before September 1, 1976.
- c. Limits on dissemination of local criminal history record information will go into effect on December 31, 1977. The limitations found in the federal regulations will be those that the local criminal justice agencies will be required to follow.
- d. All applicants to the Illinois Law Enforcement Commission for federal funds for the purpose of either collecting, storing, or disseminating criminal history record information will have to meet the requirements of the ILEC/CJIS Standards or seek a waiver of those standards which cannot be met.

Standard 8.3, entitled "Access and Dissemination," is extremely restrictive. Dissemination of criminal history record information to either a criminal justice or non-criminal justice agency is permitted only if the agency requesting the information can demonstrate both the legal right and the need to know the information.

Although the CJIS Standards have only been provisionally adopted and may be waived, to this date, all grants have been conditioned with the requirement that the grantee will conform to the CJIS Standards.

1. To Authorized Categories Only

The limits on dissemination found in this Plan are applicable to all criminal justice agencies in the State of Illinois receiving federal funding after July 1, 1973 for the purpose of collecting, storing or disseminating criminal history record information and to all criminal justice agencies signing a user agreement with the state central repository.

Beginning September 1, 1976, the State of Illinois will limit dissemination of criminal history record information, at the state level, to only those agencies or individuals authorized by statute, executive order, the courts, or local ordinance consonant with state statute. Dissemination of criminal history record information by criminal justice agencies at the local level will be consistent with the limitations found in the federal regulations.

2. Applicable Limits and Sanctions

a. Criminal Justice Agencies

By September 1, 1976, all criminal justice agencies authorized access to the state central repository's manual or computerized records shall sign a user agreement made between the user agency and the Department of Law Enforcement. (Appendix B.4) These local criminal justice agencies will use and disseminate criminal history record information under the terms of this agreement.

Under the user agreement, not only must the criminal justice agency, itself, be in total compliance with the federal regulations per this Plan, but so must any other potential individual or agency to which the user criminal justice agency might disseminate criminal history record information. For example, if criminal justice agency A (which has received federal funding) has signed a user agreement with the Department of Law Enforcement, and criminal justice agency B (which has not

received federal funding or signed a user agreement with the Department) requests A to provide B with criminal history record information, A must first query the state central repository before disseminating to B. However, if B is not in conformance with the federal regulations, even though B has not received federal funding, A may not disseminate to B since A could not ensure the confidentiality of the information once B obtained it. Therefore, if B wants to obtain criminal histories from A or provide criminal justice services for A, it must first come into compliance with the federal regulations and sign a user agreement to that effect with A. If A were to disseminate to B, A would be subject to immediate suspension of services with the state central repository, as well as possible liability for a \$10,000 fine and funding suspension under the federal regulations.

All violations of the terms of the user agreement will result in immediate suspension of services and notification will be routinely forwarded to LEAA and the appropriate U.S. District Attorney by the state central repository for a determination of whether or not to impose the sanctions of 42 U.S.C. section 3771(c).

With respect to dissemination of criminal history record information collected or maintained independently of the state central repository, all local criminal justice agencies receiving federal funds will, by December 31, 1977, abide by the following conditions found in the federal regulations:

1. Any criminal history record information relating to the current offense for which an individual is presently within the criminal justice system may be disseminated to any individual or agency.

For example, an arresting police department may release information concerning the arrest of an individual so long as:

- (a) the individual is still within the criminal justice system, and
- (b) the information is less than one year old, if no disposition has been made and no prosecution is pending.

Similarly, a corrections institution may release information about the status of one of its present inmates.

Therefore, standard operating procedure for a request for current criminal record information should be to direct the requester to the criminal justice agency responsible for generating the information.

2. Any criminal history record information may be disseminated in response to a specific inquiry concerning a specified date, if, and only if, the requested information can be obtained from a public record.
3. Any criminal history record information may be disseminated to any requester desiring the information for purposes of international travel, issuing visas, or granting of citizenship.
4. Conviction data may be disseminated to any requester.
5. Nonconviction data may be disseminated by a criminal justice agency to:
  - (a) Criminal justice agencies for purposes of the administration of criminal justice or criminal justice agency employment;
  - (b) Individuals and agencies authorized by statute, local ordinance consonant with state law, executive order, or court rule, decision or order;
  - (c) Individuals and agencies for the purpose of providing services required for the administration of criminal justice pursuant to a user's agreement conforming to the requirements of the federal regulations;
  - (d) Individuals and agencies for the express purpose of research, evaluative, or statistical activities pursuant to a non-disclosure agreement conforming to the requirements of the federal regulations.

6. Before disseminating any criminal history record information, each criminal justice agency will:

- (a) Query the state central repository in order to ensure that only the most current disposition data is being disseminated; and
- (b) Make and retain, for a period of at least three years, a record of all extra-agency disseminations, which minimally includes the names of all persons or agencies to whom the information is disseminated, the identity of the individual to whom the information relates, and the date of the dissemination.

b. Non-Criminal Justice Agencies

With respect to records kept by the state central repository, criminal justice agencies disseminating criminal history record information to non-criminal justice agencies, individuals, or researchers for the purposes of providing criminal justice services or conducting research must make contractual arrangements similar to those required by the Department of Law Enforcement's user agreement. Such agreements will provide that all copies of disseminated information be returned to the disseminating agency "once the information is no longer needed to effectuate the purposes for which it was originally disseminated."

Authorized non-criminal justice agencies will be required to sign a user agreement with the Department of Law Enforcement and they will be validated by an automatic look-up table in CCH, in the same manner as are criminal justice agencies described in subsection (3) below.

It should be understood, however, that non-criminal justice agencies do not have remote access to computerized criminal histories. CCH is used to validate the agency. Applicant fingerprint cards are processed through the state central repository in the same manner as an arrest. Similarly, mail inquiries by name are processed by making use of the validation table and criminal record log before a transcript is disseminated.

With respect to locally maintained criminal history record information, criminal justice agencies may disseminate such information to non-criminal justice agencies, so long as they do it in conformance with the federal regulations, query the state central repository and log in the dissemination.

Secondary dissemination by non-criminal justice agencies is prohibited under the circumstances specified in the user agreement. As part of the user agreement, non-criminal justice agencies will be restricted regarding the use of criminal history record information to collect, receive, store, use and disseminate such information in strict compliance with the federal regulations; ie, section 20.21(c) (1).

The user agreement further ensures that a non-criminal justice agency will use the criminal history record information only for the purposes for which it was given and that the non-criminal justice agency will not further disseminate criminal histories. This is done by holding the criminal justice agency disseminating to the non-criminal justice agency liable for negligently failing to prevent the non-criminal justice agency from further disseminating the information. This section of the user agreement reads:

"Liability for Dissemination. User shall be responsible for ensuring that data contained in criminal history records disseminated by it to non-criminal justice agencies or individuals is not further disseminated by them and shall be liable for any loss, cost, expense, and damage resulting from any negligence on the part of the User to prevent any such further dissemination."

A list of authorized non-criminal justice agencies follows. It is expected that LEAA will evaluate this list of agencies and make a determination that will affirm the state central repository's decisions regarding compliance of this subsection with the federal rules and regulations.

### Authorized Non-Criminal Justice Agencies

1. Department of Registration and Education - Detectives and Investigators, Chapter 38, Section 201-10b(4), Illinois Revised Statutes, 1975.
2. Department of Mines and Minerals - Explosives in General - Chapter 93 Section 152.3, Illinois Revised Statutes, 1975.
3. Horse Racing Act - Illinois Racing Board, Chapter 8, Section 37c-2; Harness Racing Act, Section 37S-16a, and Quarter Horse Racing Act, Section 419, Illinois Revised Statutes, 1975.
4. Board of Fire and Police Commissioners - Appointed Officers In All Municipalities, Chapter 24, Section 3-6-5 (Auxiliary Policemen) and Section 10-2.1-6.1, Illinois Revised Statutes, 1975.
5. Dangerous Drug Advisory Council - Dangerous Drug Abuse Act, Chapter 91½, Section 120.6-6-1, Illinois Revised Statutes, 1975.
6. Liquor Control Commission - State Control Commission, Chapter 43, Section 108(3) and Section 120, Illinois Revised Statutes, 1975.
7. U.S. Civil Service Commission - Executive Order 10450 and Section 1304 of Title 5, U.S. Code.
8. Tennessee Valley Authority - Executive Order 10450.
9. U.S. Government Generally on Personnel Investigations - Executive Order 10450.
10. Military Police, Title 10, Section 504, U.S.C.; Supplement 2 Privacy and Security Planning Instructions.
11. Department of Revenue - Bingo License and Tax - Chapter 120, Section 1101(7) (a) (c), Illinois Revised Statutes, 1975.
12. Office of Investigations - U.S. Department of Agriculture, Office of Investigation. See LEAA Rules and Regulations, Appendix, Commentary on Section 20.3(c).
13. Legislative Investigation Commission - Illinois Revised Statutes, 1975, Chapter 63, Section 301 - 319 (ref. Section 310).



14. Railroad Police - Chapter 114, Section 98, Illinois Revised Statutes, 1975, authorizes railroads to provide themselves with a police force such as may be found necessary to aid and supplement the police force of any municipality. That Statute further provides that the members of such railroad police force have the same police powers as those conferred on police of cities.
15. U.S. Department of Labor - Federal Register, Volume 40, Number 98, Part 4, Appendix.
16. U.S. State Department - Federal Register, Volume 40, Number 98, Part 4, Appendix.
17. Accident Investigation Unit - Illinois Department of Transportation, Chapter 95½ - 11 - 414, Illinois Revised Statutes, 1975.
18. Kane County Diagnostic Center - Chapter 38, Section 1005 - 3- 2, Illinois Revised Statutes, 1975.
19. Chicago Gun Control Section - Section 11.1-15, Municipal Code.
20. Health and Hospitals Governing Commission of Cook County - Security Police, Chapter 34, Section 910, Illinois Revised Statutes, 1975.
21. Chicago Housing Authority - Title 24, U.S.C. Chapter VIII, Section 860.205.
22. Chicago Transit Authority - Chapter 111 2/3, Section 327, Illinois Revised Statutes, 1975.
23. Defense Investigative Service - U.S. Department of Defense, Executive Order 10450 and 10865 and Title 10, U.S.C., Sections 3253 and 8253.
24. Federal Probation Officers - Rule 32(c)(2), U.S. Rules of Criminal Procedure.
25. Illinois Department of Revenue - Chapter 127, Section 39621, Illinois Revised Statutes, 1975.
26. Court Services Officers - Chapter 38, Section 1005 - 3 - 2(a) (1), Illinois Revised Statutes, 1975.
27. U.S. Immigration and Naturalization Services - Federal Register, Volume 41, Number 55, Section 20.20(c), Dated March 19, 1976.
28. Livestock Dealers - Licensing, Illinois Department of Agriculture - Chapter 8, Section 279(e), Illinois Revised Statutes, 1975.
29. Park Police - Chicago and Cook County - Chapter 105, Section 330a, Illinois Revised Statutes, 1975.
30. Park Police - General - Chapter 105, Section 4-7, Illinois Revised Statutes, 1975.

