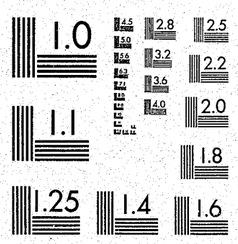

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Interface Among Criminal stice Information Systems: n Analysis and Assessment

The MITRE Corporation

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Interface Among Criminal Justice Information Systems: An Analysis and Assessment

Joseph C. Calpin
Burton Kreindel

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The MITRE Corporation
Metrek Division
1820 Dolley Madison Boulevard
McLean, Virginia 22102

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ABSTRACT

Under a grant from the National Criminal Justice Information and Statistics Service of the Law Enforcement Assistance Administration, The MITRE Corporation conducted a review of the current status of interface among four types of criminal justice information systems: the Computerized Criminal History System, the Offender-Based State Corrections Information System, the State Judicial Information System and the Prosecutor's Management Information System. In this review, system interface refers to the exchange of information among information systems. This report presents information on the nature and extent of system interface, the influence of privacy and security regulations and the operational status of these systems in 14 states. Data gathered through site visits and discussions with LEAA program monitors, system developers, and criminal justice professionals involved in the implementation and operation of these systems are examined and summarized.

ACKNOWLEDGMENTS

During the course of this project, many people provided us with assistance, contributing not only important information but also their valuable time.

Individuals working with criminal justice information systems at the local, state and national levels provided significant insights and greatly facilitated the research. At the national level, we wish to thank the members of the National Criminal Justice Information and Statistics Service (particularly Ms. Carol Kaplan, the project monitor) who provided us with an overview of the historical development of CCH, OBSCIS, SJIS and PROMIS. We also are indebted to staff members of SEARCH Group, Inc., the Institute for Law and Social Research and the National Center for State Courts who provided information regarding their role in the development of these systems. Finally and most importantly, we wish to express our gratitude to the criminal justice professionals involved with the CCH, OBSCIS, SJIS and PROMIS systems we visited in 14 states. These overworked individuals set time aside from their busy schedules to contribute valuable information to this project. A complete list of all the people who assisted us during this project is contained in Appendix A.

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EXECUTIVE SUMMARY

A. Introduction

Under a grant from the National Criminal Justice Information and Statistics Service (NCJISS) of the Law Enforcement Assistance Administration (LEAA), The MITRE Corporation assessed the current status of interface (i.e., the exchange of criminal history record information) among four computerized criminal justice information systems. This review focused on four specific information systems:

- Computerized Criminal History System (CCH),
- Offender-Based State Corrections Information System (OBSCIS),
- State Judicial Information System (SJIS) and
- Prosecutor's Management Information System (PROMIS).

The purpose of the review was to assist NCJISS and the states in the formulation of overall policy with respect to the future direction of interface among these four information systems. In this context, interface is defined as the systematic interchange of information among criminal justice information systems on a system-to-system basis. In addition to reviewing the status of interface among these systems, this study also examined other aspects of these systems which might affect interface including:

- the development and implementation of these systems;
- the current operational status and use of these systems; and
- the influence of privacy and security regulations on system design and operation.

Information sources for this review included interviews with the system developers at SEARCH Group, Inc. (SGI), the Institute for Law and Social Research (INSLAW) and the National Center for State Courts, as well as site visits to system implementers and users in state and

local government agencies. The present report examines the information gathered from the 14 states visited.

B. Interface

The interface of criminal justice information systems is generally intended to achieve three major purposes:

- to maintain comprehensive criminal history record information (CHRI);
- to reduce redundancies of data collection, storage and analysis; and
- to promote the timely exchange of complete and accurate data among agencies.

In order to promote the exchange of CHRI on an intra-state level, a CCH system is intended as the central repository of CHRI within a state. The system would collect the various elements of CHRI (e.g., arrest records, conviction records and sentences) from a variety of sources (e.g., police departments, trial courts, probation agencies and corrections departments); collate these diverse items of information; and maintain and disseminate CHRI. At the state level, SJIS and OBSCIS (among their other functions) were seen as the vehicles for gathering and transmitting those elements of CHRI which are the result of decisions made about an offender (e.g., the imposition of sentence and release on parole) by the courts and corrections agencies. PROMIS, however, as a local system, was not seen as a direct contributor to the state CCH system although PROMIS installations may have the capacity to do so.

Thus, in order to provide accurate, timely and complete CHRI, it seems that some form of data exchange among information systems (whether system-to-system or agency-to-agency) must be established. However, the extent of interface actually achieved among the four

systems included in this study is very limited. Although interface may take one of several forms (e.g., hardcopy or printout, magnetic tape, disk or punched cards, or computer-to-computer) in most situations where interface does exist, data are, in fact, exchanged by sending printouts or some other form of "hardcopy" from one agency to another. This form of interface may be characterized as linkage between agencies rather than interface among automated information systems. Multi-system interface based on other forms of data exchange is apparently not widespread. Among the states surveyed, evidence of tape interchange is limited to only a few applications. There are no examples of integrated computer-to-computer interface among the four types of systems reviewed. There was, however, one example (Alabama) of the interchange of data by agencies sharing the same computer facilities.

The establishment of interface among criminal justice information systems appears beset by a variety of problems, both purely technical as well as organizational and institutional. MITRE's discussions with system developers, implementers and users indicate that the purely technical problems (e.g., compatibility of hardware and software, commonality of data elements and specification of postive identifiers) are clearly amenable to solution; however, the organizational and institutional problems seem to represent a more serious obstacle to system interface and appear much less amenable to resolution.

The threshold issue regarding the development of interface in the states visited seems to center on the perception by officials of the need to develop CHRI which is as accurate, timely and complete as possible. Additional significance is given to the completeness factor because the degree of completeness sought increases: the difficulty of obtaining CHRI, the accuracy and timeliness of CHRI and the need for exchanging information among criminal justice agencies.

The perceived need for accurate, timely and complete CHRI varies from system to system. As the central repository of CHRI, CCH systems have tended to place the greatest emphasis on interface of one form or another in order to collect, maintain and disseminate accurate, timely and complete CHRI. Among the other three systems, OBSCIS systems have tended to place more emphasis on interface or, at least, the exchange of data with CCH systems, because CHRI is used by corrections agencies for a variety of purposes including risk classification.

The variations in perceived need are exacerbated by the fact that there are fundamental differences in the primary goals for which these systems were developed. CCH systems have been implemented to meet the CHRI requirements of various criminal justice agencies and, consequently, have focused on the need to exchange data in one form or another. However, the primary purpose of the state and local agencies implementing and operating OBSCIS, SJIS and PROMIS has been to meet specific organizational needs (e.g., the management information needs of corrections, state court administrators and prosecutors).

Among the other factors affecting interface are the following:

- the extent to which the design, implementation and operation of CCH, OBSCIS, SJIS and PROMIS systems within a state have been coordinated;
- the occurrence of intra-system conflicts;
- the development of local-level criminal justice information systems in isolation from state-level efforts; and
- the nature and scope of differences in the operational status of CCH, OBSCIS, SJIS and PROMIS systems within the same state.

C. Privacy and Security

LEAA has provided financial support to many of the CCH, OBSCIS, SJIS and PROMIS systems operating in the 14 states visited during this study prior to or, at least, concurrent with the promulgation and amendment of the privacy and security regulations. Individual system development and implementation were, however, frequently already underway when the privacy and security requirements were originally written and amended. It was not surprising, therefore, that the review of CCH, OBSCIS, SJIS and PROMIS in the 14 states indicates that the federal privacy and security regulations have had little, if any, direct impact on the design of many of those systems.

In terms of system operation and continued development, the greatest impact of the federal privacy and security regulations seems to have been on the CCH (as a central repository of CHRI), with much less influence on the three other systems. All systems visited have instituted some measures to protect the data maintained in their files. Typical among these procedures are personnel background screening, controlled access to terminals, password authentication for access to data bases, facility protection and some control over dissemination. Such measures are generally in line with initiatives taken to secure any computerized data base.

In contrast, it appears that less attention has generally been given to implemetation of safeguards to ensure the privacy of the individuals whose names are contained in the data bases of these systems with the exception of CCH systems.

The CCH systems visited have instituted a wide variety of procedures designed to meet the privacy requirements of the federal regulations. Among the procedures implemented are audits, logs, notification systems and procedures permitting individual access and review.

System managers were concerned that the regulations might affect the operation and use of these systems in the future. For example, suppose an SJIS system began to accumulate CHRI in support of a program such as sentencing guidelines (e.g., those developed in the State of New Jersey), would there be a change in the applicability of the privacy and security regulations to such court-operated systems? There was also concern that full implementation of compliance mechanisms will be costly, might have unexpected ramifications and could perhaps inhibit future system development and operations.

The extent to which procedures have been implemented pursuant to the LEAA regulations appears to be related to perceptions about the degree to which each system is actually affected by the LEAA regulations. It is generally acknowledged by persons involved in managing/operating computerized criminal justice information systems that CCH systems contain criminal history record information (as defined in the federal regulations) and are, therefore, clearly subject to the requirements of the federal privacy and security regulations. However, perceptions concerning the application of the regulations to the other types of systems are frequently quite the opposite. Furthermore, in the case of SJIS (which has been exempted from the federal regulations) and, in some instances, PROMIS, the data in the files is considered to be legally discoverable and/or in the public domain. In some cases, PROMIS data were considered to be part of the "private" or confidential files of the district attorney.

D. System Development, Implementation and Operation

In developing CCH, OBSCIS and SJIS systems, emphasis at the state-level has been focused on the intra-state (e.g., CCH) or intra-agency (e.g., OBSCIS) goals of these systems. At the national-level, emphasis seems to be placed on the inter-state goals of the systems. This lack of congruence between state and national views of the goals

of these systems may affect the future development and operation of these systems particularly in the area of funding support from state and federal sources.

In contrast, there is no tension between the goals of PROMIS at the local and national levels. Designed to be tailored for use locally, the jurisdictions visited in this study have emphasized the use of PROMIS as a management and/or operational tool. There has been considerably less (if any) interest in the case weighting scheme or in research, and there appears to have been a gradual change in the national goals moving toward paralleling or acquiescing in local purposes in implementing PROMIS.

In addition to this apparent tension between state and national goals, MITRE staff also found considerable variation across each type of system (i.e., CCH, OBSCIS, SJIS and PROMIS) in terms of system implementation and operational status. Moreover, there is a trend toward utilizing transferable software packages and adopting new technologies such as mini-computers. This is the case in PROMIS and in the latest version of OBSCIS. There also appears to be some question as to whether it is viable to attempt to implement SJIS in a state with a non-unified court system.

E. Recommendations for LEAA

A review of these findings indicates that there are five major policy issues which LEAA should explore or re-examine:

- the continuing need for criminal history record information (CHRI) and, consequently, for interface;
- the apparent lack of congruence between state-level and national-level views of the goals of the CCH, OBSCIS and SJIS programs;

- the evolving impact of privacy and security regulations particularly in the light of new technology such as distributive processing;
- the trend toward developing systems which can be transferred from one jurisdiction to another; and
- the significance of the proliferation of local criminal justice information systems.

In coordination with the states and local juristictions (as appropriate), LEAA should seek to resolve these issues before any major decision is reached regarding the future status of interface, the application of privacy and security regulations and the future development and implementation of CCH, OBSCIS, SJIS and PROMIS systems.

1.0 INTRODUCTION

Over the years, the various commissions[1] which have examined crime problems and our responses to them have emphasized that all criminal justice agencies need timely and accurate information to function properly and to meet their responsibilities, whether these lie in planning, operations, administration, management, or policy analysis. In 1967, the President's Commission on Law Enforcement and Administration of Justice recommended[2] that criminal justice agencies use computers and information systems technology to meet their data needs. Furthermore, observing that each component of the criminal justice system (e.g., the prosecutor) has information needed by other components (e.g., the courts), the Commission suggested[3] that an integrated network of information systems be developed which would allow the exchange of data (interface) among systems. It is within this context that the National Criminal Justice Information and Statistics Service (NCJISS) of the Law Enforcement Assistance Administration has, over the past decade, funded the development and implementation of information systems which were intended to meet the information needs of various criminal justice organizations. This study examines the extent to which criminal history record information (CHRI) is currently being exchanged among four of these criminal justice information systems:

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[1] President's Commission on Law Enforcement and Administration of Justice (1967); U.S. National Commission on Law Observance and Enforcement (1931); and National Advisory Commission on Criminal Justice Standards and Goals (1973).

[2] President's Commission on Law Enforcement and Administration of Justice, The Challenge of Crime in a Free Society, Washington, D.C., U.S. Government Printing Office, 1967, pp. 266-269, hereafter cited as Challenge of Crime.

[3] Challenge of Crime, pp. 267.

- the Computerized Criminal History System (CCH),
- the Offender-Based State Corrections Information System (OBSCIS),
- the State Judicial Information System (SJIS) and
- the Prosecutor's Management Information System (PROMIS).

The Criminal Justice Information Systems Interface Project (hereinafter referred to as the Interface Project) was initiated by NCJISS with two primary goals in mind:

- to review the present status of interface among CCH, OBSCIS, SJIS, and PROMIS systems that have been implemented and have gained operational experience
- to assist the states and NCJISS in formulating overall policy regarding future interface among these systems.

The nature and extent of interface among CCH, OBSCIS, SJIS and PROMIS systems has to be viewed in the context of the operational status of these systems as implemented within the same jurisdiction. However, to be meaningful, the present status of these systems, in turn, has to be viewed in the context of the assumptions and expectations that have justified federal support and influenced the evolution of these systems.

1.1 Basic Assumptions Underlying Criminal Justice Information Systems

The basic assumptions which shaped the development and implementation of the four computerized criminal justice information systems covered in this study are, in general, common to most, if

not all, criminal justice information systems. These assumptions can be grouped into the following four categories:

- Criminal justice agencies need timely and accurate information.[4]
- Criminal justice agencies can acquire, store and retrieve needed data through the use of computers and modern communication system technology.[5]
- There is a need for the interchange of information (i.e., interface) among criminal justice agencies.[6]
- There is a need to ensure both the privacy and the security of the data contained in criminal justice information systems.[7]

1.1.1 The Need for Information

The assumption that criminal justice agencies need information in order to achieve both their operational and managerial goals and objectives efficiently and effectively would seem to be self-evident.

[4] President's Commission on Law Enforcement Administration of Justice, Task Force Report: Science and Technology, Washington, D.C., U.S. Government Printing Office, 1967, pp. 2, 68-70, hereinafter cited as Science and Technology; President's Commission on Law Enforcement and Administration of Justice, Task Force Report: Crime and Its Impact--An Assessment, Washington, D.C., U.S. Government Printing Office, 1967, pp. 123-125, hereinafter cited as Assessment of Crime; National Advisory Commission on Criminal Justice Standards and Goals, Report on the Criminal Justice System, Washington, D.C., 1973, pp. 2, 33-35, 37-40, hereinafter cited as Criminal Justice System.

[5] Science and Technology, pp. 68-69; Criminal Justice System, p. 33.

[6] Assessment of Crime, pp. 123-124; Science and Technology, pp. 70-71; Criminal Justice System, pp. 37-43.

[7] Science and Technology, pp. 74-76.

Yet the national significance of this need was not publicly recognized until 1931, when the Wickersham Commission suggested "...the development of a 'comprehensive plan' for 'a complete body of statistics covering crimes, criminals, criminal justice, and penal treatment at the Federal, State, and Local levels'..."[8] Some thirty years later, the President's Commission on Law Enforcement and Administration of Justice again stated that:

> ...(w)ith timely information, a police officer could know that he should hold an arrested shoplifter for having committed armed robbery elsewhere. With a more detailed background on how certain kinds of offenders respond to correctional treatment, a judge could sentence persons more intelligently. With better projections of next year's workload, a State budget office would know whether and where to budget for additional parole officers.[9]

In 1973, the National Advisory Commission on Criminal Justice Standards and Goals made similar points:

> (a)ll criminal justice agencies, those with operational responsibilities and those with planning or policy responsibilities, require substantial data to function properly as a part of the overall criminal justice system. In general, criminal justice agencies require information on the events that initiate and terminate criminal justice processes; on people (suspects, victims, offenders, etc.) who are relevant to the operation of the criminal justice system; on property (particularly when stolen or associated with a criminal event); and on the operation of the agencies themselves.[10]

[8] U.S. National Commission on Law Observance and Enforcement, Report on Criminal Statistics, Washington, D.C., U.S. Government Printing Office, 1931, pp. 3, 6 as cited in Assessment of Crime, p. 123.

[9] Science and Technology, p. 68.

[10] Criminal Justice System, p. 37.

Both Commissions decried the lack of timely and accurate data and its availability in a form which could be used by criminal justice agencies for operations and management.[11]

1.1.2 The Promise of Modern Technology

Both the President's Commission and the National Advisory Commission were of the opinion that the application of modern information technology to criminal justice could provide the means of making available the timely and accurate information needed by justice system decisionmakers for operation, planning and policy setting tasks. Drawing an analogy from the fields of business and defense, the President's Commission stated that:

> (m)odern information technology now permits an assault on these problems at a level never before conceivable. Computers have been used to solve related problems in such diverse fields as continental air defense, production scheduling, airline reservations, and corporate management. Modern computer and communications technology permits many users, each sitting in his own office, to have immediate remote access to large computer-based, central data banks. Each user can add information to a central file to be shared by the others. Access can be restricted so that only specified users can get certain information.
>
> Criminal justice could benefit dramatically from computer based information systems, and developing of a network designed specifically for its operations could start immediately. (Emphasis added.)[12]

1.1.3 System Integration

The President's Commission recognized the fact that each criminal justice agency may have information that is also needed by

[11] Assessment of Crime, p. 123; Criminal Justice System, p. 37.

[12] Science and Technology, p. 68.

other criminal justice agencies. Consequently, the Commission recommended that a variety of communication links be established among different agencies at the local, state and national levels.

> An integrated national information system is needed to serve the combined needs at the National, State, regional and metropolitan or county levels of the police, courts, and correction agencies, and of the public and the research community. Each of these agencies has information needed by others; an information system provides a means of collecting it, analyzing it and disseminating it to those who need it. Each can be kept in close communication with the others, and information transferred by voice, by teletype, or computer to computer.[13]

In that context, the Commission stressed the necessity of developing minimum uniform standards for the exchange of data.

> ...Information to be exchanged with other jurisdictions must, however, meet minimum standards of content and format. Furthermore, reporting jurisdictions must be responsible for updating their portion of a common information pool. Only that way can the files be kept current and complete and the systems not saturated with useless information.[14]

However, the President's Commission was also cognizant of the fact that local and state criminal justice agencies have the primary responsibility for police, courts, and corrections throughout the United States. Therefore, the Commission stressed the need for such local and state agencies to tailor the development and implementation of information systems to their own requirements.

[13] Challenge of Crime, p. 600.

[14] Science and Technology, p. 70.

> Since law enforcement is primarily a local and State function, the overall program must be geared to the circumstances and requirements of local and State agencies; and, wherever practical, the files should be located at these levels. Even the specifications and procedures of the national system must conform to local needs, and should be developed by people familiar with them.[15]

In addition, the National Advisory Commission attributes the potential of such an integrated network of local, State and Federal criminal justice information systems to the following factors:

- the urgency of the Nation's crime problem,
- the availability of computers and data processing equipment and
- the emergence of highly skilled professionals.[16]

Unstated in the Commission's recommendations is the assumption that State and local criminal justice agencies agree that not only is there a need to exchange data among agencies, but that they are also willing to do so.

1.1.4 Privacy and Security Requirements

No matter how sophisticated or technologically advanced a criminal justice information system may be, there are a number of problems commonly associated with the criminal justice data collection process. For instance:

- Records may contain incomplete or incorrect information.
- Information may fall into the wrong hands and be used to intimidate or embarrass.
- Information may be retained long after it has lost its usefulness and may serve only to harass ex-offenders, and

[15] Challenge of Crime, p. 606.

[16] Criminal Justice Systems, p. 33.

its mere existence may diminish an offender's belief in the possibility of redemption.[17]

Prior to the application of computers and communication technology by criminal justice agencies, the inefficiencies inherent in manual files provided a form of built-in protection. Now, however, while data volume has decreased the usefulness of manual files, modern technology has, at the same time, aggravated the problems regarding the privacy and security of criminal justice data by reducing such inherent protections.[18]

It has been suggested that laws and/or regulations regarding the protection of privacy and security be based on three primary policy assumptions:

- first, the standards must recognize that criminal justice information has the potential to invade the privacy of and otherwise stigmatize and harm subject individuals;
- second, the subject's interest in regulating criminal justice information must be balanced against society's interest in using this information; and
- third, automated technology inevitably must assume a larger role in the handling of criminal justice information.[19]

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[17] Science and Technology, p. 74.

[18] The terms "privacy" in this context refers to the protection of the interests of the individuals whose names are maintained in the files of criminal justice information systems, while the term "security" denotes the measures taken to protect a criminal justice information system and its contents from accidental or intentional intrusion and/or damage. Science and Technology, pp. 74-77; Criminal Justice Systems, pp. 114-118.

[19] SEARCH Group, Inc., Standards for Security and Privacy of Criminal Justice Information, (Second Edition), Technical Report No. 13, Sacramento, CA, January 1978, p. 2.

In response to the perceived need to ensure the privacy and security of criminal history record information, particularly as maintained in computerized criminal justice information systems, the U.S. Department of Justice promulgated regulations related to this problem in 1975, which were subsequently amended in 1976. This development has been paralleled by the enactment of privacy and security laws by many individual states to deal with the collection, storage, retrieval, dissemination and use of criminal history record information.

1.2 The Interchange of CHRI

Criminal history record information (CHRI) documents a criminal defendant's formal contacts with the criminal justice system from the time of arrest to final disposition (e.g., dismissal, conviction, sentence, or expiration of parole or probation). Traditionally, CHRI has been used by various criminal justice agencies (e.g., prosecutors, sentencing judges and parole boards) in making decisions about individual offenders. CCH systems are intended to function as central repositories of CHRI, that is, they are intended to broadly serve the entire criminal justice system by collecting, collating, maintaining and disseminating CHRI. However, since an individual's formal contact with the system can be terminated at numerous case processing decision points controlled by various criminal justice agencies, CCH systems must depend on those agencies (e.g., courts and corrections) to forward dispositional data to maintain a complete criminal history record. Since OBSCIS, SJIS and PROMIS are designed to serve major components of the criminal justice system, these systems are viewed as having the capacity to contribute elements of CHRI to CCH systems. Given this situation and the recommendations of presidential commissions regarding the

formation of integrated information networks, one would expect that these information systems would strive to achieve information exchange (i.e., interface). In fact, some form of system interface would seem to be required by recent federal regulations, court decisions, and state laws and regulations which mandate that criminal history records contain full or complete dispositional data from the time of arrest through final exit from the criminal justice system.

Obviously, the nature and extent of system interface is expected to vary from one state to another, depending on several factors including: the length of involvement in automation, priority given to criminal justice information systems and relationships among agencies, both horizontal and vertical. These factors are reflected in characteristics of each system in terms of status of implementation, range of system applications and mode of operations existing in each state. Consequently, this report reviews the current operational status of CCH, OBSCIS, SJIS and PROMIS systems as well as the impact of privacy and security regulations in order to provide the reader with an understanding of these factors.

2.0 INFORMATION COLLECTION

To address the objectives of this project and the programmatic concerns of NCJISS, data for this study were collected in several stages. First, project staff reviewed the development, history and current status of each system with the NCJISS information system project monitors. This initial knowledge-gathering task was complemented by a literature review which focused primarily on documents produced by those organizations (i.e., SEARCH Group, Inc., Institute for Law and Social Research (INSLAW) and the National Center for State Courts) which have been involved in the conceptualization, development, and monitoring of CCH, OBSCIS, SJIS and PROMIS.[20] These preparatory tasks enabled the project staff:

- to gather the data required to identify those states and systems which would be able to provide information regarding the current and potential status of interface and
- to develop a framework for documenting system interface.

Discussions were held with staff members of SEARCH Group, Inc., INSLAW and the National Center for State Courts. In addition to focusing on system interface, these discussions also explored other topics: the initial and current goals and objectives of each system; privacy and security considerations; and the status of system development, implementation and operation. Furthermore, MITRE staff sought to gather additional information which might be useful in identifying states and systems to be visited.

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[20] Findings from these initial data gathering activities can be found in: Joseph C. Calpin, Lawrence G. Siegel and Burton Kreindel, The Criminal Justice Information System Project: An Overview of Four Systems, WP-13560, The MITRE Corporation, November 16, 1978.

The final stage of data collection consisted of interviews with state and local officials in a selected sample of states. These interviews were concentrated on the status of interface among the systems and such related factors as the impact of privacy and security regulations and the current operational status of the individual systems themselves. The remainder of this chapter describes the site selection criteria, the actual sample, the data sources, and the development of a field survey instrument to guide data collection.

2.1 Site Visits to State and Local Criminal Justice Information Systems

Much of the empirical data for this study was drawn from a sample of state and local agencies with a wide range of implementation experiences relevant to the objectives of this study. The selection of sites was based on three criteria:

- the number of systems implemented and operational within a state;
- the age of these systems; and
- the operational uniqueness of one or more implemented systems in a state (e.g., the development and implementation of a statewide PROMIS).

Additionally, the level of compliance with federal privacy and security regulations was taken into consideration when information on the degree of compliance was available (e.g., as indicated by a previous assessment).[21]

Table I indicates the funding status of the four information systems in each of the 50 states. This table represents only an

[21] E. J. Albright, et al., Implementing the Federal Privacy and Security Regulations, Volume I: Finding and Recommendations of an Eighteen State Assessment, The MITRE Corporation, MTR-7704, December 1977.

TABLE I

SYSTEM DEVELOPMENT AND/OR IMPLEMENTATION PROJECTS FUNDED BY LEAA*

State	CCH	OBSCIS	SJIS	PROMIS
Alabama	X	X	X	X
Alaska				
Arizona	X	X	X	
Arkansas**	X	X		X
California	X	X		X
Colorado		X		
Connecticut	X	X	X	
Delaware	X	X	X	
Florida	X	X	X	X
Georgia	X	X	X	X
Hawaii	X	X	X	
Idaho	X		X	
Illinois	X	X		
Indiana				X
Iowa	X	X		
Kansas	X	X		
Kentucky				X
Louisiana	X		X	X
Maine	X	X	X	

*This table is based on information provided to MITRE in November 1978

**In Arkansas, the decision was made not to proceed with a computerized criminal history system.

TABLE I (Continued)

State	CCH	OBSCIS	SJIS	PROMIS
Maryland	X	X		
Massachusetts	X	X		
Michigan	X	X	X	X
Minnesota	X	X	X	
Mississippi				
Missouri	X		X	
Montana	X	X		
Nebraska				
Nevada	X	X		X
New Hampshire	X	X		
New Jersey	X	X	X	
New Mexico		X	X	
New York	X	X		X
North Carolina	X		X	
North Dakota				
Ohio	X	X	X	
Oklahoma	X			
Oregon			X	
Pennsylvania	X	X	X	
Rhode Island			X	X
South Carolina	X	X		
South Dakota				

TABLE I (Concluded)

State	CCH	OBSCIS	SJIS	PROMIS
Tennessee				
Texas			X	
Utah	X	X	X	X
Vermont				
Virginia	X	X		
Washington			X	
West Virginia		X		
Wisconsin		X		X
Wyoming	X			

initial estimate of the implementation and operational status of each system and is based on LEAA grant dates and other information supplied by NCJISS, project monitors and national developers in late 1978. It was anticipated that some of this information would be out of date or misleading. In some instances, the information provided to MITRE did not specify whether the expiration of federal support resulted in the institutionalization or the termination of a particular project. However, these data were the best available to the project staff at the inception of the project. Aware of the fact that some of the systems might not have been implemented as planned or might not even be operational, the status of each system to be included in the survey was verified prior to the site visits.

The first selection criterion focused on the number of systems operating in a state. In order to maximize the value of the knowledge gathering effort, it was decided to visit states which had at least three of the systems operational. Site visits to such states were considered especially important since they could provide the best opportunity for investigating system interface and its consequences for system development, implementation and utilization. In addition, the existence of a CCH system was most critical in selecting a state for a site visit since this system represents the "hub" or capstone of the interface among criminal justice information systems.

The second criterion dealt with the length of time that the system had been operational within a state. In order to visit systems where the users have had an opportunity to confront the issues of interface, privacy and security regulations, and so on, a decision was made to limit the visits to systems operating for at least one year at the time of the start of this survey.

The third criterion focused on the uniqueness of the implementation situation within a state. This resulted in consideration of states where two or more of the systems were in the initial stages of operations, and/or states which appeared to reflect future trends in the the application of these systems (for example, Rhode Island, where PROMIS has been implemented as a state judicial information system).

The results of applying these selection criteria are presented in Table II. As shown in this table, only three states--Florida, Georgia, and Michigan--appeared to have all four systems operational for at least one year. These three states seemed to offer the best potential for multi-system interface. Furthermore, both Florida and Georgia appeared to represent a special situation--the use of PROMIS as a judicial information system. Ten states (or sites) reportedly had three of the four information systems operational for at least one year. One of these states, New Jersey, was described as implementing PROMIS on a multi-county basis.

Wisconsin, Rhode Island and Utah were selected on the basis of the special situation criterion. PROMIS had been implemented in Milwaukee, Wisconsin, as a comprehensive information system serving all components of the local criminal justice system. In Rhode Island, PROMIS had been adapted to serve as the basis for SJIS. Utah was reputed to have an excellent CCH system as well as the "basic-OBSCIS," a transferable software package.

In addition to these criteria, the project staff sought to take into consideration a state's degree of compliance with the federal privacy and security regulations. Unfortunately, an estimate of the

TABLE II

INITIAL APPLICATION OF SITE SELECTION CRITERIA*

State \ System Status	4 Systems for at least one year	3 Systems for at least one year	Special Conditions	Privacy and Security Compliance**
Group 1				
Florida	Yes		PROMIS used in a judicial district	Low
Georgia	Yes		PROMIS used in a judicial district	
Michigan	Yes			
Group 2				
Alabama		Yes		
Arizona		Yes		Medium
California		Yes		High
Hawaii		Yes		
Louisiana		Yes		
Minnesota		Yes		High
Nevada		Yes		
New Jersey		Yes	PROMIS multi-county system	
New York		Yes		Medium
Pennsylvania		Yes		Low
Group 3				
Wisconsin			PROMIS used as a court system; OBSCIS being implemented	
Rhode Island			PROMIS adopted by courts	
Utah			Supposed to have excellent CCH and also latest application of OBSCIS	

*This table includes only those sites that met the site selection criteria (that is, other potential sites not included in this table failed to meet these criteria); it was prepared on the basis of information provided to MITRE staff at the inception of the project and does not necessarily represent the current status of each system visited as part of the project.

**Ratings relative to compliance with privacy and security regulations are based on E.J. Albright, et al., Implementing the Federal Privacy and Security Regulations, Volume I: Findings and Recommendations of an Eighteen State Assessment, The MITRE Corporation, MTR-7704, December 1977.

extent to which states are in accord with these regulations was available for only 18 states and thus less than complete.[22] Of these 18 states, six met one or more of this project's three selection criteria. Of these, two were previously rated high in compliance, while two received a medium rating and two were judged low.

Recognizing that some of the information used to select the sample might be inaccurate, or out-of-date, project personnel verified and as necessary corrected the data and modified the sample (see Table III which is based on verification of the data contained in Table II). This verification found, for example, that while the State of Nevada was originally reported as having three systems (CCH, OBSCIS and PROMIS), CCH and OBSCIS had actually not been implemented. Consequently, Nevada was not included in the sample. In another instance, the State of Florida was initially identified as having all four systems operational; however, PROMIS (an adaptation of a system used in Milwaukee, Wisconsin) was being used as a trial court system rather than a prosecutor's system. Some of these systems had progressed further than the available data indicated; for example, by the time project personnel visited Alabama, all four information systems had been operating for at least a year.

2.2 Information Collection Procedures

To facilitate data collection, project staff developed two interview guidelines.[23] One guideline was used to direct interviews with the system developers/implementers, while the other guideline was

[22] Ibid.

[23] Copies of these information-collection guidelines are presented in J. Calpin, B. Kreindel, and L. Siegel, Site Selection Criteria and Information Collection Guidelines, WP-79W00032, The MITRE Corporation, January 5, 1979.

TABLE III

REVISED APPLICATION OF SITE SELECTION CRITERIA*

State \ System Status	4 Systems for at least one year	3 Systems for at least one year	Special Conditions	Privacy and Security Compliance**
Group 1				
Georgia***	Yes		PROMIS used as a local court system	
Michigan	Yes		PROMIS multi-county program	
Alabama	Yes			
Group 2				
Arizona		****		Medium
California		Yes		High
Florida		Yes	PROMIS used as a prototype state court system	Low
Louisiana		Yes		
Minnesota		Yes		High
New Jersey		Yes	PROMIS multi-county program	
New York		Yes	PROMIS multi-county program	Medium
Pennsylvania		Yes		Low
Group 3				
Wisconsin			Adaptation of PROMIS used as a local criminal justice information system. OBSCIS being implemented	
Rhode Island			PROMIS used as a state court system	
Utah			Supposed to have excellent CCH and also latest application of OBSCIS	

* This table includes only those sites that met the site selection criteria as detailed in Table II. The other potential sites not included in this table failed to meet these criteria. Hawaii was excluded from the sample because of financial constraints.

** Ratings relative to compliance with privacy and security regulations are based on E. J. Albright, et al., Implementing the Federal Privacy and Security Regulations, Volume I: Findings and Recommendations of an Eighteen State Assessment. The MITRE Corporation, MTR-7704, December 1977.

*** Georgia is not currently involved in the SJIS program.

**** Arizona did not operationalize SJIS.

utilized to structure interviews with state and local-level information system implementers/users. The two guidelines consisted of a series of questions probing various topics of interest to this study.

As may be expected, the degree of system interface as well as the status of individual systems differed from state to state and there were variations within a state when multiple jurisdictions were using a particular type of system. Local needs and interests led to different applications being stressed in the individual jurisdictions. Reconstruction of system development history was difficult in some cases because of personnel changes; people who were originally involved with system development, implementation or operation had since left the agencies. The system descriptions presented in this report are based on the best available information. It is unavoidable that the depth of coverage differs slightly from one summary to the next.

3.0 SYSTEM OBSERVATIONS

As an integral part of the Interface Project, MITRE staff made site visits to 47 different criminal justice information systems in 14 states: 12 CCH systems, 12 OBSCIS systems, 10 SJIS systems and 13 PROMIS systems (see Table IV for a listing of these systems by state). During these visits, MITRE staff met with the directors of each system or their designated representatives (see Appendix A for a listing).

In addition to reviewing the current status of interface among (or between) the systems visited, MITRE staff were able to gather information about the operational status of each system and the impact of federal privacy and security regulations.[24] The purpose of this chapter is to present an analysis and synthesis of information gathered during the site visits for each type of system. Interface as well as privacy and security will be discussed in the following chapter. (See Appendices B through E for summaries of the site visits.) Since visits could be made only to a limited number of states, and since site selection was in no sense random, no attempt is made in this report to generalize the results of the analysis to

[24] Among the items of information which were most difficult to collect were estimates of the costs of developing, implementing, and operating the systems. Often, this information was not readily available and/or the sources of funding were shared by the state and federal government, thus confounding reporting. Even within the same agency, the cost of an information system might be spread out over several departments (e.g., the central office of a correctional agency and its various correctional facilities). Similar problems were incurred in trying to determine the costs of privacy and security regulations and interface. The problems in these areas were exacerbated by the complex nature of these subjects.

