



An Overview of the Illinois Criminal History Records Information (CHRI) System

**Part I of the 1993-94
Criminal History Records Audit**

December 1994

152841



**ILLINOIS
CRIMINAL JUSTICE
INFORMATION AUTHORITY**

152841

**U.S. Department of Justice
National Institute of Justice**

This document has been reproduced exactly as received from the person or organization originating it. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the National Institute of Justice.

Permission to reproduce this copyrighted material has been granted by

Illinois Criminal Justice Information
Authority/DOJ/BJA/OJP

to the National Criminal Justice Reference Service (NCJRS).

Further reproduction outside of the NCJRS system requires permission of the copyright owner.

Copyright © 1994 Illinois Criminal Justice Information Authority
120 S. Riverside Plaza, Suite 1016
Chicago, IL 60606-3997
312-793-8550

Printed by authority of the State of Illinois
December 1994
Printing order number: 95-47
500 copies

Any portion of this publication may be reproduced for research purposes, provided proper credit is given to the Illinois Criminal Justice Information Authority.

152841

NCJRS

FEB 17 1995

ACQUISITIONS

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

Points of view or opinions contained within this document are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Justice.

Acknowledgements

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

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

The Authority would like to thank the following agencies and their staffs for providing the data and the insight necessary to complete this report:

Illinois State Police
Michigan State Police
Ohio Attorney General's Office
Pennsylvania State Police

The Authority is especially thankful to the following individuals at the Illinois State Police's Bureau of Identification for their assistance:

Judie V. Welch, Bureau Chief
William N. Buchanon, Chief of Staff
John T. Loverude, Assistant Bureau Chief
Marcel D. Reid, Assistant Bureau Chief
James R. Reed, Management Operations Analyst
Tammi S. Kestel, Records Unit Manager
Gail Sabin, Management Operations Analyst

Finally, Audit Center staff would like to thank the following Authority staff for their comments and insight: Candice M. Kane, Ph.D., Associate Director, Federal and State Grants Unit; Gerard F. Ramker, Ph.D., Program Director, Motor Vehicle Theft Prevention Council; Sharon D. Bond, Associate Director, Office of Public Information; Robert Boehmer, General Counsel; Mark Myrent, Director, Criminal History Records Improvement Project; Kristi Turnbaugh, Technical Editor, Office of Public Information; Laura Egger, Grants Monitor; and Rochelle Valadez and John Gall, Interns.

Illinois Criminal Justice Information Authority

Peter B. Bensing, Chairman
Thomas F. Baker, Executive Director

120 South Riverside Plaza, Suite 1016
Chicago, Illinois 60606-3997

Table of Contents

Executive Summary	1
Introduction	4
Background Information	7
Illinois CHRI System Overview	14
The Processing of Information	14
Annual Records Growth	18
Growth of Events Versus Records	18
Direct Filings	26
Dispositions Not Available	27
Other Submission Types	29
Record Dissemination Responses	31
CHRI Backlog and Resources	32
Pending Events	37
State Comparison	38
Michigan	40
Annual Records Growth	40
Submissions Received Annually	41
Ohio	43
Annual Records Growth	43
Submissions Received Annually	43
Annual Record Dissemination Responses	44
Backlog	44

Pennsylvania	45
Annual Records Growth	45
Submissions Received Annually	45
Annual Record Dissemination Responses	46
Backlog	47
State Comparison Conclusion	48
 Conclusion	 49
 Figure 1: Annual CCH Records Growth, 1984-1993	 18
Figure 2: Total CCH Event Counts Versus Total Records Posted, 1984-1993	19
Figure 3: Total CCH Event Counts, by Year, January 1994 Versus June 1994	20
Figure 4: State's Attorney Disposition Counts, by Event Date, 1984-1993	21
Figure 5: Court Disposition Counts, by Event Date, 1984-1993	22
Figure 6: Event Counts Based on Event Date, by Type, 1984-1993	24
Figure 7: Percent of Total Event Counts, According to Type, by Year	25
Figures 8a-d: Event Counts According to Type, 1984-1993	26
Figure 9: State Comparison of Annual CCH Records Growth, 1989-1993	40
Figure 10: Submissions Received (Michigan) Versus Event Counts (Illinois), 1989-1993	41
Figure 11: Annual Michigan Submissions, According to Type, 1989-1993	42
Figure 12: Annual Ohio Record Dissemination Responses, 1989-1993	44
Figure 13: Fingerprints Received (Pennsylvania) Versus Arrest Event Counts (Illinois)	46
Figure 14: Annual Pennsylvania Record Dissemination Responses, 1990-1993	47
Figure 15: Pennsylvania CHRI Events Received, Processed and Backlogged, by Year	48
 Table 1: Dispositions <i>Not Available</i> by Date of Disposition and Date Event Posted	 28
Table 2: Other Submission Types, 1987-1993	30
Table 3: Disseminations, by Response Method, 1987-1993	31
Table 4: ISP Expenditures/Appropriations for the Criminal History Records Program	33
Table 5: Number of ISP Staff Processing Criminal History Records	34

Table 6: CCH Backlog Submissions According to Entry Point Date 36

Table 7: State Comparison of Populations and Crime Index Totals 38

CHRI Submissions Flowchart 15

Box: ISP Improvements to CHRI Services, 1989-1993 35

Appendix A: Glossary 51

Appendix B: Illinois State Police Improvements to CHRI 57

Executive Summary

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

This initial report lays the foundation for the audit findings. Scheduled to be completed in May 1995, the final report will analyze the quality of system records. What follows here is an analysis of the size and complexity of the CHRI system. It is hoped that this report will help readers more fully appreciate the magnitude of a growing system and provide a framework upon which the final report can build.

Below are the key findings of this initial report:

- ◆ The state's computerized criminal history (CCH) records information system is growing at an incredible rate. On Jan. 1, 1984, the system contained more than 1.4 million records.¹ By Jan. 1, 1994, this figure had jumped to 2.1 million records, an increase of 51 percent over 10 years. Therefore, during the last decade the ISP has added about 200 records a day to the system.

¹Records are the accumulation of individual *events* such as an arrest, a state's attorney's disposition, a court disposition, or custodial receipt for a particular person to whom a State Identification (or *SID*) number has been applied. Each person's record has its own unique SID. Therefore, as used in this report, record counts indicate the number of SIDs in the system.

◆ Each record may contain several criminal justice-related events. Because of this, events greatly outnumber records. For example, in 1994, there were more than 12 million events in the system whose occurrence dates were from prior years, for an average of about 5.4 events for every record on the system.

◆ Of all events ever entered into the CCH system, 23 percent were added between January 1994 and June 1994. Almost all of this increase could be attributed to state's attorney and court dispositions. Over the last 10 years, events have been added at a rate of about 600,000 per year. About half of all events added to the CCH system have occurred over the last decade.

◆ Event types, as a percentage of the total, have remained relatively constant. Yearly, arrests usually comprise about 40 percent of all events; state's attorney dispositions, 37 percent; court dispositions, 20 percent; and custodial receipts, about 3 percent.

◆ Two recent developments have substantially changed how events are received and led to a substantial increase in the overall tally of events. Since 1987, the ISP has allowed counties to report the direct filing of state's attorney dispositions. Since 1991, the ISP can automatically post these records to the CCH system. Second, when the ISP determines that agencies cannot provide dispositions to cases, it posts them as not available and includes them in the count of total disposition events. Since 1990, the ISP has posted more than 250,000 dispositions as not available.

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

◆ In 1991, the ISP's nonpersonnel expenditures for the criminal history records program topped \$6.8 million. However, by 1993, nonpersonnel expenditures decreased to about \$5.1

million. In 1991, there were 227 staff people processing criminal history records. In 1993, there were 185.

◆ The ISP has made many changes over the last five years to improve the delivery of CHRI. However, even with the improvements, it still has a backlog of events. On Jan. 1, 1994, the backlog stood at about 132,000 events, down from 329,000 the previous year. These numbers, however, can vary dramatically throughout the year.

◆ Because of different reporting requirements and methods, comparing the Illinois CCH system to other states is difficult. Like Michigan, Pennsylvania and Ohio, the Illinois CCH system continues to grow, change and provide new challenges to providing timely, accurate and complete criminal history record information.

Introduction

The importance of CHRI² to the fair administration of criminal justice cannot be overestimated. In virtually every realm of law enforcement, criminal court proceedings and correctional supervision, criminal history records are relied upon to provide an accurate and timely account of an offender's past encounters with criminal justice agencies. Recently, the search for methods to avoid selling handguns to people with criminal records has brought increased attention to the need for states to maintain accurate and complete criminal history record systems.

Employers also increasingly rely upon criminal conviction records as part of their hiring process to ensure prospective employees have the optimum background.³ For example, school districts are now using conviction data to determine if teachers, bus drivers or others who have contact with children ever have been convicted of sexual offenses or other crimes that may exclude them from employment. Social service agencies also rely on conviction information to determine whether prospective foster parents meet eligibility criteria and are suitable for that role, among other things.

In addition, conviction information is no longer restricted to certain *agencies*. As of January 1991, Illinois *citizens* can request *conviction* information, for a fee, about neighbors, coworkers or anyone else they choose.⁴ Though not without limits, the CHRI system, operated by the ISP, truly has become a resource available to all state residents.

²See Appendix A, Glossary.

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

⁴The Illinois Uniform Conviction Information Act, 20 ILCS 2635/1 et seq. (formerly Ill. Rev. Stat., Ch. 38, par. 1601 et seq.).

Although employers and individuals increasingly use CHRI, criminal justice practitioners continue to be the most frequent recipients of CHRI. For instance, law enforcement officers use CHRI to assist in conducting investigations, and state's attorneys rely heavily upon CHRI to decide bail requests, as well as whether to seek upgraded charges, negotiate pleas and/or recommend sentences.

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

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

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

As important as it is to all aspects of the criminal justice system and its practitioners, the Illinois CHRI program continues to experience many challenges that impact CHRI quality and availability. The 1993-94 Criminal History Records Audit's final report will identify existing obstacles, both procedural and systemic, so that coordinated efforts can be taken to improve the system.

The first step in assessing CHRI is to understand the CCH system's size and complexity. The 1993-94 audit is the first to analyze its magnitude. Criminal History Records

Audit Center staff are currently analyzing the timeliness, accuracy and completeness of CHRI system records. A final report that addresses these issues will be completed in May 1995.⁵ That final report will indicate weaknesses in the system and offer possible solutions; it also will contain findings in the areas of timeliness, accuracy and completeness -- the three staples of a comprehensive criminal history records audit. For example, the report will evaluate how quickly local agencies send information to the ISP, whether certain agencies are more prone to delays and to what degree the ISP meets its obligation in making records available to users, namely those requesting CHRI. The report also will evaluate the accuracy and completeness of records that are received and processed. Audit staff will try to determine reasons for discrepancies and will offer possible remedies.

A properly conducted analysis of system timeliness, accuracy and completeness requires an understanding of the CHRI system itself. To establish a basic understanding of the system and its use, certain questions were asked about its size, CHRI submission totals, CHRI disseminations, CHRI system backlogs and resources the ISP has devoted to the CHRI system. This interim report answers these questions so that the findings offered in May 1995 will be placed in proper perspective.

Audit Center staff also contacted other states with comparable populations to determine whether the Illinois system is fundamentally different from others or whether nuances in the Illinois system offer unique challenges to CHRI management.

⁵For goals of the audit, see "The 1993-4 Criminal History Records Audit Methodology." Illinois Criminal Justice Information Authority, December 1993.

Background Information

The Criminal Identification Act⁶ names the ISP as the central repository for Illinois CHRI, including its collection, maintenance and dissemination. In addition, all policing bodies, sheriffs, state's attorneys and circuit court clerks in each county, as well as the Illinois Department of Corrections (IDOC), must submit certain arrest, charge, disposition and custodial information to the ISP within a specified timeframe. The ISP receives submissions for all felonies, Class A and B misdemeanors and forcible felonies and unlawful use of weapon offenses committed by juveniles. Arrest information must be submitted daily. Other information must be submitted within 30 days of the event. The ISP gathers this information from throughout the state and systematically enters it into the Illinois CCH system, a large computer system that facilitates criminal record information entry and retrieval.

The ISP began automating the state's CHRI system in the early 1970s. The ISP now collects, stores, maintains and disseminates CHRI in a manner that has become, in a sense, more complex over the years with the advent of more advanced and varied hardware, technology and reporting methods. The greatly increased need for CHRI has also contributed to the system's complexity.