31. Military Recruiters - Title 10, U.S.C., Section 504 and Section 3253 and Section 8253.
32. Illinois Superintendent of Education - Chapter 95½, Paragraph 6 - 106.1 (a) (9, 10, and 11), Illinois Revised Statutes, 1975.
33. Slaughter Livestock Buyers Act - Chapter 8, Section 607.4, Illinois Revised Statutes, 1975.
34. Public Housing Authorities - Title 24, U.S.C., Chapter VIII, Section 860.205(b) (2 and 3).
35. U.S. Drug Enforcement Administration - Title 21, U.S.C. 1301.91 and 1301.93 (Manufacturers, distributors, importers, and exporters of controlled substances are required to screen employees).
36. U.S. Internal Revenue Service - Title 26, U.S.C., Section 7608(b).

c. Service Agencies Under Contract

Under normal circumstances services required for the administration of criminal justice have not been required in the past by the Department of Law Enforcement and will not be required in the foreseeable future. However, if a situation does arise whereby contractual services for the administration of criminal justice are needed, the user agreement discussed above, will be utilized. Other criminal justice agencies will employ their own, but similar, user agreements to bind service agencies to the provisions of the federal regulations. This will be effective by September 1, 1976.

d. Research Organizations

At the present time research organizations have not been requesting access to criminal history record information. However, in the past it has always been a policy of the Bureau of Identification to deny all such requests based upon chapter 38, section 206 of the Illinois Revised Statutes, which requires that criminal history record information be disseminated to authorized law enforcement agencies as follows:

"Such information shall be furnished to all peace officers of the United States, of other States or territories, of the Insular possessions of the United States, of foreign countries duly authorized to receive the same, and to all peace officers of the State of Illinois."

However, from another part of this legislation, subject to the Attorney General's opinion, the following seems to authorize the use of criminal history record information for research purposes:

"The Department shall procure and file for record, as far as can be procured from any source, photographs, all plates, outline pictures, measurements, descriptions and information of all persons who have been arrested on a charge of violation of a penal statute of this State and such information as is necessary and helpful to plan programs of crime prevention, law enforcement and criminal justice, and aid in the furtherance of those programs."

The Bureau of Identification expects to receive an opinion in the future to clarify the state central repository's position with respect to this legislation.

In any event, the Department of Law Enforcement has prepared a model non-disclosure agreement for researchers, which can be found in Appendix B.5. Under the terms of this agreement the researcher would make a formal written application to the criminal justice agency for specific items of criminal justice information. The researcher will be prohibited from receiving any data which is identifiable to an individual unless the criminal justice agency specifically rules that the proposed research program "has conclusively demonstrated that access by individual name is indispensable to conducting its research, evaluative, or statistical program."

In those rare cases where identifiable information would be released the agreement imposes strict standards for ensuring confidentiality. Specifically, dissemination "to any other agency or individual not immediately concerned with the research program shall be totally prohibited under any circumstance." Moreover, the researcher must return all data received, must refrain from copying any materials, and must certify in writing to that fact. Sanctions include, but are not limited to, immediate recall of all information disseminated, as well as cessation of all future access to criminal history record information.

3. Validating Agency Right of Access

All agencies authorized access to criminal history record information found in the state central repository will be maintained on a computerized table, such that, when an inquiry is made remotely or within the state central repository, the agency is validated and the inquiry logged. The Department of Law Enforcement periodically prints and updates this table of all agencies qualified to receive criminal history record information, which is sent to all law enforcement agencies. Moreover, the user agreement, that all users of the state central repository are required to sign, states that before the agreement is effective, the User must be certified as a bona fide recipient of criminal history record information. Therefore, dissemination of criminal histories to agencies not under contract agreement or not in compliance with the regulations or not on the Department of Law Enforcement's validation list will result in immediate suspension from the files of the state central repository and possible federal liability under the regulations.

4. Restrictions On Dissemination Without Disposition

The state central repository has established internal procedures requiring the review of criminal history record information before dissemination of such information to a non-criminal justice agency. Arrest records in the CCH file will be flagged to alert repository personnel when the one year rule is exceeded. Previously, it was stated that non-criminal justice agencies do not have access to CCH via terminals. All such requests are received by the Bureau of Identification via the mail service. The monitoring system, in conjunction with the field staff, will determine whether or not a flag will be placed on a record due to the one year rule.

Furthermore, as already discussed, Illinois has an automatic expungement of arrest records statute for acquitted "first offenders." (See Chapter 38 section 206-5, Illinois Statutes.)

5. Restrictions On Confirmation of Record Existence

The state central repository's policy and procedure requires that inquiries be validated by a validation table and follow-up phone call confirming the identity of the requester prior to the dissemination of information including the confirmation of the existence or non-existence of a criminal history. Only those agencies that are authorized appear on the validation table.

6. Restrictions On Juvenile Record Dissemination

The state central repository is not authorized by statute to maintain juvenile records except where a juvenile is prosecuted as an adult. (Chapter 37, section 702-8(2) of the Juvenile Court Act.)

Illinois, under the state's Juvenile Court Act, has statutory provisions concerning the dissemination of juvenile records which comply with or exceed those required by the federal regulations. For instance:

"The records of law enforcement officers concerning all minors under 17 years of age must be maintained separate from the records of arrests and may not be open to public inspection or their contents disclosed to the public except by order of the court or when the institution of criminal proceedings has been permitted under section 2-7 or such a person has been convicted of a crime and is the subject of presentence investigation or proceedings on an application for probation." Chapter 37, section 702-8(3). (Also see, chapter 37, section 703-2-2.)

The Civil Service Commission is statutorily authorized to obtain juvenile record information on applicants for a position as a law enforcement officer. Otherwise, all official court files concerning juveniles may not be made available to the general public. Such records however, "may be inspected by representatives of agencies, associations and news media or other properly interested persons by general or special order of court." Chapter 37, section 702-10.

Since the only other authorized individuals permitted to examine court files and records on juveniles are the State's Attorney and the attorney for the minor, the State of Illinois is in full compliance with the requirements of the federal regulations.

Effective December 31, 1975, the Illinois legislature established the Delinquency Prevention Commission. Among other things, this legislation established a state-wide central records systems for juveniles within the Commission. It should be noted however, that the Commission only has the authority to develop safeguards ensuring the confidentiality of juvenile records, except for dispositional hearings under the Juvenile Court Act or inquiries from registered police youth officers. (House Bill 199, section 5.9.) Thus, it does not have authority to regulate juvenile records with respect to completeness and accuracy, security, individual right to access, etc. For these purposes criminal justice agencies in Illinois will follow the limitations imposed by the federal regulations on adult records, to the extent that juvenile records contain criminal history record information.

Under the Juvenile and Delinquency Prevention Act of 1974 (42 U.S.C. section 5601) the Illinois Law Enforcement Commission, as the state planning agency, has developed confidentiality standards to be maintained by individual grantees in the form of a contract. This contract fully incorporates the federal regulations.

## D. SECURITY

### 1. Executive/Statutory Standards

Since Illinois has not enacted specific statutes or regulations governing the security of criminal history record information the State is not in compliance with the federal regulations at this time. The staff of the Illinois Law Enforcement Commission intends to remedy this situation, before 1978, by seeking to introduce state legislation which will meet the requirements of the federal regulations. Until that is accomplished, however, the State of Illinois will ensure the security of criminal history record information in the following manner:

- a. At the state level, the Department of Law Enforcement has developed and implemented detailed security procedures governing personnel selection and clearances, management and visitor control, physical security, terminal and document handling and control, and information dissemination. These procedures are attached as Appendix D for LEAA's review and approval.
- b. The security of criminal history record information found in the records of the state central repository will be ensured at the local level through the requirements of the user agreement between the local criminal justice agency and the Department of Law Enforcement. (See Appendix B.4) The security of this information will be implemented on or before September 1, 1976.
- c. The State of Illinois recognizes the need for implementing security provisions equal to or surpassing those found in the federal regulations with respect to those records collected, stored and disseminated by local criminal justice agencies at the local level. The State of Illinois also recognizes that such provisions may, in some cases, pose nearly impossible logistical or economical burdens upon the local agencies and

that such problems could only be corrected by erecting new housing facilities for criminal history records and/or greatly increasing already tight allocations of funds. The possibility of such circumstances coming to fruition is neither realistic by September 1, 1976, by 1978, nor any other time in the near future, without federal aid. Therefore, the State of Illinois will require that local security of local criminal history record information will be ensured "to the maximum extent feasible," under any given set of circumstances.

This criteria is not meant to create a loophole in the State Plan allowing local agencies to avoid the responsibility of implementing security provisions. Under this Plan, each local agency is required to provide for the security of its own criminal history records, and the burden of proof is on the local agency to show that it cannot so comply. The Department of Law Enforcement will, however, inform the Law Enforcement Assistance Administration of any and all such technical violations, if they occur, and allow LEAA to exercise its discretion as to what sanctions, if any, would be appropriate.

Therefore, to the maximum extent feasible, beginning December 31, 1977, the State of Illinois plans that with respect to the security of its own local records, a local criminal justice agency receiving federal funding:

- (1) Shall designate an official custodian who shall be responsible for the maintenance, care, and security of all of its criminal history records.
- (2) Shall be responsible for the physical security of criminal history record information, under its control or in its custody, and shall adopt procedures to accomplish the following:



- i. Protect such information from all unauthorized access, disclosure, or dissemination;
- ii. Store such information, to the maximum extent feasible, in containers and specifically designated areas which will protect it from theft, sabotage, fire, flood, wind, or other disasters;
- iii. Protect against all unauthorized alterations of such information;
- iv. Detect all unauthorized attempts to penetrate any criminal history record information system, program, or file, make such methods known only to authorized personnel, and keep such methods under maximum security at all times;
- v. Make each employee working with or having access to such information familiar with the substance and intent of the federal rules and regulations governing criminal justice information systems;
- vi. Initiate administrative sanctions against personnel violating the provisions of the federal rules and regulations governing criminal justice information systems or other security requirements established for the collection, storage, or dissemination of such information;
- vii. Monitor, audit, and inspect all security provisions for such information.

(3) Shall screen and have the right to reject for employment, based on good cause, all personnel to be authorized to have direct access to criminal history record information which it maintains.

- d. All applicants to the Illinois Law Enforcement Commission for federal funds for the purpose of either collecting, storing, or disseminating criminal history record information will have to meet the requirements of the ILEC/CJIS Standards or seek a waiver of those standards which cannot be met.

The ILEC/CJIS Standards (7.6, 8.6, 8.7) meet the security requirements of the federal regulations. Among other things, they require dedicated computers at the state level. The Illinois Law Enforcement Commission has provisionally approved the CJIS Standards for the purpose of evaluating applications for federal funds with respect to information systems. All grants, including discretionary grants, have been conditioned with the requirement that the grantee will conform to the CJIS Standards. However, the issue of dedication at the state level has not been resolved, since there has been considerable disagreement concerning the dedication issue. Therefore, the fact that CJIS Standards have been provisionally adopted does not imply that the issue of dedication has been settled as far as the Illinois Law Enforcement Commission is concerned. When a grantee wishes to seek a waiver of specific standards it can apply directly to the Commission. To this date, no grantee has chosen to do so.

2. Prevention of Unauthorized Access and Tampering

Until uniform state legislation or regulations are enacted, unauthorized access to and tampering of both manual and automated criminal history record information systems will be ensured under the provisions of the State Plan enumerated in subsection (1) above.

3. Criminal Justice Agency Authority

Until uniform state legislation or regulations are enacted, the authority of criminal justice agencies to develop or approve of computer operations policy and to approve and clear personnel will be ensured under the provisions of the State Plan enumerated in subsection (1) above.

4. Physical Security

Until uniform state legislation or regulations are enacted, physical security of criminal history record information will be ensured under the provisions of the State Plan enumerated in subsection (1) above.

5. Employee Training Program

Until uniform state legislation or regulations are enacted, each criminal justice agency will ensure the adequate training of personnel dealing with criminal history record information under the provisions of the State Plan enumerated in subsection (1) above.