TABLE IV

SITE VISITS

State \ System	CCH	OBSCIS	SJIS	PROMIS
Alabama	X	X	X	Montgomery County
Arizona	X	X		
California	X	X		San Diego and Los Angeles Counties
Florida	X	X	Modified PROMIS System Adapted	
Georgia	X	X	X	Cobb County (Marietta)
Louisiana	X		X	New Orleans Parish
Michigan	X	X	X	Wayne (Detroit) and Kalamazoo Counties; Multi-County Project
Minnesota	X	X	X	
New Jersey	X	X	X	Multi-County Project
New York	X	X		New York County and Multi-County Project
Pennsylvania	X	X	X	
Rhode Island			PROMIS Adapted	
Utah	X	X	X	Salt Lake County
Wisconsin		X		Milwaukee County

criminal justice information systems which were not included in the study. In addition, the problems discussed may, of course, not be of equal importance in the various jurisdictions. Moreover, it should be noted that all participants volunteered to cooperate with the project staff in the interviews. Whatever the implications of such voluntary cooperation, there was, in addition, considerable variation in the system-related experience of the individuals interviewed and, therefore, the knowledge they could contribute to the study varied. This variation was attributed (among other factors) to turnover in system personnel in the various jurisdictions.

3.1 The Computerized Criminal History System (CCH)

3.1.1 Background

During the late 1960's, members of the criminal justice community perceived the need for a major improvement in the ways that criminal history records were stored and retrieved. It was believed that the use of computers could enable criminal justice agencies to improve not only the accuracy and completeness of their criminal history record information but also to disseminate CHRI more effectively and in a more timely manner. Consequently, state law enforcement officials from a number of states sought funds from the Law Enforcement Assistance Administration (LEAA) to operationally test the feasibility of exchanging criminal history information using computer and on-line teleprocessing technology. As a result of this initial impetus, LEAA provided seed money to six states to automate a limited number of "rap sheets" and to develop state-level computerized criminal history information systems. Designated as a feasibility test, that initial CCH program was placed under the management aegis of a new organization (Project SEARCH).

3.1.1.1 Goals and Objectives. The overall goal of the Computerized Criminal History System (CCH) as developed by Project SEARCH was to "enable states to interchange criminal history information in a rapid, reliable and secure manner."[25] As originally conceived in 1970, by Project SEARCH (which later became SEARCH Group, Inc.) each state would establish its own CCH file containing the criminal records of offenders in that state, while a central computer, accessible from other states, would maintain an index of abbreviated summary data on offenders from all 50 states.

Within the general context of a feasibility test, CCH had two goals:[26]

- to create automated repositories in the several states containing detailed rap sheet information as the basis of a system for exchanging criminal history information among the states, and
- to develop a central index for use by the participating states containing summary criminal identification data (to be maintained, at least initially, by the State of Michigan).

Additionally, the CCH program was designed to address the following specific objectives:

- to improve the quality and accuracy of rap sheets,
- to improve the speed and timeliness of the exchange of criminal history information across state boundaries and

[25] Law Enforcement Assistance Administration, Guideline Manual: Comprehensive Data Systems Program, U.S. Department of Justice, April 27, 1976, pp. 23-33.

[26] LEAA, Guideline Manual: Comprehensive Data Systems Program, pp. 23-24; LEAA/NCJISS, Program Plan for Statistics 1977-81, p. 41; LEAA, Guide for Discretionary Grant Programs, U.S. Department of Justice, December 21, 1977, p. 89.

- to overcome the problems posed for manual information systems by large data volume.

To achieve these ends, CCH was conceptualized as both an intra-state and an inter-state system. Accordingly, the developers specified the data elements comprising the basic CCH files, delineated the flow of information from local authorities to state agencies, and specified the protocol for inquiry and exchange among states. System implementers and users in each state had to deal with the task of developing most of the software packages needed to process, analyze and maintain the CCH data.

Participation in the Project SEARCH-CCH feasibility test program grew from the initial six states to ten states, then to fifteen and finally twenty states.

3.1.1.2 Description of the Initial CCH System Model. CCH was initially designed to operate as follows: After an alleged offender was arrested in a participating state, state-level law enforcement agencies would use a computer terminal to immediately query the central index maintained in Michigan to ascertain whether the individual had a criminal record on file in another CCH state or states. Any positive response to the inquiry would, however, be considered tentative and positive identification of the arrestee would await the sending of a facsimile of the finger-print card. Such positive identification was a significant requirement of CCH to remove the possibility of error in the attribution of a criminal history record. If the response from the central index indicated a "hit," the state agency originating the request would receive a summary rap sheet containing identification information (including the offender's name, aliases and CCH identification number) and a list of those states maintaining a detailed criminal history record on the offender. The state agency originating the criminal history

information request could then query the state(s) maintaining the detailed record(s) on the offender in question, specifying the purpose(s) of the inquiry. Based on the specified need(s), the state(s) controlling the records would, in turn, decide whether or not to honor the request and could forward the detailed rap sheet by electronic means to the requesting state.

After the feasibility test had achieved successful results, the participating states requested that LEAA establish a national CCH program and that a national index be set up.

3.1.1.3 CCH Re-Direction. In 1971, however, following a decision by the Attorney General, the Federal Bureau of Identification (FBI) was given the management responsibility for the operation of CCH as a part of its National Crime Information Center (NCIC).[27] Shortly thereafter, intra-state CCH development became an element, together with OBTS (Offender Based Transaction Statistics), of LEAA's Comprehensive Data Systems (CDS) Program which has the objective of developing state-level capacity in the area of criminal justice statistics and information.[28]

Exercising its responsibility under the Attorney General's direction, the FBI altered the basic structure of the existing CCH system and required that a national repository (as opposed to an index) be established as a part of the NCIC. Under this structure the states would maintain complete single state offender records

[27] NCIC Advisory Policy Board, National Crime Information Center (NCIC) Computerized Criminal History Program Background, Concept and Policy, September 20, 1972, p. 2; NCIC Advisory Policy Board, Computerized Criminal History Program Background, Concept and Policy, October 1976, p. 30.

[28] LEAA, Guideline Manual: Comprehensive Data Systems Program, pp. 22-23.

while the NCIC file would contain only summary data on those offenders. However, NCIC would contain complete records on multi-state and federal offenders.[29]

The purposes of this data centralization were threefold:[30]

- to decrease the costs to maintain and utilize criminal history information over the long run,
- to contend with increasing criminal mobility and recidivism and
- to coordinate 50 state systems.

As a result of that change in structure, there would be duplication of automated criminal history records, with the result that detailed rap sheets would be maintained at both the state and national levels. This duplication of CHRI was viewed by state officials as unjustified and economically wasteful. Consequently, only a few states were willing to participate in the new national NCIC program and the Project SEARCH organization withdrew.

States can, however, continue LEAA supported intra-state CCH programs under CDS, while declining to participate in the NCIC centralized program.

3.1.2 Observations

During the Interface Project, MITRE staff visited 12 CCH sites. The following observations result from discussions with system managers or their representatives. See Appendix B for a brief summary of these visits.

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[29] Elmer B. Staats, Comptroller General of the United States, Letter to Senator Sam J. Ervin, Jr., March 1, 1974, p. 4.

[30] NCIC Policy Board, p. 30.

3.1.2.1 Goals and Objectives. Among the CCH systems visited, there was variation in the extent to which these systems adhered to the goal of providing "full" Criminal History Record Information (CHRI) on-line. Some states have developed a multi-level approach to the dissemination of CHRI using different modes of delivery. Typically, only summaries of an offender's criminal history record are available on-line. The completeness of the summaries varies according to the amount and type of data reported. These summary reports are available to system users on-line while complete criminal history reports are disseminated through the mail.

California, for example, entered into CCH development with the goal of providing law enforcement agencies with on-line, real-time retrieval of criminal histories. Initially, the system was to provide full criminal histories on-line. This objective is no longer followed, however. Currently, the automated criminal history has three parts: the Personal Data Record (PDR) which contains identifying data, the crime summary and the complete and sometimes lengthy body of the criminal history.

In California, a field agency inquiring into the system has a choice of responses. It can routinely receive, within 20-30 seconds on its local terminal, a combination of the personal data record, the crime summary and the full detail of the last arrest cycle. Where computer-to-computer interfaces exist, or in emergency situations, the entire automated criminal history can be printed out on the local terminal. This is not routinely done, however, because of the large amount of data usually contained in an entire record and the relatively slow printing capacity of local terminals. Normally, when a request for an entire rap sheet is received from a local terminal, it is acknowledged, the PDR and crime summary are printed

out locally, and the entire criminal history is printed at the central cite, in a batch mode at eight-hour intervals, for mailing.

The State of New Jersey has adopted a similar approach. Its CCH system consists of two components: an automated master name index record and computerized criminal history files. The on-line master name index is a separate file which permits the user to access any summary record or conviction record in the file using the State Bureau of Identification number. There are three different types of records available using the on-line terminals:

- CCH Summary Record -- subject's identification data; total arrests reported; number and types of charges; indication of whether the subject has ever been convicted, by charges; indication of whether the subject has received a conditional discharge; last reported arrest including date, agency, and case number; interim disposition status; and the last custody status reported.
- CCH Record of Conviction -- subject's identification data including court identification, date of conviction and sanction imposed (e.g., confinement term, court fine and term of probation).
- CCH Record of Arrest -- subject's identification data and arresting agency data including identifier, date of arrest and statute citation.

Off-line, a user may request what is termed the CCH "Detailed Record." This record provides all the arrest and post-conviction disposition data which were historically recorded in the old manual files. In addition, the subject's complete identification data is included along with interim disposition data.

However, in Pennsylvania, the State Police recently decided to limit CCH automation to the development of a Master Name Index. This file would contain only the name and limited identification-related data of all individuals processed by the criminal justice system in Pennsylvania. It would also specify the data of latest arrest and whether the individual should be considered dangerous. The basic objective underlying the development of this limited file in place of the full CCH computer record is twofold:

- to provide the capability for identifying offenders, and
- to improve the speed of transmitting reliable data to officers on the street concerning suspects.

3.1.2.2 Information Requirements. Although the CCH design concept was based in part on the premise that all criminal justice agencies need criminal history record information, the primary emphasis of the system seems to have been meeting the need of police agencies for the rapid retrieval of the full criminal histories of suspects through on-line access to a computerized data base. It should be noted, however, that officials involved with CCH systems have indicated that the primary users of CHRI are not the law enforcement organizations but rather the courts and corrections agencies (for sentencing, classification and parole). Although the police do provide the initial offender data (e.g., arrest report and fingerprints) to CCH systems, further CHRI transaction data are produced as a result of decisions by others in the criminal justice system (e.g., prosecutors, judges and parole boards).

CCH officials pointed out that the need for CHRI may also vary from decision point to decision point across the criminal justice process. For example, police officers may not need the same type and amount of CHRI presented to a judge at sentencing. The needed

response time may also vary from agency to agency depending on the particular user decision involved.

3.1.2.3 Conversion of Manual Files. The conversion of existing manual criminal history files into a form suitable for entry into a CCH data base has proved to be a costly and time consuming procedure. Some states (e.g., California) have started conversion only to terminate the process before a sufficient number of records were converted. Generally, a modified conversion procedure is now followed in those states so that when a new CCH record is established, existing manual records are converted to become part of the automated record on the same individual. As a result of this procedure, states with a CCH must maintain the bulk of their existing manual files as well as maintaining the computerized files.

Alabama, for example, is one of the states which has adopted this staging process of manual record conversion. Alabama's Criminal Justice Information Center (CJIC) began its development of a CCH system by implementing a master name index. Each new arrest with appropriate identification data and offense information is entered into the system. CJIS is not engaged in an effort to convert all of its manual CHRI files. However, if the offender has a prior record, the manual files are converted. Any type of "hit", in terms of identifying a prior offender, will also trigger record conversion, as will any request for the criminal record of a previous offender.

3.1.2.4 Organizational Responsibility for the CCH System. The type of agency responsible for each CCH system visited varied from state to state. In nine states, the system was controlled by a law enforcement agency (e.g., Michigan and New Jersey, the State Police; California, the Department of Justice; and Minnesota, the Department of Public Safety). In two states, the CCH system was under the

aegis of a non-law enforcement agency (i.e., in Louisiana, the Louisiana Commission on Law Enforcement; in New York, the Division of Criminal Justice Services). Finally, one state (Alabama) has established an independent organization to serve as the central repository of CHRI. Many of the individuals interviewed who were involved with SJIS and OBSCIS were of the opinion that the locus of the CCH system influenced the current and potential status of interface. They felt that police responsibility for CCH had a negative influence in that the other components of the criminal justice system had little or no opportunity to participate in the planning and control of the system.

3.1.2.5 Control of Computer Facilities. In some of the states visited, the agency responsible for the CCH system has its own (i.e., dedicated) computer facilities (e.g., New York and California). However, in other states (e.g., Georgia and Utah) the CCH computer facilities are controlled by a separate state agency which serves as a central data processing department for a variety of state-level agencies. As only one of the many state agencies served by such a facility, CCH has not received the priority attention required for effective law enforcement and criminal justice activities, according to CCH management in such states. In addition, the personnel assigned by the state data processing center for applications programming or system modification may not have sufficient capability to accomplish the needed work effectively and their efforts often result in costly charges to the agency responsible for CCH.

3.1.2.6 System Institutionalization. The operating CCH systems are relying, for the most part, on state funds for their continued operation and maintenance. In these states, adequate state budget provisions have been made for CCH operation as a part of the state law enforcement program. The increasing pressure on

restraining state revenue growth is seen by some CCH managers as a potential impediment to continued system institutionalization.

3.1.2.7 Participation in NCIC/CCH. The scope of the Interface Project was confined to an examination of the current status of the exchange of information within a state. The project was therefore not intended to assess the current status of interstate system interface -- specifically, the exchange of CHRI between state CCH systems and the NCIC/CCH program of the FBI. However, during discussions with CCH system managers or their representatives, some comments were made regarding the interstate aspects of the CCH program. Among the 12 states visited, there was variation in the degree to which states participated in the NCIC/CCH program. For example, New York and Pennsylvania do not participate in the program while Florida and Minnesota do. Georgia has a form of limited participation in that it accesses the data contained in the NCIC/CCH system but does not contribute records to that system. Utah is currently postponing consideration of a decision to participate until the resolution of the future of the NCIC/CCH program.

Several CCH system managers did indicate some dissatisfaction with the current interstate system. They indicated a preference for the early SEARCH model (i.e., some form of centralized pointer index system referring the inquiring agency to the state CCH system maintaining the sought after CHRI) on the basis that the present system resulted in the duplication of CHRI which was economically wasteful and unjustified. Comments made by CCH system managers indicate that their respective programs will continue to serve the intra-state needs of local and state criminal justice agencies regardless of the future course of the NCIC/CCH programs.

3.1.2.8 Future Plans. Among the CCH systems which possess their own computer facilities, primary attention was given to planning enhancements to take advantage of new technical advancements during an era of limited budgets. Agencies with non-dedicated systems indicated some interest in obtaining their own facilities, but were also faced with limited budgets. All agencies were concerned with the cost of implementing federal privacy and security regulations, particularly the requirements for complete CHRI. In one state (Pennsylvania), future planning focused on the development of only a Master Name Index backed by manual files.

3.2 The Offender-Based State Corrections Information System (OBSCIS)

3.2.1 Background

OBSCIS was launched in 1974 when corrections officials from ten states convened a meeting with representatives from Project SEARCH to discuss the possibility of building an automated data system to address both national and state-level correctional information needs. This meeting and subsequent work focused on attempts to identify common, high priority information needs of corrections agency managers and the development of a modular system concept to provide correctional data for state and national reporting requirements. As a consequence, LEAA began funding the OBSCIS program in the ten states. Participation in that program has since increased steadily. The original ten states were joined by eight more in 1975-76, with membership in this LEAA-funded program growing to twenty-three states in 1976-77 and now including over thirty states and the District of Columbia.

3.2.1.1 Goals and Objectives. OBSCIS was designed to achieve three primary goals.[31] These goals are:

- to provide data needed to satisfy the national reporting requirements of National Prisoner Statistics (NPS) and Uniform Parole Reports (UPR),
- to provide timely and accurate corrections data to state officials for operational and management decisionmaking and
- to provide correctional data for the state-level CCH system.

Within this general context, OBSCIS has the four following specific objectives:[32]

- to provide inmate population and movement statistics,
- to provide data regarding inmates participating in rehabilitation and other programs,
- to use these data to evaluate inmate progress and program impact and
- to use these data to make projections concerning funding, facilities and personnel needs.

3.2.1.2 Description of the System Model. Under the OBSCIS program, as originally conceived, each state was to independently implement an OBSCIS system tailored to its own needs, but with a requirement that each system would conform to a standard model with core data elements and eight application areas (admission, assessment, institution, parole, movement status, legal status, management and research, and

[31] Allan H. Lammers, OBSCIS: Offender Based Corrections Information System, Proceedings of the Third International Search Symposium on Criminal Justice Information and Statistics Systems, SEARCH Group, Inc., 1976, p. 327.

[32] U.S. Department of Justice, Guide for Discretionary Grant Programs, M4500.1F, December 21, 1977, p. 59.

national reporting). Over the past several years, this implementation strategy has changed not only in response to specific capabilities and needs of the states, but also as a consequence of the development of mini-computer technology. This new strategy involves the "transfer" of OBSCIS software from state to state. Taking proven programs from operational state systems, SEARCH Group, Inc. (SGI), developed a "basic" OBSCIS software package consisting of only three applications: administration, movement and national reporting. In transferring this software to a new state, SGI staff provides a broad range of training and advisory services (e.g., pointing out potential problems in its implementation, making suggestions concerning the acquisition of hardware, and assisting in development planning). The most obvious advantage of the transfer of packaged software is to reduce the time and cost of implementation.

3.2.2 Observations

The following observations are the result of discussions between MITRE staff and OBSCIS system managers or their representatives in 12 states. For a brief summary of these discussions see Appendix C.

3.2.2.1 Goals and Objectives. Although as noted above a number of overall goals have been posited for OBSCIS, the systems visited during this project were, in fact, primarily geared to meet internal management or operational information needs of corrections administration. Any externally imposed data reporting requirements were considered secondary or not being met. It is readily understandable why this has occurred when one considers the rationale given by corrections officials for implementing OBSCIS. For example, in Alabama, corrections officials were faced with the problem of managing a complex system and felt that OBSCIS could help them do a better job and at the same time, reduce costs by eliminating personnel who previously performed manual tasks which could be automated.

Furthermore, correctional officials wanted to develop a method which calculated offender release dates quickly and accurately in order to conform to a state law which mandated that it be done within 30 days of each inmate's incarceration. In Minnesota, the corrections information system has greatly expanded the initial OBSCIS model by providing daily and monthly reports in a correctional environment where previously there have been no reports available for operational use.

There appears to be increasing emphasis on using correctional information systems to provide operational support to the correctional facilities themselves, including such tasks as visitor control. In Minnesota, priority has been given to the support of the operations of the correction facilities. Among the operational tasks OBSCIS performs are those involving institutional security such as the control of visitors to the institutions and the assignment of inmates to cells.

In the majority of the states visited, the use of OBSCIS for national reporting and research has received relatively low priority in relation to support of corrections management requirements.

3.2.2.2 Extent of OBSCIS Implementation. There was considerable variation in the extent to which the states implemented the OBSCIS modules. On the one hand, there is Alabama, where the OBSCIS data base contains a wide range of information items, and all eight application modules recommended by SEARCH Group, Inc., are operative. All data elements from the core level to the optional level are available and a program has been developed for national reporting. In contrast, Arizona has chosen to implement and use only the Research and Planning Module and has assigned low priority to the system.

Some states have developed a computerized corrections information system prior to, or parallel with the emergence of the OBSCIS model.

The independent development of a corrections information system in California resulted in a system which is similar to the OBSCIS model. However, the correctional management information system in New York is not considered by corrections officials to be "OBSCIS" for there are actually several different systems being tied together, although the term "OBSCIS" is used as a form of convenient "short-hand." The Correctional Management Information System (CMIS) of the New York State Division of Correctional Services does collect all core data elements and a variety of the optional data elements recommended by SEARCH Group, Inc. In New Jersey, the correctional information system consists of three separate data processing systems: the Admissions and Movement System which tracks offenders in the institutions; the Parole Caseload Transaction System which tracts offenders on parole; and the Parole Eligibility Determination System which tracks sentences for offenders incarcerated under the minimum/maximum provisions of the criminal code. It is planned to integrate all the systems under the rubric of OBSCIS. Georgia had considerable input into the design of the basic OBSCIS model developed by SEARCH Group, Inc.; however, the operational system in the Department of Offender Rehabilitation (DOOR) does not itself strictly adher to the OBSCIS model. DOOR uses as a foundation an already exisiting corrections information system because of constraints imposed by the centralization of computer facilities under the control of the Department of Administrative Services.

3.2.2.3 Level of Utilization. Some of the correctional agencies (e.g., New York, New Jersey and Alabama) visited during this project are comprised of several corrections facilities (i.e., prisons) having different levels of inmate security as well as a central office of administration. For the most part, OBSCIS systems have been implemented to meet the needs of the "central office." However, some agencies are attempting to expand the use of OBSCIS to correctional facilities

where the system can support operational tasks such as visitor control and the assignment of inmates to cells.

In Michigan, a mini-computer has been installed at the Department of Corrections to serve as the hub of a "new" system and to house the OBSCIS master data file. Later, mini-computers will also be placed in three of the 11 state correctional institutions. Linked to the main mini-computer, these regional computers will maintain data bases pertinent to their particular geographical area. The result will be a split data base with some overlap serving the needs of the system users at both the institutions and at the administrative offices.

3.2.2.4 Expansion Beyond the State-Level Correctional Systems. In addition to serving the administration of state corrections facilities, OBSCIS has been expanded in some instances to meet the information needs of probation and/or parole. Moreover, several states have also indicated that there is a need to develop integrated information systems to include local or county corrections agencies. This will be a positive trend from the point of view of improving the completeness and timeliness of correctional records.

In Alabama, a probation and parole tracking system has already been designed. OBSCIS in Florida is used to track offenders on probation. Similar developments have been planned in Pennsylvania, where OBSCIS, in addition to supporting the Bureau of Corrections, is being designed to assist the Board of Probation and Parole to:

- improve management by providing pertinent information in a timely manner;
- provide concise data, including a weighting scheme to estimate the probability of recidivism, in the form of a summary report for probation and parole hearings;

- keep track of and maintain a balanced case mix of probation and parole case workers; and
- record and maintain an up-to-date accounting of referrals to and costs incurred from the Welfare Department.

In addition to this greater emphasis on serving the needs of probation and parole officials, Pennsylvania is planning to include local-level institutions in the OBSCIS data collection system. Given the number of local, autonomous correctional facilities, it is felt that this step is necessary in order to meet the basic management and administrative needs of corrections officials at the state-level.

3.2.2.5 Conversion of Manual Files. Like CCH system operators, OBSCIS system managers (particularly in large correctional systems) are faced with the problem of manual record conversion. In general, OBSCIS systems operate in parallel with manual file systems containing records of inmates, both past and present. The problem of conversion is exacerbated when OBSCIS is also responsible for tracking offenders on probation or parole. There are a number of approaches being taken to record conversion. One approach involves the conversion of all records for all inmates currently in custory. One might, however, choose to convert only limited portions of each inmate's record. Or the conversion of either an inmate's entire record or of only selected portions thereof might be performed only after some key event (e.g., a disciplinary infraction). Finally, OBSCIS managers could decide to maintain all exisiting manual records and track only newly committed inmates.

In Alabama, basic information regarding each inmate is gathered upon his or her entry into the correctional system. For those inmates incarcerated prior to the implementation of OBSCIS, conversion of manual records occurs if a disciplinary report is written on those

individuals. As time and financial constraints permit, further conversion will be undertaken.

In New Jersey, record conversion focused on the admission and movement files. The effort began with an institutional survey conducted in 1976 which concentrated on gathering the name, residency and identification number of all inmates confined at that time. The results were matched against prior records and a new inmate's file was produced. All new admissions have been entered in OBSCIS from 1976 onward, and all inmate movements, from 1977. (All movements from 1976 to 1977 were subsequently converted to make the records more complete.)

3.2.2.6 Control of Computer Facilities. In several of the states visited (e.g., New York, Utah, Arizona and Wisconsin), the computer facilities supporting OBSCIS were controlled by agencies other than the state correctional organization. In those states, there are complaints that the processing of data for the department of corrections receives low priority. In a time of budgetary cutbacks, the typical response to such complaints is to question whether a state can afford a computer facility solely to support OBSCIS.

3.2.2.7 Institutionalization. As might be expected, the institutionalization of OBSCIS varies from state to state. Any attempt to quantify the degree of institutionalization is made difficult by a number of factors including the mixture of funding sources used for system support and the fact that "what OBSCIS is" generally varies not only from the national model, but among the OBSCIS states visited. In those states where OBSCIS systems have been developed, implemented and are operational, the state has often taken over support of the system when federal funds have been depleted as in Alabama, Minnesota and New York. In states where federal funds are still the primary source of support, system managers have indicated that

state support is likely after the termination of such federal funding support.

State support for the OBSCIS systems visited would seem to stem from a belief that these information systems are, in fact, supplying a real service to corrections. Consequently, system emphasis seems to be placed at the state level on the use of OBSCIS to meet the managerial and operational needs of corrections systems. The evolution of OBSCIS planning in New Jersey provides an example. While the original plan for the New Jersey OBSCIS emphasized research and statistics, the system as implemented will provide primarily managerial and operational support to the "central office" of the Department of Corrections and to the various correctional facilities. Secondary emphasis will be accorded to research. This change in focus has been prompted by the day-to-day requirements of the Department of Corrections.

3.2.2.8 The Transfer of a "Packaged" System. As noted above, at the national level there is a movement to transfer the "basic-OBSCIS" system to states seeking to implement a correctional information system. The "basic-OBSCIS" system is a limited software package comprised of three applications: admissions, movement and national reporting. The transfer of already developed software packages is viewed as not only more economical, but also a more effective way of implementing a correctional information system than the independent development of such systems on a state-by-state basis. The use of such "packaged" systems may also facilitate the achievement of some uniformity among states for the purposes of national reporting.

In one state visited, Utah, the Division of Corrections is currently planning to transfer the "basic OBSCIS" system software now in operation in the State of Connecticut to Utah as part of OBSCIS

implementation. An initial OBSCIS grant has been received by Utah and transfer is expected late in 1979. One of the goals of the OBSCIS model implementation is to provide a basis for statistical comparisons between Utah correctional data and nationwide statistics obtained from other comparable OBSCIS installations. However, the "basic OBSCIS", in the eyes of Utah corrections personnel, needs to be expanded to cover the state's probation operations; moreover, security and privacy considerations require additional effort before implementation. In addition, it is the feeling of the corrections staff that "Basic-OBSCIS" as implemented, will support corrections management, but is not sufficiently responsive to the needs of lower level corrections staff and that the system is too inflexible in operation.

In contrast, while the Department of Corrections in New Jersey had examined the possibility of transferring "basic-OBSCIS" as implemented in Iowa, it was decided to proceed with an "in-house" design for several reasons. First, it was estimated that the system in Iowa had to track only a relatively small number of inmates compared to the approximately 8,500 offenders in prison or on parole in New Jersey. Furthermore the assignment of identification numbers to prisoners is much more complicated in New Jersey as multiple reception centers are used to process newly committed inmates. Finally, the sentencing structure in New Jersey has recently become more complex with the enactment of a new penal code. The determinate sentencing structure mandated by the new code requires changes in the correctional information system to account for certain aggravating and/or mitigating circumstances and the discretionary decisions of judge to impose minimum terms for certain offenders.

3.2.2.9 Future Plans. The future plans of OBSCIS systems managers (particularly those who must rely primarily on state funds

for system operation) are frequently limited to the enhancement of the already existing systems. In some instances, the most that can be expected will be the mere maintenance of the ongoing system. For example, the Division of Correctional Services (DOCS) in the State of New York is faced with a growing inmate population which in turn requires increased spending for a variety of purposes. One of the more important of these needs in terms of priority and expense is inmate security. At the same time, DOCS is also faced with budgetary constraints. Consequently, the New York OBSCIS staff are of the opinion that system maintenance is the most that can be achieved in the foreseeable future. Florida and Michigan are notable exceptions

In Florida, the OBSCIS staff plans to develop shared computer facilities with SJIS. In Michigan, the Department of Corrections recently received permission from the state legislature to buy its own computer instead of leasing computer facilities and related services from the data processing center. Once the new system is installed, long-term plans call for the development of additional OBSCIS modules. These modules will concentrate on expanding research applications (e.g., risk prediction, placement of clients, etc.) and improving management decision-making capabilities (e.g., scheduling parole hearings, inmate accounting, business accounting, and food services).

In terms of enhancements, there is continued emphasis on the use of OBSCIS as a managment information system with increasing attention on the provision of operational support to the individual correctional facilities. There is some emphasis on the development of interface with other criminal justice information systems.

3.3 The State Judicial Information System (SJIS)

3.3.1 Background

The courts, like other components of the criminal justice system, need timely and accurate data for both management and operational purposes. Aware of these fundamental needs, representatives from the Supreme Courts of 11 states met during the early 1970s to develop a general court information system model. In 1973, in response to the expressed need for state-level automated court information systems, NCJISS/LEAA initiated the State Judicial Information System project.[33]

LEAA marked the beginning of its involvement with SJIS by inviting a small number of states to participate in a national-level program, providing each with up to $200,000 of development funding. Concurrently, SEARCH Group, Inc., was funded to establish key parameters of the proposed information system, provide the states with guidance in designing, developing and implementing the system, coordinate the SJIS Project Committee and perform an assessment of state efforts.

The SJIS program has continued to expand over the past several years. Presently, 23 states are participating in the program with LEAA providing each state with up to $400,000 in support of system development and implementation.

[33] Law Enforcement Assistance Administration, Office of Audit and Investigation, Report on Internal Audit of the Development and Management of the State Judicial Information System by the Law Enforcement Assistance Administration, Washington, D.C., June 1977, pp. 2, 24-26.

3.3.1.1 Goals and Objectives. During the initial development phase, SJIS was designed to address two primary goals:[34]

- to develop state-level automated information systems in order to improve the quality and quantity of data used for management decision-making and
- to provide the court data needed by CCH (and OBTS).

3.3.1.2 Description of the System Model. Because of differences in court systems among states, the basic SJIS concept was to develop a general set of recommendations that could be tailored to the specific needs of individual states. In turn, each state could establish its own set of priorities for developing and implementing various modules (e.g., trial courts, personnel, or finance) of the basic SJIS model. As a result, there has been a variety of SJIS developments. Some systems have evolved from a "top-down" approach, while others have been built on a "bottom-up" foundation (See the discussions below, pp. 48-49. Some SJIS systems use mini-computers for data input, storage, manipulation and output, while large-scale computers are implemented on other SJIS systems.

3.3.2 Observations

During the Interface Project, MITRE staff visited ten states which participated in the SJIS program. Appendix D presents a brief summary of these visits.

3.3.2.1 Goals and Objectives. Although two goals have been posited for SJIS, the systems visited during this project are seen as primarily serving state court administrators as management

[34] SEARCH Group, Inc., State Judicial Information System: Final Report (Phase I), Technical Report No. 12, Sacramento, Cal., June 1975, p. 1.

information systems. Several examples can be cited to illustrate this point. In Alabama, SJIS is a statewide system designed to provide the information needed by the Administrative Office of the Courts (AOC) to manage the state's unified court system. In Louisiana, it was originally envisioned that SJIS would give the state court administrator the data collection capability to meet his administrative needs as well as supply the required OBTS/CCH data; however, the objective of SJIS is now limited to meeting the needs of the state court administrator only. In New Jersey, the Judicial Management Information System (JMIS) of the Administrative Office of the Courts is intended to assist the judiciary in the collection and analysis of the data needed to manage the court system and allocate the State's judicial resources. The Michigan SJIS is an unusual case as it is designed to meet the information requirements of four different components of the court system: juvenile, district, circuit and appellate.

SJIS is the more complex of the four systems included in this study since the courts must deal not only with criminal cases, but also civil matters. Consequently, the model includes a wide variety of recommendations regarding possible subsystems and modules which a court system might selectively implement. Therefore, it is not surprising to find that SJIS systems differ significantly among the states visited. At one end of the spectrum the Alabama SJIS has implemented seven information subsystems: CCH data element case disposition system; caseload reporting system; personnel applicant system; property general ledger; revenue accounting systems; reporting, uniform traffic ticketing and complaint system; and labeling systems. In the other extreme, Florida's efforts to develop a computerized information system have centered on the case flow management subsystem alone, specifically the criminal module with attention to be given to the appellate court module.

The complexity of court information systems is especially striking in the State of Michigan. Starting with the Basic Michigan Court System (BMCS) which was developed to serve the criminal case processing functions of the larger circuit courts, a number of other systems have been added, including:

- the Annual Report II System which provides the capability of gathering and reporting statistics for the district, circuit, and municipal level courts;
- the Case Information Central System (CICS) which is designed to function in tandem with BMCS and produce caseload information;
- the Traffic and Ordinance System (TOCS) which processes state misdemeanors, traffic-related felonies, high misdemeanors and local parking, traffic and ordinance violations; and
- a Case Activity Reporting System (CARS) for the Circuit Courts and another for the District Courts.

3.3.2.2 System Design. There are basically two different approaches to the design of an SJIS system: "top-down" or "bottom-up." In the "top-down" approach, the information requirements for SJIS are usually established at the state-level to meet the needs of the state court administration. There may be considerable variation in the degree to which local courts participate in specifying SJIS information requirements. Alabama typifies the top-down SJIS approach. While this system is designed to provide the information needed by the Administrative Office of the Courts (AOC) to manage the unified court system in that state, there is continual negotiation between the local trial courts and the AOC regarding data needs.

In contrast, the "bottom-up" approach attempts to satisfy local needs first and "piggy-back" state-level requirements on those

needs. Under this approach, all or only some of the local courts will participate in a computerized SJIS. Moreover, the type of local courts (e.g., rural or urban) which are used to specify information requirements may vary. Consequently, one method of designing a system from the "bottom-up" focuses on that jurisdiction(s) within a state which produces the most cases (usually a large urban area). This approach was followed in Rhode Island where SJIS commenced operations in Providence, Rhode Island, because it is the largest jurisdiction in the state. Initially SJIS was based on the information requirements and needs of Providence only, but its SJIS coverage has since been broadened to meet the needs of other jurisdictions.

Another method concentrates on the information requirements of those types of jurisdictions (e.g., rural) which are most prevalent within a state. In Florida, for example, approximately 85 percent of the case information is produced by about 12 counties while there are an additional 55 other counties which provide the other 15 percent of case information. The decision was made to develop a prototype SJIS in a circuit composed of small and medium sized jurisdictions because these types of jurisdictions are the most common in the state and, therefore, more representative of Florida's court system makeup. Consequently, a prototype information system has been developed for the criminal courts of the Second Circuit which consists of six counties which account for five percent of the state-wide caseload. It was felt that this "bottom-up" approach would pinpoint local court needs and problems which might be overlooked in a "top-down" approach. Moreover, it was feared that the "top-down" approach might be interpreted as an infringement on the traditionally independent operation of local courts.

The involvement of local courts in specifying information requirements for SJIS may also have important implications for the success of the project. Judges and other members of the courts (e.g., court

clerks) have traditionally possessed a great deal of autonomy. Even in a unified court system, their willing cooperation in implementing an SJIS is essential to its chances of success. It is generally felt by SJIS managers that the greater the involvement of local court personnel in the project and the more they perceive SJIS as providing a useful service for them, the greater are the prospects for achieving the SJIS project's objectives.