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

The ISP receives a variety of criminal history record submissions. Specific processing procedures vary according to the type of criminal history event reported. Arrest and custodial

⁶20 ILCS 2630/0.01 et seq. (formerly IRS Ch. 38, par. 206).

fingerprint cards both can initiate a new CCH record. However, a basic principle of both federal and state regulations is that all new records must be fingerprint-based. The person's name becomes secondary to his or her fingerprints because suspects often use several aliases. Fingerprints are the definitive identification method that links a person to his or her criminal past. However, some processes (for example, grand jury) can bring a person into the criminal justice system without an arrest having been made and therefore, with no arrest fingerprint card. If someone is convicted under these circumstances, the state's attorney requests the person's fingerprints through the court system, and the court orders the fingerprinting if it finds the person was not previously fingerprinted.

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

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

As noted in the introduction, past Authority audits documented continuing problems in

the CCH system. The most persistent problem is missing dispositions. In 1992, a sample of inmates' criminal history records (also referred to as *transcripts* or *rap sheets*) indicated that 56 percent of total arrests were missing state's attorney dispositions, and 46 percent were missing final court dispositions. In 1990, a sample of CCH system arrests indicated that more than 58 percent of arrests were missing both state's attorney and final court dispositions.

In addition, previous audits revealed that local agencies often report the same information more than once. Some omit the Document Control Numbers (DCNs), making it difficult to link arrests with dispositions. These types of problems are significant and create a substantial delay in record processing.

The CCH system has changed considerably over the years. The most current large-scale redesign of the CCH system was implemented in 1987. One of the most important changes was the use of a new five-page form that follows a criminal offender from arrest to sentencing. A preprinted DCN on each page of the form creates a link from one event to the next and provides an audit trail of those events for each offender. This reporting device serves as an important means of linking record information for most of the state's jurisdictions. However, not all agencies in the state use the form. In fact, the largest arresting agency in Illinois (the Chicago Police Department) and several others use their own reporting methods, developed in cooperation with the ISP. These methods were designed to make the reporting procedures less cumbersome while ensuring timely submissions that also maintained event links.

Each page of the five-part reporting form serves a specific purpose. The first page is referred to as the Arrest Face Sheet (see sample on next page). It contains subject identification and arrest information. The offender identification information contained on the face sheet is carbon-copied onto subsequent pages. This not only saves time when subsequent agencies process the person but also prevents errors in transcribing information between documents.

ARREST		STATE USE		ARRESTING AGENCY - ORI		State Use Only		Process Control Number	
Document Control Number 25214956X		FP FBI PP IL		Department Name		Subject's Name LAST - FIRST - MIDDLE		889422182	
Document Control Number						Also Known As - AKA		Birthdate MONTH DAY YEAR	
State Use Only						Sex Race POB Hair Color Skin Tone Height Weight Eyes		Alias DOB MONTH DAY YEAR	
Photo Taken		Scars, Marks, Tattoos		Miscellaneous Number		Social Security Number		Driver's License Number State	
SID Number		FBI Number		Agency's Offender Identification Number		Agency's Case Number			
Official's Signature		I.D. Number		Subject's Signature - NOTE: This Information May Be Considered In Legal Proceedings		Date Printed MONTH DAY YEAR			

COUNTY	STATUTE CITATION	OFFENSE DESCRIPTION	WARRANT ARRESTS		STATE USE ONLY	ARREST CHARGE DISPOSITION
			WARRANT TYPE	WARRANT COURT CASE NUMBER		
1						<input type="checkbox"/> Direct Filed (1) <input type="checkbox"/> Referred to S.A. (2)
2						<input type="checkbox"/> Direct Filed (1) <input type="checkbox"/> Referred to S.A. (2)
3						<input type="checkbox"/> Direct Filed (1) <input type="checkbox"/> Referred to S.A. (2)
4						<input type="checkbox"/> Direct Filed (1) <input type="checkbox"/> Referred to S.A. (2)
5						<input type="checkbox"/> Direct Filed (1) <input type="checkbox"/> Referred to S.A. (2)

Date of Arrest MONTH DAY YEAR	Date of Offense MONTH DAY YEAR	County of Prosecution	Caution <input type="checkbox"/> Yes / <input type="checkbox"/> No	Base for Caution
Minor's Fingerprint submitted <input type="checkbox"/> Yes / <input type="checkbox"/> No	Post Sentence Fingerprint <input type="checkbox"/> Yes / <input type="checkbox"/> No	Mockey Only <input type="checkbox"/> Yes / <input type="checkbox"/> No	Cash (04) <input type="checkbox"/>	
Date Bond Deposited MONTH DAY YEAR	Bond Receipt Number	Bond Amount	Cash Bond Deposited	Bond Type Posted
Send Copy of CrPR to: NCIC		Agency		Number of Pages

COPY # 1 BUREAU OF IDENTIFICATION

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

ARREST		STATE USE		ARRESTING AGENCY - ORI		State Use Only		Process Control Number	
Document Control Number 25214956X		FP FBI PP IL		Department Name		Subject's Name LAST - FIRST - MIDDLE		889422182	
Document Control Number						Also Known As - AKA		Birthdate MONTH DAY YEAR	
State Use Only						Sex Race POB Hair Color Skin Tone Height Weight Eyes		Alias DOB MONTH DAY YEAR	
Photo Taken		Scars, Marks, Tattoos		Miscellaneous Number		Social Security Number		Driver's License Number State	
SID Number		FBI Number		Agency's Offender Identification Number		Agency's Case Number			
Official's Signature		I.D. Number		Subject's Signature - NOTE: This Information May Be Considered In Legal Proceedings		Date Printed MONTH DAY YEAR			

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

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

COPY # 5 BUREAU OF IDENTIFICATION

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

STATE'S ATTORNEY DISPOSITION		STATE USE		ARRESTING AGENCY - OR		State Use Only		Process Control Number			
Document Control Number 25214958X		PP PB PP IL		Department Name		Subject's Name LAST - FIRST - MIDDLE		897582202			
Document Control Number				Also Known As - AKA		Birth Date MONTH DAY YEAR		Alias DOB MONTH DAY YEAR			
INSTRUCTIONS 1. Complete the State's Attorney's section of this report. 2. Forward this report to the Bureau of Identification		Sex		Race		POB		Hair Color			
		Eyes		Skin Tone		Height		Weight			
		Photo Taken		Scars, Marks, Tattoos		Miscellaneous Number		Social Security Number		Driver's License Number	
		State		Social Security Number		Driver's License Number		State		State	
		SID Number		IL		FBI Number		Agency's Offender Identification Number		Agency's Case Number	
Official's Signature		ID Number		Subject's Signature - NOTE: The response may be Completed in Last Item's Inmate File		Date Printed		MONTH DAY YEAR			
STATE'S ATTORNEY'S SECTION											
STATUTE CITATION		OFFENSE DESCRIPTION		WARRANT TYPE		COUNTY ISSUING WARRANT		WARRANT ARRESTS			
1								STATE'S ATTORNEY'S DISPOSITION			
2								DATE OF DISPOSITION			
3								<input type="checkbox"/> Filed (2) <input type="checkbox"/> Direct Filed (1) <input type="checkbox"/> Not Filed (2) <input type="checkbox"/> Returned to S.A. (2) <input type="checkbox"/> Modified (2) MONTH DAY YEAR <input type="checkbox"/> Added (2)			
4								<input type="checkbox"/> Filed (2) <input type="checkbox"/> Direct Filed (1) <input type="checkbox"/> Not Filed (2) <input type="checkbox"/> Returned to S.A. (2) <input type="checkbox"/> Modified (2) MONTH DAY YEAR <input type="checkbox"/> Added (2)			
5								<input type="checkbox"/> Filed (2) <input type="checkbox"/> Direct Filed (1) <input type="checkbox"/> Not Filed (2) <input type="checkbox"/> Returned to S.A. (2) <input type="checkbox"/> Modified (2) MONTH DAY YEAR <input type="checkbox"/> Added (2)			
State Attorney - OR		Completed By									
IL											
Agency Name											
Forward the Court Disposition Report to the Circuit Clerk's Office only if the offender is prosecuted.											
COPY # 3 STATE'S ATTORNEY ISP-402 (1/91)											

COURT DISPOSITION		STATE USE		ARRESTING AGENCY - OR		State Use Only		Process Control Number			
Document Control Number 25214958X		PP PB PP IL		Department Name		Subject's Name LAST - FIRST - MIDDLE		901662212			
Document Control Number				Also Known As - AKA		Birth Date MONTH DAY YEAR		Alias DOB MONTH DAY YEAR			
INSTRUCTIONS Forward this report to the circuit clerk's office when charges are filed with the court.		Sex		Race		POB		Hair Color			
		Eyes		Skin Tone		Height		Weight			
		Photo Taken		Scars, Marks, Tattoos		Miscellaneous Number		Social Security Number		Driver's License Number	
		State		Social Security Number		Driver's License Number		State		State	
		SID Number		IL		FBI Number		Agency's Offender Identification Number		Agency's Case Number	
Official's Signature		ID Number		Subject's Signature - NOTE: The response may be Completed in Last Item's Inmate File		Date Printed		MONTH DAY YEAR			
CIRCUIT CLERK'S SECTION											
OFFENSE		STATUTE CITATION		COURT CASE NUMBER		DISPOSITION CODE		DATE			
								MONTH DAY YEAR			
								MONTH DAY YEAR			
								MONTH DAY YEAR			
								MONTH DAY YEAR			
SENTENCE SECTION											
SENTENCE CODE		YEARS		MONTHS		DAYS		HOURS			
AMOUNT		SENTENCE STATUS CODE		SENTENCE DATE							
				MONTH DAY YEAR							
				MONTH DAY YEAR							
				MONTH DAY YEAR							
				MONTH DAY YEAR							
Circuit Court - NCIC Number		IL		County Name		Bond Type		Bond Receipt Number			
								MONTH DAY YEAR			
Completed By				Bond Amount		Cash Bond Posted					
COPY # 4 CIRCUIT CLERK ISP-402 (1/91)											

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

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

As seen by its use in every step of the judicial process, the CCH system is a valuable resource for thousands of criminal justice practitioners around the state, and it continues to grow and change. This report explores the system's growth and then compares it to other states.

CUSTODIAL	STATE USE			CONFINING INSTITUTION - ORI							AGENCY RECEIVED FROM - ORI							State Use Only			Process Control Number																																						
	FP	FBI	PP	IL																																																							
Document Control Number 102241018	Department Name							Subject's Name							Birthdate MONTH	DAY	YEAR	346341017																																									
Document Control Number	Sex	Race	POB	Hair Color	Skin Tone	Height	Weight	Eyes																																																			
State Use Only							Photo Taken <input type="checkbox"/> Yes / <input type="checkbox"/> No							Scars, Marks, Tattoos							Misc. Number																																						
							Social Security Number							Driver's License Number							State																																						
							SID Number IL							FBI Number Ø																																													
							Court Case Number							County							Correctional Number																																						
							Court Case Number							County							Date Received MONTH DAY YEAR																																						
Official's Signature							I.D. Number							Subject's Signature							Date Printed MONTH DAY YEAR																																						
<table border="0"> <thead> <tr> <th><u>STATUS</u></th> <th><u>CODE</u></th> </tr> </thead> <tbody> <tr><td>Absconded</td><td><input type="checkbox"/> 401</td></tr> <tr><td>Deceased</td><td><input type="checkbox"/> 408</td></tr> <tr><td>Discharged</td><td><input type="checkbox"/> 409</td></tr> <tr><td>Escaped</td><td><input type="checkbox"/> 410</td></tr> <tr><td>Executed</td><td><input type="checkbox"/> 411</td></tr> <tr><td>Pardoned</td><td><input type="checkbox"/> 416</td></tr> <tr><td>Received</td><td><input type="checkbox"/> 421</td></tr> <tr><td>Released by Court Order</td><td><input type="checkbox"/> 422</td></tr> </tbody> </table>												<u>STATUS</u>	<u>CODE</u>	Absconded	<input type="checkbox"/> 401	Deceased	<input type="checkbox"/> 408	Discharged	<input type="checkbox"/> 409	Escaped	<input type="checkbox"/> 410	Executed	<input type="checkbox"/> 411	Pardoned	<input type="checkbox"/> 416	Received	<input type="checkbox"/> 421	Released by Court Order	<input type="checkbox"/> 422	<table border="0"> <thead> <tr> <th><u>STATUS</u></th> <th><u>CODE</u></th> </tr> </thead> <tbody> <tr><td>Released on Appeal Bond</td><td><input type="checkbox"/> 423</td></tr> <tr><td>Sentence Commuted</td><td><input type="checkbox"/> 424</td></tr> <tr><td>Released on Correctional Supervision</td><td><input type="checkbox"/> 431</td></tr> <tr><td>Returned from Correctional Supervision</td><td><input type="checkbox"/> 432</td></tr> <tr><td>Revocation of Correctional Supervision</td><td><input type="checkbox"/> 433</td></tr> <tr><td>Received for Periodic Imprisonment</td><td><input type="checkbox"/> 434</td></tr> <tr><td>Rerieved</td><td><input type="checkbox"/> 435</td></tr> <tr><td>Returned to Institution</td><td><input type="checkbox"/> 436</td></tr> </tbody> </table>												<u>STATUS</u>	<u>CODE</u>	Released on Appeal Bond	<input type="checkbox"/> 423	Sentence Commuted	<input type="checkbox"/> 424	Released on Correctional Supervision	<input type="checkbox"/> 431	Returned from Correctional Supervision	<input type="checkbox"/> 432	Revocation of Correctional Supervision	<input type="checkbox"/> 433	Received for Periodic Imprisonment	<input type="checkbox"/> 434	Rerieved	<input type="checkbox"/> 435	Returned to Institution	<input type="checkbox"/> 436
<u>STATUS</u>	<u>CODE</u>																																																										
Absconded	<input type="checkbox"/> 401																																																										
Deceased	<input type="checkbox"/> 408																																																										
Discharged	<input type="checkbox"/> 409																																																										
Escaped	<input type="checkbox"/> 410																																																										
Executed	<input type="checkbox"/> 411																																																										
Pardoned	<input type="checkbox"/> 416																																																										
Received	<input type="checkbox"/> 421																																																										
Released by Court Order	<input type="checkbox"/> 422																																																										
<u>STATUS</u>	<u>CODE</u>																																																										
Released on Appeal Bond	<input type="checkbox"/> 423																																																										
Sentence Commuted	<input type="checkbox"/> 424																																																										
Released on Correctional Supervision	<input type="checkbox"/> 431																																																										
Returned from Correctional Supervision	<input type="checkbox"/> 432																																																										
Revocation of Correctional Supervision	<input type="checkbox"/> 433																																																										
Received for Periodic Imprisonment	<input type="checkbox"/> 434																																																										
Rerieved	<input type="checkbox"/> 435																																																										
Returned to Institution	<input type="checkbox"/> 436																																																										
Status Change Date							Official's Signature							Date Signed																																													
IL 493-0689														ISP6-407 (2/88)																																													