REVISED

IMPLEMENTATION SCHEDULE

DATE	ACTIVITY	RESPONSIBLE AGENCY
9/26/75	The staff of the Illinois Law Enforcement Commission authorized to submit State Plan to LEAA.	Governor
10/1/75	Legislation regarding mandatory disposition reporting goes into effect.	
10/6/75- 3/21/76	State-wide Privacy & Security Seminars discussing implementation of federal regulations conducted.	DLE
10/7/75	State Attorney General, Illinois Courts, State's Attorneys, and Department of Corrections notified of obligations under the federal regulations.	ILEC
10/20/75	All police departments and sheriff's offices notified of obligations under the federal regulations.	ILEC
11/1/75	Preparation of brochures and posters for public education campaign regarding individual access and review commenced.	ILEC
1/23/76	Rules & Regulations and Instructions governing individual right to access and review criminal history record information promulgated.	DLE
2/17/76	User Agreement and Non-Disclosure Agreement promulgated and disseminated to all law enforcement agencies.	DLE
2/17/76	Information sheet on Certification Statements disseminated to all law enforcement agencies.	DLE
2/18/76	Notice and Certification Statement forms sent to applicable recipients of LEAA funds, informing them of requirement to certify.	ILEC
2/23/76	List of all non-criminal justice agencies authorized by statute or executive order to receive criminal history record information completed.	DLE
3/ 1/76	All certification forms required to be completed and returned.	ILEC-DLE

3/12/76	Designation of Illinois Criminal Justice Information Systems Council to hear challenge appeals and conduct annual audits of State Central Repository.	Governor
3/15/76	New fingerprint disposition reporting forms go into effect.	DLE
3/16/76	Official notification of individual right to access and review provisions.	ILEC
3/16/76	All Certification Statements and Criminal History Record Information Plan submitted to LEAA.	ILEC
3/16/76	Complete disposition reporting from police, prosecutors, trial courts, appellate courts, and probation departments implemented.	DLE
3/16/76	Restrictions on confirmation of record existence implemented.	DLE-DOC
3/16/76	Recreating data entry provision implemented.	DLE-DOC
4/16/76	Public comments requested on revisions to State Plan required by amended federal regulations.	ILEC
5/1/76	Delinquency disposition monitoring provision implemented.	DLE-DOC
5/1/76	Primary dissemination logs provision implemented.	DLE-DOC
6/17/76	Revised Criminal History Record Information Plan submitted to LEAA.	ILEC
7/1/76	Notice of errors provision implemented.	DLE
9/1/76	With respect to records found in the state central repository, limits on dissemination provisions implemented.	DLE
9/1/76	With respect to records found in the state central repository, security provisions implemented.	DLE
9/1/76	Complete disposition reporting from correctional institutions and parole agencies implemented.	DOC
12/1/76	Query before dissemination provision implemented.	DLE-DOC
12/31/76	Secondary dissemination logs provision implemented.	DLE-DOC
1/1/77	Accuracy verification provision implemented.	DLE-DOC
12/31/77	With respect to records of local criminal justice agencies, limits on dissemination provisions implemented.	local agencies
12/31/77	With respect to records of local criminal justice agencies, security provisions implemented to the maximum extent feasible.	local agencies





## APPENDIX

### Revised State of Illinois Criminal History Record Information Plan

<u>TITLE</u>	<u>PAGE REFERENCE</u>
B.4 Criminal History Record Information User Agreement	3,4,5,8,16
B.5 Non-Disclosure of Criminal History Record Information Agreement	12
D. Security & Privacy Regulations Bureau of Identification Criminal Justice Information Services Springfield Office;	16
Security & Privacy Regulations Criminal Justice Information Services Bureau of Identification Joliet Office;	
Illinois Department of Law Enforcement Division of Data Processing Security and Privacy Regulations.	



## Appendix B.4

### Criminal History Record Information User Agreement

CRIMINAL HISTORY RECORD INFORMATION USER AGREEMENT

between

THE ILLINOIS DEPARTMENT OF LAW ENFORCEMENT

and

The Illinois Department of Law Enforcement (hereinafter "IDLE"), acting as the State of Illinois Central Repository pursuant to Illinois Revised Statutes 1976 (Chapter 127, Section 55A) for Criminal History Record Information (hereinafter "CHRI") and pursuant to Illinois Revised Statutes 1976 (Chapter 38, Section 206), and \_\_\_\_\_ (hereinafter "User"), hereby agree to the following terms, provisions, and conditions:

1. Purpose of Agreement. Chapter 38, Section 206, Illinois Revised Statutes, 1976, provides for IDLE to serve as the State agency responsible for the collection, storage and dissemination of CHRI irrespective of the method used, such as Electronic Data Processing, Facsimile, Microfilm, ordinary manual system or any other means. Such dissemination shall be made to peace officers of this or any other state and shall be used solely in the due administration of the criminal laws. Additionally, this Agreement specifies certain rules and regulations governing the collection, storage, and dissemination of CHRI in compliance with Title 42 U.S.C. 3771b, the Department of Justice, Criminal Justice Information Systems Rules and Regulations, 41 F.R., 11713, March 19, 1976, Illinois Revised Statutes, 1976, Chapter 38, Section 206 and their amendments, rules and regulations issued or to be issued pursuant thereto.



**CONTINUED**

**4 OF 5**

2. Responsibilities of IDLE. Upon receipt of inquiries from User which contain all the data elements required by IDLE, IDLE will promptly search its files and return, in as expeditious manner as is possible and consistent with delivery systems available to it, such information contained in its files as may be relevant to the inquiries. It is the responsibility of IDLE to store, maintain, and disseminate CHRI and to ensure the completeness and accuracy to maximum extent possible of information covered by this agreement, and to be responsive to the information needs of criminal justice agencies and authorized non-criminal justice agencies.
3. Responsibilities of User. Pursuant to Illinois Revised Statutes, 1976, Chapter 38, Section 206, User will report such information as may be required in a form and manner provided by or agreed to by IDLE in the exercise of its official duties. User will ensure to provide adequate CHRI security measures and enforcement of the same in compliance with Chapter 38, Section 206 of the Illinois Revised Statutes, 1976, the Rules and Regulations governing Right of Access to CHRI, Title 42 U.S.C. 3771b, and the Department of Justice Rules and Regulations governing Criminal Justice Information systems effective April 19, 1976 and other rules and regulations issued pursuant thereto by IDLE or the United States Department of Justice. The documents referred to above are incorporated by reference.

4. Suspension/Reinstatement of Service. IDLE will immediately suspend furnishing information covered by this agreement to User when any terms, conditions and/or provisions of this agreement and/or of documents incorporated herein are violated or reasonably appear to be violated. IDLE shall resume furnishing such information upon receipt of satisfactory assurance that such violations did not occur or that such violations have been fully corrected and/or eliminated. IDLE, also, reserves the right to suspend to User any service when IDLE is enjoined by any court of the state or federal government, or required by congressional direction or state legislation or for any other reason which restrains IDLE from furnishing such information. IDLE shall resume furnishing information as soon as any impediments referred to above are removed and such resumptions shall be subject to such limitations which shall remain, if any.

The User whose services are suspended shall not use this suspension in any way to negate the obligation to continue to furnish information to IDLE as required in Chapter 38, Section 206, Illinois Revised Statutes, 1976.

5. Cancellation. Either IDLE or User may cancel this agreement upon thirty days notice to the other party.
6. Certification. Before this agreement is effective, the User must be certified by IDLE as authorized to receive CHRI by State or federal statute, State or federal executive order, court order, decision, or rule. Personnel assigned by User as terminal operators shall be identified to IDLE and authorized by IDLE to perform

terminal operations only after having been provided adequate training and made familiar with the substance and intent of said Rules and Regulations, and all persons having access to such information shall be made cognizant with the substance and intent of said Rules and Regulations. The responsibility of training such personnel is that of the User.

7. Completeness and Accuracy. The completeness and accuracy of information is paramount and User shall maintain only accurate and up-to-date criminal history records. User will cooperate with regular audits conducted by IDLE to assure reliability of data. In addition, measures for purging or cancelling entries will be adhered to in order to enhance reliability of all data.
8. Executive Clause. It is understood by and between the parties hereto that IDLE is obligated to provide the services described in Section 2 above to User only to the extent that public funds are made available to IDLE for that purpose. IDLE shall incur no liability on account thereof beyond the money made available for such purpose.
9. Dissemination. User hereby agrees to disseminate all criminal history record information covered by this agreement in conformance with all federal and state laws and regulations.

User hereby agrees to limit dissemination of nonconviction data whether directly or through any intermediary only to:

- (1) Criminal justice agencies, for purposes of the administration of criminal justice and criminal justice agency employment.
- (2) Individuals and agencies for any purpose authorized by statute, ordinance consonant with state laws, executive order, or court rule, decision, or order as contrued by appropriate State or local officials or agencies.
- (3) Individuals and agencies pursuant to a specific agreement with a CJA to provide services required for the administration of criminal justice pursuant to that agreement. The agreement shall specifically authorize access to data, limit the use of data to purposes for which given, insure the security and confidentiality of the data, and provide sanctions for violation thereof.
- (4) Individuals and agencies for the express purpose of research, evaluative, or statistical activities pursuant to an agreement with a criminal justice agency. The agreement shall specifically authorize access to data, limit the use of data to research, evaluative, or statistical purposes, insure the confidentiality and security of the data, and provide sanction for the violation thereof.

Before disseminating criminal history record information covered by this agreement, User shall make an inquiry to the State of Illinois Central Repository in order to ensure that only the most current disposition data is being disseminated.



10. Liability for Dissemination. User shall be responsible for ensuring that data contained in criminal history records disseminated by User to Non-Criminal Justice Agencies or individuals is not further disseminated by them and User shall be liable for for any loss, cost, expense, and damage resulting from any negligence or unauthorized use on the part of User to prevent any further dissemination.
11. Retention of Records. User shall not retain copies of any CHRI covered by the terms of this agreement for any period longer than needed for investigation or reference purposes, after which all copies shall be destroyed. In no case shall User place copies of CHRI covered by the terms of this agreement in any permanent file.
12. Maintenance of Records. IDLE shall retain all rights to information which it provides under this agreement and IDLE shall remain the sole authority to regulate such information without any restrictions.
13. Audits. User hereby agrees to make its records available to IDLE for the purpose of conducting periodic audits of User's compliance with all laws and rules and regulations regarding the processing of information furnished to User under the terms of this agreement. User agrees to keep such records as IDLE may from time to time direct in order to facilitate such audits. At a minimum, User shall record all extra-agency disseminations of CHRI covered by the terms of this agreement,

including the identities of persons or agencies having access to criminal history records and all dissemination of criminal history records on a log showing the name of the accesser or requester, the authority of the requester, the purpose of the request, the identity of the individual to whom the information relates, and the date of the dissemination. Such log shall be maintained and retained for a period of at least three (3) years.

14. Security. User shall designate an official custodian who shall be responsible for the maintenance, care, and security of all its criminal history records.

User shall be responsible for the physical security of criminal history record information covered by this agreement, under its control or in its custody, and shall adopt procedures to accomplish the following:

- a. Protect such information from all unauthorized access, disclosure or dissemination;
- b. Store such information, to the maximum extent feasible, in containers and specially designated areas which will protect it from theft, sabotage, fire, flood, wind, or other disasters;
- c. Protect against all unauthorized alterations of such information;
- d. Detect all unauthorized attempts to penetrate any criminal history record information system program, or file covered by the terms of this agreement, make such methods known

only to authorized personnel, and keep such methods under maximum security at all times;

- e. Make each employee working with or having access to such information familiar with the substance and intent of said Rules and Regulations;
- f. Initiate administrative sanctions against personnel violating the provisions of said Rules and Regulations or other security requirements established for the collection, storage, or dissemination of such information;
- g. Monitor, audit, and inspect all security provisions for such information.

User shall screen and have the right to reject for employment, based on good cause, all personnel to be authorized to have direct access to criminal history record information which User maintains.