3.3.2.3 Court Unification. It appears that there may be an important relation between the extent of court unification in a specific state and the likelihood that SJIS will be successfully implemented. In Alabama, for instance, the unification of the state court system which went into effect in January 1977 is seen as critical to the development of SJIS. The court system is truly unified in many key aspects (e.g., personnel, budgetary and purchasing). Thus, although the court clerks and the judges are elected, both the district and circuit courts are under the centralized AOC's administrative control and the AOC reports to the Chief Justice of the State Supreme Court. In Pennsylvania, the lack of unification among the courts led to an apparent state-versus-county struggle for the control of funds with the result that a statewide SJIS was not implemented. In Georgia, the main reason for the termination of pilot tests of SJIS was the inability of the state court administrator's office to impose uniformity on a decentralized judicial system comprised of 42 strongly independent circuits.

3.3.2.4 Integration of Local Court Systems. A related problem centers on the integration of already existing local court information systems. There is the possibility that such local systems may have been developed in isolation not only from each other, but also from SJIS. Consequently, it may be prohibitively expensive to integrate these systems into a statewide SJIS.

For example, in Florida, the problems inherent in the development of an SJIS were additionally complicated by the fact that eight large Florida counties have already developed their own local court information systems. Consequently, one of the difficulties with future system integration will be the lack of commonality in data elements. It was also felt that this problem might be exacerbated by the adoption of the PROMIS system by local courts without careful planning to insure an effective interface with SJIS. Without planning and coordination to ensure that local information systems meet state requirements, such systems although of value to the local courts, may hinder the development of a statewide system useful to all.

In New Jersey, there are plans to link SJIS to compatible local court information systems. However, thus far, six local-level courts have independently developed their own computerized information systems. Any future linkage between those systems and SJIS will depend, therefore, upon the compatibility of the systems. SJIS in Utah is faced with a similar situation in which local court information systems are already in operation in Ogden, Salt Lake City and Provo, and they will probably have to be integrated into an SJIS if complete statewide coverage is to be achieved.

3.3.2.5 Transfer of Systems. In terms of their approach to the development of SJIS, seven of the nine operational systems visited have been developed from "scratch." However, two of the states, Florida and Rhode Island, have used PROMIS (or a modified version thereof) to form the basis of the SJIS.

In the development of Florida's SJIS, the project team sought to identify and adapt a court information system operational in another jurisdiction for use in Florida. It was felt that adapting such a system would be more cost-effective than developing one from

"scratch," provided that the system was flexible enough to deal with the variance among local courts. As a result of a search, the PROMIS system as extensively modified and adopted for a court's use in Milwaukee, Wisconsin, was chosen to serve as the base for a system for SJIS. The software was modified by Florida to meet the specific needs of a multi-jurisdictional setting and a number of data elements addressing the needs of the local courts were added (e.g., reasons for continuance of cases and identification of the county court system).

In discussing the transfer of PROMIS, the Florida SJIS system manager commented that the very flexibility of PROMIS can exacerbate the problem of the uncoordinated development of local systems. Particularly troublesome is the potential adoption of "second or third generation" PROMIS systems (i.e., PROMIS systems obtained from the jurisdictions which have already modified PROMIS to meet their own specific requirements). The required modifications of such systems to meet new needs creates additional problems for system maintenance and expansion.

In Rhode Island, SJIS is a statewide system based on a PROMIS system previously adapted by the State Attorney General's Office. The State Attorney General began using the "batch type" PROMIS system in 1974. Toward the beginning of 1977, the State Supreme Court assumed responsibility for the management and future development of PROMIS. The Rhode Island SJIS is really an extension of the PROMIS system through the addition of a sentencing subsystem and a lower court subsystem. Modifications were also made in the editing and programming of PROMIS to meet the requirements of Rhode Island's courts.

3.3.2.6 Institutionalization. The institutionalization of SJIS varies from state to state. Indeed, it would appear that there is

more variation in state funding support among the SJIS systems visited than in any other system reviewed during the course of this project. This variation might be expected given the complexity of the court systems within most states including the different jurisdictional levels (e.g., local courts of general jurisdiction, appellate courts and a supreme court) and the heterogeneity of jurisdictions at the same level (e.g., urban, suburban and rural). Moreover, while the other criminal justice information systems deal exclusively with criminal justice, the courts and consequently SJIS must deal with both criminal and civil matters.

Among the four types of information systems included in this study, SJIS seems to face the most problems in development as well as institutionalization. There was an attempt to implement SJIS in Arizona, but the system never became operational. In Georgia and Pennsylvania, the program appears to have floundered on institutional problems: in both instances, the court systems have been described as decentralized and--in addition, the development of SJIS seems to be opposed by some local judges as a potential infringement on their traditional autonomy. Moreover, court clerks who, in some states, are extremely powerful court officials, frequently oppose SJIS on the same grounds.

3.3.2.7 Control of Computer Facilities. Of the seven operational SJIS systems visited, only one (Michigan) had control of its own computer facilities. The other systems had to rely on non-dedicated data processing equipment controlled by another state agency. The SJIS managers of these systems were generally of the opinion that the processing of their data frequently was assigned low priority in relationship to other state programs, and, consequently, the courts did not receive timely SJIS reports or other processing outputs.

3.3.2.8 Future Plans. The further development of SJIS in the states visited depends on the availability of funding and the degree of support to the system provided by the courts themselves. Most of the planning now focuses on enhancements to the present systems. However, there is a perceived need for obtaining dedicated computer facilities for SJIS in several states.

For example, in Louisiana, current plans for SJIS improvement include an attempt to secure a dedicated computer to run SJIS under court control. In addition, there are plans to simplify the system itself by eliminating "nonessential" data elements, providing for audit checks of data quality and increasing the usefulness of the management reports.

Minnesota is expected, in the next two years, to expand criminal case processing to cover juvenile case processing and provide for trial court caseflow management. Minnesota is considering enhancing the system with such improvements as a weighted caseload system and is trying to secure its own distributed processing equipment. The Administrative Office of the Courts in New Jersey plans to acquire its own dedicated Judicial Data Center in the belief that such an acquisition is essential to SJIS becoming a state-level judicial information system.

3.4 The Prosecutor's Management Information System (PROMIS)

3.4.1 Background

PROMIS was initially designed to address the operational and research needs of the United States Attorney's Office for the

District of Columbia in its Superior Court Division. The system, under the direction of its developers (now at INSLAW), was placed in operation during January 1971.

In the past eight years, PROMIS systems have been implemented and are operational in a number of local jurisdictions throughout the United states. (According to the developer, PROMIS is operational in 20 jurisdictions.)[35] The original PROMIS designed for the District of Columbia has been modified to one degree or another to meet the specific information requirements and criminal codes of the jurisdictions adapting it.

3.4.1.1 Goals and Objectives. PROMIS as a management information system has four primary goals. These were to enable prosecutors to:[36]

- expend resources on the preparation of cases in a manner proportionate to the relative importance of the cases,
- monitor and ensure evenhandedness and consistency in the exercise of prosecutorial discretion,
- control and alleviate scheduling and logistical impediments in the adjudication of cases on their merits, and
- locate and analyze problems in the screening and prosecution of criminal cases.

[35] INSLAW, "Progress of PROMIS Transfers," PROMIS Newsletter, 3 (2): October, 1978.

[36] William A. Hamilton and Dean C. Merrill, "Practical Lessons in Technology Transfer: The Adoption of an Exemplary Program PROMIS, by more than 25 Localities," The Proceedings of the Third International SEARCH Smyposium on Criminal Justice Information and Statistics Systems, Sacramento, Cal., SEARCH Group, Inc., 1976, p. 124.

The four overall goals of PROMIS have remained consistent; however, the more specific objectives of local agencies in implementing and using this system have varied according to particular needs. In the future, the primary goals and objectives will probably be modified to reflect the recent application of PROMIS-based systems in the courts and the emphasis on tasks of a managerial or administrative nature (e.g., producing subpoenas, witness lists and the provision of case status reports).

3.4.1.2 Description of the System Model. In order to address its goals and objectives, the PROMIS system, as originally designed, gathered data relevant to six major categories of information of interest to prosecutors: data about the accused, the crime, the arrest, criminal charges, court events, and witnesses. In this process, the flow of data begins at the intake and screening stage of case processing as a by-product of the prosecutor's effort to document a case. As the processing of the case continues, additional information is gathered and entered into PROMIS. The data can then be collected, analyzed and disseminated in the form of reports.[37]

During the early 1970's PROMIS was operated for the U.S. Attorney's Office, where the system was refined and its utility expanded. Then in the mid-1970's, INSLAW redesigned and reprogrammed PROMIS to increase the system's general usefulness to state and local prosecutors and make it more amenable to transfer to interested prosecutor offices. Concurrently, INSLAW also developed a non-automated version of PROMIS for agencies that did not have access to computer facilities. A revised version of PROMIS (available in 1979) features a flexible software package adaptable to operation

[37] INSLAW, Management Report Package for PROMIS, PROMIS Briefing Paper Series No. 1, Washington, D.C., 1976, pp. 7-9.

on mini-computers. That design is intended to provide local jurisdictions with the capability to tailor PROMIS to meet local objectives and requirements. In addition, versions of PROMIS are now also being considered as the base for court information systems and are being implemented as such in several jurisdictions.

3.4.2 Observations

During the course of this project, MITRE staff visited 13 PROMIS sites. Ten of these sites were county jurisdictions. The other three (in Michigan, New Jersey and New York) were projects designed to develop PROMIS on a multi-county basis. See Appendix E for a summary of these site visits.

3.4.2.1 Goals and Objectives. In each of the PROMIS jurisdictions visited, the use of PROMIS as both a management and an operational tool was emphasized, with primary emphasis placed on management. Use for either purpose seemed to vary according to the individual interest of the prosecuting attorney and the assistant prosecuting attorneys. Considerably less emphasis was placed on PROMIS as a research instrument. Although there was some interest indicated in the case weighting scheme, it was not being used currently.

For example, the goals of the Los Angeles PROMIS are:

- to provide a means of collecting statistics quickly to respond to inquiries from the District Attorney or county supervisors;
- to develop a means to determine if there are pending felonies, outstanding warrants, etc. against offenders;
- to enable the District Attorney's office to determine if witnesses have any pending felonies or outstanding warrants; and
- to meet the office's management information needs (e.g., caseloads for prosecutors).

These goals were established not only to meet the internal needs of the District Attorney's office but also because of the need to meet external requirements for information from, for example, the county government.

The implementation of PROMIS at the local level as primarily a management tool emphasizes only two of the four goals which were initially posited for PROMIS, namely:

- to control and alleviate scheduling and logistical impediments in the adjudication of cases on their merits and
- to locate and analyze problems in the screening and prosecution of criminal cases.

There appears to be a lack of interest in using PROMIS to achieve the remaining two goals:

- to expend resources on the preparation of cases in a manner proportionate to the relative importance of the cases, and
- to monitor and ensure evenhandedness and consistency in the exercise of prosecutorial discretion.

3.4.2.2 PROMIS as an Inter-Agency Criminal Justice Information System. There seems to be some movement toward broadening the scope of PROMIS systems to serve other criminal justice agencies. While national attention has been focused on PROMIS as a potential court information system, PROMIS, as implemented locally, has also been involved with other agencies (e.g., police departments and sheriffs' offices). For example, in San Diego, Justice Records Information System/District Attorney (JURIS/DA-the San Diego version of PROMIS) was also developed with the intention of serving three different agencies: the City Attorney's office of San Diego, the District Attorney's Office of San Diego and the U.S. Attorney's Office. Each of these agencies has jurisdiction in this area. It was thought

that coordination would reduce duplication in the collection and maintenance of data and facilitate the timely exchange of required data. Planning and discussions with those agencies are now underway.

Milwaukee, Wisconsin, provides an example of the evolution of PROMIS into a local criminal justice information system. This system, known as Justice Information System (JUSTIS), has evolved from a package designed to assist the prosecutor in office management to a criminal justice information system serving the Milwaukee criminal justice community. Its goals have remained the same as originally conceived; however, changes have been made to accommodate organization changes such as the recent unification of the Wisconsin court system. Currently, users of the system include Clerk of Courts, District Attorney's Office, Sheriff's Department, House of Corrections and Wisconsin Department of Social Services (Division of Correction, Division of Probation and Parole and Welfare Fraud Investigations Unit).

There also has been interest in PROMIS as a court information system which could be transferred from one jurisdiction to another. In two of the states visited (Florida and Rhode Island), PROMIS has been adopted as such a court system. Efforts are also underway to devise a system which can support both the courts and the prosecutor or, at least integrate systems serving each agency. The multi-county PROMIS project underway in New Jersey represents such a comprehensive approach to design a system to serve both the courts and the prosecutor. The Division of Criminal Justice which is responsible for the project known as PROMIS/GAVEL is coordinating its efforts with the Administrative Office of the Courts.

3.4.2.3 Coordination of PROMIS Implementation. Thus far, PROMIS as a prosecutor's information system has been implemented for

the most part to serve the needs of local prosecutors. In this context, there has been no apparent need to coordinate the development and implementation of PROMIS across jurisdictions within the same state. In fact, during the Interface Project, MITRE staff visited only two states (California and Michigan) in which more than one PROMIS site had been implemented. Neither in California (Los Angeles and San Diego Counties) nor in Michigan (Wayne and Kalamazoo Counties) has there been any coordination in the implementation of PROMIS.

Recently, however, multi-county PROMIS projects have been initiated in Michigan, New Jersey and New York. In Michigan, for example, LEAA/NCJISS has awarded a grant to the Prosecuting Attorney's Association of Michigan (PAAM) to implement a mini-Promis in selected counties. Eight of the most heavily populated counties in the state have been chosen to implement PROMIS using an on-line, real-time system employing a mini-computer. It is intended to reduce costs and efforts by consolidating the procurement of the equipment into a single bid document. Consequently, implementation will be standardized. The software will not have to be tailored to varied types of hardware and the cost and time spent implementing the system should be reduced. Such joint efforts will also provide the local users with a built-in and immediately accessable users' group and are expected to provide a more consistent and standardized reporting mechanism for state-level statistical reports.

In New York, a single contractor is being used for all projects to achieve economies of scale and maximize standardization. A state-wide PROMIS policy board has been established including District Attorneys from eight upstate counties and two District Attorneys from New York City. In addition, a working level committee, dealing with project implementation, has representatives from the various county prosecutor organizations.

In New Jersey, the PROMIS/GAVEL project is being developed and implemented by the Division of Criminal Justice which coordinates the activities of the county-level prosecutor's offices. A central staff has been established to coordinate the project and provide the technical assistance needed to implement the project. The use of a central staff is seen as a means of avoiding duplication of effort and consequently saving money, while tailoring local programs to achieve compatibility.

In addition to the already operational Montgomery PROMIS, the Alabama Criminal Justice Information Center (CJIC) plans, with the cooperation and assistance of local prosecutors, to implement five more PROMIS sites linked to CJIC. The movement toward the development of additional PROMIS systems in Alabama has been spurred by a new state law requiring the establishment of central budgeting for prosecutors. PROMIS is viewed as a management information system mechanism which can provide the information needed to justify budgets. The Office of Prosecution Services will use the information provided by PROMIS to develop unified budget requests for the District Attorneys. That office will also serve to coordinate the development and implementation of PROMIS including the plans to implement five PROMIS sites in addition to those already planned for completion.

3.4.2.4 Transfer of Systems. Of the four types of criminal justice information systems visited during this project, the jurisdictions which have implemented PROMIS have had the most experience with the concept of transferring software packages. This transfer occurs in two different ways. First, the system might be directly transferred from INSLAW using a PROMIS version. Second, the system might be transferred from another jurisdiction which had previously adapted a PROMIS version.

For instance, in Alabama, work began in 1976 and took a year to convert the INSLAW PROMIS software to the CJIC's UNIVAC system requiring that some additional inquiry modules be written by CJIC staff. In Los Angeles, certain changes and additions had to be made in the District of Columbia's PROMIS package to tailor it to Los Angeles' needs including: modifying the system to handle California's penal code, handling only felonies and developing an "in-house" monthly statistical package. Finally, in Salt Lake County, Utah, the system "transfer" of PROMIS required a number of changes from PROMIS as operated in the District of Columbia Superior Court. These changes included a reduction in the number of data elements, changes in the calendar report, and other modifications required because there is no grand jury system in Utah. The staff believes that it was not easy to adapt PROMIS to their jurisdiction because of local differences in case processing and criminal justice system operations.

San Diego County presents an example of a jurisdiction which transferred PROMIS from a jurisdiction other than the District of Columbia. The design and development of JURIS/DA began toward the end of 1975 or the beginning of 1976. Thereafter, the County Electronic Data Processing Center obtained a copy of the "batch type" PROMIS which had been adopted and modified by the District Attorney's office in Los Angeles County. There are, however, a number of differences between the Los Angeles PROMIS and San Diego's JURIS/DA which required additional programming (e.g., different levels of penal code specification and identification of documented workers).

3.4.2.5 Control of Computer Facilities. Until the advent of "mini-PROMIS," prosecutor's offices have generally had to rely on computer facilities of other organizations. For the most part, these have been county electronic data processing centers which serve a variety of agencies both criminal justice and non-criminal justice.

The Los Angeles PROMIS uses computer facilities which are shared only by criminal justice agencies. The New York County (State of New York) PROMIS system operates on the data processing facility of the New York City Police Department's Management Information Systems Division. As with other nondedicated systems, there have been complaints that the prosecutor's data processing tasks tend to receive relatively low priority.

3.4.2.6 Institutionalization. The extent to which PROMIS is institutionalized seems to depend upon the continued interest of the district attorney and the deputy or assistant prosecuting attorneys. Since district attorneys are usually locally elected officials, an election may mean not only a change in district attorneys, but also a complete turnover in assistant prosecuting attorneys and support staff. Consequently, there may be a need to ensure the interest in continuing PROMIS by the "incoming" district attorneys and the remaining assistant district attorneys. In this sense, PROMIS, unless firmly institutionalized within a prosecutor's office, may be more susceptible than the other systems to being abandoned because of changes in administration.

Since PROMIS has been implemented mainly on a local level, the institutionalization of this system may also be affected more directly by proposed budget cutbacks. For example, in Los Angeles, Proposition 13 resulted in the budget for PROMIS being cut in half. Although the funds were restored, the prosecutor's office imposed some financial constraints on PROMIS operations. Updating of the system now occurs only three times a week. As a result, while the deputy prosecutors can query the system at any time, there may be a two or three day delay in updating the system's data base which they query.

3.4.2.7 Future Plans. The PROMIS system managers visited had varied plans for future development. Some planned to expand the

capabilities of PROMIS to provide additional managerial and operational support. For example, in Cobb County (Marietta), Georgia, it is planned to expand the system's capabilities and develop programs to: notify victims and witnesses of impending court appearances via mail and pinpoint major cases based on specific variables (as opposed to ranking cases by priority, an existing PROMIS capability). Other jurisdictions (e.g., Kalamazoo, Michigan and Los Angeles, California) are seeking improved hardware and software.

4.0 INTERFACE, PRIVACY AND SECURITY

The preceding chapter reviewed the current operational status of the CCH, OBSCIS, SJIS and PROMIS systems visited during this project in order to provide a framework for discussing the current status of interface and privacy and security. The current status of intra-state interface among the systems visited and the impact of privacy and security regulations are being discussed together in this section because of the close relationship between the two. Some form of interface among CCH, OBSCIS, SJIS and PROMIS systems can be a significant means of meeting the requirement for complete, accurate and timely criminal history record information (CHRI).

4.1 Interface

For the purpose of this report, interface has been defined as the exchange of data among criminal justice information systems. Interface may take several forms, for example, computer-to-computer, exchange of magnetic tapes or the transfer of hardcopy printouts. The flow of CHRI can occur horizontally across local criminal justice information systems (e.g., from police to prosecution to courts and to corrections). The flow can also follow the hierarchical structure of individual criminal justice functional components. For example, CHRI originating in a local trial court might be sent to a regional data gathering center and from there to a central state court administrator's office and finally to a state-level CCH system. Finally, CHRI may flow directly from local agencies to a state-level CCH system. The interface of criminal justice information systems is generally intended to achieve three major purposes:

- to maintain comprehensive criminal history records;
- to reduce redundancies of data collection, storage and analysis; and
- to promote the timely exchange of complete and accurate data among agencies.

While a number of CCH, OBSCIS, SJIS and PROMIS systems have been operating for several years, the extent of system data exchange has not yet been examined in a systematic fashion. The following sections discuss the current status of interface among these four systems. Among the aspects examined are: the nature and extent of interface achieved; problems encountered which hinder interface and solutions attempted to overcome these difficulties and promote interface; and the present technological character of interface.

As originally envisioned, each state's CCH system would serve as the central repository of CHRI within the state. The system would collect the various elements of CHRI (e.g., arrest records, conviction records and sentences) from a variety of sources (e.g., police departments, trial courts, probation agencies and corrections departments); collate these diverse items of information; and maintain and disseminate CHRI. At the state level, SJIS and OBSCIS (among their other functions) were seen as the vehicles for gathering and transmitting those elements of CHRI which are the result of decisions made about an offender (e.g., the imposition of sentence and release on parole) by the courts and corrections agencies. PROMIS, however, as a local system, was not seen as a direct contributor to the state CCH system although PROMIS installations may have the capacity to do so. The following subsections discuss the extent of interface among CCH, OBSCIS, SJIS and PROMIS systems which have been implemented and are operational in the states visited during this study. Appendix F presents a brief summary of the current status of interface among the CCH, OBSCIS, SJIS and PROMIS systems implemented within each state.

4.1.1 The Current Status of Interface

In order to provide accurate, timely and complete CHRI, it seems that some form of data exchange among information systems (whether system-to-system or agency-to-agency) must be established. However,

the extent of interface actually achieved among the four systems included in this study is very limited.

Interface, as indicated above, can be achieved through the use of common data elements and may take one of several forms: hardcopy or printout; magnetic tape, disk or punched cards; or computer-to-computer. In most situations where interface does exist, data are, in fact, exchanged by sending printouts or some other form of "hardcopy" from one agency to another. This form of interface may be characterized as linkage between agencies rather than interface among automated information systems. Multi-system interface based on other forms of data exchange is apparently not widespread. Among the states surveyed, evidence of tape interchange is limited to only a few applications. There are no examples of integrated computer-to-computer interface among the four types of systems reviewed. There was, however, one example (Alabama) of the interchange of data by agencies sharing the same computer facilities.

4.1.2 The Perceived Need for Interface

The establishment of interface among criminal justice information systems appears beset by a variety of problems, both purely technical as well as organizational and institutional. MITRE's discussions with system developers, implementers and users indicate that the purely technical problems (e.g., compatibility of hardware and software, commonality of data elements and specification of postive identifiers) are clearly amenable to solution; however, the organizational and institutional problems seem to represent a more serious obstacle to system interface and appear to be less likely to be resolved.

The threshold issue regarding the development of interface in the states visited seems to center on the perception by officials of the need to develop CHRI which is as accurate, timely and complete as

possible. Additional significance is given to the completeness of CHRI because the degree of completeness sought increases: the difficulty of obtaining complete CHIR, the accuracy and timeliness of CHIR and the need for exchanging information among criminal justice agencies.

The perceived need for accurate, timely and complete CHRI varies from system to system. As the central repository of CHRI, CCH systems have tended to place the greatest emphasis on interface of one form or another in order to collect, maintain and disseminate accurate, timely and complete CHRI. Among the other three systems, OBSCIS systems have tended to place more emphasis on interface or, at least, the exchange of data with CCH systems because CHRI is used by corrections agencies for a variety of purposes including risk classification. Although a link between CCH and PROMIS has been implemented in only one state (Alabama), the staff of the PROMIS systems visited indicated an interest in some form of interface in order to obtain CHRI. Few of the SJIS systems included in this study seemed concerned with achieving interface. This may be because CHRI is not of direct concern to SJIS at the state-level. Of course, courts at other levels (e.g., local trial courts) use CHRI for a variety of purposes including sentencing.

4.1.3 System Goals

The variations in perceived need are exacerbated by the fact that there are fundamental differences in the primary goals for which these systems were developed. CCH systems have been implemented to meet the CHRI requirements of various criminal justice agencies and, consequently, have focused on the need to exchange data in one form or another. However, the primary purpose of the state and local agencies implementing and operating OBSCIS, SJIS and PROMIS has been to meet specific organizational needs (e.g., the management information needs of corrections, state court administrators and prosecutors).

4.1.4 System Development in Isolation

The status of interface is also affected by the extent to which the design, implementation and operation of CCH, OBSCIS, SJIS and PROMIS systems within a state have been coordinated. In most of the states visited during this project, it appeared that the systems had been developed more in isolation than in concert with one another. This condition may be attributed to the fact that within any one state, system design and implementation may have begun at different times, proceeded at different paces and achieved different degrees of success. The resulting uneven development of these criminal justice information systems has impeded intersystem interface by creating technical problems such as incompatibilities in hardware and software. Moreover, this condition also interferes with intra-system interface (e.g., the exchange of data between SJIS and local court systems or the exchange of data between CCH and local police departments).

4.1.5 Intra-System Conflicts

Intra-system conflicts also hinder the development of interface between these systems. This problem is especially evident in states such as Georgia where local court systems are comprised of numerous, relatively independent jurisdictions. Internal power struggles among the courts appear to have contributed to the termination of SJIS in Georgia. Additionally, the absence of a unified court system has hampered efforts by the state police to gather disposition data for their CCH system, since each of the 42 judicial circuits in Georgia has to be dealt with individually.

4.1.6 Local Systems

In a similar vein, already operating, locally-based computerized criminal justice information systems sometimes conflict with statewide systems. For example, in Florida, the Dade County court information system may pose problems for the independent development of a statewide SJIS in terms of the types of data gathered, the definitions attached to the data elements and the format of the computerized files. This problem may be aggravated in the future by the burgeoning of customized local systems with software packages adapted from PROMIS to meet local needs. While many of the data elements contained in PROMIS and SJIS have matching titles, modification of a PROMIS for use at the local level may change the content and meaning of at least some of the data elements. As a consequence of such local software modification, data elements contained in a locally based system may be incongruous with similarly labeled data elements collected by other systems.

4.1.7 Operational Status

Finally, the operational status of the systems within a state affects the extent to which system-to-system interface is achieved. It is prerequisite to interface that a sufficient number of individual systems--at least two, by definition--be operational. As indicated above, a primary obstacle to establishing interface has been the uneven development and status of the various computer systems within a particular geographical area. Interface is a moot point in states such as Pennsylvania and Rhode Island where only one system is operational or a true CCH system is lacking (as in Pennsylvania and Rhode Island). Without CCH as the cornerstone of an interlocking, comprehensive criminal justice data system for the state, the impetus to interface component systems such as OBSCIS and SJIS will be minimal.

4.1.8 Future Plans

There are indications that the exchange of magnetic tapes between systems to achieve interface is spreading and will become more prevalent in the future. It is much less clear whether there will be a movement toward the establishment of direct computer-to-computer

interface among such systems, at least in the near future. There are, however, signs that there may be a trend toward agencies implementing shared computer facilities and using this as a direct link to exchange information and thus achieve interface between systems. It is not yet clear how the application of technological innovations such as mini-computers may affect interface.

4.2 Privacy and Security

As early as 1967, the President's Commission on Law Enforcement and Administration of Justice emphasized the need for ensuring the privacy and security of the data contained in criminal justice information systems.[38] "Privacy" was defined as the protection of the interests of those individuals whose names appear in the contents of a criminal justice information system data base; security was defined as the physical protection of the system and the data base it contains from accidental or intentional loss or modification. In spite of this early recognition, specific recommendations for ensuring privacy and security were not developed until 1972.

At that time, Project SEARCH in its role as the system developer of CCH, OBSCIS and SJIS suggested a number of measures that could be implemented in order to protect the rights of individuals and safeguard the data files of those systems. These actions included restricting access and dissemination to a "need-to-know" or "right-to-know" basis; limiting the scope of information that may be contained in the file; allowing individuals the right to review their file; instituting procedures to ensure data accuracy and completeness; and incorporating features such as guards, keys,

[38] Science and Technology, pp. 74-76.

badges, passwords or keywords and similar controls in order to ensure physical security of the information system.[39] It should be noted, however, that these steps were only recommendations and any state developing such information systems was not bound to implement any of the suggestions.

In 1975, the United States Department of Justice issues regulations requiring that criminal justice information systems funded by LEAA include procedures designed to guarantee the privacy and security of the criminal history record information (CHRI) contained in those systems. Those regulations, as amended in 1976, require that the states:

- develop and implement procedures to ensure the completeness and accuracy of CHRI;
- impose constraints on the dissemination of data maintained in those information systems affected by the regulations;
- adopt audit procedures designed to ensure completeness and verify accuaracy;
- ensure the right of individual access, review and challenge of data; and
- develop and implement personnel and physical security measures.[40]

[39] SEARCH, Security and Privacy Considerations in Criminal History Information Systems, Technical Report No. 2, Sacramento, CA, July 1972.

[40] Privacy and Security Planning Instructions, Washington, D.C.: U.S. Government Printing Office, April 1976.

At the same time some state legislatures have also been moving to enact legislation in the area of privacy and security which affect criminal justice information systems.[41]

It should be stressed that this Interface Project was not intended to evaluate compliance with the federal privacy and security regulations, but rather to review their impact on interface based on MITRE's visits to 47 CCH, OBSCIS, SJIS and PROMIS systems. A brief summary of the MITRE's findings regarding the status of privacy and security by state is presented in Appendix G. The broader questions of the impact of the regulation on these systems are discussed below.

4.2.1 The Impact of the Privacy and Security Regulations

The LEAA provided financial support to many of the CCH, OBSCIS, SJIS and PROMIS systems operating in the 14 states visited during this study prior to or, at least, concurrent with the promulgation and amendment of the privacy and security regulations, Individual system development and implementation were, however, frequently already underway when the privacy and development and security requirements were originally written and amended. It was not surprising, therefore, that the review of CCH, OBSCIS, SJIS and PROMIS in the 14 states indicates that the federal privacy and security regulations have had little, if any, direct impact on the design of many of those systems.

In terms of system operation and continued development, the greatest impact of the federal privacy and security regulations

[41] For example, the legislatures in Michigan and Florida have enacted "sunshine" legislation. The Commonwealth of Massachusetts has passed its own privacy and security laws.

seems to have been on the CCH (as a central repository of CHRI), with much less influence on the three other systems.[42] While it appears that all systems visited have instituted some measures to protect the data maintained in their files, these measures may not be the direct result of compliance with the federal regulations. Rather, they may simply result from compliance with state regulations or policy or may represent general physical and personnel security measures instituted by criminal justice agencies to protect sensitive installations and/or data. In any event, typical among these procedures are personnel background screening, controlled access to terminals, password authentication for access to data bases, facility protection and some control over dissemination. Such measures are generally in line with initiatives taken to secure any computerized data base.

In contrast, it appears that less attention has been generally given to implementation of safeguards to ensure the privacy of the individuals whose names are contained in the data bases of these systems with the exception of CCH systems. The CCH systems visited have instituted a wide variety of procedures designed to meet the privacy requirements of the federal regulations. Among the procedures implemented are audits, logs, notification systems and procedures permitting individual access and review.

There was some concern about how the regulations might affect the operation and use of these systems in the future. For example, suppose an SJIS system began to accumulate CHRI in support of a

[42] The federal privacy and security regulations, as amended, exempt all court records maintained for the purpose of recording the process and results of public court proceedings such as court registers and case files.

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program such as sentencing guidelines (e.g., those developed in the State of New Jersey), would there be a change in the applicability of the privacy and security regulations to court operated systems? (These systems are currently considered as exempted from the regulations.) System directors are also concerned that full implementation of compliance mechanisms will be costly and have unexpected ramifications and perhaps inhibit future systems development and operations.

4.2.2 Perceptions Regarding the Applicability of the Regulations

The extent to which procedures have been implemented pursuant to the LEAA regulations appears to be related to perceptions about the degree to which each system is actually affected by the LEAA regulations. State/local interpretations of the definition of CHRI seem to be a major factor affecting responses to the privacy and security regulations and the concomitant implementation of procedures to achieve compliance with the regulations.

It is generally acknowledged by persons involved in managing/operating computerized criminal justice information systems that CCH systems contain criminal history record information (as defined in the federal regulations) and are, therefore, clearly subject to the requirements of the federal privacy and security regulations. However, perceptions concerning the application of the regulations to the other types of systems are frequently quite the opposite. Furthermore, in the case of SJIS (which has been exempted from the federal regulations) and, in some instances, PROMIS, the data in the files is considered to be legally discoverable and/or in the public domain. In some cases, PROMIS data were considered to be part of the "private" or confidential files of the district attorney.

5.0 POLICY ISSUES

Based on the recommendations of several presidential commissions, LEAA has been supporting the development and implementation of CCH, OBSCIS, SJIS and PROMIS systems in order to provide the criminal history record information (CHRI) needed by criminal justice agencies. These commissions have suggested that since each criminal justice agency (e.g., the prosecutor) possesses information needed by other agencies (e.g., the courts), there should be some form of data exchange among these information systems. In the Interface Project, MITRE focused on the exchange of CHRI among CCH, OBSCIS, SJIS and PROMIS systems in 14 states. The two preceding chapters presented MITRE's findings regarding not only system interface, but also two directly related topics:

- the federal privacy and security regulations, and
- the operational status of the CCH, OBSCIS, SJIS and PROMIS systems as developed and implemented in each state visited.

A review of these findings indicates that there are five major policy issues which LEAA should explore in coordination with the states:

- the need for criminal history record information (CHRI) and, consequently, for interface;
- the apparent lack of congruence between state-level and national-level views of the goals of the CCH, OBSCIS and SJIS programs;
- the impact of privacy and security regulations;
- the trend toward developing systems which can be transferred from one jurisdiction to another; and
- the proliferation of local criminal justice information systems.

5.1 The Need for CHRI and Interface

As has been seen, the exchange of CHRI on a system-to-system basis among the CCH, OBSCIS, SJIS and PROMIS systems implemented in the 14 states included in this study is very limited. This slow progress towards interface raises the question of the extent to which there is a continued need to attempt to achieve interface among these four computerized criminal justice information systems. It is evident that some form of data exchange among criminal justice information systems (whether system-to-system or agency-to-agency) is required if accurate and complete CHRI is to be available to decisionmakers on a timely basis. Consequently, policy decisions regarding the future status and form of interface should be based on a determination of the present and future need to provide accurate, complete and timely CHRI.

It is not clear at the present time what the exact requirements are of various criminal justice agencies (both intra- and inter-state) for CHRI. What is evident is that efforts to provide complete and accurate CHRI on a timely basis can be prohibitively expensive and, perhaps, infeasible in view of the budgetary contraints which increasingly confront criminal justice agencies. Efforts to develop complete CHRI provide an example of this dilemma. Initially, states involved in the CCH program sought to convert all their manual records to automated systems. The conversion of all manual records generally has been abandoned because of the enormous expense involved; current emphasis has shifted to the selective conversion of manual files. Furthermore, CCH systems have tended to limit the amount of data disseminated electronically to summaries of CHRI, preferring to disseminate an offender's entire criminal history record via mail. Unfortunately, these efforts (and others like them) to provide CHRI in what might be termed an economically feasible manner may run contrary to the requirements of the federal privacy and security

regulations for accurate, complete and timely CHRI. In order to determine the need for CHRI, LEAA in cooperation with the states could conduct a study of the specific requirements for and use of CHRI within various components of the criminal justice system (e.g., the police, prosecutors, judges and parole boards). Among the subject areas which might be included in such a study are the following:

- the need of different criminal justice agencies for specific elements of CHRI,
- the response time required from a CCH system and
- the degree of accuracy and completeness required by different agencies.

This study should also examine options to meet the requirements of federal privacy and security regulations with the limited resources now available to support CCH systems and system interface.

If it is decided that there are requirements for CHRI, LEAA could then determine how to meet those requirements on both an intra- and inter-state level by (among other methods):

- reassessing the continued need (i.e., the costs and benefits) of attempting to achieve interface among CCH, OBSCIS, SJIS and PROMIS systems;
- determining the type of interface required;
- examining the role of other criminal justice information systems and linkages among systems in providing CHRI to CCH systems; and
- evaluating the impact of the proliferation of customized local criminal justice information systems and technological innovations (e.g., distributive processing) on interface.