Illinois CHRI System Overview

The Processing of Information

The ISP processes CHRI submissions by type. A CHRI Submissions Flowchart appears on the next page for reference. Not only are there different event types (for example, arrests, state's attorney and court dispositions, custodial receipts and status changes) but also different reporting methods (for example, paper submissions sent by mail, electronic submissions, computer tapes or livescan transmissions⁷). Paper submissions are most commonly submitted on the ISP-issued, five-page reporting form previously discussed.

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

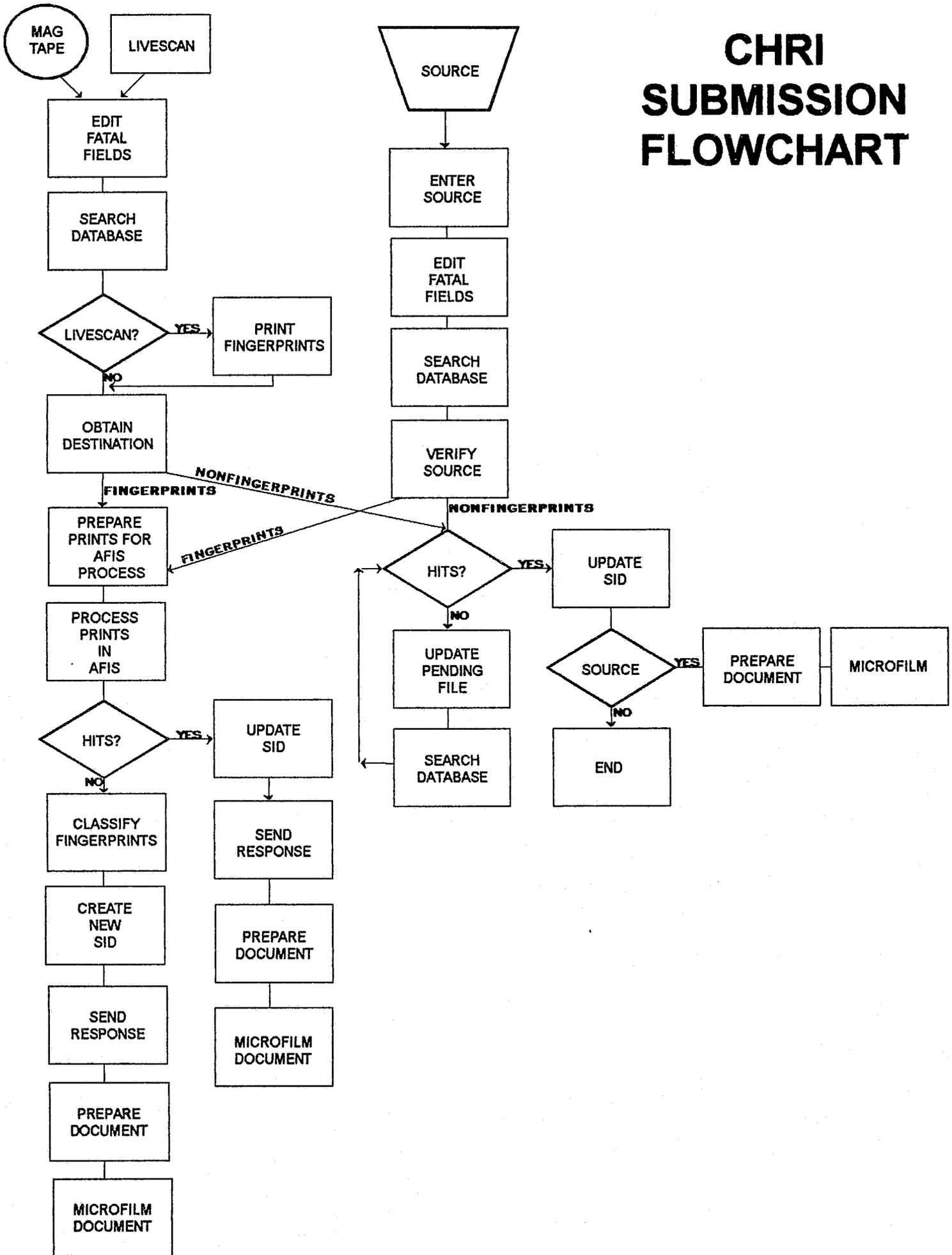
When the ISP receives an arrest or custodial receipt submission, the information on the form is entered into a mainframe computer by an operator.⁸ A second terminal operator enters the same information to ensure accuracy. A computerized check verifies that the two data entries match and the data are valid. If the information does not match, the computer returns the data record for correction. Staff at the ISP determine if the event contains an error that is not correctable and is *fatal*⁹ (for example, is missing both statute citation and offense description). If it cannot be posted, the ISP returns the submission to the submitting agency

⁷Livescan is direct electronic fingerprinting. For more on livescan, see p. 17.

⁸Since October 1992, the ISP has been sending all arrest submissions to an outside vendor to be data entered and verified. The submissions are then returned to the ISP, along with a magnetic tape of the data.

⁹*Fatal* indicates there is something in the event that prevents it from being *posted*, or added, to the system.

CHRI SUBMISSION FLOWCHART



for correction. If the error is not correctable, but the event can be posted (for example, is missing an offense date), the card is processed. Then the ISP sends an error correction sheet to the submitting agency, which the agency resubmits to the ISP with the corrected data. Resubmission rates, however, are often low.

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

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

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

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

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

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

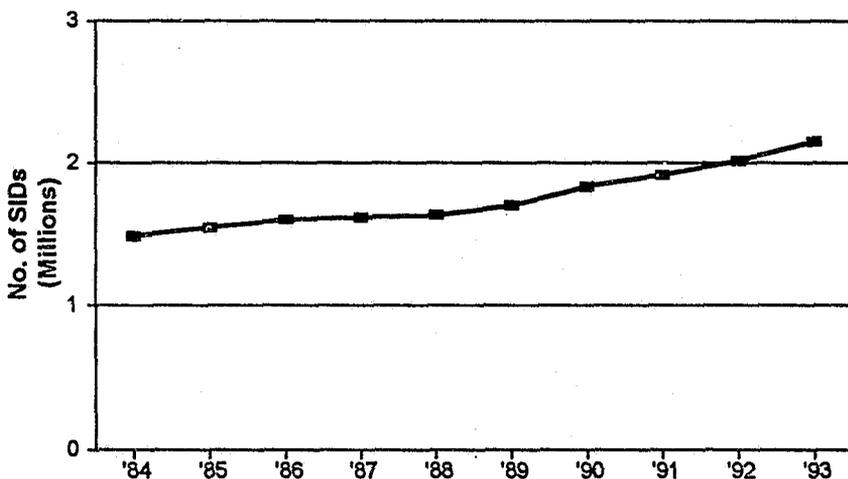
When disposition or status change information is entered into the system, the computer searches the existing database for the corresponding fingerprint submission that initiated the criminal history record. To assist the search, all submissions contain a DCN. This number links all corresponding events.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

Increasingly, as reporting agencies become automated, they submit CHRI electronically or via livescan. The ISP receives electronic submissions, most of which are dispositions on magnetic tape. The ISP's computer programs read and edit the data contained on the tape before posting the information to CCH. A few agencies submit CHRI over livescan, which reads a person's fingerprints directly into a computer. Even though the number of agencies submitting by livescan is small, these arrests comprised about 40 percent of all reportable arrests statewide. Neither ink nor paper is used. The fingerprints are transferred to the ISP or to other agencies from the originating agency and can be printed out repeatedly with no loss of clarity. Livescan requires an agency to enter all demographic and charge information into the system, which is then read and edited at the ISP and eventually posted to CCH.

Annual Records Growth

Figure 1 represents the total number of SIDs added to the CCH system as of Jan. 1 of each year, 1984 through 1993. In 1984, the CCH system contained 1,418,586 SIDs for criminal offenders, and therefore, an equal number of criminal history records. By 1993, this number had increased to 2,143,651 records, a 51-percent increase over the 10-year period. Since 1984, therefore, the ISP created an average of more than 72,500 new records annually, or nearly 200 a day. The totals for more recent years are even higher. For example, in 1993, the ISP added almost 136,000 SIDs.

Figure 1
Annual CCH Records Growth
1984-1993



Growth of Events Versus Records

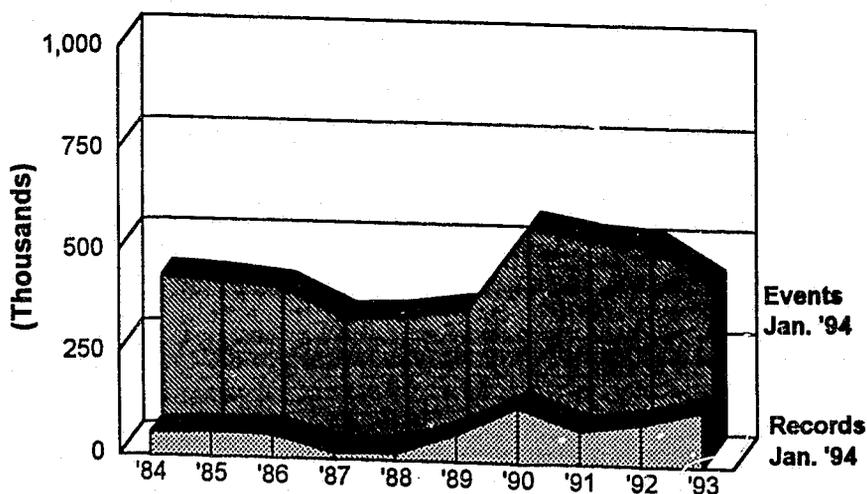
The tremendous growth in SIDs, however, does not indicate the true magnitude of the CCH system. The number of *records* (or SIDs) in the CCH system is overshadowed by the number of *events* in the system.

As discussed above, upon receipt of a criminal history event (for example, an arrest), the ISP posts the information to the CCH system. If an offender has an existing criminal

history record, the ISP posts the submitted data to the offender's criminal history record. Therefore, events are separate criminal justice transactions, whereas records are the accumulation of events for a particular person to whom a SID has been assigned. Each record may have, and usually has, multiple events attached to it.

Therefore, while Figure 1 indicates that there are now more than 2.2 million records, Figure 2 reveals the even more rapid growth of criminal history record events during the last 10 years, which includes arrests, state's attorney and court dispositions¹⁰ and custodial receipts.