15. Notice of Changes. IDLE hereby agrees that it will make no changes in the rules, procedures, and policies adopted by it and incorporated in this agreement without furnishing notice to User and a 30-day period in which User can submit comment to IDLE. Changes in the rules, procedures and policies originating with federal or state executive order, Congressional or state legislative enactment, or by court decision will be initiated upon notice.

16. Indemnification. User hereby agrees to indemnify and save harmless IDLE and its employees and officials from and against any and all claims, demands, actions, suits, and proceedings

brought by others, and against all liability to others arising out of this agreement or founded upon the negligence or other tortious conduct of User, including but not limited to any liability for any loss, cost, expense and damages by reason of any claim of false imprisonment, false arrest, or any other cause of action, in the exercise or enjoyment of this agreement.

17. Construction. This agreement shall be liberally construed to apply to both manual and automated information systems wherever and whenever possible.

18. Effective Date. This agreement will become effective on \_\_\_\_\_, 19\_\_.

In WITNESS WHEREOF, the parties hereto caused this agreement to be executed by the proper officers and officials.

The Illinois Bureau of Identification

By: \_\_\_\_\_

Title: Superintendent.

Date: \_\_\_\_\_, 19\_\_

Criminal Justice Agency

By: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_, 19\_\_

Illinois Department of Law Enforcement

Approved by: \_\_\_\_\_

Titled: Director

Date: \_\_\_\_\_, 19\_\_

## Appendix B.5

### Non-Disclosure of Criminal History Record Information Agreement

NON-DISCLOSURE OF CRIMINAL HISTORY RECORD INFORMATION AGREEMENT

between

THE ILLINOIS DEPARTMENT OF LAW ENFORCEMENT

and

---

WHEREAS, \_\_\_\_\_ (hereinafter "Researcher") has requested permission from the Illinois Department of Law Enforcement (hereinafter "DLE") to utilize certain criminal history record information for the purpose of research, evaluative, or statistical activities in connection with a program to plan or aid in the furtherance of crime prevention, law enforcement and criminal justice, as stated in Researcher's formal application request to DLE dated \_\_\_\_\_, 19\_\_; and

WHEREAS, the Director of DLE or authorized designee has approved said application;

NOW, THEREFORE, in consideration of the furnishing of criminal history record information by DLE to Researcher, the parties agree as follows:

1. The following items of information shall be supplied by DLE to Researcher, to the extent such items are contained in the files of DLE, and shall be subject to the terms and conditions of this agreement.  
(Describe items to be supplied)
2. Access to the identities of the individuals whose records are sought by Researcher shall be prohibited, unless Researcher's program conclusively demonstrates in its application to DLE that access by individual name is indispensable to conducting that program.

3. DLE hereby finds that Researcher has/has not conclusively demonstrated that access by individual name is indispensable to conducting its research, evaluative, or statistical program.
4. Researcher acknowledges the confidential nature of the criminal history record information supplied to it and agrees that disclosure by Researcher in any manner, of the identities of the individuals or in a form which is identifiable to the individuals whose records are sought, to any other agency or individual not immediately concerned with the research program shall be totally prohibited under any circumstance.
5. All copies of criminal history record information disseminated to Researcher that identify an individual or from which an identity is ascertainable, shall be returned to DLE once the information is no longer needed to effectuate the purposes for which it was originally disseminated.
6. Researcher shall certify in writing that it has returned all criminal history information that it has received from DLE and that it has refrained from making any copies thereof.
7. DLE shall monitor, audit, and review Researcher's program activities and policies to ensure compliance with the requirements of this agreement and with any applicable federal or state laws and regulations.
8. If DLE determines either that the requirements of this agreement have not been satisfied or that Researcher's program otherwise threatens privacy or security interests, it may prohibit Researcher from obtaining access to any criminal history record information or take such other actions as it deems reasonable to protect such interests.
9. In order to conceal the identity of persons whose criminal history records are supplied to Researcher, Researcher agrees to:

- A. use the information furnished under this agreement only for the purpose described in Researcher's application to DLE;
  - B. replace the name and address of any record subject with an alpha-numeric or other appropriate code where possible;
  - C. restrict access to all data supplied by DLE to those employees whose responsibilities under the program cannot be accomplished without such access;
  - D. store all data received from DLE in secure locked containers;
  - E. refrain from copying any data furnished by DLE and to retain such data only so long as may be necessary to effectuate the purposes of the program.
10. Researcher agrees to insert in the preface of any report of the program conducted pursuant to this agreement, whether published or unpublished, a disclaimer of DLE's responsibility for the methods of statistical analysis as well as the conclusions derived therefrom contained in such a report.
11. Researcher hereby agrees to hold DLE harmless from any damages or other liability which might be assessed against DLE as a result of disclosure by Researcher of any information received from DLE pursuant to the terms of this agreement.
12. Researcher hereby agrees to pay to DLE the sum of \$\_\_\_\_\_ for each search for a criminal history record which DLE performs at Researcher's request.



13. In the event that Researcher fails to comply with any of the terms of this agreement, DLE may immediately cease to supply criminal history record information to Researcher, may demand the return of all criminal history record information previously furnished to Researcher, and may take such other actions as it deems appropriate to protect security and privacy interests and to enforce the terms of this contract.

In WITNESS WHEREOF, the parties have signed their names hereto this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

Illinois Department of Law Enforcement

By: \_\_\_\_\_

Title: Director

Researcher

By: \_\_\_\_\_

Title: \_\_\_\_\_

Illinois Bureau of Identification

By: \_\_\_\_\_

Title: Superintendent

## Appendix D

Security & Privacy Regulations Bureau of Identification Criminal Justice Information  
Services Springfield Office, Joliet Office, Division of Data Processing

February 17, 1976

SECURITY & PRIVACY REGULATIONS  
BUREAU OF IDENTIFICATION  
CRIMINAL JUSTICE INFORMATION SERVICES  
SPRINGFIELD OFFICE

GENERAL

The Criminal Justice Information Services (CJIS) Springfield Office is located at 1035 Outer Park Drive West, 5th Floor, Springfield, Illinois 62704. The primary document types handled by the CJIS Springfield Office which must meet LIAA as well as State of Illinois Security & Privacy Regulations are:

- . CJIS DISPOSITION REPORTS (State's Attorneys & Court Dispositions on Booking Charges).
- . Terminal inquiry and response data from the Illinois Computerized Criminal History data base as well as the Illinois Law Enforcement Agency Data System (LEADS) and National Crime Information Center (NCIC) data bases.
- . AMPLEX arrest and ID segments which are established via terminal. These AMPLEX records become part of the computerized criminal history record.
- . Maintaining CHRI transcripts on persons ineligible to possess a Firearm Owners Identification Card.
- . Illinois-Uniform Crime Report source documents - tape oriented system.
- . Firearm Owners Identification applications - loading a computerized file.

A basic Organization Chart of the CJIS Springfield Office is shown on the following page.

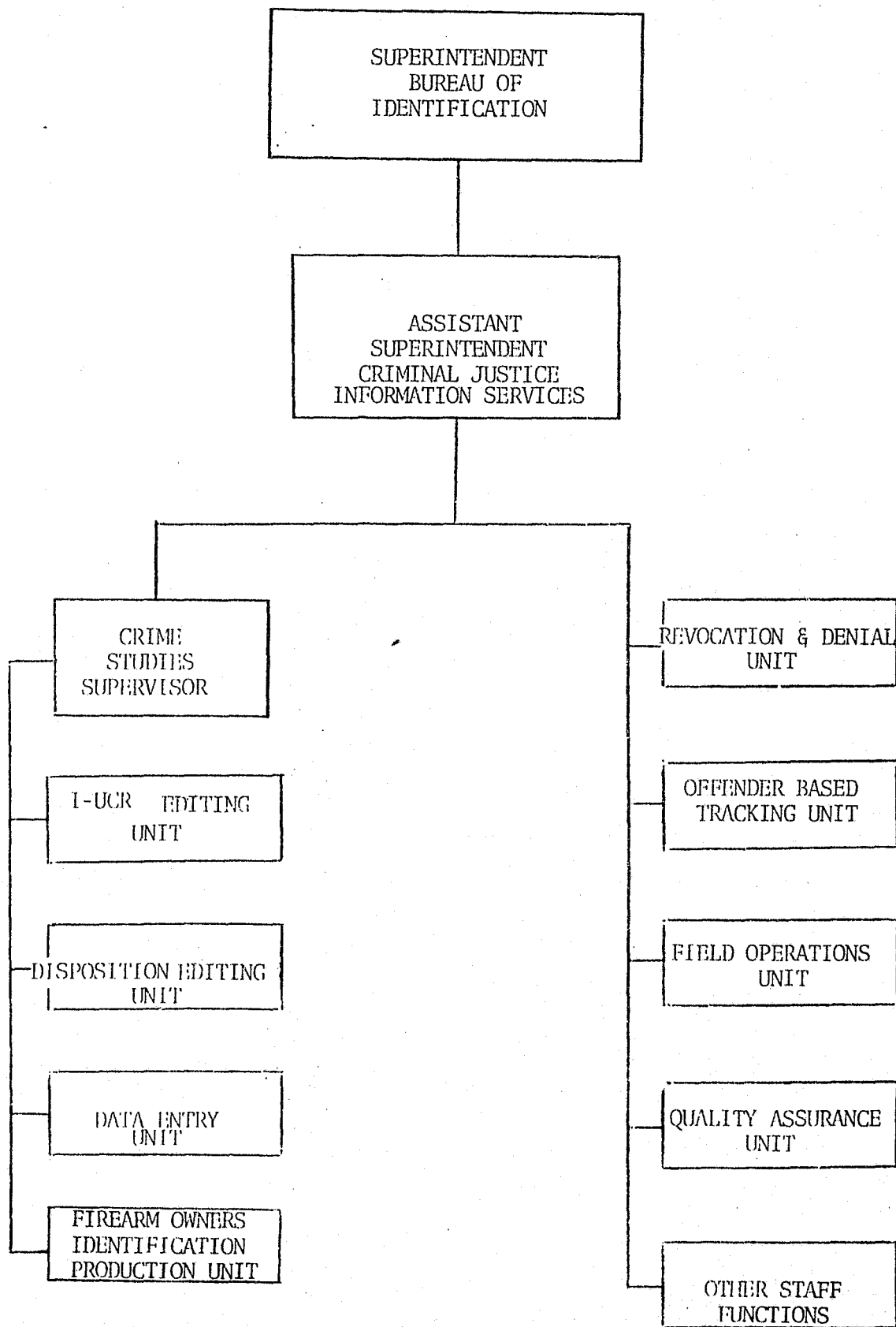
PERSONNEL SELECTION

Background Investigation

A background investigation is required on all personnel employed by the Bureau of Identification. Only persons meeting standards deemed acceptable by the Superintendent of the Bureau of Identification after the background investigation is reviewed will be employed. All background investigation records are maintained by the Superintendent of the Bureau of Identification, Joliet Illinois.