5.2 Programs Goals

Our study found an apparent lack of congruence between the state-level view and the national-level view of the goals and goal priorities of the CCH, OBSCIS and SJIS programs. At the state-level, primary emphasis was placed on the implementation and operation of these systems to meet intra-state (or intra-agency) requirements. In contrast, at the national-level, emphasis was oriented toward the inter-state aspects of these systems.

At the state-level, an examination of the goals and goal priorities of the CCH systems clearly indicates that emphasis has been placed on the intra-state use of CCH systems to meet the needs of state and local criminal justice agencies for CHRI. However, at the national-level, emphasis seemed to be placed on the development of individual, state-level CCH systems as components of an inter-state network capable of exchanging CHRI among the states.

There is a similar lack of congruence evident in the OBSCIS and SJIS programs. As mentioned earlier, at the national-level, OBSCIS has three goals:

- to meet the information requirements of the National Prisoner Statistics (NPS) and Uniform Parole Reports (UPR),
- to provide corrections officials with the data needed for operational and management decisionmaking, and
- to provide the correctional data for the CCH system.

However, the main goal of the OBSCIS systems visited during this project was to meet the information needs of state corrections administration. Primary emphasis was placed on OBSCIS as a management information system supporting corrections administration and, secondarily, as a system designed to meet operational needs.

There is also an apparent lack of congruence between the national-level goals of SJIS and the state-level goals of the SJIS systems. As stated earlier, SJIS, as seen from the national-level, has two goals:

- to improve the quantity and quality of data used in state court management decisionmaking, and
- to provide the court data needed by CCH and OBTS systems.

In fact, the SJIS systems visited in this project usually met only the first goal. There has been little interface in the states visited among SJIS and CCH systems.

This apparent lack of congruence at the state and federal levels regarding system goals and priorities has important implications for the future of the CCH, OBSCIS and SJIS programs. Although the federal government (specifically LEAA) has provided significant support to the development and implementation of these systems, the institutionalization and continued operation of each of these systems depends on state support. Nevertheless, it is apparent that any enhancement or improvement of these systems (beyond minor modifications) will require federal assistance because of budget constraints now faced by many of the states. It is in this context that the lack of congruence between federal and state views of the goals of the programs raises two important questions. On the one hand, if the primary goal of CCH, OBSCIS and SJIS systems is to support the management or operations of intra-state criminal justice agencies (e.g., state court administrators and corrections agencies), will the federal government be willing to support systems which emphasize intra-state goals over inter-state goals? On the other hand, will state governments continue to support systems which are not primarily intended to meet intra-state needs?

Failure to resolve the lack of congruence between state and federal goals may result in the development of systems which contribute

little toward achieving the goals of either level of government. To avoid this situation, LEAA in cooperation with the states could establish goal priorities for these systems in terms of intra-state and intra-agency as well as inter-state information requirements. Based on these priorities, a coordinated state-federal policy could be established to guide the future development and funding of these systems.

5.3 Privacy and Security

Although federal privacy and security regulations have impacted on the operation of CCH systems included in this study, the regulations have had minimal effect on OBSCIS, SJIS and PROMIS systems. There is continuing confusion among system managers as to the full implications of the regulations. There is also concern that full implementation of the regulations' requirements will be a prohibitive burden. CCH system directors are particularly troubled because they may be required to obtain complete dispositions even beyond conviction. Such an effort is seen as almost impossible financially, particularly in light of current and projected budget contraints.

Given the impact of the federal privacy and security regulations to date, LEAA could commission a re-examination of the requirements for these regulations in terms of the need for CHRI as defined by traditional uses, case law, regulations and statutory law. In particular, this study should examine the requirements for collecting complete CHRI and establishing logs recording CHRI dissemination, both of which have been described by CCH system directors as very expensive. In addition, this study should examine the impact of the regulations on future system enhancements (e.g., using SJIS as a tracking mechanism for sentencing guidelines). Finally, this review should study the consequences of technological innovations and the proliferation of local systems on privacy and security.

If, as a result of this study, there are no changes in the regulations, then LEAA could consider providing funding to implement the regulations to achieve some agreed upon minimum standards for privacy and security. Additional enhancements above and beyond these minimum standards could be the responsibility of the individual states.

5.4 Transfer of Systems

Of the four systems included in this study, only PROMIS was initially intended to be transferred from one local jurisdiction to another. In contrast, CCH, OBSCIS and SJIS were intended to be developed individually by each state agency to meet its own specific requirements. Presently, there is some emphasis at the national level on the development of systems (i.e., OBSCIS and SJIS) which can be transferred from one jurisdiction to another. However, the idea of transferring OBSCIS and SJIS systems from one state to another represents a radical departure from the original concept of these systems. This would be especially true if consideration is given to the transfer of CCH systems. At this point, it seems prudent to assess the feasibility of the concept of transferring systems from one jurisdiction to another for four reasons.

First, depending on the amount of tailoring required to transfer a system and fit it to the needs of a state-level agency (e.g., corrections department), it may be just as cost-beneficial to develop a system from scratch. Second, a system designed to be transferred may not meet an agency's needs in seeking to develop an information system. Third, such a system may be able to meet the information requirements of only a limited number of states. Finally, unless carefully coordinated with the states involved, the development of such systems, which would impose information requirements, may be seen as an infringement of the states' role in criminal justice.

Since PROMIS was the first system specifically developed to be transferred across jurisdictions, an evaluation of the history of such transfers would provide LEAA with an assessment of the feasibility of transferring other systems. The multiple use of different versions of PROMIS proposed for a variety of reasons raises a number of questions which could be addressed by this evaluation including:

- To what extent is PROMIS documentation and technical assistance adequate to meet the needs of potential user agencies?
- In what ways can the role of potential non-prosecutorial users be expanded in the development and implementation of PROMIS?
- What are the cost/benefits of expanding the application of PROMIS to meet the needs of other criminal justice agencies (police, courts, corrections)?
- What are the limitations of PROMIS in attempting to meet the needs of other agencies?

5.5 The Proliferation of Local Criminal Justice Information Systems

As stated previously, the development and implementation of CCH, OBSCIS, SJIS and PROMIS systems have tended to occur in isolation. This situation is exacerbated by the uncoordinated growth of local criminal justice information systems. Systems may be designed with little or no thought given to developing a capacity for interface. This is particularly true in the case of SJIS where the tailoring of information systems to local court needs may have occurred to such an extent that interface with SJIS may not be possible.

New technology (e.g., mini-computers) may very well accelerate the spread of local systems by, for instance, reducing the cost of obtaining local hardware. If properly coordinated, the growth of local systems may well enhance the exchange of CHRI in terms of

completeness, accuracy and timeliness. The development of the multi-county, intensive PROMIS projects in Michigan, New Jersey and New York provide examples of coordinated planning and development. If the development and implementation of local criminal justice information systems continues, LEAA could initiate a project to determine the need for interface among not only local systems but also among local systems and the state-level criminal justice information systems. If such a need is established, LEAA could consider working with the state and local agencies to develop some mechanism (e.g., a coordinating body) to determine the degree of compatibility needed among these systems to achieve an agreed upon level of interface.

APPENDIX A

LIST OF INDIVIDUALS INTERVIEWED DURING THE INTERFACE PROJECT

Computerized Criminal History System

Alabama

Mr. Eugene J. Ackers
Systems Development Division
Alabama Criminal Justice Information Center

Arizona

Robert J. Edgren
Technical Coordinator, Criminal Justice Information Systems
Department of Public Safety

California

Mr. Fred Wynbrandt
Assistant Director
Identification and Information Branch
Division of Law Enforcement
Department of Justice

Ms. Barbara G. Myers
Assistant Bureau Chief
Identification and Information Branch
Division of Law Enforcement
Department of Justice

Florida

Mr. Robert Edwards
Director
Division of Criminal Justice Information Systems
Department of Criminal Law Enforcement

Mr. Dan Cooksey
Director, Data Base
Division of Criminal Justice Information Systems
Department of Criminal Law Enforcement

Mr. Charles Jacobs
Director, Criminal Identification Bureau
Division of Criminal Justice Information Systems
Department of Criminal Law Enforcement

Computerized Criminal History System (Continued)

Georgia

Mr. George Boles
Director
Crime Information Center (CIC)
Department of Public Safety

Mr. Ed Manseau
Deputy Director
CIC

Mr. George Emfinger
Criminal Justice Data
CIC

Mr. Ed Sills
Identification and Field Support
CIC

Mr. Bill Holland
Criminal Justice Information
CIC

Louisiana

Mr. Derald W. Smith
Director
Criminal Justice Information Systems Division
Louisiana Commission on Law Enforcement

Minnesota

Mr. Dan Love
Director
Criminal Justice Information Systems
Bureau of Criminal Apprehension
Department of Public Safety

Michigan

Captain Allen Shaw
Center Records
State Police

Mr. Dave Ferguson
Data Center
State Police

Computerized Criminal History System (Continued)

Michigan (Continued)

Mr. Dalles Piper
Central Records
State Police

New Jersey

Sergeant Walley Miller
Records and Identification Section
Division of State Police
Department of Law and Public Safety

New York

Mr. Adam D'Alessandro
Deputy Commissioner
Office of Identification and Data Systems
Division of Criminal Justice Services

Pennsylvania

Mr. Joseph Riggione
Director
Governor's Task Force on Criminal Justice Information Systems

Major John Angell
State Police

Captain Ben Jones
State Police

Utah

Mr. L. Del Mortensen
Director
Bureau of Identification
Department of Public Safety

Offender-Based State Correction Information System

Alabama

Mr. Rick Holston
Data Systems Manager
Department of Corrections

Arizona

Gerald Pater
Manager
Management Information Systems
Department of Corrections

California

Ms. Marie Vida Ryan
Chief
Management Information
Department of Corrections

Ms. Dorothy M. Tuma
Assistant Director
Management Information
Department of Corrections

Florida

Mr. Rey Ferrari
Director
Management Information System
Department of Corrections

Georgia

Mr. L. Benjamin Wyckoff
Director of Systems Development
Department of Offender Rehabilitation

Michigan

Mr. Jack Boehm
Assistant Deputy Director
Administrative Services
Department of Corrections

Offender Based State Correction Information System (Continued)

Minnesota

Mr. Gerald Strathman
Director
Research and Information Systems
Department of Corrections

New Jersey

Mr. Stan Repko
Director
Bureau of Correctional Information Systems
Department of Corrections

New York

Mr. Hank Donnely
Director
Records and Statistical Analysis
Department of Correctional Services

Mr. Dennis Greene
Management Information Services
Department of Correctional Services

Pennsylvania

Mr. Joe Riggione
Director
Governor's Task Force on Criminal Justice Information Systems

Utah

Mr. Richard J. Oldroyd
Director of Research
Division of Corrections
Department of Social Services

Wisconsin

Mr. Paul Kusauda
Director
Office of Systems and Evaluation
Division of Corrections
Department of Health and Social Services

Offender Based State Correction Information System (Continued)

Wisconsin (Continued

Mr. Carl Sam
Technical Services
Division of Corrections

Mr. Ted Johnson
Deputy Director-Systems
Division of Corrections

Mr. Dick Suehring
Office of Information Systems
Department of Health and Social Services

Ms. Wanda Shrank
Office of Information Systems
Department of Health and Social Services

State Judicial Information System

Alabama

Mr. Jan M. Shultz
Information Systems Division
Department of Court Management
Administrative Office of the Courts

Arizona

Mr. James A. Niles
Chief of Planning
Supreme Court

Georgia

Mr. Robert Doss, Jr.
Director, Administrative Office of the Court
Georgia Judicial Council

Mr. John Shope
Assistant Director for Operations

Mr. Chris Perrin
Assistant Director
Courts Coordiantion and Research

Louisiana

Dr. Hugh Collins
Director of Policy and Planning
Supreme Court of Louisiana

Michigan

Mr. Richard G. Wilhelm
Executive Director
Judicial Data Center
Office of the State Court Administrator

Minnesota

Mr. James R. Rebo
Director
Information Systems
Minnesota State Court Administration

State Judicial Information System (Continued)

New Jersey

Mr. George Sikora
Director
Judicial Management Information System

Pennsylvania

Mr. Larry Polansky
Deputy Administrator
Pennsylvania Supreme Court

Mr. Steve Ayers
Director of Data Processing
Pennsylvania Supreme Court

Rhode Island

Mr. Ron La Chance
Director
State Judicial Information System
Office of the State Court Administration

Utah

Mr. Ellis D. Pettigrew
Assistant State Court Administrator

Prosecutor's Management Information System

Alabama

Mr. Eugene J. Akers
Systems Development Division
Criminal Justice Information Center

California

Mr. Neal Riddle
PROMIS Manager
Office of the District Attorney
Los Angeles County

Mr. Frank Costa
Assistant District Attorney
Chief, Systems/Training Division
San Diego County

Ms. K. Jean Timmons
System Analyst
Department of Electronic Data Processing Services
San Diego County

Georgia

Mr. Tom Charron
District Attorney
Cobb County (Marietta)

Mr. Hirschel Strickland
Director
Cobb County Data Processing Department

Mr. Russell Kirkpatrick
Chief Programmer
Cobb County Data Processing Department

Louisiana

Mr. Glen A. Christiana
Director of Data Systems
Office of the District Attorney
New Orleans

Prosecutor's Management Information System (Continued)

Mr. James E. Rousselle
Assistant to the Director
Data Systems
Office of the District Attorney
New Orleans

Michigan

Mr. Hank Verkaik
Program Specialist
Multi-County PROMIS Project
Department of Management and Budget
Office of Criminal Justice Programs

Mr. Thomas Johnson
Director
Statistical Analysis Center

Mr. Gene Lambert
Analyst/Evaluator
Office of the Prosecuting Attorney
Kalamazoo County

Mr. Dominick R. Carnovale
Chief Assistant Prosecuting Attorney
Wayne County (Detroit)

Mr. Michael Fried
Prosecutor-Administrator
Wayne County (Detroit)

New Jersey

Mr. Steve Long
Director
PROMIS Project
Division of Criminal Justice

Mr. Thomas O'Reilly
Section Chief
Administration
Division of Criminal Justice

Prosecutor's Management Information System (Continued)

New York

Mr. Kenneth R. O'Brien
Management Systems Executive
Office of the District Attorney

Mr. Sarwar Kashmeri
Division of Criminal Justice Services

Utah

Mr. William Hyde
Assistant County Prosecutor
Salt Lake County

Mr. Frank Clapp
System Analyst
Salt Lake County Data Processing Department

Ms. Debra Sorenson
Salt Lake County Prosecutor's Office (PROMIS)

Mr. Harole Nelson
District Court Clerk's Office
Salt Lake City

Wisconsin

Mr. Louis A. Metz III
Judicial Information Systems Coordination for Project Turnaround
Milwaukee County

APPENDIX B

COMPUTERIZED CRIMINAL HISTORY SYSTEM SITE VISITS

APPENDIX B

COMPUTERIZED CRIMINAL HISTORY SYSTEM SITE VISITS

State-Level CCH Operational Status

The following information was secured during visits to CCH installations in 12 states. The objective of those visits included a determination of the current operational status of the state's CCH and an examination of the historical evolution of those systems from the initial development and implementation phases to their present operational condition.

1. Alabama

The CCH system in Alabama is the responsibility of the Alabama Criminal Justice Information Center (ACJIC) which was created in 1975 to establish and operate a statewide criminal justice information system to serve Alabama's criminal justice community. It operates under state law which mandates statewide arrest reporting, a uniform crime reporting system, complete and accurate files of persons engaged in criminal activities in the State, a right of access, review and challenge by individuals whose records are maintained, and system privacy and security.

ACJIC is a separate entity independent of other state agencies. The ACJIC director reports to the ACJIC Commission which is composed of representatives of various agencies directly or indirectly involved in law enforcement and criminal justice (e.g., the Attorney General's Office, the Board of Corrections and the Department of Public Safety). As an "umbrella" agency, ACJIC provides a wide range of services including a communications network, law enforcement data system and technical assistance.

ACJIC's Computerized Criminal History (CCH) is an on-line data base of criminal offender information available to qualified criminal justice agencies. The purposes of CCH to speed up the criminal justice process and to provide complete, statewide "rap sheets" on offenders have not changed during development. Information in the Alabama CCH file includes: individual identification information, arrest information, court or other dispositions, and custody/supervision status. All information entered into CCH is based on positive fingerprint identification of the subject.

The Alabama Department of Public Safety (DPS) was initially charged with the responsibility of developing a CCH system. However, the project was terminated because of technical problems. ACJIC renewed Alabama's efforts to implement a CCH and with the cooperation of DPS has succeeded. DPS is presently providing arrest data (including fingerprints and identification numbers) and ACJIC also receives data from OBSCIS and SJIS. While the system itself "belongs" to the Data Management Services Division (DMSD)/Department of Finance under Alabama's consolidation of computer services, ACJIC has retained full management control.

In 1975, ACJIC received LEAA funding to plan its CCH and by 1977, a master name index was prepared. ACJIC is not engaged in an effort to convert all of the manual CHRI. Each new arrest is entered on the system and, if the offender has a prior record, his manual file is converted. Any type of "hit" in terms of identifying a prior offender will also trigger record conversion as will any request for CHRI of a previous offender.

2. Arizona

Arizona involvement with CCH began during 1969 and its objectives have remained fairly constant over the past decade and still provide guidance for CCH operations in Arizona. Those objectives were those specified by Project SEARCH.

Since its inception, Arizona's CCH system has been under the direction of the State's Crime Information Center, a component of the Arizona Department of Public Safety. Between 1969 and 1973 development efforts were concentrated on planning and designing an on-line system, implementing both the software and hardware, improving the manual record keeping system, and coverting the manual records to machine-readable form. As an on-line system with data input, edit and retrieval capabilities, CCH began serving Arizona law enforcement officials during 1973. The Arizona CCH became the first system to interface in an on-line mode with the FBI's National Crime Information Center (NCIC) for the exchange of computerized criminal history records. Federal funding for the Arizona effort terminated in 1974, at which time the State assumed the operating costs of the system and institutionalized CCH.

Since becoming operational, the system has reportedly functioned fairly smoothly. Currently, CCH is one of many components comprising the Arizona Criminal Justice Information System (others include the Arizona Law Enforcement Telecommunications System, Uniform Crime Reporting, Law Enforcement-Judicial Information System, Arizona Department of Transportation - Motor Vehicle Divi-sion, and Offender-Based State Correctional Information System). Law enforcement officials have access to the CCH data through computer-to-computer interface and via remote and mobile terminals. As presently structured, the system contains the five SEARCH speci-fied CCH segments: the identification, arrest, prosecution, judicial and custodial segements. Much of this information is initially gathered by the Law Enforcement-Judicial Information System (the Arizona version of OBTS) and then used as inputs for CCH.

Generally speaking, CCH operations in Arizona are in accordance with the Crime Information Center's basic plan. However, one specific problem has recently arisen: there is slippage in posting current data and placing it in the computerized files. This is

reportedly due to a lack of funds needed to employ sufficient staff to completely process the daily influx of criminal history information. An important ramification of this slippage is that teletype (TWX) inquiries often require a concurrent manual search of the master CCH name index.

3. California

Of significance in the development of the Computerized Criminal History System (CCH) in California is the organization of the executive branch of the state government. In California, the Department of Justice, and the Branch of Identification and Information within its Division of Law Enforcement, reports to a separately elected constitutional officer, the Attorney General. Unlike most states where the Department of Public Safety (State Crime Information Center) is a responsibility of the Governor, California's CCH responsible agency is independent of the Governor, and therefore independent of other state level criminal justice agencies such as the Department of Corrections. The resulting independence has impeded cooperation between state agencies with regard to the development of CCH and made multi-system interface more difficult to achieve.

In 1970 an information system implementation plan was approved by the California legislature which included a plan for a massive conversion of existing criminal history records for use in the automated system. This plan was modified, however, after large numbers of records were converted, and the decision was made to abandon conversion in favor of entering only information on new offenders to the system. The existing manual criminal history system was maintained in parallel with the automated CCH. A manual criminal history is now only updated when a current request is made for a rap sheet. Implementation of the CCH system began in 1972 and was completed in 1973. The system is fully operational.

There were political structural problems in attempting to develop a Comprehensive Data System (CDS) in California, however, and the state has withdrawn from that program.

California entered into CCH development with the goal of providing law enforcement agencies with on-line real-time retrieval of criminal histories. It initially adopted the SEARCH goals, however, California has modified them in some respects. Initially, the system was to provide full criminal histories on-line. This objective is no longer followed, however.

The automated criminal history has three parts. The first is the Personal Data Record (PDR) which contains identifying data, the crime summary, and the complete and sometimes lengthy body of the criminal history.

A field agency inquiring into the system has a choice of responses. It can routinely receive, within 20-30 seconds on its local terminal, a combination of the personal data record, the crime summary and the full detail of the last arrest cycle. Where computer to computer interfaces exist or in emergency situations, the entire automated criminal history can be printed out on the local terminal. This is not routinely done, however, because of the large amount of data usually contained in the entire record and the relatively slow printing capacity of local terminals.

Normally, when a request for an entire rap sheet is received from a local terminal, it is acknowledged, the PDR and crime summary are printed out locally, and the entire criminal history is printed out in-house in a batch mode at eight-hour intervals for mailing.

Response time for similar inquiries into the manual system is much greater, with the majority of responses requiring four to seven days prior to mailing or local processing.

The system is operated in a Department of Justice dedicated data processing center in Sacramento. Currently, no LEAA funds are being used for system development or operation.

The California Computerized Criminal History System serves some 700 law enforcement agencies through over 2000 on-line display terminals. The terminals are, however, used only for data retrieval in order to allow the operating bureau to apply quality control procedures to all information received for entry into the system. This is done to maintain the quality of all data available for retrieval by its using agencies. The centralized approach is even used for handling all requests from California law enforcement agencies to the FBI for rap sheets or other reports.

By 1980, California plans to develop an automated name index including all California offenders to serve law enforcement agencies requiring rapid identification and only basic offender history data. Such an index would supplement the on-line computerized criminal history and provide additional service to the using agencies.

4. Florida

The objectives of the CCH effort in Florida were parallel to those posited by Project SEARCH. Florida's CCH system has, since the initial development phase, been under the direction of the Florida Crime Information Center (FCIC), a component of the Florida Department of Criminal Law Enforcement. The FCIC, as a central information repository, contains more information than just criminal history records; for example, Uniform Crime Report data, information on stolen vehicles, stolen and recovered guns, wanted persons, and missing persons. The CCH records are disseminated to meet the daily operational need of law enforcement officials and to assist criminal justice agencies in a number of areas, including: investigative functions; the issuance of licenses; the establishment of penalty

class for multiple offenders; bail/bond hearings; pre-trial intervention hearings; sentencing with pre-sentence investigations; and risk classification for custody or supervision. As a by-product of system operation, the system can also provide statistical reports and a data base for research purposes. Additionally, the CCH system can be used to provide specialized services, particularly identification assistance for unknown deceased, amnesia victims, etc., through an automated fingerprint search of the index.

Currently, the Florida CCH system incorporates the standard range of on-line capabilities, including data entry, inquiry, editing and retrieval. Police departments throughout the state have access to the data base via remote terminals, allowing for the timely and speedy exchange of criminal history information.

5. Georgia

Federal funds were used to support the development and operation of CCH in Georgia from 1972 through 1977, however, since that time state funding has met most of the costs associated with CCH operations. CCH is a project of the Georgia Crime Information Center (GCIC), in the Georgia Department of Public Safety. The objectives of the CCH project in Georgia paralleled those outlined by Project SEARCH.

At about the same time that Georgia joined the CCH program, the FBI was placed in charge of the national CCH program under the auspices of its National Crime Information Center. Georgia closely followed the guidelines issued by the FBI concerning the type of data elements and structure of files that should be used in designing a state-level CCH system in developing the CCH system.

The Georgia CCH operates on data processing equipment in the facilities of the Georgia Department of Administrative Services

(DOAS). DOAS control over the computer facilities is seen as a major impediment to the efficient and effective operation of CCH and has been the source of long-term political differences between DOAS and GCIC. Such factors as establishing priorities, staff capabilities, and joint use of computer facilities with non-law enforcement agencies gave rise to these differences.

During initial CCH operations the anticipated high volume of requests for criminal history data by local police requiring quick turnaround never really materialized and CCH data were often found not useful for police investigations. Additionally, Georgia police relied primarily on the Law Enforcement Telecommunications System (LETS) for communicating this type of data rather than using CCH. The greatest and most pressing need for CCH data was exhibited by the courts and rehabilitative services for pre-sentence investigations and placement of offenders in diagnostic services or institutions. However, the requests for this data by the courts and rehabilitation services are rarely urgent. This situation obviated the need for maintaining detailed rap sheet information on-line, although the GCIC still sees the need for that capability in order to send out summary data using computer teriminals in response to requests by local police. In order to accommodate this potential need, an off-line batch system was developed and modified to permit on-line inquiries for summary rap sheet data.

The GCIC is currently in the process of converting its manual criminal record system to an automated one utilizing a limited conversion process. Eventually, full historical conversions will be made each time a new CCH record is created or when there is activity on an existing CCH record. Because of GCIC's concern about the possible impact of privacy and security regulations, the cost involved in converting records, and the accuracy of data obtained from other states, only offenses committed in Georgia are being included in the CCH files.

Responding to the perceived needs for dedicated computer facilities and for interface among criminal justice information systems, the GCIC has proposed major modifications to its CCH system. The plan, to be implemented during 1979 primarily with state funds, calls for the development of a statewide Criminal Justice Information System. As presently envisioned, a DPS controlled host computer will be connected with the Department of Public Safety's mobile and satellite terminals throughout Georgia allowing implementation of an on-line system to be shared by the police with the Department of Offender Rehabilitation, the Courts and the Prosecutors. Each agency will control the data specific to their own needs, and, when necessary, have the capability of accessing pertinent data stored in other segments of the data base. Linked together by common identification data, much like a master name index, the segmented, shared data base will eliminate much duplication that would exist if each agency maintained its own comprehensive files.

6. Louisiana

The Computerized Criminal History System (CCH) in Louisiana, now known as the Complete Disposition Reporting System (CDR) was an out-growth of an attempt to implement the entire Comprehensive Data System (CDS) program in Louisiana.

In order to implement CDS including OBTS/CCH, the Statistical Analysis Center (SAC) and Uniform Crime Reporting (UCR) Louisiana established the Louisiana Criminal Justice Information System (LCJIS).

Initially, the develoment of LCJIS was under the direction of the Louisiana Attorney General in the Department of Justice. Consequently, an internal institutional conflict arose between the Attorney General and the State Police over the project and in 1977 responsibility for LCJIS and the CDS program was transferred to the

Louisiana Commission on Law Enforcement (SPA) and its Criminal Justice Information Systems Division.

For the first four years of the LCJIS program, the implementation emphasis was placed on the OBTS program. That implementation effort has not been seen as successful, however, and the emphasis has now changed to creation of the Complete Disposition Reporting System which provides a computerized depository for CHRI data.

The objectives of the CDR System are coincident with that of OBTS/CCH. The CDR System links existing capabilities into a central repository of data for OBTS and for CCH. The system's goal is to provide accurate and timely information relative to criminal justice activities within the State. The information produced by the system is intended for use by local law enforcement agencies, prosecution, and defense agencies, regional, local, and State planning agencies, the State Legislature and Legislative Committees, and the State courts and correctional agencies. Initially, operated as a batch system, it is planned to provide an on-line summary CCH to law enforcement agencies in the future.

Through data collected from the FINDEX system (a master arrest name index), a new arrest module to be developed, the District Attorneys Disposition Reporting System (reporting court activity) and the CAJUN System (parole, probation, and correction data) the CDR is expected to maintain a general data base composed of data elements from the existing criminal justice system tied together with a common LCJIS tracking number (yet to be assigned).

The current CDR operation is accomplished through the cooperation of two agencies: the LCJIS organization which processes the data and the state police who store and disseminate the data. There is legislation pending to place the LCJIS organization under the Louisiana Department of Public Safety. The summarized rap sheet

information is used by the Probation Department, the law enforcement agencies and by governmental and regulatory bodies in regulation and licensing activities. Although there are not now computerized criminal record histories with complete disposition information, the situation is expected to be improved after the LCJIS receives and edits tapes from the District Attorney Disposition Reporting System (DADR) and enters the edited data on-line into the CDR data base.

7. Michigan

Prior to the development of CCH in the late 1960's, the Michigan State Police were part of a state-wide, computerized Law Enforcement Information Network (LEIN). This system provided on-line access to data bases such as warrants and stolen cars and offered direct linkage to a number of other agencies including the State Department of Motor Vehicles and the Detroit Police. In 1969, Michigan participated in the SEARCH pilot project to develop a prototype CCH system and provided the central index of offender records held by the participating states. The objectives of the Michigan CCH effort were in line with those specified by Project SEARCH and have remained constant throughout CCH development.

The initial CCH developed in Michigan consisted of a batch data entry system with on-line data inquiry, retrieval and exchange capabilities. During the pilot project each of the six Project SEARCH participating states contributed 10,000 records to the central index and sent tapes to Michigan on a weekly basis to update the repository. With the completion of the pilot project and the decision to establish a national CCH repository at NCIC, Michigan relinquished its reponsibility for maintaining the central index.

Michigan has, however, continued to develop and refine their CCH system. Presently, CCH features a wide range of on-line capabilities, including data entry, inquiry update, retrieval and ex-

change. About 300 of the police agencies in the state have direct access to the automated CCH data base. An additional 400 or so police departments have indirect access through specified hookups. In current operation, each police department is designated as a service agency (i.e., having a remote terminal with direct linkage to CCH) or a serviced agency (i.e., no terminal). For data access purposes as well as for privacy and security considerations, each serviced agency is assigned to a specific intermediary agency operating a remote terminal as part of the state-wide CCH network. In order to keep the files as up-to-date as possible, and continually add to the original 10,000 record data base, new cases are immediately entered into the automated system. The conversion of an existing manual record is initiated only when a previous offender commits a new offense which is entered on the automated system. Michigan has maintained a working relationship with NCIC, providing the national repository with nightly, batch updates through telecommunication links.

8. Minnesota

The Computerized Criminal History System (CCH) in Minnesota is a part of the Minnesota Criminal Justice Information System. That system includes communications computers connecting to NLETS and NCIC and operates at the state computer facility which also serves as the data processing center for the State Judicial Information System, and for the Correctional Management Information System File. The state established the Minnesota Crime Information Center in 1969 utilizing the state operated data processing facility (Information Systems Division) on law enforcement "owned" computer equipment. The state had completed its programming for the CCH system in 1971 when the CCH program was assigned to the FBI, and the initial grant ran out. At that time Minnesota, first using an LEAA statistics grant, and then under a Comprehensive Data System (CDS) grant, emphasized the development of Uniform Crime Report (UCR) programs and

Offender-Based Transaction Statistics (OBTS). After UCR/OBTS became operational in 1972, the state again returned to CCH system development and the CCH system became operational in July 1977.

The system is currently operated by the Bureau of Criminal Apprehension, but no longer submits criminal history data to NCIC. The initial SEARCH model has been expanded so that the Minnesota Criminal Justice Reporting System includes OBTS information, which is fed to the Minnesota CCH. All current operational costs for CCH are borne by the state.

The initial development of the CCH system in Minnesota was based on the goals for the CCH system as set forth in Project SEARCH documentation to meet the expected demand for the rapid retrieval of criminal history data by local law enforcement officials. Currently, the system is used extensively by the Minnesota courts and correction agencies.

System operations include the submission, to the Bureau of Criminal Apprehension, of data from the courts using data collection forms for each criminal case. Law enforcement agencies utilize on-line terminals for submission of criminal arrest data for direct entry into the CCH system.

The Minnesota Computerized Criminal History System has been operating in a stable manner for sometime. It serves its users through some 263 terminals which are located in law enforcement agencies, prosecutor's offices, courts and correction organizations. In addition, there are some 70 mobile terminals operated by the Minneapolis Police Department. The system operates on-line for both data entry and retrieval. There are no formal inter-organizational groups which back system interface and interface plans depend largely on personal relationships. The CCH system stands ready to be

interconnected with the minicomputer to be used for the SJIS operation through the state's communication network. The system's documentation is complete and it appears that the CCH system in Minnesota can be characterized as a mature, fully operational service to Minnesota's criminal justice community.

9. New Jersey

The CCH program in New Jersey is the responsibility of the Division of State Police, Department of Law and Public Safety. The CCH system is designed to provide accurate and complete CHRI to criminal justice agencies in a timely manner. The Division of System and Communications is responsible for providing system support for the CCH program. The Records and Identification Section is responsible for the other aspects of the program. The State of New Jersey has had a manual system for collecting, collating, maintaining and disseminating CHRI since the early 1930's. In 1972, the State Police began to convert the manual records using keypunching. In 1976, the basic structure of an automated system was in place.

There are 70 on-line, remote terminals currently in use. At the present time, 16 of the 21 counties within the state are on-line with the identification bureau. In addition, 28 police departments now have remote terminals. The CCH system provides CHRI to a variety of criminal justice agencies including probation, courts, prosecutors and corrections. Although the police supply the initial data for the system, it is estimated that they receive only approximately 19 percent of its output. The other components of the criminal justice system (e.g., the courts) are the users of most of the data disseminated by the CCH system.

The CCH system consists of two components: an automated master name index record and computerized criminal history files. The on-line master name index is a separate file which permits the user to

access any summary record or conviction record in the file using the State Bureau of Identification number. There are three different types of records available using the on-line terminals.

- CCH Summary Record -- subject's identification data; total arrests reported; number and types of charges; indication of whether subject has ever been convicted, by charges; indication of whether subject has received conditional disscharge; last reported arrest including date, agency, and case number; interim disposition status; and last custody status reported.
- CCH Record of Conviction -- subject's identification data including court identification; date of conviction; and sanction imposed (e.g., confinement term, court fine and term of probation).
- CCH Record of Arrest -- subject's identification data and arresting agency(s) data including identifier, date of arrest and statute citation.

Off-line, a user may request what is termed the CCH "Detailed Record". This record provides all the arrest and post conviction disposition data which was historically recorded in the old manual files. In addition, the subject's complete identification data is included along with interim disposition data.

This interim disposition data provides the capacity to track an offender's movement through the criminal justice system. Consequently, the CCH "Detailed Record" functions as an OBTS. In order to provide disposition information, the Court Disposition Reporting (CDR) System was developed as a cooperative effort between the Administrative Office of the Courts and the State Police. The CDR provides the means by which court clerks, prosecutors and probation

officers can report dispositions to the State Bureau of Identication. Moreover, there is a custody/supervision status report which is used to record such items of information as date of parole; extension or reduction of term of confinement and parole violation. The Bureau of Identification provides a nine person staff to assist contributing agencies in reporting dispositions.

At the present time, it is estimated that the CCH system contains 350,000 records. Approximately 75 percent of all the arrests have dispositions. Record conversion from the old manual files to the automated ones began in 1972. After that time all new CHRI was placed in the CCH system. When an offender who was arrested prior to 1972, is rearrested, the entire manual file is converted. It is estimated that only 10 percent of the manual files are used.

The development and implementation of the CCH program in New Jersey was beset by many of the same information system problems encountered by other states including hiring and retaining competent personnel, technical difficulties in system design and operation and record conversion. Faced with decreasing state revenues, planned improvements in CCH will be limited to enhancements. However, additional changes may be required by outside agencies (i.e., the legislature or the courts). For example, the new "Casino Control Act" requires fingerprinting and criminal history record checks for individuals applying for employment in the casinos.