Figure 2
Total CCH Event Counts Versus
Total Records Posted, 1984-1993



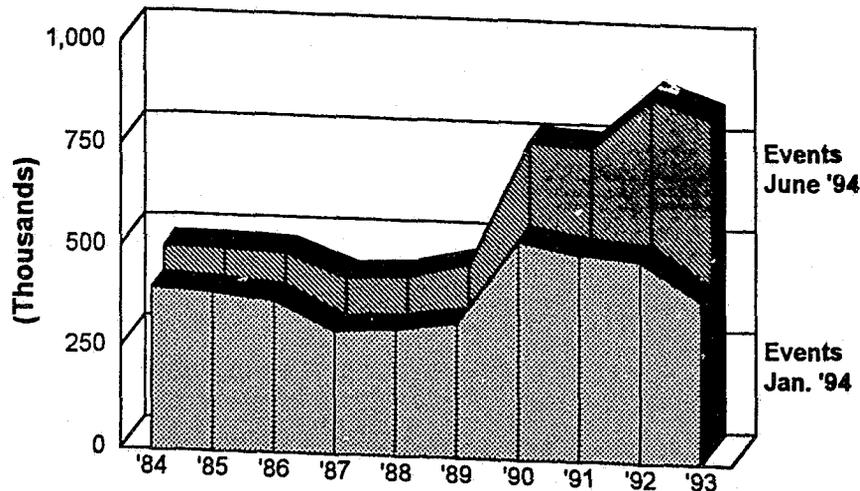
As of June 1994, the CCH system contained more than 12 million criminal history

¹⁰These figures do not include court initiations, which are sent to the ISP when a court initiates a case. The count for court initiations should closely approximate those for court dispositions.

record events that occurred before 1994,¹¹ or about 5.4 events for every record on the system.¹² Interestingly, state's attorney dispositions make up a greater percentage of the total than arrests. There are almost 4.9 million state's attorney dispositions (40 percent of the total) that occurred before 1994.¹³ About 38 percent (4.6 million) are arrests. There are also almost 2.2 million court dispositions (18 percent) and more than 356,000 custodial receipts (less than 3 percent). Approximately one out of every four events is a felony.

Figure 3 reveals the tremendous growth in events added to the CCH system from

Figure 3
Total CCH Event Counts, by Year
January 1994 Versus June 1994



¹¹The ISP was unable to provide the number of submissions received during the last 10 years. Event figures indicate the year the event (for example, arrest, state's attorney or court disposition, custodial receipt) occurred. Therefore, even though the ISP received a submission in 1994, if the event occurred in 1993, it will be added to the event count of 1993.

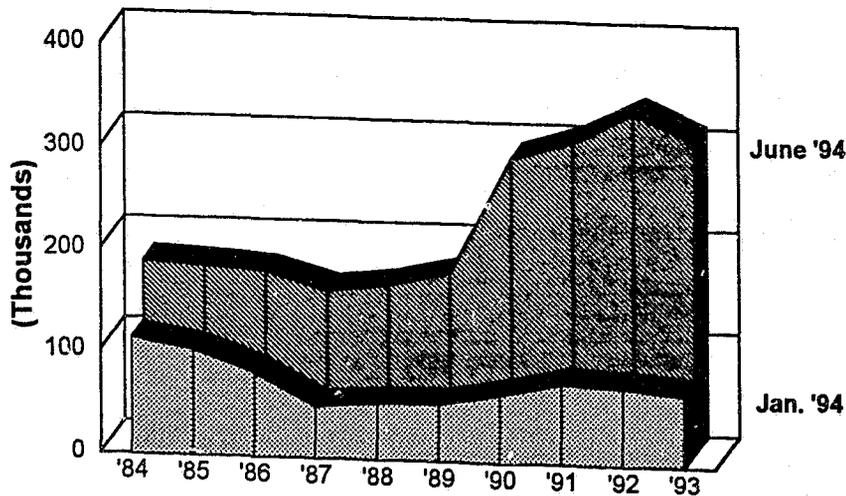
¹²Based on estimate of 2.21 million records and 12.05 million events in June 1994.

¹³This includes almost 1.1 million dispositions with unavailable disposition dates.

January to June of this year. In January, there were about 9.2 million events that occurred before 1994; in June, the total reached more than 12 million such events, an increase of 2.8 million events in just five months. In other words, of all events now on the CCH system since its creation, 23 percent have been added since January 1994.

Almost all of this increase has been caused by a surge in state's attorney and court disposition postings (see Figure 4, below and Figure 5, p. 22). For example, in January, the CCH system maintained 68,705 state's attorney events that occurred in 1993; by June, this number had increased almost 345 percent to 301,825 events that occurred in 1993 (see Figure 4). The increase is reflective in other years as well. In fact, event totals for 1984 increased a significant 53 percent, while changes in subsequent years were no less dramatic.

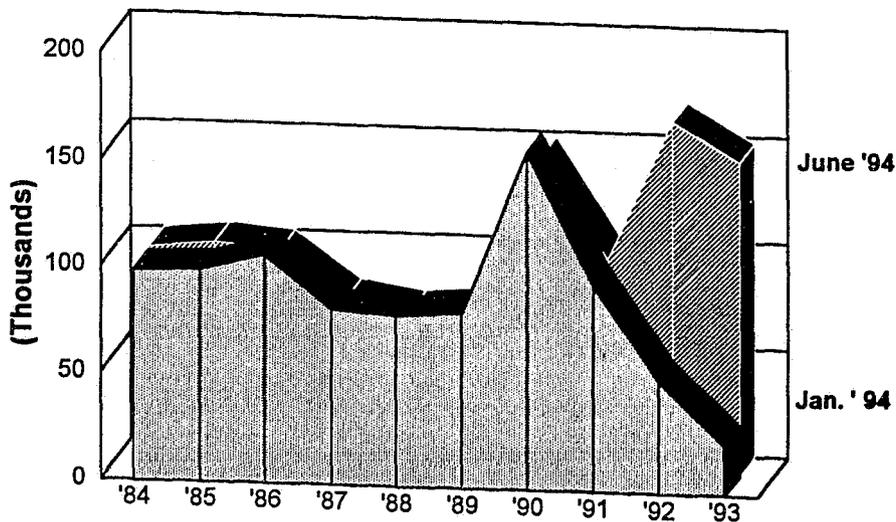
Figure 4
State's Attorney Disposition Counts
by Event Date, 1984-1993



The increase in court events was even greater (see Figure 5). However, unlike state's attorney events, court events showed dramatic increases only for events occurring in 1992 and 1993. In January, the CCH system maintained 53,143 court dispositions for 1992 events; in June, this figure had jumped to 165,377, an increase of 211 percent. Likewise, in January, the CCH system maintained 23,703 court events that occurred in 1993; in June, the total was 146,862, a dramatic 520 percent increase in five months.

Figure 5

**Court Disposition Counts
by Event Date, 1984-1993**



According to an ISP official, the large increase in state's attorney events and court events from January to June may be attributed to different factors:

First, in 1992 and 1993, the Illinois State Police received correspondence from the Cook County State's Attorney stating that all felony charges are reviewed by the state's attorney's office before the arrest is submitted to ISP and all misdemeanor charges are directly filed with the clerk of the court by the police department. In response, the Illinois State Police implemented program changes in early 1993 and March 1994, which resulted in the posting of a significant number of state's attorney dispositions to the ISP CCH system.

Second, the programs that process magnetic tapes in the Administrative Office of the Illinois Courts' (AOIC) automated disposition reporting (ADR) format were modified to handle Cook County court dispositions. Several algorithms were also developed which manipulated the punctuation contained in the statute citation field. These modifications resulted in the receipt of 427,952 Cook County court dispositions that were posted to the CCH database in early 1994.

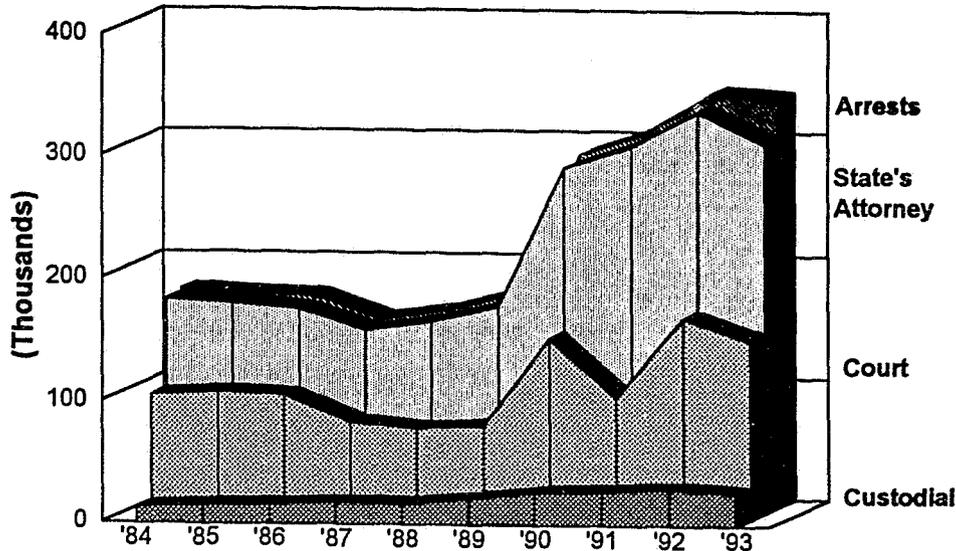
ISP officials explained that all Cook County state's attorney misdemeanor dispositions that occurred in 1976-93 were retroactively posted to the database in early 1993. About a year later, in March 1994, the ISP retroactively posted the remaining misdemeanors (those occurring before 1976 or after the last update) and all felonies. These procedures added a significant number of dispositions to the CCH system that previously had been missing. In addition, a programming change allowed the ISP to more easily read statute citations received from Cook County courts, resulting in the posting of almost 428,000 additional court dispositions.

For the years 1984 through 1993, there are more than 6 million criminal history events, which equals about 600,000 events per year. This contrasts with the 3.8 million events that have occurred from 1976 to 1983, the equivalent of about 450,000 annually. The pace at which events are being added in recent years has obviously increased.

Of all events added to the CCH system, about half have occurred during the last 10 years.¹⁴ For example, about 49 percent of all arrest events added to the CCH system occurred from 1984 through 1993. Also, 45 percent of all state's attorney dispositions, 50 percent of all court dispositions and 50 percent of all custodial receipts occurred during this period. In fact, record counts show a continuing general increase over time (see Figure 6, p. 24).

¹⁴The ISP maintains arrest records for events that occurred from 1901 to the present. The year 1900 is used as a default for records with no available date.

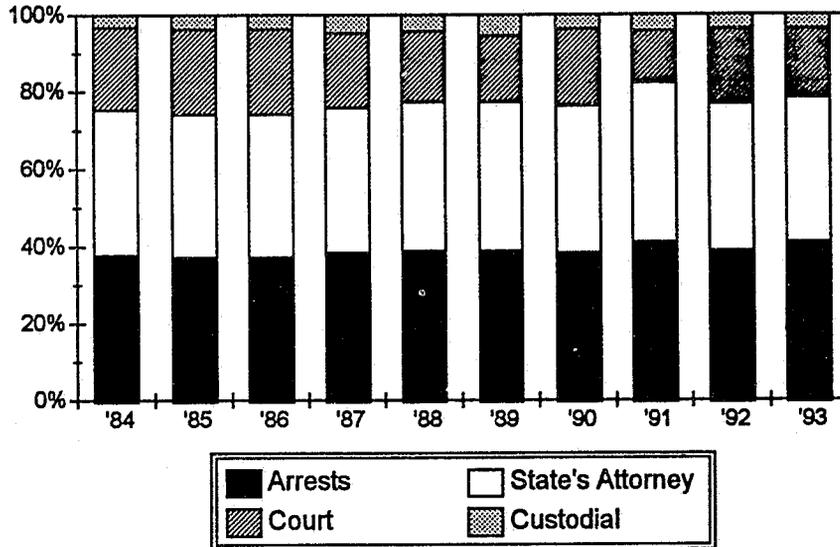
Figure 6
Event Counts Based on Event Date
by Type, 1984-1993



The CCH system contains 450,829 criminal history events that occurred in 1984 (or some 1,235 events for each day). The number of total events peaked in 1992 with more than 1.3 million, a 70-percent increase from 1991 (or some 3,560 events every day). The ISP has posted almost 1 million events that occurred in 1993. Although this is 25 percent fewer events than 1992, it is still more than twice the 1984 total. These figures are staggering when one considers that ISP must process every event. Backlog figures (see pp. 32-36), however, indicate that the ISP has not been always able to keep pace with event submissions. In addition, many events are in a *pending* state (see p. 37).