ORGANIZATION CHART  
BUREAU OF IDENTIFICATION  
CRIMINAL JUSTICE INFORMATION SERVICES  
SPRINGFIELD OFFICE

February 17, 1976



## Personnel Clearances for Access to CHRI Data and/or Other Criminal Record Data

The RIGHT TO KNOW and NEED TO KNOW principles will be strictly adhered to at all times. The Assistant Superintendent can grant and deny clearances to all persons in Criminal Justice Information Services for access to CHRI data. Personnel in the CJIS Springfield Office which may be granted clearances for CHRI data by the Assistant Superintendent on a NEED TO KNOW basis are outlined below:

- . Certain persons, as may be designated by the Assistant Superintendent, in the Crime Studies Section engaged in Illinois-Uniform Crime Reporting activities. The I-UCR System source document sheets may contain certain offense, arrest and disposition data on individuals by name which is different than the National UCR System. The Crime Studies Section is a Criminal Justice Agency within the Bureau of Identification.
- . Certain persons, as may be designated by the Assistant Superintendent, in the Data Entry Unit. This unit operates the terminal inquiry and response for CHRI and/or Computerized Criminal History data, establishes the records for Disposition data, as well as for Firearm Owners Identification data base records. The Data Entry Operations may inquire into the Computerized Criminal History data base only when authorized by a TERMINAL AUTHORIZATION SLIP signed by the Assistant Superintendent or signed by a person delegated with that authority by the Assistant Superintendent.
- . Certain persons, as may be designated by the Assistant Superintendent,

in the Disposition Editing Unit. These personnel will be editing prosecution and court dispositions of booking charges or charges made by the prosecution. In performing this function it may become necessary to use CHRI transcripts as an integral part of this function.

- . Certain persons, as may be designated by the Assistant Superintendent, in the Firearm Owners Identification Revocation and Denial Unit. This Unit operates directly under the Assistant Superintendent and requires access to CHRI data in order to enforce Firearm Owners Identification Regulations as set forth by Illinois State Statutes Chapter 38, Section 83.
- . Certain persons as may be designated by the Assistant Superintendent, in the Offender Based Tracking System Unit. This Unit will operate directly under the Assistant Superintendent and will require access to CHRI data as an integral part of its function.
- . Certain persons, as may be designated by the Assistant Superintendent, in the Field Operations Unit. These personnel require access to CHRI data for auditing, verifications, and monitoring functions required by the IJAA Rules and Regulations and Uniform Crime Reporting Program (State Statute Chapter 38, Section 206). Field Operations will also audit agency Offender Based Tracking System and computerized criminal history records.

- . Certain persons, as may be designated by the Assistant Superintendent, in the Quality Assurance Unit. This Unit operates directly under the Assistant Superintendent and may, at the descretion of the Assistant Superintendent, require access to CHRI data to ensure the integrity of the data being input into the Illinois Computerized Criminal History data base as well as other functions inherent in accomplishing Quality Assurance activities.
- . Certain persons, as may be designated by the Assistant Superintendent, who function as mail handlers. This clearance is necessary since CHRI data will be exposed to these persons as an inherent part of their mail handling function.

Generally, the personnel in the CJIS Springfield Office not having access to CHRI data are those engaged in the Firearm Owners Identification Editing and Card Making Function; and, other staff functions operating directly under the Assistant Superintendent whose functions are unrelated to CHRI data but are related to administration.

#### MANAGEMENT CONTROL

All personnel that have clearances for access to CHRI data, as well as all other data maintained by the CJIS Springfield Office, will operate under the Certification of Compliance Rules as set forth in the LEAA Rules and Regulations and other communications generated by the Assistant Superintendent.

These communications as issued by the Assistant Superintendent will be in the form of directives and training materials covering all facets of CHRI, data collection, maintenance and dissemination.

Per directive by Superintendent of the Bureau of Identification dated 10-29-74:

Any Bureau of Identification employee who willfully violates an individual's security and confidentiality through the dissemination of information to unauthorized agencies or individuals will face immediate disciplinary action in the form of a suspension or dismissal. The length of this suspension or dismissal will be determined on a case-by-case basis and in light of the seriousness of the violation and any mitigating circumstances which may have existed at the time of the violation.

#### IDENTIFICATION CARDS AND VISITOR CONTROL

##### Employees

As specified in the Directive dated February 2, 1976, issued by the Assistant Superintendent, wearing of an Identification Card on the outer garment is mandatory for all persons entering the RESTRICTED WORKING AREA. All employees are issued an ID card with a front face picture. If the card is lost or stolen, it must be reported immediately to the Section Supervisor who in turn will report the loss to the Assistant Superintendent. The employee will be issued a Temporary ID Card until a regular ID Card can be re-issued. Each day every employee is checked by the Unit Supervisor and by the Program Supervisor to ensure that an ID Card is being properly worn and individuals are properly identified.



Visitors (Except delivery and maintenance persons, repairmen, etc.)

All visitors, excluding Firearm Owners Identification applicants, must sign the VISITORS LOG (see following page for sample) and be issued a Visitors Badge. Firearm Owners Identification applicants will not be allowed to any area of the CJIS Office except the table maintained in the main office receptionist area designated for filling out application forms.

The VISITORS LOG is maintained by the Receptionist during working hours and is secured in a key-locked file by the Assistant Superintendent's secretary after working hours. The receptionist will ensure that all visitors register in the VISITOR LOG upon entering the office; are issued a Visitors Badge; are signed out in the VISITORS LOG at the conclusion of their business and that the Visitors Badge is returned.

Visitors will wear the issued badges on their outer garments and will be escorted when in the restricted area. Visitors who need not attain a VISITORS BADGE are those persons as specified by the Assistant Superintendent and do not have access to the restricted areas, such as salesmen. These Persons from other offices within the Department of Law Enforcement who have face picture ID cards and who are identified by the Assistant Superintendent and Program Supervisor are not issued an identification badge but must sign the Visitors Log.

A list of Criminal Justice Agencies and other authorized Non-Criminal Justice Agencies will be maintained by the Receptionist. Only persons from this list will be issued a Visitors Badge after positive identification has been established. Any questions involving visitor authenticity will be brought to the attention of the Assistant Superintendent or the Program Supervisor.



# VISITORS LOG

[illegible]

### Visitors (Delivery and Maintenance Persons, and Repairmen, etc.)

Persons in these categories will not appear on the authorized agency list.

After proper identification, the person will sign the Visitors Log and be issued a Visitors Badge. These type visitors must be escorted at all times to ensure they do not have access unnecessarily to CHRI in lieu of their purpose for being in the area. When the person leaves, the Receptionist will ensure they log out in the VISITORS LOG and that they return their Visitors Badge.

## PHYSICAL SECURITY

### Storage and Door Security

All documents containing CHRI data are stored in key-locked cabinets or key-locked storage rooms. Persons authorized keys to these storage places will be designated by the Assistant Superintendent. A list of all persons having keys to each storage area as well as keys to the building and office door will be maintained by the Assistant Superintendent.

### Backup Files - In the event of Loss by Fire, Flood, etc.

Any CHRI or other Criminal History data lost in the event of Fire, Flood, etc. can be re-generated from the data base by Data Processing Division or through the Records and Identification Section of CJIS in Joliet. All records destroyed on other data bases, such as UCR or Firearm Owners Identification, can be re-created by Data Processing Division.

## TERMINAL SECURITY

All terminals have complete Illinois Law Enforcement Agency Data System inquiry capability as well as record establishment and inquiry capability into the Computerized

Criminal History, Firearm Owners Identification data bases, wanted persons file, stolen articles, article files, NCIC, and Automated Law Enforcement Communications System. Therefore, physical security is essential due to the terminal capabilities of entering, cancelling and modifying Criminal History and other data base record types as well as inquiry capability into the various data bases. No persons except the Data Entry Unit personnel shall operate the terminals unless specifically authorized by the Assistant Superintendent.

The terminals are activated for operation by the Data Processing Division in the morning at approximately 7:30 A.M. This notice to activate the terminals is accomplished when a Data Entry Operator telephones Data Processing and requests that the terminals be made operational. Operational capability is terminated at 5:00 P.M. Between the hours of 5:00 P.M. and 7:30 A.M. the terminals cannot receive or send any type traffic.

#### TERMINAL AUTHORIZATION

The assistant Superintendent will designate those persons authorized to approve a CCH or LEADS/NCIC inquiry. A sample of the authorization form appears below:

CRIMINAL JUSTICE INFORMATION SERVICES			
CHRI TERMINAL AUTHORIZATION			
TO: Data Input Supervisor		DATE: _____	
FROM: Art Loos			
SUBJECT: Authorization for Terminals			
_____ is authorized to make the following transactions.			
<input type="checkbox"/>	TRAINING	<input type="checkbox"/>	LEADS/NCIC
<input type="checkbox"/>	INQUIRY	<input type="checkbox"/>	CCH
Name _____			
Form No. _____	DOB _____	SEX _____	RACE _____

Authorized persons are: Crime Studies Supervisor, I-UCR Operations Supervisor, Revocation and Denial Supervisor and Data Input Supervisor.

#### DOCUMENT HANDLING AND CONTROL

##### Computerized Criminal History and Illinois Law Enforcement Agency Data System/NCIC Terminal Inquiries and Responses.

When a properly signed TERMINAL AUTHORIZATION slip has been issued, an inquiry may be made into the Computerized Criminal History and Illinois Law Enforcement Agency Data System/NCIC data bases. At the present time virtually all of these inquiries are requested by the Revocation and Denial Unit to ensure that Firearm Owners Identification applicants are properly investigated to possess a Firearm Owners card per Chapter 38, Section 83, Illinois Revised Statutes 1975.

The Data Entry Supervisor ensures that the TERMINAL AUTHORIZATION slip plus a copy of the inquiry from the terminal line printer and a copy of the response (whether negative response or a RAP sheet) from the line printer is forwarded to the Revocation and Denial Unit Supervisor. This data will be destroyed after they serve the purpose for which intended. Destruction is accomplished by shredding or burning these data sheets under escort.

No log or inquiries or responses is manually maintained since the action is automatically generated in log format by the Data Processing Computerized Criminal History System. This log is forwarded by Data Processing each month for all Computerized Criminal History activity generated by or received by the CJIS terminals. These logs are retained indefinitely and maintained in key locked files by the Revocation and Denial Unit.

### Disposition Reports

Disposition reports are received daily from State's Attorneys and Circuit Clerks. After the mail handling process, these documents are given to the Disposition Editing Unit. After the disposition data has been edited and accepted as correct, the sheets will be passed to the Data Entry Unit and entered into the Computerized Criminal History data base via terminal. A copy of each record transmitted will be made on the line printer which will be used for auditing comparison purposes against the disposition source document and verification of receipt at the Joliet facility discussed below. Those dispositions that are rejected are logged and turned over to the Quality Assurance Unit for corrections, etc.

After correct record transmission has been verified by the Disposition Editing Unit, the line printer sheets will be shredded or burned. The Disposition Report source documents will be maintained temporarily in key locked files by the Disposition Editing Unit and these documents are secured on a restricted NEED TO KNOW basis.

Each week Disposition Report source documents will be batched and transported via messenger service to the Records and Identification Section in Joliet where they will be filed in the Criminal History Jackets.

### CHRI Transcripts

Transcripts are mailed from Records and Identification Section, located in Joliet, to the Springfield CJIS Office upon request. At the present time all such requests are made by the Revocation and Denial Unit in conjunction with the enforcement of Firearm Owners Identification laws. These transcripts are for internal use only, to ensure compliance with the Firearm Owners Identification law - no secondary dissemination

of a transcript is made to other individuals or agencies. Such a dissemination from the State Central Repository, even though within the same organization are automatically logged.

The transcripts are maintained in key locked files by the Revocation and Denial Unit, and they are maintained on a NEED TO KNOW basis. When the transcript has fulfilled the purpose for which it was obtained it will be destroyed by shredding until the information is unreadable.

#### Illinois-Uniform Crime Reports

The I-UCR source documents are received from all law enforcement agencies throughout the State on a monthly basis. These records shall be considered confidential in nature and available only to authorized agencies (per letter from Superintendent of Bureau of Identification dated 10-29-74). The Illinois Uniform Crime Reporting System, different from the National Uniform Crime Reporting System, may contain certain offense, arrest and disposition data on individuals by name and therefore must be safeguarded. These records are audited by the I-UCR Editing Unit and forwarded to Data Processing for batch entry into the I-UCR Data Base. The documents are then returned to the I-UCR Editing Unit where they are maintained until the end of the calendar year at which time they are transferred to the Archives. At the end of the seven years these documents will be destroyed by Archives personnel.