10. New York

The CCH system in New York State is operated by the Office of Identification and Data Systems (IDS) which is a component of the Division of Criminal Justice Services (DCJS).

The sections which comprise the Office of Identification and Data Systems are Identification Operations, Support Services, Computer Operations, Technical Services, Research and Development and

Data Systems. The Identification Operations Section, which is the backbone of the Identification Segment of the Division, is responsible for providing responses to inquiries for criminal history records. The on-line processing of inquiries made against the DCJS data bases and updating those files necessitate many other "housekeeping" tasks that must be performed to improve and maintain the accuracy and completeness of the files. The Support Services Section plays a primary role in discharging those responsibilities. Computer Operations, which is responsible for the computer, related hardware and communication systems on a round-the clock basis, assures the proper functioning and maintenance of the equipment utilized to meet the Division's mission. The Technical Services Section provides the computer system design, programming, software services and systems support to initiate new programs and provide for efficient maintenance of existing programs. The Research and Development Section in its efforts to improve identification related functions developed and implemented a fascimile delivery system during 1978. The Data Systems Section is charged with the responsibility for development and implementation of integrated criminal justice statistical systems.

The planning for New York State's CCH system, formerly known as the New York State Identification and Intelligence System (NYSIIS), began in 1965. There was some system development in 1967; in 1969, NYSIIS was operational in a batch mode. There was information sharing in various forms with the police, the Office of Courts Administration (then known as the Judicial Conference), parole and corrections. From the very beginning CCH has been a dedicated system. In 1971, the system went "on-line". With the formation of the Division of Criminal Justice Services in approximately 1972, NYSIIS became part of DCJS as the Office of Identification and Data Systems (IDS). In 1975, the system underwent a major revision intended to redesign the DCJS CCH data base and processing system in order to develop OBTS. This effort is still underway.

The original goal of the CCH system was to provide timely, accurate, and complete offender information to criminal justice agencies. Such a need was recognized as one result of a raid on a meeting of "organized crime" members. When an attempt was made to gather any prior criminal records of the individuals arrested, it was discovered that there was no one, centralized data source in the state which could be queried. Consequently, a decision was made to develop a central repository designed to systematically collect, collate, maintain, and disseminate criminal history records. This basic goal has been achieved. CCH emphasis is now in decreasing response time while increasing accuracy and completeness. There is a focus on improved efficiency to enable the rap sheet to be available for an offender's arraingment.

In addition to the technical problems encountered in any computerized system, ISD is faced with increasing demands in an era of decreasing state funding resources. The New York CCH system was developed and implemented almost exclusively with state funds. Federal funds provided "nice to have things".

The system is currently receiving fingerprint facsimiles from the New York City Police Department (NYPD) and some 28 other agencies. To these, ISD responds with "on-line" rap sheets. Other agencies receive rap sheets through the mail. Among the users of the system are the police, prosecutors, courts, defense counsel (some use in New York City), probation and parole, employers and licensing agencies.

ISD does have NCIC capability and participates in the NCIC wanted systems. An NCIC on-line system for CCH was never developed, but ISD did have approximately 44,000 records in the NCIC/CCH files.

11. Pennsylvania

Initial efforts to develop a computerized criminal history system began in Pennsylvania during September 1972, when the State Police received a grant through Project SEARCH and a grant from the State Planning Agency (SPA). The basic objectives of this CCH project were those of Project SEARCH. Two courses of action were pursued in order to accomplish these objectives. First, a computer-based network linking state and local police was to be completed. Second, the manual criminal history files maintained by the State Police were to be converted to a form amenable to auto-mation. Work toward these ends continued through April 1974 when the funding had ended with only approximately 10,000 of the 1.3 million criminal history records converted.

Paralleling this endeavor, the State Police also submitted two proposals to participate in LEAA's Comprehensive Data Systems (CDS) program. After the first proposal was rejected by the LEAA, the Pennsylvania SPA refused to approve the second proposal, stating that it could not find adequate reasons for automating full criminal history records in Pennsylvania. The State Police, in fact, using their manual records and a network of approximately 250 communications terminals for transmitting this information, had already achieved an average turnaround time of about 15 minutes which was sufficient for their needs. In addition, they were also already linked to a number of data banks: Uniform Crime Reports; Motor Vehicles; Warrants; Gun Registration; and the FBI's National Crime Information Center (NCIC).

Following that sequence of events, there were several changes in key information systems personnel at the State Police headquarters. This shift in assignments signaled a change in philosophy concerning the development of CCH in Pennsylvania. The feasibility of automating criminal history records was questioned. Law enforcement agencies demanded that the automated system be operational 24

hours a day in order to provide needed functions. Because of assorted technical problems which are typically encountered with computer equipment, meeting this 24-hour requirement would necessitate a back-up computer system which, it was felt, would be an expensive solution for maintaining around-the-clock, automated criminal history record exchange capabilities. In addition, converting manual records to a form suitable for automation was very costly, estimated to be $14.50 a record based on work performed during the initial Project SEARCH effort. Another factor in this change of direction was the fact that the State Police are of the opinion that they need a certified hard copy of offender records (a primary example being the fingerprint card) for judicial purposes, especially for court actions in other jurisdictions. Therefore, they believe that they cannot dispose of their manual records, even if they automate their entire rap sheet file.

As a consequence, the Pennsylvania State Police recently decided to limit CCH automation of rap sheets to the development of a Master Name Index. This file would contain the name and limited identification-related data of all individuals processed by the criminal justice system in Pennsylvania. It would also specify date of latest arrest and whether the individual should be considered dangerous. The basic objective underlying the development of this limited file are twofold:

- to provide the capability for identifying people in the criminal justice system; and
- to improve the speed of transmitting reliable data to officers on the street concerning suspects

Presently, the Master Name Index project is in the design phase, with a demonstration of the index created with data from the FBI's NCIC (about 180,000 records on Pennsylvanians) planned to determine

its feasibility. If feasibility is shown, the State Police hope to be able to obtain the funding and equipment needed to have a master name index system operating in 1980.

The State Police view the Master Name Index as the first building block of its redirected CCH and don't believe that they have deviated far from the original CCH concepts. In fact, they feel that a master name index is not only much less costly than a full CCH system, but also much better suited to the state's current and foreseeable needs. Further, by going the route they have the selected, the State Police will be able to expand the Master Name Index into a full-fledged CCH system complete with modules for data from other computerized information systems such as SJIS if a full CCH is required and feasible in the future.

12. Utah

The Computerized Criminal History System (CCH) in Utah is an outgrowth of the need to upgrade the former manual system used by the Bureau of Identification to maintain criminal history files. Initially, planning began in 1971-1972 for the implementation of a criminal history records system utilizing batch data processing support from the state information systems center. It soon became apparent, however, that the batch system could not meet the needs of the law enforcement community for criminal history information, and the idea was terminated. Consequently, development began for the implementation of an on-line data entry and retrieval system for the Bureau of Identification. The current system which became operational in September 1977 was developed over the five-year development period. The Utah system follows the Project SEARCH CCH model as far as possible.

The primary goal of the CCH develoment in Utah was to upgrade the manual criminal history record system which has traditionally

been maintained by the Bureau of Identification of the Department of Public Safety. The upgrade to an on-line system appears to have been a decision of the Department of Public Safety based, in part, on the availability of LEAA development program assistance funds.

The CCH system is operated on the data processing equipment of the State Information Systems Center. Although there are plans to provide on-line disposition reporting from the courts in the Salt Lake City, Ogdon, and Provo, Utah, areas to CCH, no steps have yet materialized in that direction. In addition, the CCH staff would like to implement an interface with the OBSCIS system when that on-line system is operational, using state funds.

The system is fully institutionalized in Utah, and no additional develoments are underway. Any significant changes in the system would require Federal funding assistance for accomplishment.

Criminal histories are being used in Utah primarily by law enforcement agencies for investigative purposes as well as by the Utah probation and parole organizations. On-line histories are not usually required by law enforcement officers for immediate operational needs.

As in other states visited, the operators of CCH in Utah indicate a lack of confidence in the services of the state data processing center. Complaints about the quality of center personnel were also reported.

Until the future direction of CCH on a nationwide basis is determined, Utah will refrain from participating with any NCIC-operated CCH system.

APPENDIX C

OFFENDER-BASED STATE CORRECTIONS INFORMATION SYSTEM SITE VISITS

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OFFENDER-BASED STATE CORRECTIONS INFORMATION SYSTEM SITE VISITS

Evolution and Operational Status

During the Interface Project, MITRE personnel visited OBSCIS sites in 12 states. The following sections summarize the efforts of those states' corrections' agencies to develop, implement, and operate information systems.

1. Alabama

OBSCIS in Alabama is a management information system used to collect a wide range of informational items concerning those individuals who have been committed to prison. OBSCIS also tracks offenders who have been placed on probation or parole. OBSCIS is run at the data processing facility operated by the Alabama Criminal Justice Information Center (ACJIC). In addition, the Alabama Department of Corrections (DOC) uses its own data processing system to provide accounting, personnel and inventory services. Both systems operate in an on-line mode.

The original state goal was to design a management information system which would provide correctional officials with the data to run the state correctional facilities. Those officials were faced with the problem of managing a complex system and felt that an OBSCIS could help them do so while, at the same time, reducing costs by eliminating personnel who previously performed manual tasks which were automated. Furthermore, correctional officials wanted to develop a method which calculated offender release dates quickly and accurately in order to conform to a state law which mandated that it be done within 30 days of each inmates incarceration. Throughout the course of the project, these goals have remained constant.

The OBSCIS program began in 1976 when a planning grant was awarded to ACJIC. In October 1978, system operation was transferred to DOC since OBSCIS was a corrections system. Since October 1978, DOC has been supporting OBSCIS with its own funds without federal funding.

The OBSCIS data base contains a wide range of information items. All eight application models recommended by SEARCH Group, Inc. have been developed and implemented. All data elements from core level through to the optional level are available. A program has been developed for national reporting; however, technical problems with the definition of data elements have hindered such reporting. A probation and parole tracking system has been designed. Educational and vocational applications are not yet programmed. OBSCIS contains CHRI, but not arrest data. Not all data on every individual inmate has been entered into the system at this time.

In terms of data collection, basic information regarding each inmate is gathered upon his or her entry into the correctional system. For those inmates incarcerated prior to the implementation of OBSCIS, conversion of manual records occurs if a disciplinary report is written on those individuals. As time and financial constraints permit, further conversion will be undertaken.

Among the major problems faced by Alabama's OBSCIS operation are turnover and shortage of personnel and financial constraints. The suggestion was made that more federal funds are needed, but that such fund should be given directly to the agencies involved rather than to intermediaries who might not appreciate the requirements of operating agencies. It was also recommended by OBSCIS management that the federal government should refrain from imposing so many constraints in terms of grant conditions since many of the conditions were unrealistic in terms of the needs of the operating agencies and their supporting management information system.

2. Arizona

The Arizona Department of Corrections initiated development of an information system in 1971 with the support of LEAA funds. Over a period of several years, the Department designed and implemented an Adult Inmate Population Accounting System, a Community Services Caseload Management System, and a Juvenile Offender Based Tracking System. In 1974, Arizona received a federal grant to upgrade the capabilities of their initial information system by implementing OBSCIS and integrating this new system into the Arizona Criminal Justice Information System (ACJIS). Within this general context, the Arizona OBSCIS project had a number of objectives which were in accordance with the purposes of the system as specified by SEARCH Group, Inc.

The Department of Corrections utilized an outside contractor to design the OBSCIS hardware configuration, develop appropriate software packages and implement the system. As presently structured, the system can be described as follows. While the Department of Corrections has several remote terminals, the host computer is located in the Department of Public Safety and operated by that department. On-line operations using the terminals are restricted to various inquiry applications such as those used to generate reports. In general, the system operates in a batch mode, with data entry performed only twice monthly. The correctional institutions send manual reports on inmates to the Department of Corrections where the data are key punched and periodically added to the OBSCIS data base. As a consequence, the information is often outdated and, therefore, less than reliable for offender tracking purpose and management decision making needs. This lack of current data has restricted the use of OBSCIS. Thus far, its use has been minimal, limited primarily to occasional research reports for management and ad hoc reports in response to specific requests.

Arizona personnel report that implementation and operation of OBSCIS has been less than successful. There are several reasons for this situation. First, there has been a lack of continuity among the persons involved with the OBSCIS project in terms of both contractor personnel and Department of Corrections staff. Second, on-line capabilities to generate summary reports are not available. Third, the software used to run the system and generate the reports is too complex, requires too much coding, is very difficult to modify and is largely undocumented. Finally, OBSCIS has been delegated to a low priority status by the current Director of Corrections who perceives other department projects as having greater importance.

3. California

The California Offender-Based State Corrections Information System is a component of the Corrections Decision Information System (CDIS). That system is now undergoing implementation with the objective of providing information to aid corrections management decision making, to increase its ability to answer management questions and to provide information to aid department operations.

The Offender-Based Information System (OBIS) is the first component of the CDIS to be developed and it is in operation but not yet completed. The objective of OBIS is to establish an offender data base and to implement procedures to collect and disseminate selected information about the offender.

The California Department of Corrections has utilized data processing support since 1945 in the form of punched card batch operations. The need for greater information availability became evident to department personnel and in 1974 initial funding was received from the state for the development of the OBIS system. This occurred prior to the promulgation of the OBSCIS model by SEARCH Group, Inc.

California was one of the original 10 states implementing an OBSCIS and the design generally followed the OBSCIS model and includes:

- Description Subsystem: Processes and provides access to offender identification data, commitment and offense data, comprehensive demographic data, social/family history data and education/vocation data.
- Movement Subsystem: Processes the information obtained about newly received individuals, identifies them to the system, and maintains a record of their physical and administrative transfers within the Department.
- Program Subsystem: Processes and provides access to a current and historical record of each offender's administrative designations, custody classifications, hearing outcomes, and program activities.
- Board Actions Subsystem: Processes and provides access to calendar lists and hearing outcome data. Provides prehearing notification for Adult Authority and the Record Office.
- Query Subsystems: Provides terminal query capability to verify the presence of an offender in the system and, if found, to provide his status, location, and basic descritive data. Provide summary statistics such as stratification of institution population, type-of-movement summaries and others than can be defined in advance.
- Report Subsystem: Produces the administrative and statistical reports required by the Department. Provides projections and statistical analyses for the Department's planners.

The system software is not yet fully implemented because, in part, of the need to rewrite much of the initial software to accommodate the change in the state criminal law which eliminated intermediate sentences. The California Corrections OBIS is primarily designed to support management and, therefore, lower priorities have been assigned to corrections research and to operations support. There has been a considerable need to educate corrections management concerning the system, its capabilities and the information which it makes available for decision making, and this is an ongoing operation. The system is still being developed in accordance with its original project plan but the expected cutback in corrections personnel attributed to Proposition 13 may impede further implementation since the system is fully supported by state funds.

4. Florida

Prior to 1975, Florida's Department of Corrections was under the organizational umbrella of state Health and Rehabilitation Services. It was then established as a separate organization and given responsibility for the supervision of offenders placed on probation or parole as well as those incarcerated. Florida's OBSCIS began functioning in 1977 and was designed as a management information system for the Department of Corrections. OBSCIS is intended to provide information on which to base correctional decisions in place of the information that was then available which was considered inaccurate and out of date. It should be noted that the state legislature mandated the development of a correctional management information system.

OBSCIS was designed to capture data about those individuals assigned to the custody of the Department of Corrections. It has been estimated that approximately 650 data elements are used to collect data on each offender including facts about the offender's precommitment history, information about the offense, demographic

characteristics and criminal history record. In addition, OBSCIS also stores the following categories of information: sentence structure/sentence imposed, gain time/good time, movement, tentative expiration date and date of parole interview.

It is expected that by sometime in 1979, all the core elements specified in the SEARCH Group, Inc. OBSCIS documents will be collected and maintained. It was estimated that nearly 90 percent of these elements are now available covering those offenders on probation as well as those incarcerated.

5. Georgia

During 1971, the Georgia Department of Offender Rehabilitation (DOOR) decided to take advantage of available state funds and develop an automated information system. The system had two primary objectives: to improve management and track inmates.

During a reorganization and centralization of state government services, computer facilities were placed with the Department of Administrative Services (DOAS). Consequently, DOOR designed and implemented the batch mode information system and used DOAS's computer facilities to process the data. Local institutions manually collected the data and sent it to DOOR who key-punched the information on cards and sent the card deck(s) to DOAS. Turnaround time took about a day. However, programming errors frequently aborted data analysis, resulting in a re-run of the process and an increase of at least 100 percent in turnaround time. Problems associated with fixed record length, batch mode input and lack of remote access rendered the system very inefficient. When NCJISS initiated the OBSCIS program in 1974, Georgia received funding to participate in the first phase of development. DOOR's primary objective was to upgrade their current information system. Overall, DOOR's received three grants from NCJISS for OBSCIS development, implementation and

operation, however, the State of Georgia has now started picking up the cost for OBSCIS personnel, computer service, and other operational expenses.

Georgia had considerable input into the design of the basic OBSCIS model developed by SEARCH Group, Inc., however, because of the existing operational system, DOOR did not itself strictly adhere to the SEARCH model. DOOR developed a version of OBSCIS, using as a foundation the already existing corrections information system under the constraints imposed by the centralization of computer facilities under control of the Department of Administrative Services. The basic model continues to operate as a central batch input system with data updates performed twice weekly. The major modification has been the addition of on-line inquiry, editing and reporting capabilities via dial-up terminals. In terms of data elements and application modules, DOOR's version of OBSCIS is similar to that developed by SEARCH Group, Inc. All of the data elements suggested by SEARCH have been included; however, some of them are defined differently, based on the Georgia State offense code. All eight OBSCIS application modules or their equivalent have been incorporated into the Georgia system. Additionally, DOOR has implemented a National Prisoner Statistics reporting module and is presently in the initial states of developing a Uniform Parole Reporting module.

The present OBSCIS model is used to generate a wide variety of standard and ad hoc reports dealing with inmate characteristics, prison population profiles and predictions, inmate transactions, recidivism rates, future budget estimates, and anticipated personnel needs. In addition to DOOR, the standard and ad hoc reports are used by a number of agencies for decisionmaking purposes including the Parole Commission, the Georgia Crime Information Center and the Department of Administrative Services.

6. Michigan

In 1972, the State of Michigan received an LEAA grant to conduct a study to assess the need for the development of a computerized information system for corrections. The study suggested that data collection efforts be expanded and the information be stored in an automated Corrections Management Information System (CMIS). State funds were used for these purposes as well as for converting historical data to machine readable form during 1974-75.

Michigan obtained an OBSCIS grant in 1975-76 to develop CMIS more fully and to hire staff to produce the necessary software for the system. From the onset, it was recognized that there was a close relationship between CMIS and OBSCIS. While CMIS had more data elements than OBSCIS, definitions of common elements did not always coincide with those specified by OBSCIS. Within this general context, the OBSCIS project in Michigan was intended to address the objectives set by SEARCH Group, Inc. These objectives have remained constant and continue to be the focus of Michigan's OBSCIS project.

Built on the foundation provided by CMIS, the Offender-Based State Corrections Information System in Michigan was intially structured as follows. Software was developed "in-house" by the Department of Corrections staff for seven of the eight modules designed by SGI (the exception being the research application). In terms of data flow, correctional institutions throughout the state are required to send source documents to the Department of Corrections. The documents are then reviewed for completeness by department staff and sent to a designated state data processing center. In turn, the data processing center builds and maintains the OBSCIS data base, and generates required statistical reports. This arrangement requires that the Department of Corrections use a batch mode system to operate OBSCIS.

Presently, the Michigan OBSCIS is being modified extensively. The Department of Corrections recently received permission from the state legislature to buy its own computer instead of leasing computer facilities and related services from the data processing center. A large mini-computer has been installed at the Department of Corrections in Lansing to serve as the hub of the "new" system and to house the OBSCIS master data file. Later in 1979, mini-computers will also be placed in three of the 11 state correctional institutions. Linked to the main mini-computer, these regional computers will maintain data bases pertinent to their particular geographical area. The result will be a split data base with some overlap. The shift in equipment will be accompanied by a conversion from a batch mode of operations to an on-line system with remote terminal access.

Once the new system is installed, long-term plans (two or three years) call for the development of additional OBSCIS modules. These modules will concentrate on expanding research applications (e.g., risk prediction, placement of clients, etc.) and improving management decisionmaking capabilities (e.g., scheduling parole hearings, inmate accounting, business accounting, and food services). Federal block funds are committed for OBSCIS development in Michigan through 1979. The state has indicated that it will then begin to provide the funds required to operate the system.

7. Minnesota

Minnesota has a fully completed and operational corrections information system. Planning for the system began in 1974 and the system became operational in September 1978 using the programming and data processing services of the Minnesota Information Systems Division (ISD). The system includes all eight application modules of the OBSCIS model as developed by the SEARCH Group, Inc., however, the Minnesota version has been configured to primarily service

corrections operations rather than management or research. This change of emphasis occurred because Minnesota felt that the OBSCIS model was not sufficient for the needs of the state corrections agency. The system does use all of the OBSCIS codes and meets the requirements of the Minnesota Bureau of Criminal Apprehension for CCH data although there is no direct interface between the two systems.

In setting its priorities on corrections operations, the Minnesota Department of Corrections gave priority to such matters as inmate count control and institution visitor control in contrast to the "OBSCIS" type system which has operated in the state since the 1960's. That system, with batch data processing support dealt with admissions and management.

System development of the on-line system was based on the objective of providing a system which could quickly respond to inquiries for operational information. Both LEAA federal funds and state funds were used for system implementation. The system was developed with the SPA requirement that it be compatible with other criminal justice information systems and it uses the existing state criminal justice communications network.

Among the operational subsystems which provide for both on-line update and query are: Master Index (using a SOUNDEX file structure), ID File (inmate status), Offense File History File (record of all transactions involving inmates), Visitor's File (listing of banned visitors), and Jail and Lockup Status.

Initial resistance to the system's introduction developed within the correction's institutions but was overcome through firm official support and demonstrated results. The system currently not only supplies on-line corrections operational information through 11 terminals, but also produces schedules, caseload reports and daily indexes for management use.

The Minnesota corrections information system includes the basic OBSCIS application programs but has given priority to support of institutional operations rather than correction's department management and research. The system has greatly expanded the initial SEARCH OBSCIS model to serve the institutions by providing daily and monthly reports in a correctional environment where previously there have been no reports available for operational use. In addition, enhancement of other OBSCIS model programs has taken place in Minnesota. The system operates entirely on state funds.

The staff of the system felt that their emphasis on correction's operations was a significant step enhancing the value of OBSCIS to the state.

8. New Jersey

The Bureau of Correctional Information Systems (a component unit of the Division of Policy Development and Planning Department of Corrections) has as its primary function the collection, processing, maintenance and distribution of data on all offenders within the State's correctional system, both in institutions and on parole. At the present time the Bureau consists of three data processing systems: (1) the Admissions and Movement System (AMS) which tracks offenders in the institutions; (2) the Parole Caseload Transaction System (PCTS) which tracks offenders on parole; and (3) the Parole Eligibility Determination System (PEDS), which tracks sentences for min/max (determinate) sentence offenders. These systems provide reports for routine planning and management purposes within the Department, as well as responding to inquiries and special research needs of other government agencies at the federal, state and local levels.

AMS uses the computer facilities of the Systems and Communication Division of the State Police. In contrast, PCTS and PEDS use

the computer facilities of the Department of Human Services for system operation. The system covers all offenders entering the system. Admissions data and offender characteristics information collected at other reception units are transmitted by telephone to a central data base. Approximately 64 data elements are gathered on each offender admitted to the Department. The system became operational in 1977 and it is used for management, operational and research purposes.

The Parole Caseload Transaction System is currently maintained by the Bureau of Parole. Upon release to parole, an offender is assigned to a Parole District Office, where a Parole Caseload Officer records relevant information on a Caseload Transaction Form to create a computerized Master Parole Caseload Record. The Parole Caseload Officer will therefore report any change in status of the parolee, such as change of district, change in caseload, etc., by completing a new transaction form. The caseload transactions are updated monthly at the data center and additions to or discharges from parole are also entered.

The Parole Eligibility Determination System which is maintained by the Bureau of Correctional Information Systems, records and updates all parole eligibility data for all institutional offenders serving min/max sentences. These records are maintained on minicomputers at the separate insitutions which house these offenders. After the base dates for minimum and maximum sentence and parole eligibility are entered into the system, the appropriate minimum and work credits are posted monthly to each offender's record and minimum, maximum, and parole eligibility dates are then recalculated and a computerized record is forwarded to the State Parole Board.

The Admissions and Movement System provides the Department of Corrections with the capacity to track the institutional movement of inmates and, as such, is the primary information system used by the Bureau of Correctional Information Systems.

The Department of Corrections have recently received a grant to develop OBSCIS. This system will not resemble the OBSCIS model suggested by SEARCH Group, Inc., but will result in the integration of AMS, PCTS and PEDS. It is felt that this approach will better meet the needs of the Department of Corrections. The detailed system design and planning required to integrate these three systems has now been completed. In terms of integrating AMS, PCTS and PEDS, attention will be first given to AMS and PCS. The conversion specifications for this task have been competed and it is expected that integration will occur in 1980 or 1981. Current plans call for the integration of PEDS in 1981 or 1982.

While the original plan for the New Jersey OBSCIS emphasized research and statistics, the system as implemented will provide primarily managerial and operational support to the Central Office of the Department of Correctional and the various correctional facilities. Secondary emphasis will be accorded to research. This change in focus has been dictated by the current requirements of the Department of Corrections. In this context, plans for future enhancements involve the design and implementation of three modules: sentencing, disciplinary actions and parole release decisions.

During the planning of New Jersey's approach to OBSCIS, the new "basic OBSCIS" system as implemented in Iowa was examined by New Jersey officials. It was, however, decided to develop in-house design for a number of reasons. First, it was estimated that the system in Iowa had to track only a relatively small number of inmates compared to the approximately 6,500 inmates incarcerated in New Jersey as well as the approximately 8,500 offenders on parole. Furthermore, the assignment of identification numbers to prisoners is much more complicated in New Jersey which utilizes multiple reception centers to process newly committed inmates. Finally, the sentencing structure in New Jersey has recently become more complex following the enactment of a new penal code which mandated a

determinate sentencing structure. These required changes in the correctional information system to account for certain aggrevating and/or mitigating circumstances of the crime as well as the discretionary judicial decisions which impose minimum terms for certain offenders.

As with other OBSCIS systems, the Department of Corrections is confronted with the problem of converting its manual files covering currently incarcerated inmates as well as of offenders presently on parole. New Jersey focused on the conversion of admission and movement files. The effort began with an institutional survey conducted in June 1976. The survey concentrated on gathering the name, residence and identification number of all inmates confined at the time. The results of this survey were matched against the records then held by the data center and a new master file was created in November 1976. All ne admissions were recorded frim November 1976; movements, from April 1977. all movements from June 1976 to March 1977 were converted. By June 1979, all admission and movements from June 1976 onward had been converted.

9. New York

About December 1975, funding for a correctional management information system was received by New York State and by April or May of 1976 the project was started. The first year's effort concentrated on the development of batch programs and the organization of the means of receiving information (in terms of flow, format and content) from the institutions. The second year's effort focused on the develoment of the data base and on an "on-line" capability through the establishment of CRT's in the 24 major correctional facilities (prisons) of the 33 state institutions. The third year's efforts involved "on-line" programming.

The correctional management information system is not considered by New York officials to be "OBSCIS" for there are actually

several different systems being used. However, the term "OBSCIS" is being used as a form of convenient "short-hand". Among the items of information collected are the following: offender identification data, crime data, demographics, release dates, and parole dates. It is estimated that the system contains approximately 52,000 records on individuals including such subpopulations as those under custody and those on parole.

In terms of the OBSCIS model (or set of recommended subsystems), the Correctional Management Information System (CMIS) of the New York State Division of Correctional Services collects all core data elements and a variety of the optional data elements recommended by SEARCH Group, Inc. The data flows into the Division of Correctional Services' (DOCS) Central Office. The computer itself is located at the Office of Governmental Services.

The original goal of this system was to provide the data needed to:

- meet the management information needs of both the central office and the facilities
- fulfill the requirements for program assignment and risk classification
- conduct research for both the governor and the state legislature

The latter goal was established because of requests from the governor and the state legislature for data on which to base policy and budgetary decisions.

It was estimated that DOCs received the major share of development funds from the federal government. The state has, however,

taken over funding of the system since April 1978. The system's goals have remained basically the same, but there is increased emphasis on providing management information system support to the facilities, (e.g., providing hardcopies of inmate's records at the facilities).

As with other systems, the DOCS' management information system has faced certain technical problems, but current difficulties are created by budgetary constraints. Because of budget limitations, personnel are not being replaced and the focus is on mere system maintenance rather than enhancement. It is believed that when there is a question of more guards or more computer personnel/terminals, the money will go for guards. The increasing inmate population and attendant security problems tend to force this choice. The state had approximately 12,000 inmates in 1973 and 21,000 inmates in 1979. Any enhancements to the system will require federal funds.

Current plans for such future develoment of the system are focused on five areas: an in-depth classification scheme; a link with CCH - aliases, wanted, etc.; program tracking; cell assignment; and mini-computers and individual facilities.

In terms of a classification scheme, DOCs is focusing on: a receiving blotter for newly incarcerated inmates describing: the crime, socioeconomic factors, and prior record, and a classification for describing reading level, IQ, etc.

While seeking federal assistance to develop those enhancements, New York is not looking for "canned" packages feeling that such packages are not useful and may be more trouble than they are, in fact, worth. It is believed that systems must be situation specific since each organization's needs are unique and must be met in order of defined priorities.

10. Pennsylvania

In 1976, the Pennsylvania Governor's Task Force on Criminal Justice Information Systems received a grant to develop a plan for the design and implementation of an Offender-Based State Corrections Information System. The system, as envisioned, was intended to serve the case tracking, management, and administrative needs of both the Bureau of Corrections and the Board of Probation and Parole. Such objectives differ somewhat from those established by SEARCH Group, Inc. More specifically, the basic objectives of the Bureau of Corrections was to institute an automated computer system to increase the effectiveness and efficiency of tracking offenders through the system. Objectives for the Board of Probation and Parole were, however, more diverse and include:

- to improve management by providing pertinent information in a timely manner;
- to provide concise data, including a weighting scheme to estimate the probability of recidivism, in the form of a summary report for probation and parole hearings;
- to keep track of and maintain a balanced case mix of probation and parole caseworkers; and
- to record and maintain an up-to-date accounting of referrals to, and costs incurred from, the Welfare Department.

At the present time, the plan for the probation and parole segment of the OBSCIS system is complete, while work is nearly finished on the plan for the corrections module.

The system being planned for Pennsylvania is considered to be very different from the original OBSCIS model developed by SEARCH

Group, Inc. Under the model, OBSCIS has eight modules aimed at assisting state corrections management officials. Of the eight modules, only one deals with probation and parole. That OBSCIS emphasis does not, it is believed, coincide with existing state needs, largely because there are a number of autonomous, local institutions in Pennsylvania and a considerable need for probation and parole information. In order to institute a complete offender tracking system, representatives believe it is necessary to integrate these non-state level institutions into the data collection system. It is felt that only through such integration can the basic management and administrative needs of corrections officials be achieved in Pennsylvania.

11. Utah

Utah has not yet implemented the OBSCIS model, although it currently has a grant from LEAA to accomplish that goal. Utah was not one of the OBSCIS pilot states and has implemented its own information system designed to serve the needs of the Division of Corrections. The Division is part of the Utah Department of Social Services, which is not primarily a criminal justice organization. The Utah Corrections Information System is an outgrowth of two individual batch information systems which were implemented with LEAA funds in 1971 and 1972. The first of these systems was called PRISM (Prison Information System for Management). PRISM was an automated card system established at the Utah State Prison to collect data on the prison population. The relatively small population at the prison (approximately 700 inmates) made it possible to develop and implement PRISM quite readily. Data were coded and punched on a single card for each inmate. Most of the data analyses were done using a card sorter. Occasionally, more elaborate analyses were done using the computer at one of the local universities.

The second information system funded for the Division of Corrections was called CRIME (Corrections Research in Management

Efficiency) and operated as an information system for Adult Probation and Parole (AP&P). The develoment of CRIME paralleled the PRISM implementation, but developed more slowly because there were so many more cases to handle and the AP&P offices were scattered throughout the state. Three separate systems resulted: Parole, Felony Probation, and Misdemeanant Probation. The cards punched for each system had a different format and some unique data elements. Most of the analyses were conducted using the card sorter at the prison. In addition, AP&P was also maintaining a manual filing system and was required to send a copy of every face sheet record prepared to the prison for coding and punching. The system was redundant, cumbersome and expensive to operate.

In an attempt to design a more efficient system, a consultant was employed and he recommended a system very similar to the OBSCIS model. It was felt that the system was well designed, but was never implemented because of institutional roadblocks set up by the prison management, AP&P, and the State Computer Center.

In 1976 it was decided to unite the prison system and the three systems developed in AP&P into a single corrections information system with a common data base. This system was programmed and is now in operation in Utah as a batch input and output information system.

The system required Federal funds for development. Although at first the system was operated on the computer at the University of Utah, it is now operating at the data processing facility of the State Information System Center. The primary use of the system is for correctional research and caseload and statistical analysis, and the design has been stable for some time.

The Division of Corrections is currently planning to transfer the "Basic-OBSCIS" system software now in operation in the State of

Connecticut to Utah as part of OBSCIS implementation. The system to be operated at the State Computer Center will have on-line entry and retrieval and seven computer terminals. An initial OBSCIS grant has been received by Utah and transfer is expected late in the Spring of 1979. One of the goals of the OBSCIS model implementation is to provide a basis for statistical comparisons between Utah correctional data and nationwide statistics obtained from other comparable OBSCIS installations.

Utah is planning to embark on the implementation of an OBSCIS after three years of operation of its locally designed Corrections Information System following four years of experience with data processing and systems. The new system will be considerably sophisticated in comparison to the current system involving on-line data entry and retrieval through computer display terminals located remotely from the State Information System Center. The "Basic-OBSCIS", in the eyes of Utah corrections personnel, needs to be expanded to cover the state's probation operations and security and privacy considerations require adequate examination and implementation. In addition, it is the feeling of the corrections staff that "Basic-OBSCIS" as implemented, will support corrections management, but is not sufficiently responsive to the needs of lower level corrections staff and that the system is too inflexible in operation.

12. Wisconsin

The State of Wisconsin has never developed a Comprehensive Data System (CDS) plan even though such a plan is a LEAA requirement for funding of state and local computerized criminal justice information systems. LEAA, however, waived this CDS requirement and granted a one year exception during 1977. Consequently, the Wisconsin Department of Health and Social Services, an umbrella agency which includes the Division of Corrections, received an 18 month grant from LEAA to design and implement an OBSCIS system. Specific responsibility for OBSCIS development has been assigned to the Office of

Systems and Evaluation with technical assistance provided by the Office of Information Systems.

Official development of the Wisconsin OBSCIS began during November 1978. According to its initial plans, the goals of this specific system are in line with those specified by the OBSCIS developers at SEARCH Group, Inc. Among other capabilities, the system is to be designed to track adult offenders and to meet national reporting requirements. Additionally, the basic plan for the system is intended to meet Department of Health and Social Service objectives including tracking juvenile offenders, responding to daily requests of key administrators and integrating existing stand-alone automated systems.

In order to achieve these objectives, Department of Health and Social Service staff has begun an evaluation of the data elements (e.g., definitions, use, interpretation) contained in the existing systems. These systems, developed during the late 1950's and the 1960's, were designed to stand alone and are basically tape oriented. Within this general context, OBSCIS is viewed as a vehicle to be used to delineate the data elements required for a comprehensive computerized corrections information system and as the cornerstone needed to build an integrated system which will include many of the already existing stand-alone systems. OBSCIS is not seen as the overall system, but rather is perceived as one component of a much larger system referred to as the Corrections Integrated Program Information System (CIPIS).