During these 10 years, the event types, as a percentage of the total, have remained fairly constant (see Figure 7, p. 25). Arrests constituted about 40 percent of all events during the 10 years; state's attorney dispositions, about 37 percent; court dispositions, approximately 20 percent; and custodial receipts, about 3 percent.

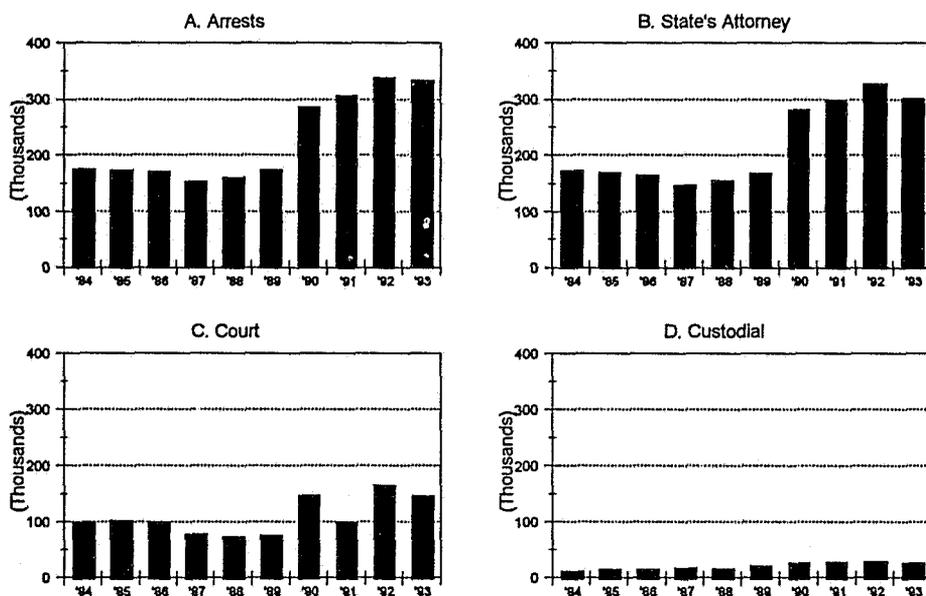
Figure 7
Percent of Total Event Counts,
According to Type, by Year



Figures 8A-D (p. 26) reveal the annual trends among the four event types. Arrests (Figure 8A) and state's attorney dispositions (Figure 8B) increased significantly in 1990. The increase continued for events in 1991 and 1992, then leveled off in 1993. State's attorney dispositions followed a similar trend. Since 1989, court dispositions (Figure 8C) have alternately increased and decreased. Custodial receipts (Figure 8D), meanwhile, have increased almost annually, but not significantly.

Figure 8

Event Counts According to Type 1984-1993



In light of the tremendous increase in the number of events, one innovation being used to speed up the posting process is direct filing.

Direct Filings

Since 1987, the ISP has allowed counties to report the direct filing of state's attorney dispositions. Since 1991, the ISP can automatically post these records to the CCH system. The ISP automatically posts state's attorney dispositions from seven counties when it posts an arrest from one of them. All state's attorney dispositions in two counties, DuPage and Winnebago, are now directly filed. Misdemeanor charges are direct filed for Cook County. In addition, police departments in Cook County automatically file felony charges with the Cook County Circuit Court Clerk. Once ISP receives the police department's submission, it posts both the arrest and filing decision to the CCH database. ISP officials indicate that the ISP has followed this practice since March 1994. Filings that occurred before March were posted retroactively. Misdemeanors and traffic offenses are direct filed for state's attorneys in St.

Clair, LaSalle and Madison counties. Felonies and misdemeanors are direct filed for state's attorney dispositions in Peoria County, as are warrants for Failures to Appear (FTAs) and Failures to Comply (FTCs). In fact, beginning in 1993, the ISP has actually retroactively posted dispositions for all arrests in these counties to the CCH system.

Dispositions Not Available

Even with new initiatives designed to increase the accuracy of reporting, there is still a problem with finding out the dispositions of many cases. In 1990, the ISP initiated a new program to collect missing dispositions. In mid-1990, the Disposition Acquisition Unit (DAU) was created to deal exclusively with the problem of arrests that were missing a state's attorney or court disposition and was charged with locating these missing events.

During this period, the ISP posted dispositions that were reported as missing or physically not available. For such dispositions, the ISP staff enter a code for *record not available* on the CCH database and these dispositions are subsequently included in the count of total disposition events. Because of its important policy implications, the issue of adding missing dispositions will be further examined in the final audit report.

Since 1990, the ISP has posted more than 250,000 not available disposition events. Of these, 216,319 (87 percent) were state's attorney dispositions, and 33,727 (13 percent) were court dispositions (see Table 1, p. 28). The largest number of not available state's attorney dispositions were posted for dispositions occurring in 1993. Of the 78,296 not available dispositions, 69 percent were posted as not available after a state's attorney from a large Illinois county informed the ISP that the requested dispositions were not accessible. Most of these dispositions regarded traffic offenses from 1977 through 1986. But through this one letter, the ISP instantly added 53,647 disposition events. The 78,296 total not available events posted for 1993 account for a significant 25.9 percent of *all* state's attorney dispositions for that year.

Through its posting of not available dispositions and direct-filed events, as well as the

manual retrieval of missing dispositions by the ISP's DAU, the ISP has state's attorney dispositions for almost 98 percent of corresponding arrests. It also has posted court dispositions for 57 percent of all state's attorney filings.¹⁵ In total, not available dispositions account for about 6 percent of all state's attorney disposition events and less than 2 percent of all court dispositions.

Table 1
Dispositions Not Available by
Date of Disposition and Date Event Posted

Year	Date of Disposition		Date Event Posted	
	State's Attorney	Court	State's Attorney	Court
1990	1,921	1,155	8,855	10,649
1991	10,036	3,343	55,534	12,696
1992	9,168	1,994	36,879	4,138
1993	78,296	2,104	87,867	2,769
1994	3,636	508	27,184	3,475
Total	103,057	9,104	216,319	33,727

An analysis of individual county statistics revealed that most state's attorney dispositions closely approximate the arrests posted for that county (in a best case scenario, these should match). For example, in only five counties (out of 102 counties statewide) did state's attorney events equal less than 82 percent of arrests posted for the counties. Also, most court disposition totals closely approximate the number of state's attorney filings (these should also match).

However, there are some counties where the number of state's attorney dispositions are well below arrest totals. Also, some court dispositions are well below the number of

¹⁵Because court dispositions may be posted independently of state's attorney dispositions, there is no one-to-one correspondence between categories. Therefore, an arrest may be followed with 1) only the state's attorney's disposition; 2) only the court's disposition; 3) both dispositions; or 4) neither disposition.

state's attorney filings. One county had state's attorney events for only 68 percent of its arrests. For six counties, the ISP had posted court events for less than half of their respective state's attorney filings. In fact, one county had court events for only 25 percent of all state's attorney filings.

Other Submission Types

In addition to arrests, custodial events and state's attorney and court dispositions, the ISP receives many other submissions (see Table 2, p. 30). Taken together, they make significant additional work for ISP staff. In fact, in 1993, the ISP received nearly as many submissions classified as *other* as it did arrests. From 1987 to 1993, court initiations and fee inquiries comprised the largest number of other submission types. However, nonfingerprint-based conviction information requests (CIRNFs) have grown greatly since 1991.

Table 2
Other Submission Types
1987-1993

<i>Type</i>	1987	1988	1989	1990	1991	1992	1993
Applicant	16,306	13,466	20,391	13,861	19,188	12,833	9,758
Court Initiation	3,057	32,917	37,726	32,966	48,230	36,193	61,474
CIRNFs	0	0	0	0	4,140	33,335	54,200
Custodial Status Change	2,004	23,321	14,722	12,868	19,857	14,743	25,103
Fee Apps.	12,969	31,106	25,986	27,698	54,825	29,494	44,254
Fee Inquiries	61,718	65,715	86,771	100,448	59,631	57,622	62,400
Non-FP Inquiries	61,450	75,747	80,737	65,090	22,440	26,607	15,333
Misc.	10,855	20,921	24,841	23,573	53,307	49,528	29,394
Total	168,359	263,193	291,176	276,504	281,618	260,355	301,916

Key to Table 2 terms:

1. **Applicant Fingerprint Card:** Used to request a fingerprint-based search of CHRI files for criminal justice employment purposes. 2. **Court Initiation:** Voluntarily used by circuit court clerks to indicate the initiation of a criminal case. Establishes a link between the document control number used on the arrest fingerprint card and the court case number used by the circuit court clerk. 3. **Conviction Information Request, Nonfingerprint-based (CIRNF):** Used by the general public to request a nonfingerprint-based search of the CHRI data. Disseminations are limited to conviction data. 4. **Custodial Status Change:** Indicates a change in custody type by an incarcerating agency. 5. **Fee Applicant Fingerprint Card:** Used to request a fingerprint-based search of the CHRI data by a non-criminal justice agency for employment or licensing purposes. Disseminated data depends on the requestor's authorization to receive information. 6. **Fee Nonfingerprint Card Inquiry:** Used to request a nonfingerprint-based search of CHRI data by a noncriminal justice agency for licensing or employment purposes. Data disseminated depends on the requestor's authorization to receive information. 7. **Nonfingerprint Card Inquiry:** Used to request a nonfingerprint-based search of CHRI data by a criminal justice agency for criminal justice purposes. 8. **Miscellaneous:** The miscellaneous submissions are as follows: *Conviction Information Request:* Used by the general public to request a fingerprint-based search of CHRI data. Disseminations limited to conviction data. *Death Notice:* Criminal justice agencies use this to report a person's death. Can be fingerprint or nonfingerprint based. *Death Notice Cancellation:* Used to cancel a previously reported Death Notice. Must be submitted by the same agency that reported the Death Notice. *Palmprint Card:* Used by criminal justice agencies to submit offenders' palmprints to the CHRI program. *Right of Access and Review Fingerprint Card:* Used by individuals who request to review their criminal history record. *Record Challenge Form:* Used by individuals who challenge their criminal history record. *Stop Order:* Used by criminal justice agencies that request notification should certain submissions be posted to CCH. Can be fingerprint or nonfingerprint-based. *Stop Order Cancellation:* Used to cancel a previously reported Stop Order to the CHRI system. Must be submitted by the same agency that reported the Stop Order. *Facsimiles:* Those submissions that arrive by facsimile machines.

Record Dissemination Responses

In addition to processing record and event submissions from agencies, the ISP also regularly disseminates a great number of criminal history records to agencies throughout Illinois. Although law enforcement agencies are the most frequent users of this service, the ISP increasingly receives requests for employment background checks and liquor and other professional license approvals. Inquiry methods vary depending on whether or not the requestor represents a criminal justice agency.

Records are almost always returned the same way the request arrived. For example, requests arriving by mail are usually disseminated by mail. Table 3 indicates the volume of disseminations the ISP has produced, by response method, since 1987. Responses can be via facsimile or phone or handed to the requestor during a walk-in request. They may also be sent via the Law Enforcement Agency Data System (LEADS), a dedicated telecommunica-

Table 3
Disseminations, by Response Method
1987-1993

Method	1987 ¹⁶	1988	1989	1990	1991	1992	1993
Fax	8,510	17,699	21,989	21,102	44,825	40,908	25,307
LEADS	18,128	262,053	337,546	445,786	602,385	723,104	952,311
Mail ¹⁷	335	521	303	103,145	400,290	159,902	265,604
Regular ¹⁸	287,249	442,307	510,335	636,468	682,327	583,336	671,418
Phone	23	42	2	5	10	8	0
Walk-in	2,785	1,454	1,980	7,487	11,806	13,555	12,587
Total	538,376	724,076	872,162	1,213,993	1,741,643	1,520,813	1,927,227

¹⁶In 1987, the ISP could not categorize 221,346 disseminations, or 41 percent of the total.

¹⁷Mail indicates a special handling document that must be immediately sent.

¹⁸Regular indicates a normally processed document.

tions line that now allows agencies to receive entire rap sheets electronically. Finally, *regular* disseminations are sent in response to a submission. LEADS responses, consistently high over the years, became the most predominant dissemination type in 1992.

There are two possible responses to most dissemination queries: *record* or *no-record*.¹⁹ Record means the person has an existing criminal history record; no-record denotes there is none. For each fingerprint submission it receives (whether submitted specifically for a records check or not), the ISP conducts a record inquiry and subsequently mails a dissemination response to the submitting agency.²⁰ Therefore, every submission in turn becomes a dissemination, which in itself produces a great number of record disseminations. In 1993, these disseminations comprised nearly 35 percent of the total.