During the calendar year the I-UCR source documents are maintained in key locked files and rooms by the I-UCR Editing Unit on a restricted NEED TO KNOW basis.



### Firearm Owners Identification (FOI) Applications

The FOI application data is entered via terminal after it has been assured that the applicant is entitled to possess an FOI card. The applications are currently maintained in key locked files by the FOI file Unit on a restricted need to know basis. In the near future, FOI application cards will be maintained in the Archivist. Upon expiration of the application (5 years) it is destroyed by shredding or by fire. The FOI application should be treated as if the information were in fact criminal offender record information with regard to dissemination of the information (per policy directive from Superintendent of Bureau of Identification dated 10-29-74).

FOI records of juveniles (16 years of age and under) will not be made available to any terminal except CJIS Springfield terminals. FOI computerized juvenile records are automatically flagged to disallow inquiry via remote terminal. Inquiring terminals receive a response that the Assistant Superintendent must be contacted for further information on the juvenile. When an agency requests information on a juvenile, the request must be turned over to the Assistant Superintendent for referral to the Juvenile Justice Commission.

### INFORMATION DISSIMINATION

The Assistant Superintendent or a person designated by the Assistant Superintendent must approve all information on an individual before it can be released by any means.

There is no secondary dissemination of CHRI.

Law Enforcement agencies requesting information on an adult person who is maintained on the Firearm Owners Identification data base may be given out via letter or terminal. If information is given over the phone, the CJIS Springfield

Office must return the agencies call for validation purposes to insure that the answering agency is an authorized law enforcement agency. Under no circumstances will this information be given to an incoming caller without a return validation call.

SECURITY & PRIVACY REGULATIONS  
CRIMINAL JUSTICE INFORMATION SERVICES  
BUREAU OF IDENTIFICATION  
JOLIET OFFICE

## LIMITS ON ACCESS TO THE STATE CENTRAL REPOSITORY - PHYSICAL PLANT

Records Section of the Bureau of Identification - pursuant to the guidelines promulgated by the Superintendent on May 5, 1975, no person shall be permitted access to the Records Section unless he prominently displays an appropriate "permanent" or "temporary" identification badge issued by the Superintendent.

- A. Visitors will be permitted access to the Records Section on a right and need basis only. They will not be permitted to view any Criminal History Record Information unless they present sufficient identification to establish that they are in fact a representative of a recognized criminal justice agency. Examination of numerous jackets containing information on several offenders will not be permitted unless authorized in advance by the Supervisor of Records or his designated subordinate. Visitors will be issued a badge which clearly indicates their status, they will be required to sign in and out on the visitor log, and they will be closely and continuously escorted while they are in the Records Section.
- B. Service agencies - any vendor (person, firm or corporation) which undertakes to sell, rent, lease, or otherwise deliver any product for use within the Records Section of the Bureau of Identification, which shall require periodic or continuous maintenance or service coverage, shall be required to enter into a security contract with the Bureau of Identification by not later than December 31, 1975. Said contract shall stipulate agreement by vendor not to acknowledge the existence or content of any Criminal History Record Information which he or any of his agencies representatives or employees shall have occasion to encounter either by chance or in the performance of official duties. The security and privacy provisions of the aforementioned contract must remain in effect indefinitely.

**\*\*NOTE:** Vendor representatives' access to the Records Section of the Bureau of Identification will be limited to the area immediately surrounding the item of equipment being serviced, unless otherwise authorized by the Superintendent. They will not be permitted to handle or otherwise examine any Criminal History Record Information unless required to do so in the performance of their official duties. However, this requirement shall not be assumed to demand disruption of productive work and "concealment" of Criminal History Record Documents in the Video-file Unit while AMPEX technical representatives, who have been authorized access to the facility, are at work in that area.

Representatives of service agencies, other than those authorized continuous access by the Superintendent, will sign in and out on the appropriate "Visitor's Log" and will be issued a "service" badge which must be prominately displayed on their person, while they are in any restricted area.

C. Unauthorized access - any employee who detects the presence of any unauthorized person in a restricted area shall immediately challenge that person and shall immediately bring the incident to the attention of the Supervisor of Records or his designated subordinate. Unless satisfactory written authorization from the Superintendent is presented by the suspected, unauthorized person, he will be advised that:

1. He (or she) has entered a restricted area of "State Supported Land".
2. If he remains in the restricted area, he/she is subject to arrest and prosecution for "Criminal Trespass to State Supported Land" (Chapter 38, Section 21-5 (b) ).
3. If the subject refuses to leave the restricted area, police will be summoned and a complaint will be signed.

D. Additional limits on access to facilities - except as otherwise authorized by the Superintendent, no person shall be permitted access into the Headquarters Building of the Bureau of Identification before 8 A.M. or after 5 P.M., Monday through Friday or at any time on Saturdays, Sundays or Holidays, UNLESS:

1. He/she presents credentials which clearly identify him/her as an employee of the Illinois Department of Law Enforcement or another recognized police agency.
2. He/she properly identifies himself as a representative of a "service agency" summoned for the purpose of performing emergency maintenance or service.

LIMITS ON DISSEMINATION OF CRIMINAL HISTORY RECORD INFORMATION

The provisions of Chapter 38, Section 206, limit the dissemination of Criminal History Record Information to "peace officers", and they specifically require that records accumulated are not open to public scrutiny. Private persons, firms, groups or corporations, attorneys, and the news media will not be granted access to Criminal History Record Information except as authorized by law, executive order or court ruling. Consistent with existing policy, employees will not acknowledge the existence of a criminal record:

- A. Over the telephone, although requests for such records may be received by phone for subsequent transmittal to an authorized agency by mail or teletype.
- B. Pertaining to juvenile offenders, unless said offender was tried as an adult or information is not available to indicate which of several dates of birth claimed by the defendant at the times of his arrest is correct.

- C. To any Illinois CRIMINAL JUSTICE AGENCY, who has not filed a "Criminal History Record Information Agreement" with the Department of Law Enforcement by June 1, 1976.
- D. To any non-criminal justice agency, who has not filed a "Criminal History Record Information Agreement" with the Department of Law Enforcement by December 31, 1975, OR who has not been authorized to receive Criminal History Record Information by statute or executive order.

**\*\*NOTE:** In addition, employees will not acknowledge to ANY NON-CRIMINAL JUSTICE AGENCY, either verbally or on any written document, any arrest which was affected after June 19, 1975, if one year has elapsed and no disposition has been received by the Bureau of Identification. This provision applies even if the agency has filed the necessary security agreements and has been granted access to Criminal History Record Information by law or executive order. However, this prohibition shall not extend to advance notification procedures now in effect for applicants for positions as firemen, policemen, or security guards, since denial of employment will not occur unless subsequent confirmation of a criminal record is disseminated.

VALIDATION OF RIGHT OF ACCESS - effective December 31, 1975, incoming inquiries from non-criminal justice agencies which request dissemination of Criminal History Record Information will be subjected to a verification process intended to determine right of access. After June 1, 1976, ALL such inquiries will be validated prior to dissemination, including those which originate from criminal justice agencies.

A. Validation of requests from non-criminal justice agencies:

1. Non-criminal justice agencies, who have a need for Criminal History Record Information must complete the necessary security agreements with the Department of Law Enforcement by December 31, 1975. Authorized agencies will be listed on a form available to Records and Identification personnel.
2. Each incoming request for information from these agencies must bear a specific statutory or executive order reference authorized access to Criminal History Record Information which meets LEAA guidelines relevant to "Criminal Justice Information Systems" published in the Federal Register, Volume 40, Number 98, on May 20, 1975.

**\*\*NOTE:** The Department of Registration (Chapter 38, Section 201-6) and inquiries received for persons seeking employment as firemen or policemen (Chapter 24, Section 10-2.1-6) including auxiliary or part-time and railroad police (Chapter 114, Section 90-2) are exempted from this requirement.

3. Bureau records personnel will check each request for information against a list of authorized agencies and specific statutory and executive order references, which shall have been prepared by the Quality Control Unit. Requests received from agencies with no security agreement will be marked "Contributor Not Authorized to Receive Criminal History Record Information" and returned. If the referenced statute or



executive order does not appear on the list of references provided by the Quality Control Unit, the request shall be placed in suspense and the question forwarded to Quality Control for verification.

B. Validation of requests from criminal justice agencies - after June 1, 1976, all incoming requests for Criminal History Record Information received from criminal justice agencies will be subjected to the following validation process:

1. Illinois criminal justice agencies who have filed a "Criminal History Record Information Agreement" with the Department of Law Enforcement will be listed by NCIC/ORI on a special, on-line disk file created and maintained by the Division of Data Processing.
2. A "CQH" inquiry, using the ORI of the requesting agency and other data elements necessary for proper entry, will be generated. (If more than one agency wishes a copy of the requested information, their ORI's must be specified by contributor and checked and certified by terminal operator, i.e., if a police agency requests copies of the information for the state's attorney or the probation officer.)
3. If computer validation determines that the inquiring agency is not authorized to receive Criminal History Record Information, the inquiry will be marked "Contributor Not Authorized to receive Criminal History Record Information" and the request will be returned. If other agencies specified by contributor is authorized, only the request of contributor will be honored.

## VERIFICATION OF ACCURACY

A. Internal Quality Control - a quality control unit is hereby established whose function it shall be to maintain the accuracy and integrity of Criminal History Record Information collected and disseminated by the Bureau of Identification.

1. Organization-Internal Quality Control Unit shall report directly to the Assistant Superintendent for Criminal Justice Information Services.
2. Authority-this unit shall be vested with sufficient authority to enforce all regulations pertaining to security and privacy as they pertain to the operation of the Records Section of the Bureau of Identification.
3. Personnel-the Quality Control Unit shall be staffed with a sufficient number of Fingerprint Technicians, Data Input Supervisors and senior clerical personnel to permit them to perform the duties and responsibilities established by LEAA Guidelines, security and privacy regulations enacted by the Illinois Legislature and the Assistant Superintendent-CJIS.
4. Audits-Quality Control Personnel shall conduct a continuing evaluation of internal transactions which relate to the accuracy and integrity of the Records function.
  - a. Sample size shall be 20 percent of applicable transactions.
  - b. Activities to be sampled:
    - (1) Fingerprint identification
    - (2) Entries recorded on the Computerized Criminal History System
    - (3) Transcript entries
    - (4) Delinquent dispositions
    - (5) Agency/statutory authorizations
    - (6) Exonerations, challenges, and reviews.

5. Error reporting - upon discovery of any error of "material significance", the Quality Control Technician shall

- a. Immediately provide written notification to the applicable unit supervisor, who shall correct the situation with dispatch, notifying any and all agencies who may have received erroneous information.
- b. Record the type of error, the applicable ISB Number, the date discovered and the corrective action taken on the "Quality Control Log". Copies of said log to be forwarded to the Assistant Superintendent-CJIS and the Supervisor of Records weekly.

B. Verification methods-shall be employed which will minimize the possibility of recording and storing inaccurate information.

1. Reporting Documents/Methodology-the importance of establishing the capability for positive, fingerprint identification of the defendant together with necessary controls for relating subsequent criminal justice transactions to both a specific offender and a specific arrest cannot be overstated. This capability is essential if audit trails are to be maintained, as required by LEAA Regulations, and if dispositions are to be posted to the proper arrest. Therefore, the proposed Fingerprint Card/Arrest Report, scheduled for implementation after January 1, 1976, will bear a pre-printed, "Document Control Number" in the upper left hand corner of the form set which must be transferred to any documents generated at succeeding stages in the Criminal Justice process.