Once delineation of the data elements is completed, present plans call for in-house development of the software packages needed to implement and operate all eight modules of OBSCIS. As currently envisioned, the system will provide for both batch and on-line data input capabilities, and on-line editing and output capabilities.

Control, operation, and management of computer facilities in Wisconsin is now centralized under the direction of the Department of Administration. However, this situation will change in 1979, when computer management and operational responsibilities for corrections systems will shift to the Department of Health and Social Services.

Development of OBSCIS in Wisconsin emphasizes use of in-house personnel plus integration of OBSCIS with existing, automated systems. Staff involved feel that use of in-house programmers is the best approach to ensure continuity of software develoment. Similarly, they believe integration of OBSCIS with other systems will enhance the prospect of the state supporting OBSCIS after federal funds terminate, meet the needs of the state legislature, provide positive inmate tracking and meet national reporting requirements.

APPENDIX D

STATE JUDICIAL INFORMATION SYSTEM SITE VISITS

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STATE JUDICIAL INFORMATION SYSTEM SITE VISITS

Evolution and Operational Status

Ten different SJIS sites were visited during the course of this study. In Rhode Island and Florida, modified versions of PROMIS are being used to form the basis of a SJIS. This section summarizes efforts to develop, implement and use SJIS in each of the nine states.

1. Alabama

The Alabama SJIS is a statewide system designed to provide the information needed by the Administrative Office of the Courts (AOC) to manage the Alabama unified court system. There is continuing discussion between the courts and AOC to establish specific SJIS requirements and to provide the means to meet them. Whether or not the system will expand to become a more complex system through the establishment of terminals and printers, etc. in each jurisdiction will depend on the actual need of the courts and AOC for such services.

The unification of the state court system which went into effect in January 1977 is seen as critical to the development of SJIS. The court system is truly unified in many key aspects (e.g., personnel, budgetary and purchasing). Thus, although the courts clerks and the judges are elected, both the district and circuit courts are under the centralized AOC's administrative control and the AOC reports to the Chief Justice of the State Supreme Court.

The Alabama SJIS currently collects a wide range of data in order to provide the management information needed by the Administrative Office of the Courts. SJIS operates on the Alabama

Criminal Justice Information Center's (CJIC) computer system. The AOC's Information Systems Division (ISD) has terminals in its offices which provide access to the CJIC's computer which serves the SJIS data base. Data is presently forwarded from the courts to ISD/SJIS where it is processed, reviewed and entered in the system.

The primary goal of SJIS is to provide the management information needed by the unified court system in Alabama. The availability of federal funds prompted system development which might not have been otherwise possible. Both federal funds and some state funds have been expended to develop and implement SJIS.

The SJIS project consisted of two phases. Phase I began in July 1976 and concluded in December 1977. It was primarily a planning stage, but did produce products useful to ISD and the courts in general. Systems were actually designed and implemented; reporting forms standardized; and plans made for future development. Phase II began in December 1977 and will conclude in 1979. This phase is devoted to future planning and development and further record standardization. To date the following information systems have been implemented: CCH data element case disposition system; caseload reporting system; personnel applicant system; property general ledger; revenue accounting systems; reporting; uniform traffic ticketing and complaint system; and labeling systems. All the data needed for these systems is mailed into the Information Systems Division of AOC on a varying schedule according to reporting requirements (i.e., the need for data). They are then reviewed and entered in batch or, in the case of CCH, through an input terminal.

2. Florida

In Florida, approximately 85% of the case information is produced by about 12 counties while there are an additional 55 other counties which provide the other 15% of case information. The decision was made, however, to develop a prototype SJIS in a circuit

which was composed of small and medium type jurisdictions which are the most prevalent in the state and, therefore, more representative of Florida's makeup. The basic goals of the prototype SJIS in Florida coincide with those set forth by SEARCH Group, Inc. and have remained consistent throughout the project although the system was developed only for a single jurisdiction.

A prototype information system has been developed for the criminal courts of the Second Circuit which consists of six counties which account for five percent of the state-wide caseload: Franklin, Leon, Jefferson, Wakulla, Gadsden, and Liberty. It was felt that the "bottoms up" approach (building SJIS from jurisdictions below the state level) would pinpoint local court needs and problems which might be overlooked in a "top down" approach. Moreover, it was feared that the "top down" approach might be interpreted as an infringement on the traditionally independent operation of local court systems. The decision to develop such a prototype (or a "mini-SJIS") system was based on two assumptions:

- that the experience gained in developing, implementing and operating a prototype system would decrease costs in the design of a statewide system; and
- that the prototype would serve to demonstrate the usefulness of SJIS in Florida

In setting up this prototype system, the SJIS project team sought to identify and adapt a court information system operational in another jurisdiction for use in Florida. It was felt that adapting such a system would be more cost-effective than developing one from "scratch", provided that the system was flexible enough to deal with the variance among local courts. As a result of a search the PROMIS system as extensively modified and adopted for court's use in Milwaukee, Wisconsin, was chosen to serve as the base for a system for the Second Circuit. The software was received in Florida in

1976 and modified to meet the specific needs of a multi-jurisdictional setting. A number of data elements addressing the needs of the local courts were added (e.g., reasons for continuance of cases and identification of the county court system). Data gathering and SJIS operation commenced in 1977 and the Office of the State Court Administrator is currently receiving aggregate statistics from the local courts in Florida. To date, Florida's efforts to modify PROMIS and develop an SJIS have centered on the case flow management subsystem, specifically the criminal module, however, attention will also be given to the appellate module.

Problems inherent in the develoment of a SJIS were additionally complicated by the fact that eight large Florida counties have already developed their own local court information systems. As a result one of the difficulties with any future system integration will be the lack of commonality in data elements. It was felt, however, that when SJIS was ready to expand those differences could be worked out through negotiation between AOC and the jurisdictions involved. It was also felt that this problem might be exacerbated by the adoption of the PROMIS system by local courts without careful planning to insure an effective interface with SJIS. Without planning and coordination in such areas as state guidelines requiring grants for information systems to meet state requirements, local efforts, even of value to the local courts, may not contribute to the development of a statewide system useful to all. The very flexibility of PROMIS has contributed to the problem and creates the need for some form of centralized direction in collection of common data elements. Particularly troublesome is the potential adoption of "second or third generation" PROMIS systems, (i.e. PROMIS systems obtained from the jurisdictions which have already modified PROMIS to meet their own specific requirements). The required modifications of such systems to meet new needs creates additional problems.

3. Georgia

The Georgia SJIS project's objectives focused on the improvement of management decisionmaking in line with the SEARCH model. The SJIS project, which started in 1974 and continued through 1977, was placed under the direction of the Administrative Office of the Court, the Georgia Judicial Council. To accomplish the objectives, the Administrative Office of the Court designed and attempted to implement a model based on a "bottoms-up" approach. The overall model was comprised of three subsystems: criminal, civil, and juvenile. Efforts to develop the three subsystems were, however, very uneven. While the juvenile system was more or less ignored about three-fourths of the design work was completed for the civil subsystem. Of the three, only the criminal segment actually reached the implementation phase.

The criminal subsystem design divided the system into three categories: manual mail-in jurisdictions; on-line input jurisdictions; and local systems with their own computer facilities. After developing the necessary software, the Administrative Office implemented the first two categories as pilot programs in order to test the feasibility of the design. The pilot test of the manual application was conducted in the five-county Blue Ridge Judicial District and lasted less than one year. Albany, Georgia--the Dougherty Judicial Circuit--provided the site for the on-line pilot test of a system consisting of two terminals and a mini-computer. This site was operational for about one year and its funds termination ended SJIS development in Georgia for all practical purposes.

In both cases, the pilot tests were less than successful and were terminated in 1977. There were several reasons for this outcome. First, according to the Administrative Office, the CCH/OBTS data requirements demanded a "bottoms-up" approach. However, a "top-down" design would have been necessary to impose uniformity in

Georgia because the judicial system is decentralized and comprised of 42 relatively independent circuits. Second, restrictions stipulated by federal grants prevented the Administrative Office from buying the computer hardware needed to fully implement on-line operations. The equipment used during the pilot test had been leased, but Administrative Office staff did not view this as a satisfactory long-term arrangement. Third, SJIS was not seen as a high priority by the Board of Directors of the Administrative Office. Therefore, the Judicial Council did not have the power base necessary to pursuade the state legislature to appropriate additional funds to further implement and institutionalize SJIS.

4. Lousiana

In 1973, Lousiana began to participate in the LEAA program for the implementation of a State-wide Judicial Information System to develop judicial information and statistics. The Louisiana Criminal Justice Information System (LCJIS) viewed the SJIS effort as a potential source of court data for the OBTS/CCH System. Therefore, in a cooperative effort, LCJIS assisted in the implementation to be undertaken in two phases. Initially, the system was to be developed utilizing requirements defined by the Judicial Administrator. After the system was operational for six months the system would then be expanded, principally in the charges and disposition area, to provide data satisfactory for OBTS.

SJIS had, as its initial goal, the achievement of the objectives outlined by SEARCH Group, Inc. as follows:

- To improve the operating and administrative functions of the courts of Louisiana;
- To provide the judicial-generated data elements of the Offender Based Transaction Statistics (OBTS) and Computerized Criminal History (CCH) file.

Although the data elements to be utilized by the Judicial Administrator's Management Information System were determined on the basis of the OBTS/CCH need for judicial information rather than solely in response to the court administrator's need for court management information, the intended use of the system as a source of court data for the OBTS/CCH System has not materialized.

Although it was envisioned that SJIS would give the state court administrator the data collection capability to meet his administrative needs as well as supply the required OBTS/CCH data, the current objective of SJIS is now only to meet the needs of the state court administrator. The initial system implementation had the strong support of both the judiciary and the executive departments of government. However, opposition to the system arose within the ranks of the clerks of court who objected to the use of Federal funds in the courts and to reporting any information to the state judiciary.

As originally conceived, SJIS was to be handled on the central OBTS computer operated by the Louisiana State Police as a batch system. Strong political differences between the governor and the courts, together with the opposition of the clerks of court resulted in an unstable system implementation situation, however, and SJIS has never achieved its stated goals. The system is now operated on the computer in the Louisiana Health Department rather than on the OBTS/CCH computer of the Department of Public Safety. The Health Department has indicated, however, that it may not be able to host the system in the future. (It is believed that pressure from the Governor's office may have caused the reluctance of the Health Department to continue to assist the courts.)

Current plans for SJIS improvement include an attempt to secure a dedicated computer to run SJIS under court control. In addition, there are plans to simplify the system itself, by eliminating "non-essential" data elements; providing for audit checks of data

quality; and increasing the usefulness of the output management reports. Institutionalization of the system into state government is dependent on improvements in the relationship between the Governor and the judicial branch of Louisiana government.

5. Michigan

The development of the Michigan SJIS began in 1971 when the Michigan Supreme Court appointed a Procedures and Technology Committtee to assess how modern information and computer technology might be applied to the courts. The Committee established a Special Industry Advisory Board consisting of representatives from the Chrysler, Ford, and General Motors Corporations.

The Michigan SJIS was developed to meet the operational needs of the courts, in conjunction with the needs of other users, in terms of the courts' information requirements. In this context, the Michigan SJIS might be best described as a series of systems designed to meet the information requirements of four different components of the court system: juvenile, district, circuit, and appellate. The purpose of the Michigan Judicial Data Center which provides the data processing facility for SJIS is also to improve the administration of the court system in that state. Together SJIS and the Center have goals parallel to those developed by SEARCH Group, Inc. for SJIS.

To accomplish these goals, the Basic Michigan Court System (BMCS) was developed to serve the criminal case functions of the larger circuit courts. It is an on-line concept with emergency backup. It was designed in 1972 and first implemented in the Detroit Recorder's Court in 1973. The Detroit Recorder's Court, with responsibility for the City of Detroit, handles about 45 percent of all the felony cases in Michigan. BMCS is currently

operational in several additional courts: Jackson Circuit and in the District Courts of Jackson and Ann Arbor. Among the other systems develoed for the courts of Michigan are the following:

- the Annual Report II System - to provide the capability of gathering and reporting statistics for the district circuit and municipal level courts
- the Case Information Central System (CICS) which is designed to function in tandem with BMCS and produce caseload information;
- the Traffic and Ordinance System (TOCS) which processes state misdemeanors, traffic-related felonies, high misdemeanors and local parking, traffic and ordinance violations; and
- a Case Activity Reporting System (CARS) for the Circuit Courts and another for the District Courts.

In addition to these systems, Michigan SJIS also has a District Court Advanced System, a Probate Court Rule System, a Probate Court Advanced System and, in the area of juvenile justice, the Child Care and Placement Information System (CCPIS). A replacement for the original CCPIS is now being developed. Finally, a Court of Appeals Project will be implemented in modules as it is developed.

The Judicial Center uses both batch and on-line processing depending on the information requirements placed on the various systems. For example, CARS uses batch processing while all of the Advanced Systems (including BMCS) use on-line processing.

6. Minnesota

The Minnesota state court administrator* has collected summary caseload data from local courts since 1964 under statutory authority. Although the data were first processed manually, for the last nine years aggregate district court data have been processed by a computer owned and operated by the state's Information Systems Division. Aggregate county court data has been processed by computer since 1974. This computer processing consisted of data manipulation and report generation based on month-end summary reports submitted by the individual clerks of court.

Minnesota is a CDS state and an OBTS system was developed under the direction of the Bureau of Crminal Apprehension (BCA), and has been operational as a computerized system since 1972. Clerks of court report critical events that occur during court processing of felonies and gross misdemeanors, beginning with the filing of the indictment or complaint. Such data is entered into the BCA's Computerized Criminal History files.

In 1974, the state court administrator's office initiated Phase I of its SJIS Project as one of the original SJIS state groups. The batch system was to serve the dual goals of providing greater managerial control over the state's courts while at the same time minimizing the increase in overal clerical workload.

The system was to be designed to benefit courts at all levels. The design would initially collect data at the district and county court levels and transmit this data to the supreme court. A statewide uniform case number system was recommended to simplify this

*See Minnesota Performance Assessment Report, C.R. Judice, G.R. Gaff, R.W. Delaplain, and R.G. Speight (1978).

procedure. The resulting database was to be utilized to provide periodic inquiry and special reports as well as form the basis for the development of additional systems such as financinal and personnel information systems.

System development and implementation did not occur during Phase I, however. The SJIS that is operation in Minnesota was essentially developed during Phase II of the project rather than the implementation of the Phase I design. It is primarily a management information system and does not process significant amounts of criminal case information.

Since August 1978, SJIS modules that process civil, probate, and family case transactions have been fully implemented in all district and county courts. Criminal case reporting is still accomplished through the Bureau of Criminal Apprehension's CJRS system, although the court clerks do not fully cooperate and are failing to complete the necessary report forms.

All district and county courts mail transaction report forms for civil, probate, and family cases to the state court administrator's office on a daily basis. Following initial data validation, data from the forms are entered on-line into SJIS via CRTs located within the state court administrator's office. The current Minnesota SJIS has placed heavy emphasis on on-line entry and editing of data. The on-line query ability provided by the system is currently of limited utility.

Output reports produced by the system are designed to be primarily of value to state-level court administration and district trial court administrators rather than to local judges and clerks of court.

SJIS grants have been received from LEAA for Minnesota SJIS development and state funds have also been utilized for development.

It is expected that additional state funds will be used in the next two years to expand the criminal case processing, to cover juvenile case processing and provide for trial court caseflow management.

The project is considering enhancing the system with such improvements as a weighted caseload system and is trying to secure its own distributed processing equipment. The latter would free the SJIS from dependence on the state's Information Systems Division for data processing support.

7. New Jersey

Started in 1976, the Judicial Management Information System (JMIS) of the Administrative Office of the Courts is intended to assist the judiciary in the collection and analysis of the data needed to manage the court system and allocate the State's judicial resources. The current status of SJIS which is supported entirely by state funds in New Jersey, might best be described as a semi-automated or computer assisted management information system. This system is designed to provide summary reporting data regarding such factors as caseload and other court statistics. Since JMIS does not have its own computer facilities, it has entered into time sharing agreements with two different state data centers, however, the courts' work is often assigned a low priority by these centers.

In order to correct that situation, the Administrative Office of the Courts plans to develop its own dedicated Judicial Data Center capable of meeting the statewide needs of the court system. It is expected that such an acquisition of its own computer facilities will enable JMIS to become a computerized, state-level judicial information system. It is envisioned that this system will be linked to compatible county-level court information systems, replacing the CDR. The National Center for State Courts has already submitted a proposal for a detailed analysis of the requirements for the Judicial Data Center and its computer facilities.

In terms of linking JMIS to court systems at the county-level, it should be noted that six county-level courts have developed their own independent computerized information systems. Any future linkage between those systems and JMIS will depend, therefore, upon the compatability of the systems. However, at the present time the Administrative Office of the Courts is also involved in a cooperative effort with the State Attorney General's Office to implement the intensive PROMIS program. Known as "mini-PROMIS/GAVEL", this program in New Jersey is intended to provide both prosecutors and trial court judges with information regarding pending criminal cases, facilitate case processing and assist court administrators in caseflow management.

In addition to providing a variety of statistical reports, JMIS has also been involved in a variety of other projects designed to assist the courts. For example, the Pretrial Intervention Central Client Registry has been automated and an on-line system has been developed to assist the Appelate Division.

8. Pennsylvania

In the 1970's the Administrative Office of Pennsylvania Courts began participation with LEAA in development of a State Judicial Information System to increase the effectiveness and efficiency of court administration. The goals of the Pennsylvania SJIS were similar to those developed by SEARCH Group, Inc. The Administrative Office planned to design a local standardized reporting system for smaller counties who couldn't afford such a computerized system on their own. Under that design three to four regional computer centers would be established to provide on-line, day-to-day data processing services to these smaller counties.

During the wait for the release of SJIS funds, the Administrative Office developed a Docket Transfer Form designed to accompany each criminal case through the courts. This form is used to capture

the statistical information from each case which is needed to effectively manage the courts and also to provide the state police with case disposition data required by CCH. Presently the Docket Transfer Form is being utilzied by Allegheny and Philadelphia counties and it is anticipated that the form eventually will be used by the entire state.

The proposed overall SJIS approach in Pennsylvania following the SEARCH model has proven to be unfeasible. First, the court system is not yet unified, resulting in continued state versus county confrontation over control of funds. Second, there exists a great diversity among counties in Pennsylvania, ranging from the very urban to the very rural, each with different information needs and capabilities. Third, Philadelphia is very different than the rest of the state having a "home-rule charter", the largest caseload of any county and is the only legislatively designated "first class" county in the state. In addition, the Administrative Office ran into funding problems at the state level in February 1977 and as a result, the Office did not begin to spend SJIS funds until 1977.

Currently, the Administrative Office is still using funds from the first SJIS LEAA grant. A proposal for a second grant has been submitted with the objective of continuing development of SJIS. To achieve its goal of effective court operation, the Administrative Office intends to use a redesigned SJIS to develop a loosely coupled distributed network, with mini- or maxi-computers located throughout the state to provide designated court personnel with easy access to the system. The State will provide the necessary message switching system and in turn, the county-based court systems will be required to furnish information for the basic data base although they will also be able to add additional local data. In terms of the basic data base, the Administrative Office wants to develop a total management information system including data on such areas as caseloads, personnel and finances. It is anticipated that some of the

more rural areas will continue to use a manual approach, and the State will transform the data to machine-readable form and input it into the system.

Additionally, the Administrative Office is planning to experiment with "Maxi-Mini" PROMIS to determine its feasibility as a building block for SJIS. This pilot project, to be implemented in Montgomery County, will concentrate on tailoring the PROMIS software to perform the SJIS functions as defined by NCJISS and by the needs of the Administrative Office.

In addition to automating the Docket Transfer Form data collection system and designing, implementing and monitoring the "Maxi" Mini-PROMIS project, the Administrative Office hopes to initiate several other SJIS tasks in the near future. Key among these tasks are:

- to work with representatives of other agencies (especially the State Police and the Governor's Task Force) to define CCH data needs and develop a Dictionary of Terminology;
- to develop an automated data collection system for the appellate courts; and
- to develop an automated civil case control system in order to monitor caseloads to ascertain whether or not they need more judges.

9. Rhode Island

The Rhode Island SJIS is located in the Office of the State Court Administrator, Supreme Court of Rhode Island. This SJIS is a statewide system based on a PROMIS system previously adapted by the State Attorney General's Office. The State Attorney General began

using the "batch type" PROMIS system in 1974. Toward the beginning of 1977, the State Supreme Court assumed responsibility for the management and future development of PROMIS. It appears that the use of PROMIS was discontinued by the State Attorney General's Office because of a lack of interest after a change in administration. PROMIS was picked up by the courts because a need was seen for such a management information system.

The SJIS system still operates in a batch mode, but the staff is developing the capacity for a statewide, on-line system which is expected to be operational sometime in 1979. SJIS focuses on the criminal module of the case flow management subsystem. The Rhode Island SJIS is really an extension of the PROMIS system through the addition of a sentencing subsystem and a lower court subsystem. Modifications were also made in the editing and programming of PROMIS to meet the requirements of Rhode Island's courts.

SJIS commenced operations in Providence, Rhode Island, because it is the largest jurisdiction in the state and consequently, data collection was based on the information requirements/needs of Providence. SJIS's coverage was thereafter broadened to meet the needs of other jurisdictions. In this system, the flow of information on a case begins once a charge is filed. (The system does not track misdemeanors.) The police complete a portion of a case entry form and forward it to the appropriate State Attorney General's Office for completion. Various court agencies (e.g., the court clerk and the scheduling office) file other case data as required.

The State Court Administrator's primary objective has been to develop SJIS as a statewide information system designed to supply timely and accurate information to meet decisionmaking needs. As a by product, the system has the capacity to produce statistical information and to serve as a resource for research. To accomplish these objectives, Rhode Island collects data on every case regarding

every count, on offender demographics and on victim/witness information as available. Limited offender prior record information is also collected if prior dispositions are available. In addition to being able to provide the reports produced by the PROMIS system (e.g., the Generalized Inquiry Package), SJIS also produces a sentencing register for both the District and Superior Courts (this register is a statutory requirement) as well as reports for police agencies, the State Attorney General, Corrections and other agencies.

10. Utah

The development of the State Judicial Informatin System (SJIS) has not progressed beyond the initial planning stage. Utah has received a grant to perform an SJIS feasibility study from LEAA. The objectives of the study are to examine alternatives for an SJIS development and consider the requirements for such system. Preliminary discussions at the Utah state court level among court personnel led to the following observations on the part of the court staff:

- Using the SJIS court data for support of the court administrator's office is not the Utah priority for SJIS. It is, rather, the requirement for data to support the courts' operational needs.
- The potential relationship between SJIS and the CCH system is questioned because of the different emphasis between the need for SJIS court operational support and the CCH system requirement for criminal case disposition reporting information.

The overall objective of SJIS in Utah is expected to be the implementation of an information system designed to supply the court's operational needs for information, rather than for state

court administration. This potential objective was set forth by a Judge's Steering Committee which recommends policy determination to the Utah Judicial Council. The staff of the Judicial Council is currently examining the initial SEARCH Group, Inc. objectives for CCH as possible secondary objectives for Utah's SJIS. However, no decision on those objectives has yet been made. It has been determined that the courts will supply disposition information needed for the CCH system, and a "contract" to that effort has been made between the Judicial Council and the Utah Department of Public Safety (Bureau of Identification).

Utah expects to use a "maxi-mini" version of PROMIS software as modified to operate on the large frame equipment of the state data processing center to perform the SJIS role. The choice of software will depend on the results of the feasibility study to be performed under the initial LEAA SJIS grant to be completed in 1980.

Local court information systems are already in operation in Ogdon, Salt Lake City, and Provo, and they will probably have to be integrated into an SJIS if complete statewide converage is to be achieved.

APPENDIX E

PROSECUTOR'S MANAGEMENT INFORMATION SYSTEM SITE VISITS

APPENDIX E

PROSECUTOR'S MANAGEMENT INFORMATION SYSTEM SITE VISITS

Evolution and Operational Status

During the course of this project, MITRE staff visited 13 PROMIS sites. Ten of these sites were county jurisdictions. The other three in Michigan, New Jersey and New York were projects designed to develop PROMIS on a multi-county basis in each state. This section presents a summary of current efforts to develop, implement and use PROMIS in the 13 sites visited.

1. Montgomery County, Alabama

PROMIS was implemented for the Prosecuting Attorney's Office in Montgomery by the Alabama Criminal Justice Information Center (CJIC) and is operated through their facilities. Alabama's involvement with PROMIS began because CJIC was not convinced that the courts would cooperate in the development of complete criminal history record information (CHRI) by providing sentencing information. It was thought that by implementing PROMIS, the needed data could be obtained from the District Attorneys.

Work begain in 1976 and it took a year to convert the INSLAW PROMIS software to the CJIC's UNIVAC system and required that some additional inquiry modules be written by CJIC staff. It is a batch system, updated at night with on-line editing and retrieval. The District Attorney's office has a printer and terminal which are tied directly to CJIC and its state operated computer facilities and consequently, the prosecutors are able to use the system in an interactive mode for queries. Large reports requiring considerable processing time are prepared by the CJIC.

PROMIS is being used in Montgomery County as a management information system--a case management system in the sense of informing prosecutors what is the status of cases and their workload. There is no use of the PROMIS case weighting and prioritizing scheme.

In the year since the system has been operational, there have been increasing signs of interest in the operations of the Montgomery PROMIS as evidenced by increased system use. While the District Attorney does not personally use PROMIS, his staff does. In addition, investigators from the sheriff's department and the police use the system to check the dates for their court appearances. Of particular importance to the District Attorney's office has been ACJIC programming which enable PROMIS users to interact with CCH. Thus, staff prosecutors have direct and timely access to a defendant's CHRI and can also check on the CHRI of witnesses as well.

In addition to the automated PROMIS in Montgomery, manual systems have been developed in eight other jurisdictions. By late 1979, CJIC plans, with the cooperation and assistance of local prosecutors, to have implemented five additional PROMIS sites linked to CJIC. The movement toward the development of additional PROMIS systems in Alabama has been spurred by a new state law requiring the establishment of central budgeting for prosecutors. PROMIS is viewed as a management information system mechanism which can provide the information needed to justify budgets. The Office of Prosecution Services will use the information provided by PROMIS to develop unified budget requests for the District Attorneys. That office will also serve to coordinate the development and implementation of PROMIS including plans to implement five more PROMIS sites in addition to those already planned for completion.

2. Los Angeles County, California

The District Attorney's Office in Los Angeles is widely dispersed and has 24 field offices. Eight of these serve the Superior Courts in their areas. Each of the remaining offices service or are associated with one of these eight. There is remote PROMIS data entry in all 24 sites with on-line inquiry, although update to the system is in a batch mode. The operating computer system itself is housed in the county's data processing division. However, the computer is used only by criminal justice agencies, (e.g., the sheriff and the District Attorney).

The need for a management information system was recognized in 1972. In 1973, the District Attorney's office received funding for a feasibility study of the information needs of the District Attorney's office and how these needs might be met. After a study of the District Attorney's office and its information requirements, the system was designed and implemented. The resulting system was operational in selected locations in January 1975 and, as of July 1977, when federal funding ended, it was operational in all locations and was supported by local funds.

The goals of the Los Angeles PROMIS which is an adaptation of the District of Columbia's PROMIS are as follows:

- to provide a means of collecting statistics quickly to respond to inquiries from the District Attorney or county supervisors
- to develop a means to determine if there are pending felonies, outstanding warrants, etc. against offenders
- to enable the District Attorney's office to determine if witnesses have any pending felonies, or outstanding warrants

- to meet the office's management information needs (e.g., caseloads for prosecutors)

These goals were established not only to meet the internal needs of the District Attorney's office but also because of the need to meet external requirements for information from, for example, the county supervisor. The goals for installing PROMIS have, apparently, been achieved. In addition to its initial products, the deputy District Attorneys now receive a hard copy of witnesses' criminal history records.

The calendaring function is not being performed because of lack of cooperation with the courts. In addition, Los Angeles could not use the PROMIS approach developed for the District of Columbia becuse not only is the subpoena issuing process much different in Los Angeles, but also because of Los Angeles' geographical dispersion.

Proposition 13 resulted in the budget for PROMIS being cut in half. Although the cut was restored, the prosecutor's office imposed some financial constraints on PROMIS operations. Updating of the system now occurs only three times a week. As a result, while the deputy prosecutors can query the system at any time, there may be a two or three da, delay in updating the system's data base which they query.

Among the problems with the system is that the deputy prosecutors are responsible for the paperwork which they often feel is burdensome and therefore, some tend to view PROMIS as an additional "headache". Consequently, secretaries are often tasked with completing the paperwork and they are not always careful or accurate. A further problem is created by the fact that an outside agency (the County) runs the data processor for the system and sets priorities for system users. Often, the District Attorney's office receives a low priority.

Both management and line personnel (deputy prosecutors and investigators) use PROMIS. Management uses PROMIS for monthly reports and research related to policy decisions. It was estimated that approximately 10 to 15 percent of the deputy prosecutors are enthusiastic about PROMIS; an equal number don't like it; and a middle group is uncommitted.

Certain changes and additions had to be made in the District Attorney's PROMIS package to tailor it to Los Angeles' needs including: modifying the system to handle California's penal code; handling only felonies in this PROMIS; developing an "in-house" monthly statistical package; and producing a specialized inquiry package. While the PROMIS case ranking or weighting system (offense and offender scores) is not systematically being used, there seems to be increased interest in the case weighting scheme. The Los Angeles PROMIS is seeking improved software and cheaper hardware. No decisions have been made at this time whether the hardware will be a "mini" or a "mainframe" computer.

3. San Diego County, California

The District Attorney's office is responsible for the prosecution of all felonies committed within the County of San Diego and for all misdemeanors committed within the County, but outside the city of San Diego where the City Attorney is responsible for misdemeanors. The District Attorney's office itself is divided into three geographical branches. The PROMIS system in San Diego County is known as JURIS/DA (Justice Records Information System/District Attorney). It is an on-line inquiry/update system designed to search the Case File, the Master Index file, the Schedule file, and the Calendar file and display the requested information in its data base. New data can be entered or the information displayed can be modified and the various files affected by the new information will be updated. The files are stored on direct access disk files at San

Diego County's central computer facility. The access to these files is through cathode ray tube terminals. The County Department of Electronic Data Processing Services provides computer services to the District Attorney's office.

Prior to the implementation of JURIS/DA, there was only an index of current, active cases in the District Attorney's office. JURIS/DA was developed and implemented because that District Attorney's office recognized the need for the centralized processing of data to meet the information requirements of both management and staff. JURIS/DA produces the following reports among others: Felony Complaints Issued; Active Criminal Index; Daily Criminal Calendar; Weekly Criminal Sentencing Calendar; Subpoena Witness List; Subpoenas; and Felony Cases Issued.

The system capability is not used by the District Attorney to rank cases in terms of their seriousness, according to the gravity of the crime and the prior record of the accused.

The design and development of JURIS/DA began toward the end of 1975 or the beginning of 1976. Thereafter, the Electronic Data Processing Center obtained a copy of the "batch type" PROMIS which had been adopted and modified by the District Attorney's office in Los Angeles County. There are, however, a number of differences between the Los Angeles PROMIS and San Diego's JURIS/DA which required additional programming (e.g., different levels of penal specification and identification of documented workers).

It is expected that JURIS/DA will be operational in the last District Attorney branch office in summer 1979. With the end of federal funding the County assumed the costs of system operation.

4. Cobb County (Marietta), Georgia

In 1975, the District Attorney in Cobb County implemented a PROMIS whose initial objectives coincided with those specified by

INSLAW. By 1977 the system was completely implemented, but its output was not being used. The PROMIS software and procedures were, to some degree, incompatible with the County's computer system. Exacerbating this problem was the absence of guidelines detailing system use together with a high level of management expectations regarding PROMIS. Among other problems, data input to the system was performed by assistant prosecutors because there were no data entry clerks available. In addition, although information was being entered, the output data were not being analyzed or used in spite of a perceived need for management information.

In 1977, a new District Attorney took office and his initial decision was to terminate PROMIS based on his assessment that the system did not sufficiently address his operational objectives, which were to:

- improve caseload management;
- provide monthly statistics in order to develop office policy regarding use of discretion in case handling;
- produce court calendars and subpoenas, and
- trace cases to ensure that they are brought to trial within the time limits set by speedy trial laws.*

However, the District Attorney changed that decision after INSLAW agreed to modify PROMIS to meet his objectives and meet the requirements of the Burroughs hardware. INSLAW modified the PROMIS system to address local requirements, rewrote the PROMIS software, condensed the information collection forms, and helped the District Attorney gather support from the sheriff, judges and other members

*It should be noted that these are, in fact, very similar to those set forth by INSLAW.

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of the criminal justice community who would be the primary data providers as well as the secondary data users of the system.

Presently, the system operates in a batch/on-line mode, but will be modified in the near future to become a full on-line, real-time system. Each of the departments in the PROMIS network is responsible for providing the data base with specific data (most of which they would collect in any event). For example, the Sheriff enters the police department identification number and pertinent arrest data, while the clerk of the court supplies indictment and disposition information. In return, the Sheriff and Court receive a host of reports including preliminary, arraignment and trial calendars, and annual statistical summaries. The District Attorney in addition, receives management statistical reports dealing with case processing and effects of office policy decisions. It is planned to expand the system's capabilities and develop programs to: notify victims and witnesses of impending court appearances via mail and pinpoint major cases based on specific variables (as opposed to ranking cases by priority, an existing PROMIS capability).

5. Parish of New Orleans, Louisiana

The Office of the District Attorney of the Parish of New Orleans was one of the first to attempt to install the PROMIS system developed for the prosecutor in the District of Columbia Superior Court. The system was modified and installed in the District Attorney's Office in 1975, using a city-owned computer. Security difficulties (defendants were operating the computer in some cases) and low priority to the prosecutor's needs, resulted in the lease of a dedicated computer under the control of the New Orlean's District Attorney's Office (NODAO).

The PROMIS being used by the NODAO is a version of the original PROMIS software. The system in New Orleans called DARTS (District

Attorney's Record Tracking System), is a batch system with overnight data entry and with on-line inquiry through data termianls. There are eleven terminals currently in use, ten available in the NODAO and one which provides the Sheriff with a prisoner inventory. The primary objective of the system is to provide a tool for more effective management of NODAO. It is fully operational.

One of the modifications of the system as implemented and used involves the case weighting scheme provided in the original PROMIS. The assistant district attorneys found the use of the PROMIS forms difficult to use for the weighting application and, in addition, the District Attorney had a policy of "bringing every case to trial" thereby making the use of the case weighting results unnecessary. The NODAO has found that the available PROMIS package management reports were very useful for office management, but they have also developed additional reports for the use of the prosecutor in monitoring office operations as part of the DARTS service.

The District Attorney has provided strong support to PROMIS from the start of implementation. Although there had to be changes in the basic management data reports prepared by PROMIS for the District Attorney and there have been hardware problems with the terminals, the system has been not only serving the District Attorney, but also has been providing a data base useful to the other New Orleans law enforcement agencies. This additional activity has taken the form of listings of at-large defendants, jail lists, etc. used by the police and sheriff.

The Assistant District Attorneys in the NODAO are the principal users of PROMIS (DARTS). In addition, the outputs of the system are used by the New Orleans Police, the sheriff, the jury commission, and by the judges. The main exchange of information occurs between the police and the District Attorney's Office.