Most striking is that disseminations have grown from 538,000 in 1987 to almost 2 million in 1993, a growth of nearly 400 percent over six years. ISP encouraged the use of LEADS to cut down on the manual processing of inquiries. About half of the growth in record disseminations can be attributed to LEADS responses, which require no manual processing by ISP staff. The ISP cannot provide the number of no-record responses it gave out. Therefore, it is impossible to know how many additional disseminations were made that indicated a person had no record on the CCH system.

CHRI Backlog and Resources

Audit staff wanted to determine the number of events received by the ISP but not yet posted to the system -- the backlog. Therefore, annual backlog figures of arrests and dispositions by submission type were requested, as well as the number of staff and amount of financial resources devoted to the CHRI records entry process over the last five years. The ISP provided resource totals from 1989 to 1993, as well as the number of backlog submissions at various

¹⁹ Fax inquiries could be unclassifiable due to a smudged fingerprint, for example.

²⁰ Exceptions to this practice include those agencies requesting that the ISP not send dissemination responses for their submissions.

processing stages from 1990 to 1994.

The ISP's financial resources and number of staff devoted to criminal history records increased dramatically from 1989 to 1991 but have since decreased (see Table 4 below and Table 5, p. 34). In 1989, total nonpersonnel expenditures and appropriations exceeded \$2.6 million. By 1991, this figure had increased more than 165 percent to more than \$6.8 million. By 1993, the amount had decreased to about \$5 million, which was still almost twice the 1989 total. Personnel showed less dramatic fluctuations and losses.²¹ In 1989, there were 184 people devoted to the criminal history records program. In 1991, there were 227, a 23-percent increase. However, by 1993, total staff had decreased to 185, almost exactly the same number as in 1989.

Table 4
ISP Expenditures/Appropriations for the
Criminal History Records Program

Fiscal Year	SPSF Expenditures ²²	CHRI/Grant Expenditures	General Rev. Non-Personnel Appropriations	AFIS Non-Personnel Appropriations	Total
1989	\$389,360	0	\$511,891	\$1,758,219	\$2,659,470
1990	946,609	0	471,100	4,448,032	5,865,741
1991	721,418	0	510,200	5,580,100	6,811,718
1992	874,248	\$170,560	495,200	3,871,400	5,411,408
1993	1,071,792	109,507	504,072	3,410,901	5,096,272

²¹Officials at the ISP were unable to provide personnel expenditures from 1989 to 1993.

²²State Police Services Fund. Includes fees for processing Uniform Conviction Information Act (UCIA) cards and other fee applicants.

Table 5
Number of ISP Staff Processing
Criminal History Records²³

Fiscal Year	SPSF	Contractual	General Revenue	Total
1989	0	36	148	184
1990	4	42	145	191
1991	9	73	145	227
1992	24	31	136	191
1993	58	0	127	185

The ISP points out that appropriations and staff resources should not be used as the sole means for assessing whether there has been an increased effort to address the speed of criminal history records processing. Other methods also have been used, ISP sources said, and operational changes affected its backlog and reduced the operational cost of providing CHRI services (see box, next page).

²³ As of June 1 of each year. Counts may vary throughout the year.

ISP Improvements to CHRI Services, 1989-1993

The actions listed below, detailed by year, improved delivery of CHRI services to agencies while limiting the impact on resources:

1989

- ◆ Developed AFIS/CCH interface.
- ◆ Converted the CCH response order program to use the Xerox 4050 printing system.

1990

- ◆ Developed the capability for remote agencies to request and receive criminal history transcripts through the Cook County interface.
- ◆ Developed the Unreported Disposition Acquisition computer programs.
- ◆ Developed the capability to process magnetic tapes containing court dispositions in the tape format of the Administrative Office of the Illinois Courts (AOIC).

1991

- ◆ Developed the capability to generate state's attorney dispositions upon receipt of arrest submissions from police agencies in DuPage County.
- ◆ Developed the capability for DCI to request and receive transcripts electronically.
- ◆ Added Cook County Pretrial Services to the Cook County interface.
- ◆ Modified programs to generate outcards and hit lists for low probability hits.
- ◆ Modified UDAP programs to suppress the printing of court dispositions related to those state's attorney dispositions reported as *not filed*.
- ◆ Modified nonfatal edit programs to default acceptable values for the post-sentence fingerprint indicator and the inchoate offense modifier.
- ◆ Developed the capability for the Chicago Police Department to request and receive transcripts electronically.

1992

- ◆ Developed the livescan interface capability.
- ◆ Added additional agencies to the Cook County interface.
- ◆ Developed the capability to print a full criminal history rap sheet over LEADS.
- ◆ Developed the capability to process magnetic tapes of arrest fingerprint cards keyed by outside data entry vendors.
- ◆ Developed the capability to process magnetic tapes containing dispositions in the new AOIC tape format.
- ◆ Developed the capability to generate state's attorney dispositions upon receipt of arrest submissions from police agencies in LaSalle, St. Clair and Winnebago counties.

1993

- ◆ Developed the capability to post police dispositions of *Released without Charging* to CCH.
- ◆ Developed the capability to process magnetic tapes of state's attorney dispositions keyed by outside data entry vendors.

See Appendix B for a more complete description of these actions.

The ISP also provided system status reports indicating the backlog at various entry points (see CHRI Submissions Flowchart, p. 15) throughout the CCH process for one day. Table 6 illustrates, at one-year intervals for a specific date (Jan. 1), the dramatic fluctuations of backlog submissions.²⁴ Over a five-year span, the total number of backlog submissions at various entry points on Jan. 1 decreased only 7 percent. However, figures reveal that the backlog on Jan. 1, 1994, was 60 percent less than the backlog on Jan. 1, 1993.

Table 6
CCH Backlog Submissions
According to Entry Point Date

Date	Data Entry	Submis Data Verify	Fatal Error Correct	Tech Work Assign	Entry Tech Work	AFIS Counts	Total
1/1/90	1,166	14,336	95	46,139	10,776	70,532	143,044
1/1/91	8,500	47,147	793	26,658	8,597	40,249	131,944
1/1/92	25,552	64,066	309	20,713	1,670	112,952	225,262
1/1/93	303,281	6,403	299	16,032	1,437	2,003	329,455
1/1/94	97,939	10,054	4,660	15,364	1,068	3,621	132,706

Key to Table 6 terms:

1. **Data Entry:** Indicates the event is awaiting initial entry.
2. **Submission Data Verify:** Indicates the event is waiting to be *dual-entered*, or entered by a second person and then verified.
3. **Fatal Error Correct:** Indicates the event is waiting for an operator to correct a *fatal error*, which would cause the record to be rejected. The ISP corrects or supplements information that would otherwise prevent the record's posting to CCH. For example, if an agency omits its Originating Agency Identifier (ORI) on the form but includes its name, the ISP can correct this error by determining the agency's ORI and entering it on behalf of the agency.
4. **Tech Work Assignment:** Indicates the event is waiting for a fingerprint technician to pull the master fingerprint card to identify the fingerprint. The technician then classifies or identifies the prints.
5. **Entry Tech Work:** Indicates the event is waiting for a fingerprint technician to enter fingerprint data as either a classification or an identification.
6. **AFIS Counts:** Indicates the event is awaiting some type of AFIS processing, such as inquiries.

²⁴The ISP officials indicated that because ISP staff process submissions daily, backlog figures change daily. The figures in Table 6, therefore, should only be used as general indicators of trends over time. These may or may not be accurate backlog indicators for a particular year, month or even week.

Pending Events

In addition to the backlog of events waiting to be moved through the CCH processing system, there is also a large number of events labelled *pending*, or waiting to be attached to a record. For example, if a state's attorney's office sends in a nonfingerprint-based disposition before the ISP posts the corresponding arrest card (which has a fingerprint), the disposition is placed in the pending file until the arrest card is received. As of January, there were 223,000 events in the pending file. Court initiations comprise the largest percentage (38 percent). However, court dispositions (30 percent) and state's attorney dispositions (29 percent) also contribute greatly to the pending file.

State Comparison

To place the Illinois CCH system in some perspective, audit staff contacted criminal record agencies in three states. Michigan, Ohio and Pennsylvania were selected based on population data and index crime rates (see Table 7). Comparisons were then made between those states and Illinois.

Table 7
State Comparison of Populations
and Crime Index²⁵ Totals

State	Population	Crime Index Totals
Illinois	11,631,000	670,564
Michigan	9,437,000	529,472
Ohio	11,016,000	513,952
Pennsylvania	12,009,000	407,431

Specifically, Audit Center staff requested the following:

1. The total number of criminal history records added annually to the CCH system from 1984 through 1993.
2. The total number of criminal history record submissions received annually, by submission type, from 1984 through 1993.
3. The total number of annual record dissemination responses for criminal offenders from 1984 through 1993, according to inquiry methods used (phone calls, mailed letters, electronic inquiries, and so on).
4. If applicable, backlog figures of records awaiting data entry or posting to the state system from 1984 through 1993.

²⁵The Crime Index is composed of selected offenses used to gauge fluctuations in the overall volume and rate of crime reported to law enforcement. The offenses included are violent crimes (murder and non-negligent manslaughter, forcible rape, robbery and aggravated assault) and property crimes (burglary, larceny-theft, motor vehicle theft and arson).

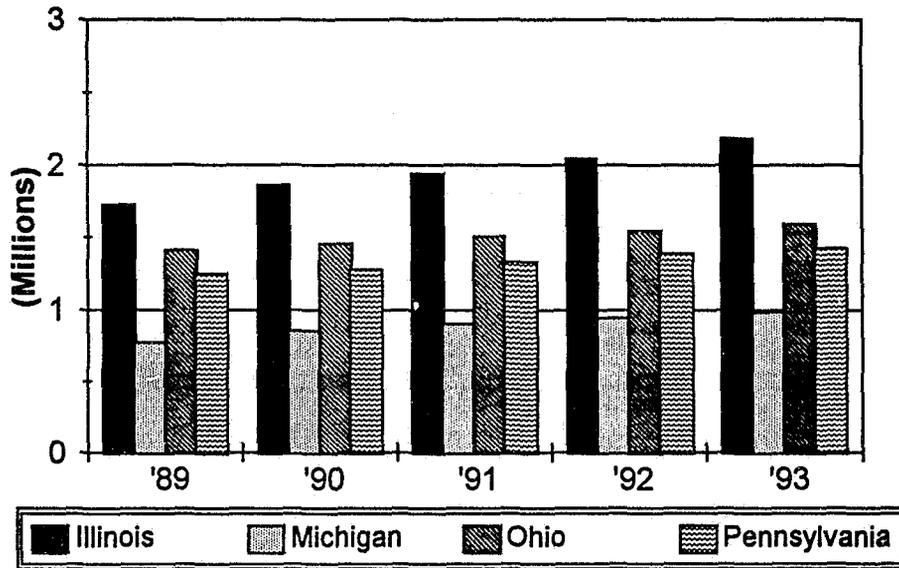
Although the three states responded, not all requested data were available. Therefore, it was not possible to compare all four states across all indicators. Only one indicator -- annual record growth -- could be compared over certain years. All four states provided annual CCH record growth from 1989 to 1993.

Other problems in drawing comparisons were related to differences in reporting requirements. Illinois, for example, requires all felonies and Class A and B misdemeanors to be reported to the ISP, but not most arrests for driving under the influence (DUI), which account for a substantial number of arrests. In Michigan, all felonies, misdemeanors in which there is a conviction, ordinance violations and certain categories of juvenile crime have to be reported. In Ohio, only felonies and misdemeanors that become felonies upon a second conviction have to be reported; and, in Pennsylvania, all felonies, misdemeanors, DUIs and local ordinance offenses that become at least a misdemeanor upon conviction of the offense have to be reported.

Figure 9 (p. 40) reveals that, of the four states, Illinois has the most CCH records. In 1989, Illinois records totalled about 1.7 million records and grew to more than 2.1 million in 1993. Michigan, Ohio and Pennsylvania had fewer records than Illinois. Michigan's records totalled more than 770,000 in 1989 and reached more than 980,000 in 1993. There were some 1.4 million records in the Ohio system in 1989. By 1993, this number grew to almost 1.6 million. Pennsylvania's records increased from 1.2 million in 1989 to 1.5 million in 1993.

Figure 9

State Comparison of Annual CCH Records Growth, 1989-1993



Michigan

The Michigan Department of State Police provided several data to indicate the size of its Criminal Record Reporting (CRR) system. In general, it is similar to Illinois' CCH system. The CRR system is fingerprint-based and requires that each component of the criminal justice system report criminal history record information as each offender is processed. Although audit staff requested data from 1984 through 1993, data before 1989 were not available. As with Illinois' CCH system, the Michigan CRR system also uses SIDs to uniquely identify offenders.