- a. Types of Disposition Reports-in all cases involving referral for prosecution the original source documents upon

e. Defendant's

- (1) Name
- (2) Race
- (3) Sex
- (4) Date of Birth

3. Validation Process (either process may be used)

- a. Automated-data from incoming fingerprint cards will be entered onto the CCH System by a terminal operator with subsequent verification of information contained in fields specified above by Quality Assurance. Terminal operators will be notified of errors subsequent to comparison of entries by the operator.
- b. Manual-same as above, except verification of referenced information categories will be done by a second terminal operator.
- c. Effective date-December, 1976.

C. Delinquency Monitoring-pursuant to existing plans and operational procedures, all incoming data from arrest fingerprint cards will be entered on the CCH System. Since the "Arrest Segment" contains the applicable date of arrest delinquency monitoring will be accomplished by a machine "compare" program, which will be executed monthly. If one year has elapsed and a disposition has not been posted, a flag or caveat will be added to the record and a "Delinquency Notification Form" generated for the applicable agency. Statistical data will also be kept on these transactions with contact by CJIS Field co-ordinator in the event that poor performance in reporting dispositions continues. Effective date of these provisions will occur on or before December 31, 1976.

which the ultimate disposition of the case is recorded, shall be retained by the appropriate state's attorney or circuit clerk. Reports of dispositions submitted to the Bureau of Identification must bear the applicable document control and local case numbers for purposes of establishing audit trails and for re-creating the content of specific entries. Acceptable formats shall include:

- (1) Printed formats capable of internal processing by "Optical Character Reader" as printed and furnished by the Department of Law Enforcement.
- (2) Computer tapes or other machine processable formats which reference Document Control Numbers in "Key Fields" for record matching purposes.

b. Requirements for disposition reports-pursuant to the provisions of H.B.1365 applicable state's attorneys and/or circuit clerks shall report all final dispositions within 30 days after such decisions are rendered to the Department of Law Enforcement in the form and manner established by the Department.

2. Validation of Entries-specific data elements, with which an individual may gain access to either manual or automated records maintained by the Bureau of Identification, will be subject to 100 percent verification at time of entry, including each of the following "information fields":

- a. Document Control Number
- b. ISB Number (Bureau of Identification Jacket Number)
- c. FBI Number
- d. Arrest Agency Jacket Number

MAINTENANCE OF TRANSACTION LOGS: An important part of the LEAA Regulations pertaining to security and privacy is implementation of a capability for correcting errors of substance which occur because of inaccurate documentation. To facilitate performance of that requirement, a "Dissemination Log" shall be kept on all Criminal History Record Information disseminated on or after January 1, 1976.

A. Interim Transaction Log-this manual record shall be maintained in the offender's jacket and entries shall be posted to this record by the unit that actually disseminates the information, (i.e., typing, CCH, etc.) required entries shall include:

1. ISB Number
2. Agency receiving CHRI
3. Whether agency is criminal justice or non-criminal justice
4. Date of dissemination
5. Employee's initials

B. CCH Transaction Log- because criminal justice agencies in the field may inquire of the CCH System without notifying the Bureau of Identification, it will be necessary to establish a CCH transaction log as "Segment VI" of the CCH record.

NOTE: Both of these records will be maintained and will be consulted in the event that a challenge or expungement order is received until conversion of all records is accomplished.

SECONDARY DISSEMINATION OF CRIMINAL HISTORY RECORD INFORMATION-the

provisions of "Section IV" above stated that criminal justice agencies will be required to file a "Criminal History Record Agreement" with the Department of Law Enforcement. The conditions of that agreement will require the maintenance of a "Secondary Dissemination Log" at the facility which receives Criminal History Record Information from the Bureau of Identification. Other provisions of this agreement, as well as for the one applicable to non-criminal justice agencies, include:

A. Criminal Justice Agencies

1. Secondary dissemination to other criminal justice agencies is permitted, so long as these transactions are logged by the agency disseminating information obtained directly from the Bureau of Identification and provided the agency to whom the information is given has completed and filed a "Criminal History Record Agreement" with the Department of Law Enforcement and whose system (manual and/or computerized) contains procedures or routines for validating agencies accessing this information, and that all verification and quality control procedures are fully operating in a similar manner as the State Central Repository.
2. Tertiary dissemination shall not be permitted and is considered a violation of 524 (b) and 424sc3771.
3. Dissemination of Criminal History Record Information received by criminal justice agencies from the Bureau of Identification may not be disseminated to non-criminal justice agencies, except as authorized by statute or executive order appearing in State Central Repository Directives.

B. Non-Criminal Justice Agencies --secondary dissemination of Criminal History Record Information by non criminal justice agencies shall be

prohibited under the terms of the agreement and shall be considered a direct violation of 524(b) and 42 USC 3771.

- C. Interim Measures - effective July 1, 1976, all transcripts disseminated by the Bureau of Identification will bear the following caveat:

WARNING: RELEASE OF THIS INFORMATION TO UNAUTHORIZED INDIVIDUALS OR AGENCIES OR MISUSE IS PROHIBITED BY FEDERAL LAW TITLE 42 USC 3771b PERTAINING TO CRIMINAL HISTORY INFORMATION.



REVIEWS, CHALLENGES AND EXPUNGEMENTS-provisions of this section must be implemented by March 16, 1976.

A. Requests for Review- such requests shall be date stamped upon receipt and shall be forwarded to the Quality Control Unit whose responsibility it shall be to:

1. Verify the identity of the subject requesting review.
2. Obtain the necessary documents from the Jacket Unit, the Master fingerprint file, CCH file, and FBI-NCIC.
3. Determine that entries posted to transcripts and CCH records are accurate and complete.
4. Forward a copy of the transcript and a copy of the CCH record to the reviewing agency by mail. (Normal processing should be completed in 30 days)

NOTE: Copies of transcripts and CCH records forwarded to the defendant will be prominently marked: "This record provided for purposes of review and challenge ONLY. Any other use of these documents is prohibited under the provisions of 42 USC 3771 and 524(b).

B. Notification of Challenge or Expungement-notices of challenge or expungement shall be directed to the Quality Control Unit, who shall:

1. Obtain all documents pertaining to the subject of the challenge.
2. Verify the accuracy of the challenged information as reflected on arrest fingerprint cards, disposition forms, transcripts, CCH records, and other criminal history record documents.
3. Generate copies of all available criminal history record documents and forward same to the reviewing authority.
4. Post "flag" notices in the:
  - a. Master Fingerprint File
  - b. Master Index File

- c. Jacket File
  - d. CCH File
  - e. Chicago Police Department File (including the Disposition Section)
5. Generate "Requests for Verification of Criminal History Record Information" to the appropriate agencies and, when the response is received, forward said information to the reviewing authority.
6. If the challenge/expungement is granted:
- a. See to the correction or return of appropriate documents.
  - b. Provide the defendant with a list of non-criminal justice agencies who have received erroneous information about the defendant together with a certification that the appropriate criminal justice agencies have been duly notified of the modification to or expungement of the defendant's record.
  - c. Notify the appropriate criminal justice agencies who have received erroneous information concerning the defendant of the modification to or expungement of his record.

## CRIMINAL JUSTICE INFORMATION SERVICES-OPERATIONAL PROCEDURES

### PROCESSING OF ARREST FINGERPRINT CARDS

Upon receipt of an arrest fingerprint card contributed by an Illinois Criminal Justice Agency, the Records Function, Bureau of Identification will:

1. Date stamp the fingerprint card, noting the time and date that the card is received.
2. Perform a cursory quality check with respect to:
  - a. Completeness of data entries
  - b. Legibility of rolled and simultaneous fingerprint impressions.
3. Initiate a CCH check using the ORI of the arresting agency and the name, race, sex, and date of birth of the defendant. Responses provided shall include:
  - a. Validation of Right of Access-the computer will compare the ORI of the arresting agency with a list of ORI's authorized to receive Criminal History Record Information as a result of that agency's having filed a security agreement with the Department of Law Enforcement. If the agency in question has not filed the referenced agreement, the Bureau Records Function will not disseminate a response to that agency. However, the fingerprint submission will be retained. If the arresting agency wishes to have copies of the transcript sent to other criminal justice agencies, their right to receive such information will be checked as well.
  - b. Prior record on Illinois data base-if such record is discovered, the computer will list the name(s), sex, race, date of birth(s), FBI Number, Illinois State Bureau (ISB) Number, the Chicago IR Number (if applicable) and the Henry and NCIC fingerprint

classifications. This information will be forwarded to the Jacket Unit, along with the arrest card, to facilitate retrieval of the offender's criminal history jacket.

- c. Prior record on the national (NCIC) data base-if such information is discovered, it will be attached to the arrest card and forwarded to the next processing station.
- d. Wanted information on file-LEADS/NCIC- both data bases will automatically be checked at the time of inquiry and the "agency of warrant" to contact the "arresting agency" and to determine the status of the wanted subject. In the event that the "agency of warrant" and the "agency of arrest" are the same agency or jurisdiction and if not "locate message" or other notation has been entered, a copy of the wanted response shall be forwarded to the Quality Assurance Function of the Data Processing Division of the Department of Law Enforcement for follow-up action.

4. Assign Primary Fingerprint Classification

5. Perform a manual name search )in those instances in which "No Hit" is obtained as a consequence of the CCH inquiry). If a corresponding record is encountered, a "hit card" shall be generated which shall include the subject's:

- a. "Master" name
- b. ISB Number
- c. Henry fingerprint class

Thereafter, the "hit card" will be attached to the arrest fingerprint card and the package shall be forwarded to the Jacket Unit for retrieval of the offender's jacket in the manner outlined in Section "3b" above.

6. Effect classification and/or identification of the defendant by fingerprints-if the offender has an extensive, prior criminal history and if he/she has been tentatively identified by name search, comparison of the fingerprints on the current arrest card with those already contained in the offender's jacket will be undertaken. If "no hit" is obtained in name search, the full Henry classification will be derived and a search of the fingerprint files will be conducted based upon the information so obtained. For those primary classifications which have been converted and entered onto AMPEX, actual searches shall be conducted on that equipment. In all other instances manual search techniques shall be utilized. Subsequent to fingerprint search/identification, the offender's record will be integrated and a transcript generated.
7. Post to Computerized Criminal History-upon receipt of the offender's jacket/arrest fingerprint card, the Computerized Criminal History (CCH) Unit shall enter the current arrest onto the CCH file, regardless of whether it is a first arrest or not. Thereafter, a transcript shall be generated which shall reflect the appropriate computerized data. This transcript and the offender's jacket shall be forwarded to the Typing Unit.
8. Up-date transcript entries-prior offenses, which have not been posted to the CCH file, will be included. Transcripts will then be mailed to the arresting agency and to the appropriate state's attorney, provided such agencies have filed the necessary security agreements/certifications as required by the Department of Law Enforcement.

NOTE: By utilizing the technique of entering all incoming arrests onto CCH, it is believed that all active offenders will be converted within three (3) years.

9. Post reports of court/state's attorneys disposition of cases-upon receipt of a disposition from either a state's attorney or a circuit clerk, the Bureau Records Function will:
- a. Forward said disposition to the CCH Unit for posting to the applicable CCH record.
  - b. Subsequent to entering of disposition data, the 'Disposition Form' will be returned to the Records Function where it will be filed in the offender's jacket.
  - c. Notification of Arresting Agencies-the Bureau Records Function will provide a monthly machine listing (or other machine generated output) by agency (i.e. by ORI) of the pertinent disposition transactions which have been received and posted during the preceding month. Entries on such a listing indicate that the disposition has been posted to the offender's CCH record and police departments should utilize this data to up-date their own records.

Applicant/Corrections fingerprint card/disposition submission will be processed in a similar manner.