6. Kalamazoo County, Michigan

The Office of the Prosecuting Attorney in Kalamazoo County began operation of PROMIS in a batch system mode in 1977. PROMIS was implemented because the Prosecuting Attorney was of the opinion that the application of computer technology would help alleviate the management problem created by large caseloads

PROMIS was modified to meet the specific needs of Kalamazoo. It does not utilize case weighting procedures in terms of offense and offender scores. Instead, it focuses on such functions as providing management information, responding to inqueries concerning witnesses, generating subpoenas and identifying offenders for the Career Criminal Program.

The Kalamazoo PROMIS software provides for all the PROMIS data elements, but not all of these elements are collected or used. A version of mini-PROMIS is currently being tailored to the needs of the prosecutor's office. It is expected that the new system will be ready for implementation in 1979. Then, both the batch system and the mini-PROMIS will operate in parallel basis until any problems with the mini-computer version are identified and resolved. At that juncture, the batch system will be discontinued and mini-PROMIS will be used exclusively as the Prosecuting Attorney's management information system.

In Kalamazoo, there appears to be some movement toward the utilization of the PROMIS system as a local criminal justice information system. A board has been formed consisting of representatives of the sheriff's department, the Kalamazoo police and the court system of the Eighth Circuit. Meetings have been held to brief these individuals regarding the development of PROMIS by the prosecutor's office. It would appear that once the mini-computer version of PROMIS is operational, the system could be used by any of

the local criminal justice agencies provided that they participate by supplying the required data.

7. Wayne County, (Detroit) Michigan

Wayne County includes the City of Detroit within its jurisdiction. It has been estimated that the City of detroit produces 45% of the criminal cases in the State of Michigan. A modified version of the batch PROMIS was implemented in Wayne County in 1976. The primary goal of the system was to provide management information to the prosecutor, mainly to produce both aggregated statistical reports and information about individual cases. Recently, the system ceased to operate because of lack of funds. However, the Prosecutor's Office is striving to produce at least some aggregated reports by a manual system. It is hoped that the State of Michigan's implementation of PROMIS in selected counties will provide a source of financial support for PROMIS in Wayne County. If that support develops, plans are to implement a mini-computer version of PROMIS.

While PROMIS was operational in the Prosecuting Attorney's Office, there was some exchange of information and discussions with the Detroit Recorder's Court, which has responsibility for the City of Detroit, and with the Wayne County Circuit Court regarding the possibility of extending PROMIS to both court systems. The Prosecutor's Office believes that while there are differences in some of the functions of the three organizations, all use basically the same information, at least in the area of criminal cases. It was felt, therefore, that such an extension could save money, a key consideration in a time of decreasing revenues.

8. The State of Michigan's Multi-County PROMIS Project

In October 1978, LEAA/NCJISS awarded a grant to the Prosecuting Attorney's Association of Michigan (PAAM) to implement a mini-PROMIS

in selected counties. It is anticipated that this task will be accomplished in two years. Eight of the most heavily populated counties in the state have been selected as sites for implementation. Each site will have an on-line, real time system using a mini-computer. Long range plans focus on developing regional centers for less populous counties.

9. The State of New Jersey's Multi-County PROMIS

The multi-county PROMIS project is being developed and implemented by the Division of Criminal Justice, Department of Law and Public Safety. The Division of Criminal Justice has two general areas of responsibility. First, it exercises the state-wide prosecutorial authority of the State's Attorney General. In effect, its Investigation Bureau acts as additional prosecuting attorney's office dealing with such offenses as white collar crime and organized crime. Second, the Division is authorized to coordinate all criminal justice system activities in the state. Consequently, the Division coordinates the system activities of the 21 county-level prosecutor's offices in New Jersey.

Actual development of this system knows as PROMIS/GAVEL because of its intended use by local courts began in January 1979. The PROMIS/GAVEL Project plans to use mini-computers to serve as the basis for a defendant/case oriented system in 14 of the counties in the State. Each county system will produce such items as daily reports, case tracking and calendaring.

The PROMIS/GAVEL Project was undertaken for the following reasons. First, the county prosecutors themselves expressed an interest in such a system and some had taken initiatives to become acquainted with the potential of a management information system. Second, the Attorney General saw the multi-county project as a chance to standardize data reported by the prosecuting attorneys at

the county level and to use such a system (i.e., a multi-county PROMIS) as a means to move one step closer to unified law enforcement in New Jersey. In addition, the availability of federal funds for such a project served as an incentive.

PROMIS/GAVEL is being developed in coordination with the Administrative Office of the Courts (AOC) of the State of New Jersey. The Chief Justice of the Supreme Court as well as the Administrative Director of the Courts have expressed a strong interest in the development of a system which can also serve the courts. To that end, there has been cooperation between the Division and the AOC.

In terms of progress to date, a staff has been hired, a data dictionary prepared and among other tasks initial system design has begun. There has been coordination with the State Police, local prosecutors and the AOC. While stressing compatability in data gathering in each county, allowances will be made for unique local needs in the system design. It is expected that the first system will be operational in Morris County in 1980. That county was selected to test system implementation and operation because it represents the mid-range of crime level in New Jersey, has a quality manual data base and is supervised by an interested prosecuting attorney. In addition, there is a good relationship between the court and the prosecutor's office in the county. Consequently, it is expected that the county will emphasize the test development, implementation and operation of PROMIS/GAVEL as a system to serve the court as well as the prosecutor.

The project has been established as a part of the Division of Criminal Justice in order to coordinate the development of PROMIS /GAVEL. It is thought that a central staff could economically provide the technical assistance to local prosecutors. Moreover, it is believed that a central staff can monitor the modification of local software programs so as to ensure compatability. In this regard, it

was noted that considerable modification would be necessary to use the PROMIS package provided by INSLAW. That package is viewed only as a tool to facilitate the development of an information system meeting the various requirements of New Jersey (e.g., the penal code, Attorney General's needs and the needs of the prosecutors).

10. New York County, New York

An on-line real-time entry and retrieval version of PROMIS became operational in the New York County's District Attorney's Office in January 1978. The system was developed by a software contractor after the District Attorney decided that batch PROMIS was not capable of providing the operational management assistance required. The system operates on the data processing facility of the New York City Police Department's Management Information Systems Division. As the other four New York City Borroughs' PROMIS systems now under development become operational they will also be operated on that police computer facility.

Utilizing specialists who are members of the District Attorney's case processing team the system serves some 250 assistant district attorneys. The implementation of the system resulted in reorganized prosecutor office procedures for case processing and also provides the District Attorney with case statistics and other management data. PROMIS is seen not only as the vehicle for achieving management control over the caseload but also as the means for achieving improvement in the District Attorney's organization.

Many changes to the original PROMIS design were required to use the system primarily for operational caseload support. For example, a new data collection structure had to be built and the PROMIS case weighting scheme is not now utilized. The system is used to highlight crime problems and has been useful in helping to perform various analyses of specific problem areas such as the problem of

costly delays in returning recovered stolen property to retail stores.

PROMIS has now been institutionalized in New York County and it is seen by its staff as being successful, in not only meeting its original goal of providing management information to the District Attorney and his bureau chiefs, but also in providing invaluable operational support to case processing. It also has been the vehicle for achieving improvement in the District Attorney's office operations. Management use of PROMIS statistics include comparison of bureau teams, handling assistant district attorney assignments, and managing the district attorney's office.

Future plans include developing a witness subsystem and in expanding the research uses of the data available from PROMIS.

11. The State of New York's Multi-County PROMIS

The implementation of New York State's multi-county PROMIS is currently underway under the direction of the Division of Criminal Justice Services (DCJS). The program, whose goal is to have 90% of the criminal caseload of the state under automated PROMIS by 1981, was initiated in February 1979. The overall program plan calls for 15 of the state's 62 counties to have installations of either maxi- or mini-PROMIS, with the other counties to have either a non-automated PROMIS or to be part of a regional PROMIS. The initial goal is to implement PROMIS in eight counties (five with automated systems and three with non-automated procedures). Five of those county projects are now in progress. A single contractor is being used for all projects to achieve economies of scale and maximize standardization.

A state-wide PROMIS policy board has been established including District Attorneys from eight upstate counties and two District

Attorney's from New York City. In addition, a working level committee is dealing with project implementation with representatives from the various county prosecutor organizations.

12. Salt Lake County, Utah

The Salt Lake County Attorney's office has implemented an early version of the PROMIS with a current objective of supporting prosecutor office operations, rather than the initial PROMIS goal of office management. Planning and implementation of the system was begun in 1975 and was completed in September 1976. Originally included in an LEAA career criminal program grant, the implementation was completed with LEAA discretionary funds.

Utilizing the county computer facility, the system operates, according to a member of the staff, "like a manual system on a computer". Updates to the PROMIS data base are made each night though an on-line data entry system. The master file created overnight by the batch system is available the next day for on-line retrieval using display terminals in the County Attorney's office. Management reports and calendars are also prepared and distributed, as are witness notices and subpoenas.

The system is available to assist the County Attorney's staff in current operations; however, not all of the assistant prosecutors utilize the PROMIS reports which are available for their use. The lack of such use is attributed by the prosecutor's staff to questions of reliability and timeliness of the data in the system.

System "transfer" of PROMIS required a number of changes from PROMIS as operated in the District of Columbia Superior Court. These changes included a reduction in the number of data elements, changes in the calendar report, and other modifications required because there is no grand jury system in Utah. The staff believes

that it was not easy to adapt PROMIS to their jurisdiction because of local differences in case processing and criminal justice system operations.

The Salt Lake County PROMIS is used primarily by the prosecutor's office, although some of the eight to ten terminals are available to the city and county clerks. Current operation requires approximately $43,000. With the develoment of a court information system in Salt Lake City there may be direct computer input of disposition information to PROMIS by the courts, but there has been no coordination with the state's CCH system.

13. Milwaukee County, Wisconsin

Project Turnaround was initiated in 1975 in Milwaukee County, Wisconsin, with LEAA funding support and is intended to provide assistance to those innocent participants in the criminal justice system such as witnesses, victims, and jurors whose needs had not been met. The program included an Informations Systems Unit (JUSTIS) component which has evolved into a Milwaukee County Criminal Justice Information System using PROMIS as its foundation.

The benefits expected from JUSTIS (Justice Information System) are the following:

- Improved citizen attitude toward the criminal justice system.
- More efficient operation, administration, and control.
- Improved coordination between the Sheriff, District Attorney, and the Courts.
- Provision for handling additional workload without proportional staff increases.

- Close liaison with the latest in national research and development for the criminal justice system.

Representatives of the various law enforcement agencies in Milwaukee County meeting together in 1975, on the subject of criminal justice data processing, found major problems in the areas of docketing, indexing and calendaring of the criminal cases moving through the system. A users group was formed to find an existing data processing system which could meet the needs of Milwaukee. The group visited various data processing facilities in other jurisdictions, including the PROMIS operation in the prosecutor's office in the District of Columbia Superior Court. It appeared to the group that PROMIS seemed closest to Milwaukee's needs, and they arranged to take the system as it was operating in the District of Columbia and test it for usefulness and timeliness in the Milwaukee environment. Following those tests in 1976, the group found it necessary to rewrite the PROMIS software for use on IBM data processing equipment. In addition, the software was changed to enable the system to be operated in a real-time data entry mode rather than in the previous tape-oriented batch sequential mode. Codes used in PROMIS (e.g., designators for crimes charged) were also changed to reflect traditional Milwaukee usage. Implementation of the system was completed in October 1976, and on-line operations began on that date.

The initial system provided computer-produced calendars, minute records, and docketing records for the court clerk's office, as well as serving the district attorney's office with standard PROMIS documentation and reports. The system has been enhanced with the addition of an on-line booking application in use at the Office of the Sheriff and at the House of Corrections.

JUSTIS has evolved from a package designed to assist the prosecutor in office management to a criminal justice information system serving the Milwaukee criminal justice community. Its goals have remained the same as originally conceived; however, changes have

been made to accommodate organizational changes such as the recent unification of the Wisconsin court system.

In addition to on-line file inquiry using names of the participants and on-line inquiry for the full judgment roll, the system can selectively produce subpoenas and management reports using a management report package as well as a generalized inquiry package.

Currently users of the system include the Clerk of Courts, District Attorney's Office, Sheriff's Department, House of Corrections, and Wisconsin Department of Social Services (Division of Correction, Division of Probation and Parole, and Welfare Fraud Investigations Unit).

The system operates on the computer of the Milwaukee County, Department of Administration, Division of Data Processing, and the users are charged on the basis of use and the number of data processing devices in their departments. Currently some $666,000 of county funds are budgeted for system operations.

JUSTIS has been, apparently, a successful "spin-off" of the original PROMIS batch system. By employing on-line data entry and retrieval techniques long before the advent of "mini-PROMIS" for large data processing installations, JUSTIS has been able, not only to serve the criminal justice agencies of Milwaukee County, but also to serve as the basis for the "transfer" of the system to some 34 jurisdictions. The transfer has been accomplished informally with a minimum of expense and with considerable reported success. By expanding the PROMIS capability to directly meet the needs of the courts for judgement role information, calendars, and other operational data while also providing on-line booking to the sheriff, preparing prosecutor and court management data, and creating statistics for management decision-making, JUSTIS is currently meeting the combined needs of several agencies with an operational system whose "bugs" have been largely eliminated.

APPENDIX F

SITE VISITS -- SYSTEM INTERFACE

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SITE VISITS -- SYSTEM INTERFACE

Review

As originally envisioned, each state's CCH system would serve as the central repository of CHRI within the state. The system would collect the various elements of CHRI (e.g., arrest records, conviction records and sentences) from a variety of sources (e.g., police departments, trial courts, probation agencies and corrections departments); collate these diverse items of information; and maintain and disseminate CHRI. At the state level, SJIS and OBSCIS (among their other functions) were seen as the vehicles for gathering and transmitting those elements of CHRI which are the result of decisions made about an offender (e.g., the imposition of a sentence and release on parole) by the courts and corrections agencies. PROMIS, however, as a local system, was not seen as a direct contributor to the state CCH system although PROMIS installations may have the capacity to do so. The following subsections discuss the extent of interface among CCH, OBSCIS, SJIS and PROMIS systems which have been implemented and are operational in the states visited during this study.

During site visits to fourteen states, the development and implementation of interfaces among and between the criminal justice information systems operational in those states was examined. This section presents the results of that review together with some comments on the existing system interface capability and potential.

1. Alabama

The Alabama Criminal Justice Information Center (CJIC) was originally intended to interface with other systems, (e.g., SJIS and

OBSCIS). The ultimate design focused on a system-to-system, direct transfer of data to be facilitated by the common use of the same computer facilities.

When the establishment of a common identifier proved troublesome, it was decided to use CJIC's OBTS number as an identifier and to distribute a numbered form to all police agencies for use in establishing offender records. Thus, there is one central source of identifier numbers and any delay in obtaining numbers from a central source was avoided. The data elements were specified and defined after studying the requirements of Alabama's criminal justice agencies for data transfer.

In January 1979, SJIS began to provide data to CJIC on a systematic basis. Under the procedure, once SJIS receives, reviews, and processes data from the local courts, the CCH data elements are transferred using a terminal into a SJIS "output" file which became an "input" file for CJIC. After processing, CJIC is able to provide the courts with a range of reporting and analytic services. The court receives the CHRI needed for pre-sentence investigation reports through probation officers who have indirect access to CJIC usually through police agencies.

OBSCIS has also developed the programs necessary to transfer data to CJIC on a systematic basis. These will be commonly defined data elements transferred by software programs through the shared computer facilities. OBSCIS is waiting for the OBTS numbered reporting form to start "coming through" SJIS and CJIC in a routine fashion. In the interim, OBSCIS and CJIC exchange CCH data via disks, tapes or cards on an as needed basis to update files and match state identification numbers as well as FBI identification numbers.

As noted earlier in this report, PROMIS was originally examined by CJIC in terms of its capability to provide disposition information. In Alabama, the Montgomery PROMIS interfaces directly with CJIC and the prosecutor's office is able to call up CHRI from the CJIC although the prosecutor's office is not providing data to CJIC.

A number of reasons have been suggested for the extent of interface achieved in that state. The CJIC's director attributes much of the progress to the fact that the system directors had worked together in CJIC in initially developing the various information systems. Thus, they were able to establish a cooperative, working relationship among their agencies' information systems. Important also appears to be CJIC's capability as an independent service organization designed to meet the needs of other, operating agencies, and is not viewed as primarily a law enforcement agency as such centers are in many states.

Paralleling the start of CJIC in 1977 was the unification of the Alabama court system which eased the development of SJIS and its coordination with CJIC. The unification of the court system provided a climate in which coordination could take place.

There were, however, differences of opinion as to the need for inerface among the directors of these systems. All felt that interface was required to comply with privacy and security regulations and the director of CJIC commented that complete information was critical for operational and administrative purposes as well as for research studies and planning. The director of OBSCIS agreed with this comment noting that CHRI was needed to classify inmates into proper risk categories and in dealing with offenders committed for multiple offenses. However, the Director of SJIS felt that there is little need to interchange CCH data if it were not mandated by federal regulations. He felt that SJIS did not receive any benefits from the requirements levied by the regulations.

2. Arizona

As a participant in the Comprehensive Data Systems Program (CDS) Arizona was concerned with the interface between CCH and the OBTS. The Department of Public Safety (DPS) established standards for the technical interface for all CDS related systems. A master plan and interface package were issued by the Arizona CDS Advisory Committee which coordinates local information systems participating in the CDS program. Such coordination has enabled county information systems to communicate with the state criminal justice information system as well as with other counties' systems on a computer center to computer center basis.

There is no interface in Arizona between CCH and OBSCIS, however. Although the DPS provides operational support to OBSCIS that system is regarded as "free standing" and independent. The contractor consultant who has participated in CDS design has been selected to work with OBSCIS and is "trying" to watch for interface opportunities through common data definitions with the Arizona Criminal Justice Information System although no specific interface is yet planned.

The OBSCIS director is a member of the CDS coordinating committee although interface planning has not yet been of concern. SJIS planning has not included interface discussions with either CCH or OBSCIS.

The Arizona Criminal Justice Information System is developing interfaces between counties and local courts through the Law Enforcement Judicial Information System (LEJIS), however, those interfaces do not serve the needs of the statewide court system and are not included in SJIS planning by the courts.

3. California

There are no interfaces between CCH in California and the Department of Corrections' OBSCIS or with any court related information system. According to Department of Corrections' personnel, state law prohibits interface between any large computer systems systems to prevent unwarranted aggregation of personal data. Political difficulties between the courts and the Department of Justice have impeded any interface with court management or administrative information systems. The California CCH operates, therefore, completely independent of other state criminal justice information systems. There are no plans for any electronic or direct interface among chose systems.

Although there is some exchange of statistics, there is no direct interface between the Offender Based Information System (OBIS) and the CCH system in California. The political realities of the organization of the Corrections Department under the Executive Secretary of Health and Welfare while the CCH system is the responsibility of the independent Department of Justice under the Attorney General has effectively cut off any direct interchange of data between the systems. There has been some exchange of lists of inmates and rap sheets on a periodic basis under contract with the Department of Justice (perhaps once a week), as well as daily reports from corrections to DOJ concerning the arrival and departure of inmates at the correctional institutions, however.

Because of the state law the Correction's staff does not envision any interface between CCH and OBIS in the future. As far as the law permits, however, the Department of Corrections appears willing to exchange data with the Department of Justice for their mutual benefit.

At the local level, interface is a very real concern of the Los Angeles PROMIS system since it is recognized that each system has

information needed by another. The District Attorney's office can and does exchange information with the Los Angeles County Sheriff's Department's automated index. The shared net also includes the automated jail information system (i.e., the sheriff's booking system which includes such information as the offender's location, release statistics, offense data and disposition summaries).

In regard to the courts, the Los Angeles Municipal Court can access PROMIS and receive case information. However, the Municipal Court cannot obtain data about witnesses. There is also currently an ongoing dialogue between the District Attorney's office and the Superior Court looking toward the exchange of information. In addition, the District Attorney's office would like to establish a link with California's CCH system.

In San Diego, the original concept of JURIS/DA envisioned the sharing of information among agencies. JURIS/DA shares data with the Sheriff's Office and the Marshal's Office in San Diego through a central records index. In addition to this system, there are two others: "jail census" established in 1971 and "warrant" established in 1973. These systems also support the U.S. Bureau of Prisons and the U.S. Marshal's facilities in the San Diego region. Each agency provides information to the central records index while maintaining it's own system. The central records index contains such information as the accused's name, physical identification data, identification numbers, current offense(s) and a summary of each agency's data.

In addition, JURIS/DA was also developed with the intention of serving three different agencies: the City Attorney's office of San Diego; the District Attorney's office of San Diego; and the U.S. Attorney's Office. Each of these agencies has jurisdiction in this area. It was thought that coordination would reduce duplication in the collection and maintenance of data and facilitate the timely exchange of required data. Planning and discussions with those agencies are now underway.

Integration of court and prosecutor information is also planned. Presently, the courts are engaged in a project to develop a court information system for the Superior and Municipal Courts. A representative of the District Attorney's office is a member of the project's advisory board. It is expected that a full court calendar and case management will be available about the end of 1979.

In addition there is also ARJIS (Automated Regional Justice Information Sytems) which is essentially a law enforcement (police) system operating on the City of San Diego's computer. This system contains such items as reports of field interrogations, some traffic violations and reports of stolen property. ARJIS is currently developing a crime reporting system. In terms of system linkages, it is expected that a direct link between the city's computer and the county's will occur sometime early in 1980.

At the present time, the system has a wide variety of users beyond the management and staff of the District Attorney's office. For example, it is used by the San Diego Sheriff's Office, the San Diego Marshal's Office, the metropolitan Correctional Center and the U.S. Marshal's Office.

Future plans focus on two areas:

- the interchange of data with the courts
- the development of automatic "bridges" or links with the sheriff and marshal to obtain such commonly needed items as arraignment dates

4. Florida

The status of interface varies among criminal justice agencies in Florida. The Florida Crime Information Center (FCIC) obtains its

data from a wide variety of agencies (e.g., the police and the Office of the State's Attorney). There are both direct and indirect terminal users. In addition, the FCIC has computer-to-computer interface with local criminal justice information systems in ten counties. Consequently, there are information interchanges between the FCIC and a variety of criminal justice agencies including police departments, courts, probation and parole, sheriff's offices and corrections. In facilitating the interchange of information, the FCIC is stressing a flexible approach. For example, the Department of Corrections provides a tape produced by OBSCIS which is used to update the CHRI held by the FCIC. In order to collect sentencing information, the FCIC relies on serveral sources depending on the structure of the local jurisdiction (e.g., the court clerk's office or the states attorney).

While there is currently no direct, system-to-system interface between CCH (FCIC), OBSCIS and SJIS (JUSTIS), there is a plan to develop a common system shared by OBSCIS and SJIS. In 1978, the Department of Correction, the State Supreme Court and the State Division of Electronic Data Processing entered into an agreement to establish the Judicial Management Information Center (JMIC). According to current plans, JMIC will encompass all the courts and provide an interface between the courts (SJIS, i.e., JUSTIS) and corrections (OBSCIS) and eventually between JMIC and the FCIC. Presently, it is expected that the link between OBSCIS and SJIS will occur in 1984. Although it would be possible to achieve interface with one smaller court circuit, it was decided to wait until the entire criminal division module (i.e., all the circuits) were included in SJIS before integration. This, of course, may represent a stumbling block to JMIC if difficulties are encountered in integrating the information systems serving the eight largest court circuits with SJIS (JUSTIS).

In addition to this potential problem, several technical difficulties were identified by Florida officials which might inhibit interface. Among these are compatability of software, the definition of data elements, the establishment of positive personal identifiers and the specification of interagency data requirements. According to OBSCIS and SJIS officials, there is some question as to whether the use of a non-dedicated computer for JMIC may be an issue in establishing interface with FCIC which utilizes a dedicated system.

5. Georgia

In Georgia, there has been some movement toward interface among CCH (the Georgia Crime Information Center - GCIC), OBSCIS, and SJIS. There has been no integration of any one of these three systems with PROMIS, however. Currently, the interface that does exist among CCH, OBSCIS and SJIS might be characterized as linkage between agencies rather than between information systems.

Interface with other information systems has been a fairly important consideration throughout the development of CCH which was conceived as one of several interlocking computer information systems. When combined through various linkages, these systems would comprise a comprehensive criminal justice data bank. Despite plans to achieve such multi-system interface, relatively little has thus far been accomplished.

Development of OBSCIS has been shaped, to a moderate extent, by multi-system interface considerations. Thus far, interface has been achieved with the Georgia Crime Information Center (GCIC) and the Parole Commission. In the case of GCIC, the Department of Offender Rehabilitation (DOOR) provides hardcopy of disposition data required by CCH. This data includes such items as length of incarceration, date of release and terms of probation and parole. Similarly, DOOR

sends the Parole Commission hardcopy of some of the data needed to complete Uniform Parole Reports. Linkage of various files compiled by different agencies on specific offenders/offenses is accomplished using a host of identification numbers including FBI number, state identification number, offender tracking number and social security number. The fingerprint card is also used to establish linkage between files.

DOOR expects to change the mode of data exchange in the near future, replacing hardcopy with magnetic tapes. Additionally, DOOR hopes to begin efforts to both better integrate their computer hardware with that used by the Department of Administrative Services (DOAS) and establish some form of hardware interface with GCIC.

Interface was also an underlying consideration during the design of SJIS. In order to achieve linkage between SJIS and CCH the Administrative Office worked with the Georgia Crime Information Center to define terminology and implement mechanisms for data transmittal. During the pilot phase of the criminal subsystem applications, the Administrative Office tested the interface structure by sending the GCIC four months of disposition data on hardcopy. The case disposition reporting number was used to link the data supplied by SJIS with the GCIC rap sheets on the adjudicated offenders. While the test indicated the interface could be achieved, the Administrative Office perceived some of the CCH data requirements as unrealistic.

However, the linkage of CCH with SJIS has not been as successful as that of CCH with OBSCIS. Even if SJIS had become fully operational, interface would have been difficult because SJIS was planned as a court management system and not really designed to provide disposition data to CCH. Nevertheless, GCIC is still attempting to gather disposition data from the courts. This is a difficult task in Georgia since the court system is not unified and

is comprised of 42 judicial circuits, each of which has to be dealt with individually. Currently, clerks from some of the judicial circuits are sending hardcopy of disposition data to GCIC. GCIC hopes that judicial participation will increase as they move toward implementing their Uniform Criminal Justice Information System.

Unlike CCH, OBSCIS and SJIS, interface with other criminal justice information systems has never been a consideration for the development or operation of PROMIS in Georgia. One of the District Attorney's chief concerns has been the potential problem associated with sharing the sole county computer with non-criminal justice agencies. More specifically, he envisions a scenario where all the county information systems are integrated and non-criminal justice agencies have access to PROMIS data. However, he suspects that this possibility is very unlikely.

At the present time, each of the departments in the PROMIS network is responsible for providing the system with specific data, most of which they would collect in any event. For example, the Sheriff enters the police department identification number and pertinent arrest data, while the clerk of the court supplies indictment and disposition information. In return, the Sheriff and Court receive a host of reports including preliminary, arraignment and trial calendars, and annual statistical summaries. The District Attorney, in addition to the above, receives management statistical reports dealing with case processing and office policy on a monthly basis.

6. Louisiana

Although under the original OBTS/CCH concept interface was planned among the various law enforcement information systems including JAMIS (Judicial Administrators Management Information Systems), that interface has not been achieved and the JAMIS System

(SJIS) is no longer included in the planning of the Comprehensive Data Reporting (CDR) system. By concentrating on rap sheet summaries and on achieving complete disposition reporting rather than on the collection and transmittal of OBTS data and the production of numerous management information reports, it is believed that CCH interface requirements have been considerably reduced.

Among the problems which have impeded the development of an interface among the state information systems are the following:

- The court clerks, as well as the judges of the state, are elected officials and are extremely independent of each other and of other state officers. They have, so far, been unwilling to abide by interface requirements established for the Louisiana Criminal Justice Information System (LCJIS).
- There is a continuing political conflict between the Office of State Attorney-General and the Governor's Office which has made coordination difficult.
- The refusal of the Parish of New Orleans to interface with CDR has prevented the system from providing statewide coverage.

An interface between the local prisons and CDR has been planned and it is also expected that when the New Orlean's District Attorney's Office (NODAO) utilizes "mini-PROMIS" in its operations, that system will interface with CDR.

As originally developed, SJIS was planned to interface directly, through the use of common data elements, with the OBTS/CCH system. Its operations would be handled by the Department of Public Safety staff and it would run on a common state police computer. An

advisory committee and coordinating council between the state police and the courts was established to ensure a commonality with the OBTS/CCH. The political rivalry between the branches of government has, however, made the planned interface virtually untenable at the present time. Current plans for the statewide OBTS/CCH do not include the receipt of data directly from the courts. Disposition data on criminal cases is expected to be provided only from the District Attorney's Disposition Reporting (DADR) system.

The plans for SJIS currently include only the role of support to the court administrator in the management and administration of the courts. This role will require the collection of significantly less data than required to support of the OBTS/CCH system.

The PROMIS system was installed without any plan to interface with other state systems such as the OBTS/CCH system. It is believed that it is not worth the effort to change PROMIS as it is implemented to send case disposition to any state system even though the New Orleans caseload is approximately 40% of the state's total caseload. However, current plans to call for the replacement of PROMIS in the NODAO with a "mini-PROMIS". At that time, the NODAO will be in a position to furnish disposition information to the Louisiana CDR if common data elements are used.

7. Michigan

The CCH system provides the components of the criminal justice system (e.g. police, courts, corrections) with hardcopy reports of CHRI and serves as the central repository of CHRI. Initial CHRI and corresponding updates are submitted by various criminal justice agencies. For example, the CCH system receives initial arrest reports from police agencies which also contribute CHRI updates as appropriate. The state police provide the offender's state identification number which is placed on a "turnaround" document sent to local police agencies.

OBSCIS disseminates system hardcopy reports to CCH with data concerning the receipt of inmates, their parole and discharge. For purpose of identification, the corrections/inmate identification number is cross-referenced to the state identification number assigned by the state police. It has been proposed that this exchange of data be expanded to include: inmate location, current status and location of parole. Furthermore, it has been suggested that a direct connection with CCH be established via the state police terminal. OBSCIS receives from the courts, on a monthly basis, the Criminal Case Conviction Register (CCCR) which is a record of dispositions. The CCCR which is mandated by the state legislature is transmitted via a tape from Wayne County (Detroit) and by hardcopy from the remainder of the state.

In addition to its cooperation with the Department of Corrections, SJIS has also supplied data to the CCH system operated by the Michigan State Police. The original intention was to develop a direct link from the CCH system's computer to that of SJIS. About 1975 a leased line was established between the computers of CCH and SJIS. However, there was not sufficient financial support for the continuation of this link. There have been some interchange between the systems, however. In 1976, there was an exchange of tapes designed to update CHRI and about 1978 there was another update. In 1977-1978, SJIS provided the Detroit Police Department with a tape of a modified CCR for the period 1969-1976. Finally, SJIS exchanges information by a variety of methods with several other agencies (e.g., the Wayne County Prosecutor, the Wayne County Jail, the Department of State and the Department of Social Services.

The experience of SJIS and CCH in Michigan illustrates some of the technical problems encountered in attempting to exchange data among criminal justice information systems. The CCH system was initially designed using the State of Michigan Compiled Laws (MCL) as a reference for the criminal code. However, SJIS used as reference the State of Michigan Compiled Laws Annotated (MCLA). To the

extent that these references differed, so did the two systems. Later, the CCH system began to use the MCLA for its reference. Another problem occured because the CCH system originally did not record appeals filed. Ten percent of the criminal cases in Detroit, which has the largest caseload in Michigan, are appealed and, therefore, there was no accounting of the interim disposition of a significant number of cases. Still another problem focused on the Detroit area where the Police Department did not have immediate access to the state identification number which caused a four to six week delay in linking dispositional data.

Neither of the two PROMIS systems (Kalamazoo and Detroit) exchange data with the state level system. However, both systems have begun to explore to one degree or another the possibility of expanding the use of PROMIS to include other local criminal justice agencies. Moreover, the "multi-county" PROMIS project does plan to assess the need for exchanging data with CCH and how interface might be achieved (e.g., state identification number, standardized data elements and transfer of tapes).

8. Minnesota

The CCH system in Minnesota was developed as part of the Minnesota Criminal Justice Reporting System (CJRS). CCH became operational in 1977 and receives information from OBTS. At the time of the original development of the CCH system in Minnesota there was no consideration of possible interface with the other criminal justice information systems and the system does not now interface with either SJIS or OBSCIS. However, an interface is planned with the criminal case version of SJIS when that system becomes operational.

The Minnesota SJIS was intended to interface with the state's OBTS system (CJRS) through the manual completion of case transaction forms by court clerks. The forms are sent to the Bureau of Criminal

Apprehension (BCA) for processing and eventually the aggregated data is returned to the SJIS in the form of magnetic tapes. Although about one-third of the clerks use CJRS terminals to input the data, the return response from BCA has been generally extremely slow according to SJIS staff. Both SJIS and BCA would welcome direct SJIS input into CJRS and then into CCH. When state funds are available that interface will be implemented.

Although interface with CCH was considered when the on-line corrections information system was developed there was, apparently, no practical means for its effectation. As a result, although both systems operate on the state's data processing facility's computers there is no direct interface.

The corrections department does supply data to the state's Criminal Justice Reporting System using CJRS keyboard terminals, however, much of the same data is also entered separately through the corrections information system display terminals. This redundant entry is both costly and a potential scourse of error. An interface between the corrections information system and CJRS (and thereby an interface with the CCH system) would eliminate the duplicate entries now being made by the Department of Corrections. Currently the Department of Corrections enters significantly more data into its own system than required by CJRS for the CCH system.

The staff of the Corrections Department expressed the view that "technical problems" preclude the achievement of direct interface between CJRS/CCH and the corrections information system. The development of that interface has not received a high priority and will await advancement in the technology. There has been no consideration of an interface between OBSCIS and the Minnesota SJIS.

9. New Jersey

While there is no system-to-system interface among the CCH, OBSCIS, SJIS and PROMIS programs in the State of New Jersey, CHRI is

collected and disseminated on an agency-to-agency basis. The CDR provides the vehicle for collecting dispositions for the CCH system. CHRI is disseminated on-line and off-line to the various components of the criminal justice system by the State Police. Whether or not this system is changed in the future seems to depend upon three factors:

- a recognized need to change the present system
- the development of other data collection and dissemination approaches (e.g., the Judicial Data Center)
- the availability of funds for another form of data collection and dissemination.

The multi-county PROMIS/GAVEL project has been developed in coordination with the State Police (CCH) and the AOC (SJIS and GAVEL). The CCH requirements for data from prosectuors have been incorporated into the system. If and when a direct data exchange between each local PROMIS/GAVEL system and the CCH system is decided upon, this can be accomplished via the forwarding of magnetic tapes. Moreover, such tapes can be forwarded to SJIS for its own purposes. It is estimated that the system as currently planned will provide 90 percent of the GAVEL data.

OBSCIS does not provide the State Police with dispositions when the status of inmates change. The reason for this was that the State Police don't want the Department of Corrections to update the CCH files without forwarding fingerprints. The State Police prefer the use of the CDR system which does forward, via mail, a copy of an inmate's fingerprints along with notification of change in status. The Division obtains CHRI for purposes of inmate classification via direct access to State terminals. While OBSCIS does not interface with SJIS or PROMIS it does interface with other agencies. For example, computerized tapes have been produced for the U.S. Bureau of

the Census, National Prisoners Statistics Division; the U.S. Internal Revenue Service for tax fraud investigation purposes; the New Jersey Department of Human Services for its welfare fraud and parent locator programs; and listings have been provided to the New Jersey State Police for their fugitive locator unit.

In this context, it may be important to note that while tapes have been prepared for contribution to the Uniform Parole Reports none have been forwarded because of a series of changes in, for example, formatting at the national level.