Annual Records Growth

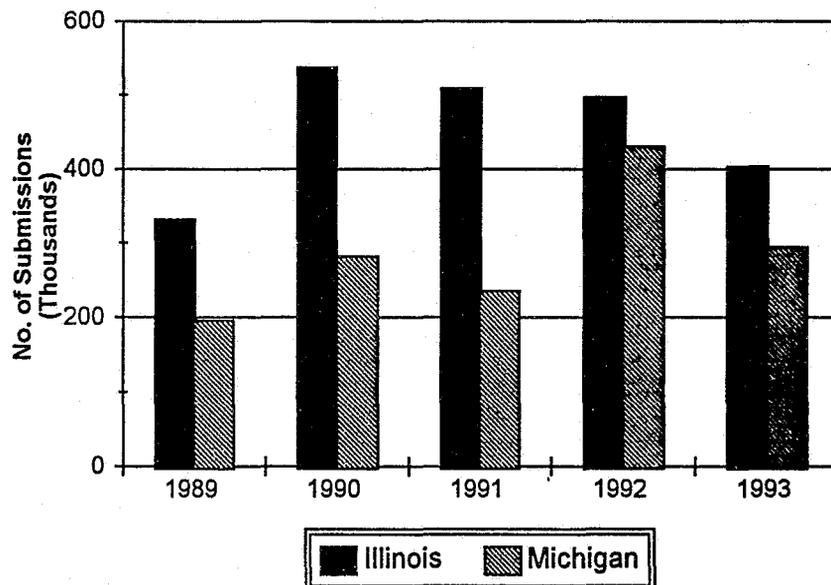
The record systems of both states have grown over the last five years (see Figure 9, above). In 1989, the Michigan criminal history record system contained 771,780 records, while Illinois' CCH system contained 1,695,221. By 1993, the number of Michigan criminal

history records increased 27 percent to 980,610; Illinois' system increased by nearly the same percentage (26 percent) by 1993, to more than 2.1 million records, which was more than twice the size of Michigan's system. Illinois surpassed Michigan in the total number of new records added to the system from 1989 through 1993. For the five-year span, 1989 through 1993, Michigan added 285,570 records to its CRR system, while Illinois added 519,065 records to the CCH system.

Submissions Received Annually

Michigan State Police provided audit staff with the total number of submissions received from 1989 through 1993 (see Figure 10). Between 1989 and 1993, Michigan received more than 1.4 million criminal history record submissions, including 598,920 arrests (42 percent); 592,040 disposition forms (41 percent); and 246,100 electronic dispositions (17 percent). Because the ISP could not provide the number of submissions received each year, Michigan's submissions were compared to the ISP's event counts for the same years.

Figure 10
Submissions Received (Michigan) Versus
Event Counts (Illinois), 1989-1993

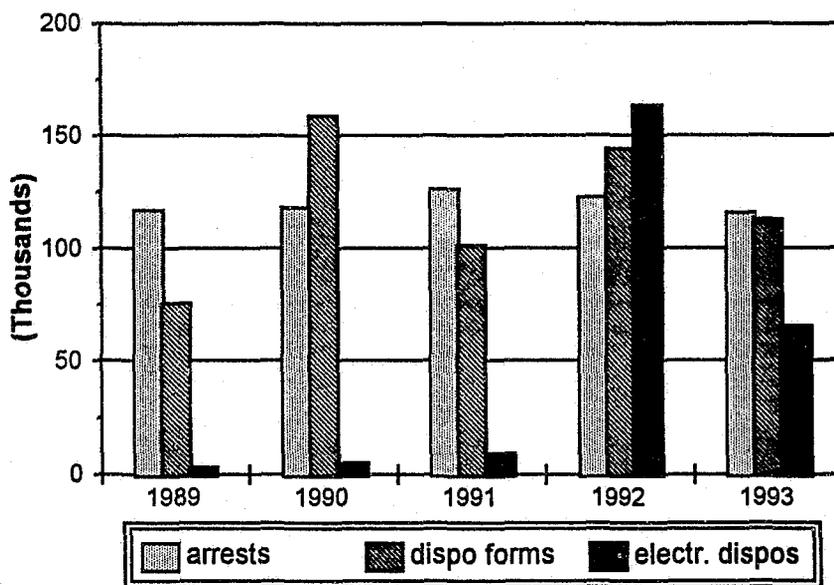


Michigan's submission types were separated into arrests, disposition forms and electronic dispositions. Because of the data's limited availability, reporting differences between the states and the unavailability of submission data for Illinois, comparisons of the submissions received annually were not possible. Reporting differences include Michigan's requirement that arrest and prosecutorial information be submitted at the same time. Reports on misdemeanants are submitted only if there is a conviction. Meanwhile, prisons submit information at the time of admission.

Michigan State Police arrest submissions remained fairly constant with an average annual increase of less than 1 percent from 1989 through 1993. While the number of disposition forms submitted to Michigan State Police for the five-year span fluctuated, disposition forms submitted from 1989 to 1993 increased 49 percent (see Figure 11).

Figure 11

**Annual Michigan Submissions
According to Type, 1989-1993**



Electronic dispositions submitted from 1989 through 1993 saw rapid growth. Electronic submissions totalled only 3,210 in 1989. By 1992, this number increased almost 5,000 percent to 163,380 electronic submissions. While continuously increasing from 1989 through 1992, in 1993 they decreased nearly 60 percent. A Michigan official explained that the tremendous increase in 1992 was largely due to automation in Wayne County, an extremely large data source, and reporting past years' dispositions, which were missing on the system. In 1993, electronic reporting leveled off.

Michigan State Police were unable to provide data regarding dissemination responses or backlog figures.

Ohio

The Ohio Attorney General's Bureau of Criminal Identification and Investigation also provided data to Audit Center staff. The Ohio Computerized Criminal History (CCH) system was established in 1972 with a name index file for first-time offenders. Currently, the Ohio system is fingerprint-based. Because of system updates and conversions to AFIS, available data were limited.

Annual Records Growth

The Ohio CCH system has experienced steady annual growth (see Figure 9, p. 40). In 1984, the Ohio CCH system contained about 1.2 million records. By 1993, Ohio's CCH records increased 32 percent to almost 1.6 million records. In comparison, Illinois' CCH system in 1984 contained more than 1.4 million records and increased 45 percent to more than 2.1 million records by 1993.

Submissions Received Annually

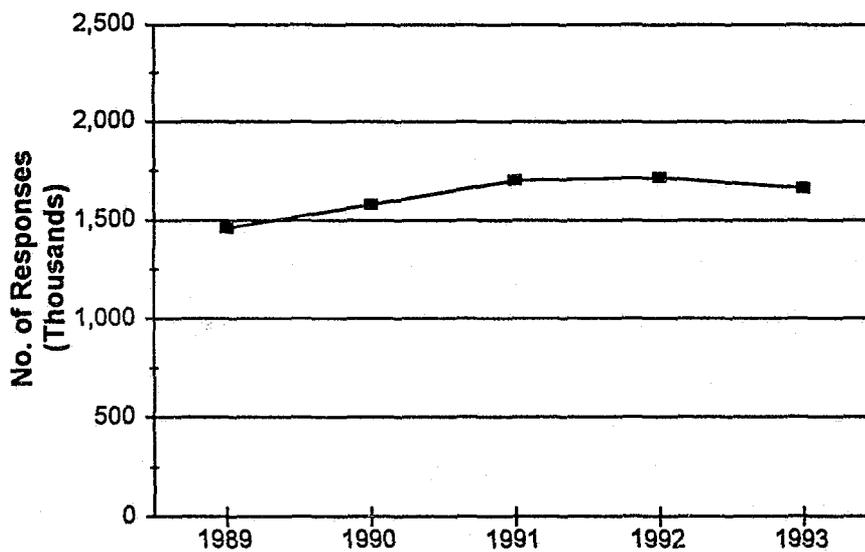
Ohio's CCH system cannot generate the total number of criminal history record submissions received annually by submission type, as the system currently is being updated by the Ohio Bureau of Criminal Identification and Investigation.

Annual Record Dissemination Responses

Data regarding record dissemination responses in Ohio were available from 1989 through 1993 (see Figure 12). Within that five-year span, the Ohio Identification Division logged 8.1 million record dissemination responses, of which approximately 98 percent were CCH record responses. Other inquiry methods used included fingerprint identification, teletype requests and mail. Record dissemination responses experienced slight increases from 1989 through 1992, then decreased in 1993. The Illinois State Police could not provide audit staff with comparable dissemination response information.

Figure 12

Annual Ohio Record Dissemination Responses, 1989-1993



Backlog

The Ohio Bureau of Criminal Identification and Investigation reports a 12,000-record backlog. Specifically, many backlog records are the fingerprint submissions of repeat offenders whose already-established records await updating. The Bureau's conversion section, which establishes first-time offenders' records and updates repeat-offenders' records, experienced personnel transfers that contributed to the Bureau's backlog. In comparison, the

ISP estimates an Illinois CCH backlog of 40,000 fingerprint submissions.

Pennsylvania

In Pennsylvania, our third comparison state, the CCH system is maintained by the Pennsylvania State Police (PSP). Its operation is similar to Illinois' CCH system. The PSP provided several data to indicate the size of its system.

Annual Records Growth

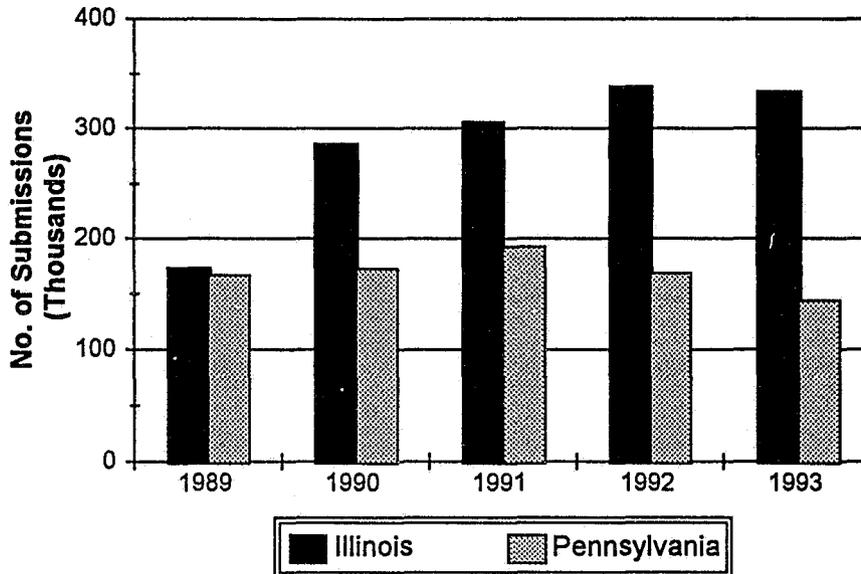
The PSP provided data to indicate annual records growth from 1987 through 1993. Figure 9 (p. 40) illustrates this growth from 1989 to 1993. In 1989, the Pennsylvania CCH system contained almost 1.2 million criminal history records. The number of computerized criminal history records increased 14 percent by 1993, totalling more than 1.4 million. Between 1989 and 1993, Pennsylvania added a total of 179,190 new records to its system. The number increased an average of more than 3 percent each year.

Submissions Received Annually

Pennsylvania State Police supplied data for the number of criminal fingerprint submissions received from 1989 through 1993. Figure 13 (p. 46) provides a comparison of Pennsylvania's figures of fingerprints received to Illinois' arrest counts. In 1989, PSP received 166,651 criminal fingerprint submissions. Between 1989 and 1993, PSP received 842,938 fingerprint submissions. Fingerprint submissions received in 1993 had decreased approximately 14 percent from 1992. In Illinois, arrest events totalled 173,162 in 1989. In 1992, this number increased to 338,106 and then decreased slightly to 333,913 in 1993.