OFFENDER  
STATUS

POLICE AGENCY  
ARREST  
F/P CARD  
MAIL

DISPOSITION

DOCUMENTS

COURT REP  
OF OFFENDER  
DISPOSITION  
REPORTING

PRIOR ARRESTS  
NO PRIOR ARRESTS

MAIL  
DATE-ALPHA  
SORT

DISPOSITIONS

RESPONSE

F/P UNIT  
PRIMARY  
CLASS

BUREAU OF IDENTIFICATION  
RECORDS SECTION  
PROPOSED INTERIM PROCESSING  
METHOD-ARREST  
FINGERPRINT CARDS  
FIGURE 1

\*NOTE: Document return  
and re-checks no shown.

ARREST AGENCY  
NOTIFICATION

DISPOSITIONS

CCH/LEADS  
RESPONSE

HIT

INDEX  
CCH/LEADS  
INFO.

LEADS

NO HIT

HIT CARD  
GENERATED

HIT

INDEX  
MANUAL  
INFO.

NO HIT

JACKET  
UNIT

NO

HIT

STORED  
AMPEX

SEARCH  
TAPE-

IDENT.

YES

DISPLAY  
ALTERNATIVES

MANUAL FILE

F/P  
SEARCH  
UNIT

HIT OR  
NO HIT

TYPING AND  
TRANSCRIPTION

CCH  
NEW OFFENDERS  
UP-DATES

LEADS

IDENT

HIT

ILLINOIS DEPARTMENT OF LAW ENFORCEMENT

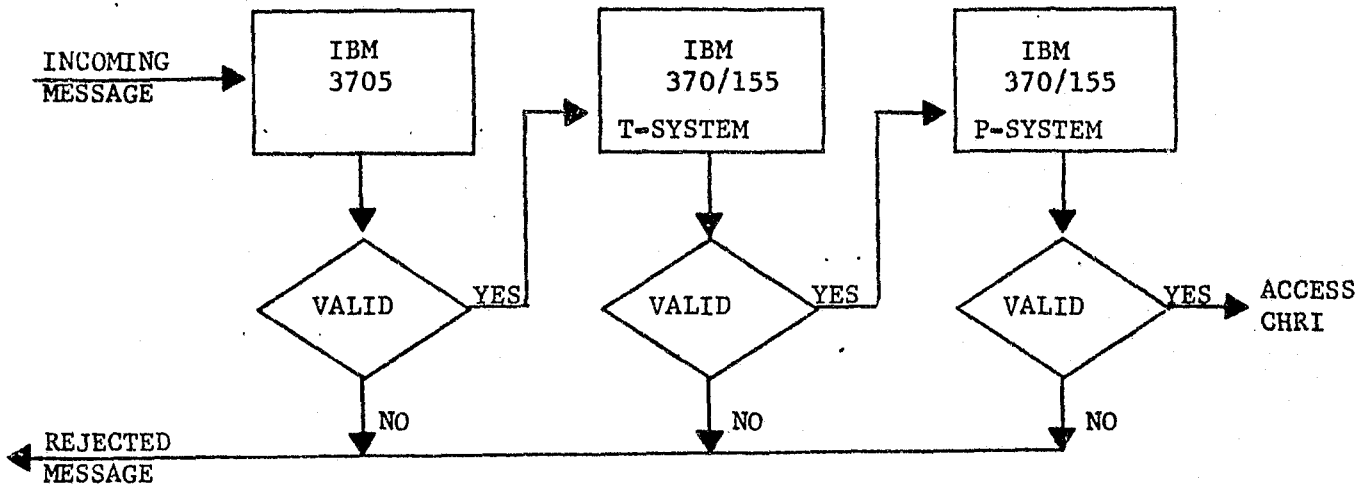
DIVISION OF DATA PROCESSING

SECURITY AND PRIVACY REGULATIONS



## PREVENTION OF UNAUTHORIZED ACCESS:

Hardware Design - There are actually three levels of control for access to Criminal History Record Information (CHRI) relative to hardware design. The following schematic illustrates all levels:



level 1 - all incoming messages are received by the IBM 3705

Telecommunications Control Unit. If message criterion are satisfied, the message is transferred to the IBM 370/155 'T' System for further interrogation. If not, the message is rejected and transmitted to the entering terminal.

level 2 - the message is interrogated by the 'T' System for correctness. If all criterion are satisfied, the message is transferred to the IBM 370/155 'P' System for processing. Otherwise, the message is rejected and transmitted to the entering terminal.

level 3 - the message is interrogated by the 'P' System for correctness. If all criterion are satisfied, the message is allowed access to the CHRI application for processing. Otherwise, the message is rejected and transmitted to the entering terminal.

Software Design - For all levels of hardware control, as described earlier under Hardware Design, there is associated software designed to prevent unauthorized access. The software performs many control functions in the following areas:

- assurance that technical parameters are correct.
- assurance that the user agency is a valid terminal agency and has been granted access by the Illinois Department of Law Enforcement.
- assurance that the user agency has signed the CCH User Agreement.
- assurance that the user agency is requesting to perform an automated operation which is allowable.

DEDICATED HARDWARE:

Terminals - All terminal agencies requesting CHRI must sign and file a Computerize Criminal Histories (CCH) User Agreement with the Illinois Department of Law Enforcement. Due to new guidelines on Security and Privacy of Criminal History Record Information, a new agreement is being prepared. When the new agreement is completed, all terminal agencies will be required to complete the form or they will be disconnected from the system. Furthermore, if they attempt to interrogate CCH files, they will be "locked-out" by software procedure.

Communications Control - Only those agencies signing the new CHRI agreement i.e., agencies in agreement and compliance with new Security and Privacy Regulations, will be permitted to access CHRI. To assure communications control, each incoming message will be interrogated to determine if the requesting agency has signed the agreement. With regard to technical control, unauthorized terminal agencies or a clandestine attempt to "tap" a communications line is prohibited by software control in the Telecommunications Access Method.

Processor - The portion of the Central Processing Unit used in processing CHRI is set aside totally for criminal history operations. Unauthorized terminal agencies are prohibited access to this portion of the computer.

Storage Devices - Devices used to store CHRI are dedicated solely for this purpose.

CRIMINAL JUSTICE AGENCY AUTHORITY:

Computer Operations Policy - The Illinois Department of Law Enforcement, Division of Data Processing, has the ability to set and enforce computer operations policy. Data Processing sets priorities for user access and determines eligibility for direct access. Data Processing has the ability to disconnect agencies misusing the system. Data Processing has instituted physical security measures and selects and dismisses its staff.

Access To Work Areas - Data Processing has instituted physical security measures by: (1) developing a system of badges for access to the data center; (2) using a system of locked doors to prohibit unauthorized

access; (3) using sign-in logs and guards; and (4) using a closed-circuit TV system which is monitored by the Illinois State Police.

Selection and Supervision of Personnel - Data Processing has the authority to select and supervise all personnel who may be granted access to areas where CHRI is stored or personnel, who through their normal job functions, may have direct access to CHRI. Data Processing currently uses the Illinois State Police in conducting background investigations for all prospective employees. During the initial job interview, prospective candidates are made aware of the sensitive nature of CHRI, office policy regarding CHRI, federal regulations regarding CHRI and whether or not compliance with the various rules and regulations can be met satisfactorily.

Only those employees who work on CCH development and maintenance are permitted access to CHRI. All other employees are not permitted to review CCH computer programs, dumps of files or other CHRI due to the principle of right or need to know. One remote terminal is used to access CHRI. This terminal is monitored by lead computer operators to prevent unauthorized personnel from attempting CCH inquiries. All inquiries are logged by the CCH system and monitored by the CCH Project Leader.

#### ASSIGNMENT OF ADMINISTRATIVE RESPONSIBILITY:

Physical Security - Physical security procedures are now operational which limit access to areas where CHRI is stored. All doors permitting access to the Data Center are locked twenty-four hours a day. All Data Processing employees have been issued identification cards which must be affixed to their garments. The ID cards, which contains the employee photograph and management authorization, are required for entrance to the Data Center. All visitors must be issued an ID card and sign a visitors log prior to being allowed entrance to the Data Center. During non-working hours, a security guard must approve entry to the building itself. Once entry is approved, the lead computer operator interrogates the ID card prior to entry. No visitors are allowed after working hours unless management approval is granted. In addition to the above, closed circuit television is used at all times and is monitored twenty-four hours daily by computer operations personnel and the Illinois State Police.

Only personnel having sufficient ID information is granted access to the Data Center. Visitors with management approval and sufficient ID information are allowed access, but are accompanied by a Data Processing employee. The actual computer room is accessible only to authorized personnel.

#### PHYSICAL PROTECTION AGAINST:

Access to equipment - Equipment is accessible only to personnel who perform operations functions, development functions and maintenance functions. Other personnel are prohibited access to computer equipment. Maintenance personnel, from equipment vendors, have access in order to provide maintenance services. These people are issued ID badges

and have management approval. Prior to granting approval, vendors are required to sign an agreement complying with LEAA Security and Privacy Regulations.

Terminals allowing CHRI access are housed in the computer room itself. Lead computer operators monitor access to the terminal. Only personnel working on CCH development and maintenance are allowed CHRI access. As mentioned earlier in this report, computer logs are maintained and monitored to audit CHRI access.

Theft and Sabotage - Only CCH personnel can inquire into the CCH data base. All inquiry responses are stored under lock and key. These inquiries are subsequently audited against the automated log file. If discrepancies are found, an investigation will be conducted to determine whether or not a subversive act occurred. If so and the individual is found, that employee is subject to suspension or termination.

Computer operations supervision personnel are responsible for monitoring activity where CHRI is stored. Any suspicious activity will warrant justification. However, as mentioned earlier, only authorized personnel are allowed access to equipment and CHRI. Only authorized personnel are allowed access to files, dumps or other CHRI.

The building is secure as reasonable due to the system of locked doors to the building, security guards, closed circuit television, an electronic device which sounds an alarm in areas of entry to the Data Center, and locked doors to the Data Center. However, if a bomb threat occurs in the building, the Illinois National Guard and State Police have issued procedures for evacuation and deployment of trained personnel to search for the alleged bomb. Additionally, liaison with

local fire and public safety agencies are contacted for assistance if necessary.

Fire, Flood, Other Natural Disaster - The building housing the Data Center is constructed of steel and concrete. All interior walls are constructed of steel and plaster. The construction of the building itself reduces the possibility of fire. However, fire and smoke detection devices are utilized to provide alarms in event either occur. Hand fire extinguishers, containing a chemical fire quencher, are strategically located in the Data Processing office. Fire alarms are located strategically to alarm the local Fire Department whenever it may be necessary.

Flood prevention is relatively secure since the Data Center is located five floors above street level.

Protection against other natural disaster is reasonably secure due to the construction of the building.

A back-up power generator is used whenever failure occurs with the primary power source. The back-up power supply undergoes periodic scheduled maintenance to insure its ability to operate whenever needed. The back-up power supply has the capacity to provide enough electricity to operate the computer equipment and associated environmental systems.

Back-up files containing CHRI are stored in a fire-proof and water resistant safe. In event files are destroyed, the capability to rebuild the file is present. By December, 1976, we are planning on storing an additional copy of back-up files at the Bureau of Identification's Crime Studies Office located in Springfield, Illinois.

**EMPLOYEE TRAINING PROGRAM:**

The Illinois State Police has a system of Communications Coordinators which encompasses the entire State of Illinois. The Communications Coordinators are responsible for coordinating training for all agencies having terminal access to Department of Law Enforcement data bases.

They conduct statewide training sessions and personal training sessions for individual agencies having problems. The training sessions are organized to follow the format and contents of the training manual, of which, CCH is one part.

All employees employed by the Data Processing Division are instructed in areas relating to CCH and the new rules and regulations.







**END**