10. New York

Interface was an initial consideration in CCH system development in the attempt to gather complete dispositional data. At the present time, the Office of Identification and Data Systems (ISD) receives dispositions from the Office of Courts Administration (OCA) in New York City on a system-to-system basis (on-line). It is also receiving magnetic tapes via OCA from the other jurisidictions. The problem with OCA's reporting is that OCA must rely on the local court to forward the data. The administrative and control structure is not yet strong and, therefore, the reporting procedures are weak. Previously, New York State's Code of Criminal Procedures (NYSCCP) required the courts to report dispositions, but, for some reason, a revision of NYSCCP eliminated that requirement. In this context, it should be noted that OCA has its own "SJIS". However, that system was developed "in house" and was not part of the LEAA program. In addition to OCA, ISD exchanges data with several other agencies including: Parole, Probation, and Division of Correctional Services.

The OBSCIS system was not planned with interface to other systems as an objective. There are terminals in the facilities to DCJS, however, and it is hoped to establish interface between the

Central Office and DCJS in order to obtain criminal history record information directly.

The New York County PROMIS was originally not intended to interface with any other system. Consideration is now, however, being given to interface with CCH and OBSCIS in addition to expanding the expected interface between PROMIS and the data system of the state Office of Court Administration (OCA) as well as with the New York City Police Department's (NYPD) on-line booking system. There is also some concern at DCJS that the state-wide PROMIS program will duplicate many of OCA's efforts and coordination will be needed to resolve any such problems.

There is currently a committee on data elements which is coordinating interface development among the courts, the NYPD, and the five county PROMIS installations. Although there has been some separation of powers difficulties between the District Attorney's Office and OCA there has generally been good cooperation with OCA whose system now collects almost 60% of the same data which is entered into PROMIS. It is felt that a common interface and a data base would be of benefit to both organizations.

During late 1979 PROMIS will supply case dispositional information to the NYPD utilizing both magnetic tapes and hardcopy.

It is expected that there will be a statewide interface between PROMIS and the courts' information system and there also has been been consideration of a police information system interface similar to that achieved in New York City. Although the courts have been supplying OBTS data to the New York CCH no interface between CCH and the multi-county PROMIS is planned. Any PROMIS interface with other information systems will taken place through standardization of data elements and not through standardization of hardware. It is possible that eventually there may be an inter-connection among all of

the PROMIS counties although no plans for such an interface have yet been made.

11. Pennsylvania

Interface has been a moderate concern of the State Police during their efforts to develop, initially, the CCH system and, currently, a master name index. Since development is uneven and the systems are incomplete, CCH interface with CJIS and OBSCIS is presently rudimentary, especially in terms of available technology.

Although OBSCIS is still in the planning phase, both the Bureau of Corrections and the Board of Probation and Parole send offender tracking data to the State Police. As with court data, the tracking data are now sent in hardcopy form, with future plans indicating a switch to magnetic tapes. Throughout the course of planning for the implementation of OBSCIS, interface has been a major concern. Under the present design, interface will be achieved on two levels. The first level of interface will be accomplished through the use of common data elements, primarily identification numbers. For example, use of a state identification number will provide a linkage between OBSCIS and the State Police's Master Name Index. Similarly, an offender tracking number will provide a tie-in between OBSCIS and SJIS. The second level of interface concerns the transmission of data between systems. While the actual mode is still undetermined, current indications suggest that tape will be used to send required OBSCIS information to the State Police repository for storage in their manually maintained criminal history files.

Throughout the course of SJIS development, interface has been an important consideration. Past efforts and current plans indicate several levels of interface: among the courts throughout the state; and between SJIS and CCH. SJIS, which is being implemented under the aegis of the State Supreme Court, provides the framework for gathering dispositions and related information. These data are funneled

from the lower and common courts to the state court. The Administrative Office of the Supreme Court, in turn, sends a hardcopy of the data to the State Police. The court has plans to change the mode of data transmission and start sending the State Police magnetic tapes every few weeks. The police will then sort the data using data processing equipment before printing out a hardcopy and adding it to their manual records instead of the current method where the time-consuming and laborious task of sorting the records must be performed by clerks prior to filing.

12. Rhode Island

Give the nature of the Rhode Island SJIS, it can be said that interface does occur, but not in the way as envisioned by, for example, the President's Commission on Law Enforcement and Administration of Justice. SJIS provides reports to a variety of organizations including the State's Attorney General's office as well as probation and parole. It notifies the State Bureau of Criminal Identifications (BCI) of cases which have been processed by the courts, but not indexed. The system also provides feedback to the police and State's Attorney General's office regarding the disposition of cases.

The primary issue in Rhode Island regarding interface involves intrasystem interface. There is a question of who has the authority and responsibility for making the necessary decisions regarding the interchange/flow of information among court systems. Problems are created during the planning, development, and implementation of such systems when inadequacies and shortcomings in existing data bases are identified.

It was stressed by Rhode Island officials that the systems must first serve the needs of their own agencies and only then can intersystem interface be considered. They believe that there must be a

perceived and documented need for the exchange of information for interface to succeed.

13. Utah

At the time of the development of CCH in Utah, there was no consideration of possible interface with other criminal justice information systems. The system does not interface with OBSCIS, SJIS, or PROMIS at the present time. It is expected, however, that there will be an interface (perhaps on-line or by means of magnetic tapes) with SJIS when it is developed and implemented. However, there have been no plans for that interface.

The staff of the Division of Corrections also recognizes a need for close integration or interface with the Utah Computerized Criminal History System and the planned State Judicial Information System. Such an interface is not now possible, however, with the present batch corrections system currently being utilized primarily for statistical research applications.

The Division of Corrections would like to have on-line records of all defendants currently in the criminal justice system and sees great potential value in the joint use with the Bureau of Identification of common files. It is believed that the OBSCIS system to be transferred from the State of Connecticut will utilize data elements in common with those used by Utah's CCH system; however, no real coordination between the Division of Corrections and the Bureau of Identification has yet taken place. It is also expected that the transferred OBSCIS system will include the OBSCIS admission, movement and national reporting application modules and will be enhanced with an upgrade of Utah's parole, probation, and fine/restitution systems as well as, perhaps, with a juvenile module.

Since the scope of Utah's SJIS has not yet been determined, there has been little consideration of the interface between SJIS and the other criminal justice information systems in Utah. The courts are, however, concerned with the possible costs of supplying the CCH system with the required data through data collection and transmittal through an interface. However, the courts would be willing to explore an interface between SJIS and OBSCIS. There has been no coordination with the Division of Corrections to date, although such coordination is planned.

There has been no plan to interface PROMIS with CCH, SJIS or OBSCIS. The system was initially developed as a "stand alone" system serving only the county attorney. There has been speculation that, since the county sheriff operates a defendant booking system using the same county computer as PROMIS, an interface between the two systems would result in a more efficient operation, resulting in benefits to both offices. Such an interface is, however, no longer actively considered because of reported political difficulties between the sheriff and the county attorney. Similar political problems have impeded the transmittal of criminal disposition reports to the state from Salt Lake County.

There has been recognition that a case-tracking interface would be useful, and an interface between the circuit court, the district court, and the prosecutor's office is being developed in a system called Judicial Records Information and Statistical System (JURISS) under a Utah SPA grant to the Salt Lake County government. The interface could supply disposition information from Salt Lake County courts to the Utah CCH system.

14. Wisconsin

For all practical purposes, interface among computerized criminal justice information systems in Wisconsin is a moot consideration. The state does not have a CDS program and, further, has not

been involved in the development of other computerized systems, particularly CCH and SJIS.

OBSCIS staff perceive multi-system interface as merely a distant possibility, perhaps achievable by the mid-1980's. As presently envisioned, such interface would be a by-product adjunct to the Department of Health and Social Services and to Division of Corrections needs. Data exchange would be limited to specific requests and the extent of information provided to other agencies/computerized systems would be minimal. Linkages would be achieved through a state identification number as verified by a fingerprint card.

When, and if, an OBSCIS is developed in Wisconsin, the staff of JUSTIS believes that an interface can be achieved through the use of a magnetic tape interchange utilizing the same data elements. No on-line interface is expected at any time, however. The JUSTIS staff evidenced a willingness to develop an interface between JUSTIS and other state systems, but since the state has not been involved in the development of a Computerized Criminal History System (CCH) or a State Judicial Information System (SJIS), no interface is possible at this time.

APPENDIX G

SITE VISITS -- PRIVACY AND SECURITY

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Review of Privacy and Security

1. Alabama

In accordance with the enabling legislation which established the Alabama Criminal Justice Information Center (CJIC), the CJIC Commissioner has established a Privacy and Security Committee and has promulgated privacy and security regulations. The regulations set forth CHRI dissemination policies and procedures; provisions for access, review and challenge; as well as personnel and physical security practices. CJIC provides assistance to other agencies in meeting these standards.

Thus, procedures for ensuring the privacy and security of CHRI were considered at the very inception of AJCIC. However, there have been very few requests for access and challenge of data to date. One of the issues faced by CJIC is how far should local criminal justice agencies go in collecting and maintaining complete CHRI at the local level.

OBSCIS has taken steps to ensure the security of its systems (e.g., personnel clearances; shuting down terminals completely when operators are not present; and controlling access to terminals). Regardless of privacy and security regulations, such steps would have been taken in the course of effective operation according to OBSCIS personnel. The bulk of the material collected for OBSCIS is available only to criminal justice agencies. Other are allowed access only to public records, (e.g., court transcripts). Attorneys with cases under litigation are allowed such access; in other cases, they must obtain a court order. Inmates are not allowed direct access,

however, and given the wide range of data collected by OBSCIS regarding inmates, it is not clear as to the extent to which the privacy provisions are applicable to such records. It was estimated that it would cost the state approximately $60,000 per year to allow inmates direct access to their files.

It was pointed out by state personnel that Alabama's SJIS, as are all SJIS's, is exempt from federal privacy and security regulations. However, since the CJIS was legislatively mandated to develop such regulations for the State of Alabama, SJIS adheres to those rules. Consequently, SJIS has developed a variety of procedures to meet these regulations. Personnel and physical security controls have been implemented. For example, access to name identification information is controlled. It was noted, however, that Alabama has a public records law which has yet to be tested in the courts and such controls on the dissemination of and access to CHRI may be invalid.

There has been little impact of federal privacy and security regulations with respect to PROMIS. The District Attorney perceives the files held in the prosecutor's office to be "closed records" available only to law enforcement personnel.

2. Arizona

The Arizona CCH was developed under privacy and security guidelines established by the Arizona Security and Privacy Council. That Council, which was an outgrowth of an Arizona Security and Privacy Committee, attempted to follow as closely as possible the privacy and security standards originally proposed by Project SEARCH. State personnel reported that there was no difficulty in CCH development and implementation resulting from the privacy and security regulations. Included in CCH privacy controls are spot audits of each terminal's log to determine compliance with access and use controls.

Privacy and security procedures also include software "access tables" which limit terminal use to authorized personnel; assignment of system security officers at each site; special security checks and clearances for terminal operators; and periodic site security inspections and audits. In general, security is maintained by physical protection of the terminals and other equipment, and reviewed by site security checks. In addition, specific written authorization for personnel requesting access to CCH and LEJIS through the interfaced county data processing centers is required before permission is given and the access table is revised.

OBSCIS operations in Arizona are performed through terminals connected to the Department of Public Safety's data processing center. The standards of security applying to that facility are, therefore, applied to the processing of OBSCIS data. State personnel reported, however, that any operator of a terminal connected to the DPS facility can not only inquire into the OBSCIS data base, but, if access to the system is authorized, can add data to OBSCIS from the remote location without intervention of corrections' personnel. It is believed that security and privacy standards for OBSCIS will eventually be established by the Arizona Criminal Justice Information System, and will deal with the problem of retaining and releasing inmate educational and medical data.

3. California

There is considerable concern in the management of the California CCH over the privacy and security aspects of maintaining criminal history record information. The state has a number of statutes and regulations dealing with privacy and security and CCH has followed those rules in the design and operation of the system. The system includes both journal and audit tapes and complex procedures for protecting individual privacy in record dissemination and in maintaining accuracy and completeness. Out-of-state arrest

data are, for instance, no longer included in the automated system because of possible inaccuracy.

The California Department of Justice has established a Criminal Records Security Unit to deal with privacy and security questions and the staff of the CCH system feels it is substantial compliance with the federal privacy and security regulations. Those regulations have, therefore, had little or no direct impact on system implementation or operation.

Privacy and security considerations have, according to corrections' staff, always played an important role in system design. The rules of the Department of Corrections are, apparently, stricter than either federal or state privacy and security regulations. The federal regulations have, therefore, had a minimal direct impact on system design or implementation in a state which traditionally has had a strong privacy and security posture.

In dealing with security and privacy the OBIS system maintains journal and audit tapes for system usage. In addition, security is maintained by access control for secured terminal areas, password entry for terminal use and routine facility security for the data center.

California has enacted legislation which sets standards for the security and privacy of criminal history records. The basic principles regarding the protection of privacy (or confidentiality) of records are the concepts of the "right to know" and the "need to know".

The District Attorney's office in Los Angeles has established its own set of security procedures. Terminals are located in areas where they cannot be used covertly by unauthorized personnel. These terminals are operational only during normal business hours and

there are sign-on procedures including passwords and employee numbers. If access is attempted without using such procedures, there is a security violation and no transaction is allowed. The county EDP center has the usual security arrangements of any sensitive data center including guards, escorts, and badges. In addition, employees undergo an extensive background check.

However, privacy protection is somewhat different. The District Attorney's office has developed a matrix showing what data may be disseminated to which agencies. Defendants have never asked to see their records thus far, nor have defense counsels challenged PROMIS. But, it would seem that it is only a matter of time before the courts will rule on the adequacy of existing privacy procedures.

Like the District of Columbia's PROMIS, the Los Angeles PROMIS requires that every offense in the records be linked to a disposition and each case remain open until each offense is disposed of and noted in the system.

The terminals within each branch of the District Attorney's office in San Diego are also physically secured. Only authorized individuals who have passed background checks have access to the terminals. Unless there is a specific request, the terminals are operational only at certain hours. There are password procedures and authorization is required for access. The County's Electronic Data Processing Department has instituted security procedures similar to those used by other computer centers, (e.g., codes to enter the system, personnel identification badges, escorts and clearance procedures).

Defense counsel can use discovery techniques to secure information contained in PROMIS. There is some question as to whether or not the federal privacy and security regulations apply to PROMIS in San Diego and this has yet to be tested in the courts.

4. Florida

Privacy and security regulations are viewed by the Florida Crime Information Center (FCIC) as affecting intersystem interface as well as intrasystem interface. Some of the criminal justice information systems interfacing with the FCIC are not dedicated and this consequently limits their intersystem interaction.

In terms of the reporting of information, the FCIC uses a "tickler" system to notify agencies which are tardy in providing dispositional data. This program began more than a year ago and it is estimated that approximately 90 percent of current arrest records are now accompanied by dispositions.

The legislature also created a criminal justice information system council to advise the Division of Criminal Justice Information Systems (DCJIS). This entity has dealt with a variety of cases concerning criminal justice information systems and, according to state personnel, DCJIS always follows its decisions.

It is believed that there is a conflict between Florida's sunshine law which opened all criminal records with some exceptions (e.g., those sealed) and federal regulations regarding privacy and security. For example, correction's records, held with the Department of Corrections are disseminated only to other criminal justice agencies.

The establishment of an interface between Florida's OBSCIS and FCIC may, also prove a privacy and security problem. Currently, the Florda Department of General Services' Division of Electronic Data Processing (EDP) will furnish computer services to Florida OBSCIS and SJIS. With the EDP in a non-criminal justice agency, there may be a problem in developing a direct computer-to-computer exchange of information with the FCIC. Another problem may arise from the

retention of criminal history record information as part of the PROMIS system adapted to the needs of the Second Circuit.

5. Georgia

Concern with privacy and security regulations has also influenced the development of Georgia's CCH. Physical security of computer facilities had to be tightened to comply with the regulations. Because of the centralization of computer facilities under the Department of Administrative Services and the existence of police-operated remote terminals throughout the state, user and contractor agreements had to be reached. Manpower resources had to be increased in order to provide a state-wide training program detailing the meanings of various regulations and their influence on both daily and long-range operations.

Another area of significant impact deals with data access. After the Georgia Crime Information Council prepared the federally required privacy and security plan, the state legislature passed laws permitting private and public employers access to the data in the CCH files for the purpose of conducting background checks on prospective employees. However, the regulations do impose restrictions on the types of data the State Police may release to the employers, limiting outside access to adjudication and nolle contendre information. Consequently, a rap sheet has to be manually screened and often stripped before it can be sent to the employer. This process will eventually be automated with the implementation of the Uniform System.

Privacy and security regulations have also played a role in the design and implementation of OBSCIS. In response to federal privacy and security regulations the Department of Offender Rehabilitation (DOOR) has implemented a password scheme and a name scrambler subroutine to protect the OBSCIS files. Presently, the major problem

confronting DOOR in terms of compliance is the need for better employee awareness concerning the scope and intent of the regulations. Although a training program would appear to be a likely solution to this problem nothing so far has been done in this regard.

Attention was also given to privacy and security regulations during the design of SJIS, but only to the extent that they could be used to justify project development. Since court records are considered public information, privacy and security regulations have had very little influence on the Georgia SJIS design. Furthermore, since SJIS was planned as a self-contained system with the exception of a provision transmitting disposition data to CCH, privacy and security regulations were perceived, for all practical purposes, to be irrelevant.

Although the Cobb County District Attorney is trying to maintain the PROMIS files as "private" data, mainly by not publicizing their existence, most of the data are legally discoverable. Consequently, privacy and security regulations have had very little impact on the design or utilization of PROMIS. The only major concern has been the security of the remote terminals. To counter this problem and restrict entry, an access code was imbedded in the front end of the PROMIS software.

6. Louisiana

Louisiana regards itself as a "public record" state and, therefore, did not consider security and privacy aspects of significant importance in designing and implementing the CDS OBTS/CCH system. However, the LEAA security and privacy regulations, the Louisiana Attorney Generals' security and privacy regulations and the state's Public Records Act have now been taken into consideration, and emphasized, in the development of the Complete Disposition Reporting System (CDR).

Particular emphasis is being given to the completeness and accuracy requirements of the regulations. The LCJIS group has, in fact, been using the requirement for completeness and accuracy as a lever to induce state/local agencies to participate in the system. Such participation will enable the agency to receive a certification that they meet the requirements of the state privacy and security plan.

Although completeness and accuracy have been prime considerations in CDR planning, security has not been given equal importance. Although the relatively secure Department of Public Safety facility is being used to process CDR data, there is little remote terminal protection.

Security and privacy have never been significant factors in the design or implementation of the Louisiana SJIS, however. The courts believe that none of the regulations, either state or federal, apply to SJIS as now constituted since the SJIS records no longer include the individual names of defendants.

Privacy and security considerations have also not played any significant role in the implementation of PROMIS in the New Orlean's District Attorney's Office. The office interprets the privacy and security regulations to exempt the office records and reports as "internal only" and for "law enforcement usage only." Security was an initial problem when the city-owned and operated computer was utilized to run PROMIS but physical access to the computer is now tightly controlled in a data processing facility in the NODAO. There is, however, no password or other secure controlled access to the use of the various terminals which are available in the District Attorney's staff offices.

7. Michigan

From its inception, Michigan's CCH system has been concerned with privacy and security. As a result terminals are placed only in

criminal justice agencies and the system itself is a dedicated one. A hierarchy of physical security techniques have also been adopted including keywords, identification for entry and other typical security procedures. The implementation of privacy and security regulations is viewed, however, as somewhat technical and expensive in terms of labor and cost.

The privacy and security regulations have had minimal impact on OBSCIS, although, such physical security procedures as passwords and controlled access to terminals have been implemented. Inmates are able to review their records.

SJIS is excluded from the privacy and security regulations. The information is viewed as the property of the courts. There is, however, concern among the SJIS staff regarding the release of sensitive information (i.e., sentencing patterns) produced by the courts.

The reaction of the PROMIS system to privacy and security regulations has been mixed in Michigan. In Kalamazoo, the Michigan "freedom of information" act was believed to imply that "anyone could ask about anything and a reply would have to be provided". Another interpretation of that act is that the system would not have to provide overall summary information, but would have to provide specific information about specific cases. However, no one has yet raised any questions about the data contained in PROMIS. In Detroit, there is even a question as to the applicability of privacy and security regulations in PROMIS at all. Finally, these regulations seem to have had little impact on the planning of the multi-county PROMIS project. So far, noncriminal justice agencies will not have access to the system. There will be limited access to the terminals and built-in passwords for system access.

8. Minnesota

The Minnesota Computerized Criminal History System was designed to operate within the Minnesota regulations with respect to privacy

and security concepts. Minnesota has had such regulations (but not specific rules) for over 40 years and the CCH system has followed the regulations as closely as possible since the system became operational. A lack of manpower has not yet permitted the implementation of the established audit procedures in the CCH system, however. The system does maintain an automated log of system inquiries and has established access security through the use of protective software. The designers of the system expressed the feeling that no special impact resulted from the application of federal security and privacy regulations because the system adhered to Minnesota's regulations which are in general compliance with the federal regulations.

The Minnesota regulations dealing with security and privacy were in force when the corrections information system was designed and, therefore, compliance was a consideration in system implementation. Procedures were established for access to data by outside agencies but for the most part corrections data is not disseminated outside of the Department of Corrections. In general, the federal regulations have had little to no impact on system implementation or operation and the somewhat ambiguous state regulations have had very little impact.

Physical security is maintained through periodic site inspections by an audit team from the Bureau of Criminal Apprehension (BCA). Corrections' system terminals do not have password control but depend upon physical restrictions for secure operations.

It is expected that the Minnesota Supreme Court will issue specific privacy and security rules to apply to the courts. The SJIS staff feels that under the "public records" doctrine the courts are not, in any case, responsible for following either the federal or state privacy regulations. In the area of data processing the backup of the Minnesota SJIS data base is on the same basis as the

rest of the BCA network and the same data logging recovery procedures are used for the SJIS system. Procedures have been established to protect the integrity of the SJIS data base.

Besides the physical security already provided at the facility of the Information Systems Department (ISD), several other security measures are programmed into the State Judicial Information System: in addition to the physical terminal security required by contract with BCA, terminal operation using SJIS files requires operator authorization and operator access codes for various level of operator activity. No access is permitted to SJIS files from terminals other than those listed for each operator code. In addition, there is a table of authorized counties, used to restrict access to only those records that are within that operator's jurisdiction; and all terminals are located in secured areas accessible only by authorized employees.

A complete set of system backup tapes are maintained by ISD in case of massive system failure. However, these tapes are stored in the same building that contains ISD's computer facilities. In the case of a natural disaster such as an earthquake or major fire, the entire ISD data base could be lost.

9. New Jersey

Although the applicability and requirements of the federal privacy and security regulations are considered ambiguous, the State Police have, as a mater of policy, taken steps to insure the privacy and security of the data collected, maintained and disseminated by the CCH system in New Jersey. Typical physical security procedures have been implemented including controlled access to the State Police facilities, employee clearances and a system of badges. All of the remove terminals are located in criminal justice agencies. There are user agreements between the State Police and user agencies

specifying the procedures to be followed regarding privacy and security.

Audits are conducted every six months of CHRI to ensure that dispositions are complete. Logs have been established to record identification of those requesting CHRI and the records accessed. Provisions have been made to monitor these logs. In addition, any change in an individual's CHRI is disseminated to all agencies that have received that record. Although there was no readily available estimate of the cost of these procedures, it was suggested that they could become prohibitively expensive in the future as the number of records contained as the CCH system grows.

In New Jersey, the Bureau of Correctional Information Systems (BCIS) have entered into a user's agreement with the SAC regarding privacy and security. Since the SAC provides the computer facilities for BCIS, this agreement sets many privacy and security standards for BCIS and consequently enables BCIS to meet no confidential information (e.g., informant status) maintained in its files. Information is released to other agencies only through the Commissioner's office.

As indicated earlier, SJIS is exempt from the federal privacy and security regulations. Moreover, the docket books are considered public records in New Jersey and, consequently, no need is seen to institute privacy procedures. Finally, the nature of the data collected by JMIS and the use of time sharing would seem to demand no additional security procedures over those taken at state data processing centers elsewhere.

The legal staff of the Division of Criminal Justice has initiated research into the impact of federal privacy and security regulations on the multi-county PROMIS/GAVEL project. It is felt that security may be a problem in those instances where the system

is not physically located in the prosecutor's office. It has been reported that in some instances the system itself might have to be located in local community colleges. Such a move would create numerous problems, not only in terms of privacy and security, but also in assuring operation of the system itself.

There are plans to provide logs and audits for each system. Consideration of accessability to the data may turn on whether or not a particular item of information is considered to be "of public record". On the other hand, since there are no plans at the present time to use a case weighting scheme and there is no intention to collect CHRI other than that concerning the instant offense, many of the issues surrounding the concept of privacy many be moot. The key problem is seen as the enforcement of any privacy and security provisions which are finally implemented.

In New Jersey, the Bureau of Correctional Information Systems (BCIS) have entered into a user's agreement with the SAC regarding privacy and security. Since the SAC provides the computer facilities for BCIS, this agreement sets many privacy and security standards for BCIS and consequently enables BCIS to meet these standards. Moreover, according to BCIS, there is no confidential information (e.g., informant status) maintained in its files. Information is released to other agencies only through the Commissioner's office.

10. New York

Privacy and security has been a concern of the Information Systems Division ever since its inception as NYSIIS. Although New York State has not enacted any legislation in this area, the Division of Criminal Justice Services (DCJS) has had its own regulations from the very inception of its system, predating the LEAA regulations.

In addition to covering other aspects of privacy and security, these regulations provide individuals with the right to review and

challenge their records. Moreover, the governor has appointed a Security and Privacy Advisory Committee which, among other activities, serves as the final arbitor of challenges to criminal history records. In addition, DCJS requires all users of its services to execute use and dissemination agreements. These agreements explicitly detail both how confidential information must be controlled and the liabilities inherent in using criminal record information for other than authorized purposes. During 1978, the Division initiated a concentrated effort to ensure that each agency within New York State and each out-of-state agency utilizing DCJS services execute use and dissemination agreements. Over 900 such agreements were sent to user agencies statewide and on the national level. As of the end of 1978, 87 percent of the agencies have executed the agreement and the remaining 13 percent indicate that their execution of the agreement is imminent. For those agencies that execute the agreements, access to the DCJS criminal record data base is granted commensurate with the agencies legislated authority for access to such information.

Federal funding was secured to develop a criminal history field audit team. Auditing procedures and guidelines will be established for conducting a complete criminal history records audit of a random sample of both large and small user agencies when funding approval is received. The purpose of the establishment of the audit team is to assure that DCJS user agencies are in compliance with LEAA Security and Privacy Regulations. DCJS was designated by the Governor as the state control agency responsible for the criminal history records system within the state and also charged with the responsibility for auditing other agencies for compliance.

Extensive analysis of in-house terminals usage was conducted during 1978 and as a result, a number of programmatic edit checks were instituted to prohibit unauthorized access. In addition to limiting selected functions to the different terminals, usage was

also limited to specified time periods if the applications are routinely performed only during certain operating shifts.

Compounding financial constraints constraints and the problems inherent in CCH record conversion is a recent court decision* which involved alleged inaccuracies in the tracking of criminal history records. The New York court ruled that dispositions must be collected for all arrests and, therefore, ISD must begin to collect dispositions on all offenses. Meeting this requirement raises several problems, including state financial constraints and the sheer size of the task facing ISD in relating dispositions to all arrests.

A variety of security measures including controlled access to DCJS itself and personnel clearances for employees have been implemented by ISD. Access to the terminals, and access to the system itself is also controlled.

The dichotomy between privacy and security was evident in the Division of Correctional Services. For example, inmates do not have access to their files, and the corrections legal staff deals with any requests by outside agencies for such records.

In order to improve security, the Department of Correctional Services screens its personnel and uses central passwords for access to the system. Audits are performed in such key areas as inmate movement, legal status, offense and critical dates. OSG has its own security system for protecting the computer facilities.

The developers of the New York County PROMIS reviewed the New York State privacy and security regulations and are attempting to comply with those procedures. The federal privacy and security regulations have had very little impact on the New York County PROMIS, however.

*Tatum vs. Rogers, Civ. 2782 (S.D.N.Y.)

Compliance with the state regulations has primarily been concerned with security of the system's display terminals. Operational access to the PROMIS terminals requires authorization and use of assigned numbers and passwords. Terminals have been placed in non-public areas and certain terminals have restricted access to the system's data base. The PROMIS staff has a security agreement with the NYPD covering the police's use of terminals with access to PROMIS and the police department's data processing facility is maintained under strict security procedures. Logs of all PROMIS transactions are maintained by the police computer facility.

The District Attorney perceives PROMIS as a "law enforcement only" system and does not feel that additional privacy regulation of the system is required. The PROMIS staff believes that strong guidelines are required in both the privacy and security areas.

Privacy and security requirements have had little impact on PROMIS although the implementing contractor's tasks require that minimum security and privacy regulations be complied with as far as possible. Additional security and privacy procedures may be required if intercounty connections are made among PROMIS counties.

11. Pennsylvania

Privacy and security regulations have apparently had a mixed effect on the design, development and implementation of CCH/Master Name Index in Pennsylvania. During the early 1970's, the State Police were very concerned about utilizing Federal funds because of the potential impact of privacy and security laws. Their major concern was the possibility of after-the-fact restrictions being imposed on CCH, limiting its usage and thereby "emasculating" the system. This feeling, in part, led to the state's decision not to accept additional Federal funds after the initial CCH grant in 1972 and almost certainly delayed development of any CCH system.

The State Police changed their CCH policy during the mid-1970's away from the development of a full-blown CCH system to the initiation of a Master Name Index. At the same time, the Pennsylvania State Legislature began work on Pennsylvania's privacy and security regulations. Passed and signed into law at the end of the last session of the legislature, the effect of these regulations is still speculative. Mechanisms to enforce them through the State's Attorney General's Office have yet to be put into place.

Privacy and security regulations have thus far, therefore, had very little impact on the design or operation of the Index, however, key system personnel are concerned about possible legal challenges. They believe that such legal actions may be based on a contention that some of the information to be contained in the Index (e.g., date of arrest and whether the suspect is considered dangerous) does constitute criminal history data and fear that the Index will be subject to all privacy and security regulations.

Another possible effect of the privacy and security regulations which concerns Pennsylvania would be a large number of access and review requests. This could be very costly in the long run, depending upon the number of persons applying to see their files in order to check and perhaps challenge the accuracy of the data contained in the Master Name Index. Since the Index is still in the planning and demonstration phase, its final form in terms of data elements is still unknown. Similarly, the State Police are not sure who will or must be allowed access to the system. As currently envisined, access will follow a yet to be specified one-step at a time process, beginning in-house and gradually enlarging authorized access.

Privacy and security regulations have been of concern in the design of Pennsylvania's OBSCIS. As previously stated, the Pennsylvania State legislature recently passed privacy and security regulations governing the content, use, access and so on of automated

criminal justice information systems. Among other things, the law specifies that information needed for security purposes may be stored in computer systems as long as the data are kept within the specific agency. Whether security-related information includes data such as medical records and psychological profiles is currently unclear. The rules for access must also be further defined, especially in the case of non-criminal justice agencies who wish to conduct background checks for employment purposes.

State personnel believe that the meanings and definitions of key words such as "completeness" and "accuracy" in the federal regulations are unclear and will be subject to endless debate and potentially costly litigation.

Privacy and security regulations have also made very little difference in the development of SJIS. System staff feel that the new state law exempts the courts as long as they don't maintain criminal histories by alphabetically aggregating data on individuals. However, the new regulations may affect data transfer to other agencies (e.g., the courts are required to provide the State Police with disposition data within 90 days of the disposition).

In terms of cost to system development, Pennsylvania staff believes it is still much too early to determine the impact of privacy and security regulations, although there is a concern that complying with accuracy requirements could be very expensive. Maintaining an audit trial could also be costly, especially if the regulations are interpreted as requiring notification of everyone involved of changes in CHRI records.

12. Rhode Island

In discussing the application of privacy and security regulations to SJIS, it should be noted that this study focused on SJIS itself and not the local court information systems. With regard to

criminal history record information (CHRI), SJIS contains such data only if the individual has been processed through the courts since the system began operating in 1977. Although the system also contains information regarding court cases which were pending in 1976, the problem of attempting to update CHRI, which could be very expensive, is avoided at the state level. Indeed, it well may be an impossible task, given the state of CHRI contained in the state Bureau of Criminal Identification.

13. Utah

The Utah Computerized Criminal History System was designed to operate within the Utah regulations with respect to privacy and security concepts. The regulations have been followed as closely as possible and audit trials and logs for criminal history record requests have been implemented. Although Utah has submitted a privacy and security plan to meet Federal regulations, those regulations have not had an impact on CCH operations.

The Bureau of Identification has established a position of Coordinator of Privacy and Security. The prime responsibility of the Coordinator is to conduct periodic security and privacy audits at each agency having CCH terminals. The audits include all aspects of terminal use and physical security and result in suggestions to the audited agency for privacy and security required changes in operation if necessary. The development of the present Utah Corrections Information System has taken place in general without any special concern over either State or Federal security and privacy regulations. The system has been considered and operated purely as an "in-house" research tool without any public access or dissemination of its reports outside of the Division of Corrections. The data processing support furnished by the computer at the University of Utah has no special provisions for privacy or security protection of the corrections data.

The staff of the Division is concerned about both the privacy and security of the planned OBSCIS installation, however. The staff feels that the Department of Social Services, as a non-criminal justice agency, is not overly concerned with security of its files and believes that this lack of concern is another reason for a separate corrections data processing installation. Whether such a facility is possible in Utah's political situation is problematical.

Currently only verbal instructions with respect to privacy rules have been given to the corrections research staff, and there is no formal security and privacy program in the Division of Corrections. The problem has not yet been addressed, although it has been recognized.

Although there is concern by the staff of the Judicial Council in the area of privacy and security, there have been no steps yet taken to determine their potential impact on the design, development, and implementation of SJIS in Utah. The staff was not invovled in the submission of the Utah Privacy and Security Plan to the Department of Justice.

PROMIS has been implemented with minimum concern for privacy and security requirements, and there is apparently little understanding of the possible application of the Federal privacy and security regulations. The county computer facility is reportedly in a secure area, and terminals are locked at night. Terminal access is restricted, and passwords are required for terminal operators to use the PROMIS equipment.

14. Wisconsin

At this early point in the development process, Division of Correction's staff do not feel that privacy and security regulations will have a significant impact on the design and implementation of

OBSCIS. Security procedures will be the same as those currently utilized by the Department of Administration, namely identification cards, keywords, and other standard techniques. Similarly, procedures to ensure the privacy of individuals maintained in the OBSCIS data base will be the same as those already used by the Division of Corrections. These safeguards revolve around a confidentiality statement signed by all staff. The first breach of confidentiality results in a lecture and a disciplinary statement being placed in the individual personnel file, while the second infraction leads to a loss of pay and the third violcation eventuates in the termination of employment.

Existing privacy and security laws in Wisconsin have been followed in the operation of JUSTIS in the offices of the court clerk and district attorney. There has been little or no effect of the Federal privacy and security regulations on either the development or operation of the system. Some consideration has been given by JUSTIS staff to the requirements for logging all system inquiries, however, no change in system design has been made to deal with the thousands of inquiries made each month. Audit trials are created each time a record is changed, however.

The system has been designed to employ only dedicated communication lines, and the terminals have been placed in secured areas to enhance their security. In addition, data entry is limited through the terminals, access to data is restricted to selected terminals, and the data processing equipment is maintained in a secure area. These security features, including the requirement for operator password entry before terminal usage, have been added to the original PROMIS software by the JUSTIS developers.

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