Figure 13

Fingerprints Received (Pennsylvania) Versus Arrest Event Counts (Illinois)

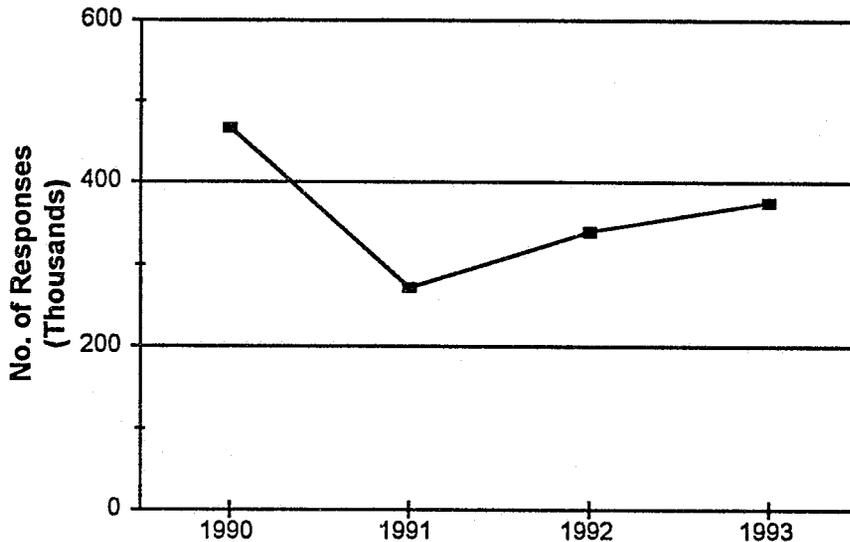


Annual Record Dissemination Responses

Pennsylvania State Police provided record dissemination data from 1990 through 1993 (see Figure 14, p. 47). The PSP detailed 12 automated dissemination categories. From 1990 through 1993, the PSP filled more than 1.4 million record dissemination requests. In 1990, the PSP filled 466,932 record dissemination requests. In 1993, this figure decreased nearly 20 percent to 375,414. As with the Illinois State Police, the PSP responds to fingerprint card submissions with a record dissemination. While the PSP disseminated 143,719 records in 1990 based on fingerprint card submissions, this number decreased 65 percent by 1993. This decrease was largely the result of a change in PSP policy. In 1991, PSP's AFIS went online and automated the state's notification procedure for fingerprint card submissions. When an offender has no prior record, the PSP simply provides a SID and advises that there is no existing record. This message is not considered dissemination of CHRI and is not counted in the dissemination log.

Figure 14

**Annual Pennsylvania Record
Dissemination Responses, 1990-1993**



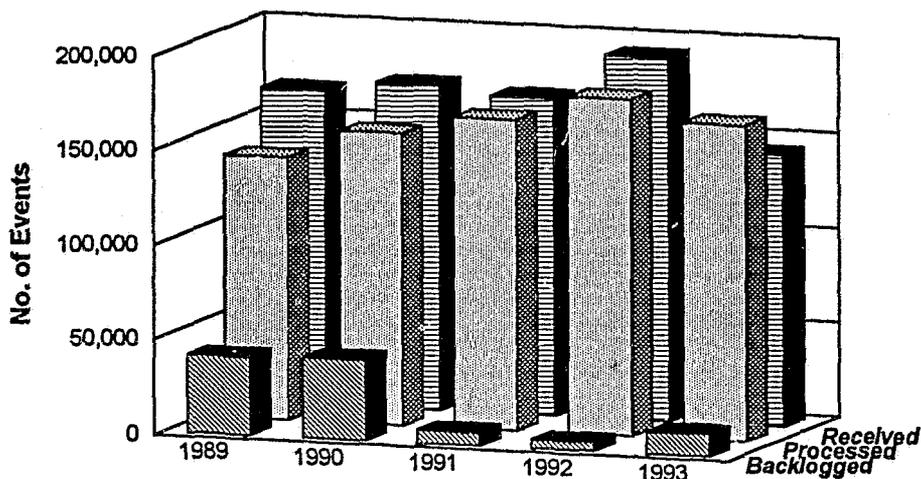
The number of records that criminal justice agencies requested via the Commonwealth Law Enforcement Assistance Network (CLEAN) decreased 15 percent between 1990 (264,101 requests) and 1993 (225,544 requests). During the same time span, the number of dissemination requests received via the National Law Enforcement Telecommunications System (NLETS) increased 68 percent, while the requests from the National Crime Information Center (NCIC) increased 97 percent. The ISP could not provide detailed dissemination data because it counts each submission as a dissemination request.

Backlog

The Pennsylvania State Police supplied monthly backlog information from 1989 through 1993. These figures, along with events received and processed, are presented in Figure 15 (p. 48). Audit staff analyzed only the year-end totals. As with Illinois' backlog, Pennsylvania's backlog fluctuates daily. Over the five-year span, PSP's backlog decreased 71 percent. However, from 1992 to 1993, the backlog actually increased 150 percent. Like the ISP, Pennsylvania uses technology, rather than personnel, to address backlogs.

Figure 15

**Pennsylvania CHRI Events Received,
Processed and Backlogged, by Year**



State Comparison Conclusion

Comparing data from different states is extremely difficult, as states maintain and count records and/or events in different ways. Possibly as important, reporting requirements vary considerably from state to state. As the data indicate, Illinois' CCH system has more records than those of Michigan, Ohio and Pennsylvania. Because the ISP could not provide data on the number of submissions it receives annually, it is difficult to judge whether new records are arriving at the same rate of records received in other states. By using the event date as a barometer, however, it appears that Illinois probably receives slightly more submissions than either Michigan or Pennsylvania. (As stated above, Ohio could not provide this data.)

Like Michigan, the submission of electronic dispositions has grown tremendously in recent years. Like Pennsylvania and Ohio, Illinois also is experiencing difficulty keeping up with the number of submissions. Because of the record volume, these states are experiencing backlogs. However, common to every state is the complexity of processing and managing reliable criminal history record information.

Conclusion

The Illinois CHRI system is complex and ever-expanding, and its importance to criminal justice practitioners continues to grow. A records audit is one of the most effective means to ensure that system users continue to receive timely, accurate and complete record information. The first stage in the 1993-94 audit has been to present a CHRI system overview. The goal of the audit, however, is to ultimately assess the timeliness, accuracy and completeness of the system. The Authority hopes this system overview enlightens system users and provides a foundation to better understand the audit findings to be published in May 1995.

Appendix A

Glossary

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

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

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

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

Automated Fingerprint Identification System (AFIS). A computer-based system for reading, cataloging and matching fingerprint images.

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

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

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

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

Commonwealth Law Enforcement Assistance Network (CLEAN). A data communications link between the Pennsylvania State Police (PSP) and local agencies.

completeness. The degree to which a computerized criminal history record transcript reflects all information reportable to the CCH system.

Computerized Criminal History (CCH) system. The automated repository for criminal

history record information, operated by the Illinois State Police.

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

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

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

custodial receipt. A notice indicating that an offender has been admitted into the IDOC.

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

direct filing. A police department's filing of a criminal complaint to a circuit court clerk's office. The ISP, in turn, posts the filing decision to the CCH system with the corresponding arrest. This procedure was recently automated by the ISP.

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

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

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

entered data. Information placed on the criminal history record system.

event. Each of the several types of criminal history record submissions that may be made to the state central repository. May include arrest, state's attorney dispositions, court

dispositions and custodial receipt or status changes, among others.

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

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

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

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

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

Immigration and Naturalization Services (INS). A federal agency that processes qualified aliens' applications for United States citizenship and guards against illegal entry into the United States.

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

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

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

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

National Crime Information Center (NCIC). Computerized information system available only to federal, state and local criminal justice authorities. Contains data about wanted criminals, persons named in arrest warrants, runaways and stolen property.

National Law Enforcement Telecommunications System (NLETS). A high-speed message switching, or routing, computer system created for and dedicated to the United States'

criminal justice community.

no-record response. CCH record dissemination response indicating that a criminal history record does not exist for the person about whom a requestor inquired.

offense. An act committed (or omitted) in violation of a law forbidding or (commanding) such an act.

Originating Agency Identifier (ORI). A nine-character unique agency identifier.

posted data. A data record that has been attached to an individual's computerized criminal history record.

prison. A state confinement facility operated for the incarceration and correction of adjudicated felons in Illinois.

receipt (custodial). The intake of an offender into an Illinois custodial institution, which is required to submit a custodial receipt form to the ISP.

rap sheet. The entire computerized criminal history of a given offender. Also known as a *transcript*.

received record. A record obtained by the Illinois State Police that awaits entry into the computerized criminal history system.

record. The accumulation of all criminal history and noncriminal history events that are placed in the CCH database. Each record is identified with a unique State Identification Number (SID).

record response. A CCH record dissemination response indicating that a criminal history record exists for the person about whom a requestor inquired.

state central repository. The agency responsible for the collection, maintenance and dissemination of computerized criminal history record information. In Illinois, the state central repository is the Illinois State Police.

State Identification Number (SID). Number used by the Illinois State Police to uniquely identify persons with existing records in the computerized criminal history records system.

state's attorney. Elected to a four-year term by the voters in the county. Commences and carries out all criminal and juvenile proceedings in the county and also deals with civil matters.

submission (of events). The act of reporting criminal history or noncriminal history event

information from an agency to the state central repository.

timeliness of reporting. The time frame within which agencies responsible for reporting computerized criminal history record information to the state central repository report such information.

timeliness of data entry. The time frame within which criminal history record information is entered at the state central repository once it is received from reporting agencies.

transcript. The entire computerized criminal history of a given offender. Also known as a *rap sheet* or *response order*.

Appendix B

Illinois State Police Improvements to CHRI

1989

Developed the Automated Fingerprint Identification System (AFIS)/Computerized Criminal History (CCH) system interface. This interface is a series of programs that allows the respective computer systems to exchange processing messages. Allows records to be updated without additional human intervention; routine maintenance in either system can be performed with synchronization; and either system can continue to function while the other is down.

Converted the CCH response order programs to use the Xerox 4050 printing system. Selected two Xerox 3700 printers to handle our internal needs during the CCH redesign in 1987. After some operational experience with the system, the ISP determined that the Xerox 3700s were inadequate for the printing workload. Xerox recommended its 4050 system. The ISP purchased the printer and converted the printing programs.

1990

Developed the capability allowing remote agencies to request and receive criminal history transcripts through the Cook County interface. This required program changes to allow Cook County agencies such as the state's attorney's office, the adult probation department and the social service department to request and print state rap sheets within their facilities.

Developed the Unreported Disposition Acquisition computer programs. These programs produce disposition reports for those arrests missing a corresponding disposition. The reports are used to retrieve missing dispositions.

Developed the capability to process magnetic tapes containing court dispositions in the tape format of the Administrative Office of the Illinois Courts (AOIC). The ISP, Secretary of State, and the Administrative Office of the Illinois Courts formally agreed to participate in an Automated Disposition Reporting (ADR) program to facilitate the reporting of court dispositions to the ISP. This program allows ISP to process court dispositions from magnetic tapes.

1991

Developed the capability to generate state's attorney dispositions upon receipt of arrest submissions from police agencies in DuPage County. The DuPage County State's Attorney informed the ISP through correspondence that all charges in DuPage County are directly filed by the police departments. In response to that letter, the ISP modified its CCH programs to reflect this fact.

Developed the capability for the Division of Criminal Investigation (DCI) to electronically request and receive transcripts. The ISP modified its computer programs to give DCI the

capability, which is similar to agencies in Cook County.

Added the Cook County Pretrial Service to the Cook County interface. Again, the capability allows agencies to request and print CHRI rap sheets at their facilities.

Modified programs to generate outcards and hit lists for low probability hits. This program change provides more prints to be compared with marginal hits resulting in more identifications and less resource consumption.

Modified the unreported disposition acquisition programs to suppress the printing of court dispositions related to those state's attorney dispositions "not filed." This program change reduced the unnecessary expenditure of resources tracking down dispositions that should not have been reported.

Modified the nonfatal edit programs to default acceptable values for the post-sentence fingerprint indicator and the inchoate offense modifier. This program change eliminated resources used to correcting values that were incorrectly identified and reported to agencies as errors.

Developed the capability for the Chicago Police Department (CPD) to request and receive transcripts electronically. Installed a Virtual Telecommunications Access Method line directly to CPD, allowing it to request and print rap sheets in its records division.

1992

Developed the livescan interface capability. Allows CPD to electronically submit arrest information directly to the CCH in-process files, eliminating the need to enter demographical information.

Added additional agencies to the Cook County interface, providing the capability to request and print rap sheets in Pretrial Services and all district court facilities in Cook County.

Developed the capability to process magnetic tapes of arrest fingerprint cards keyed by outside data entry vendors. This program change allows the ISP to contract with vendors to key arrest card data and submit the data to ISP on magnetic tapes, enabling the ISP to cope with increasing submission levels.

Modified programs to accommodate changes in the AOIC tape layout. These changes allow ISP to manage dispositions submitted on magnetic tape that contain Illinois Compiled Statutes (ILCS).

Developed the capability to generate state's attorney dispositions upon receipt of arrest submissions from police agencies in LaSalle, St. Clair and Winnebago counties. The ISP received written notification from the respective state's attorney in each county that all charges are directly filed with the circuit courts by police agencies. The program changes

created the necessary state's attorney dispositions.

1993

Developed the capability to post police dispositions of "Released Without Charging" to CCH, allowing ISP to reflect more accurately some disposition data being reported by arresting agencies.

Developed the capability to process magnetic tapes of state's attorney dispositions keyed by outside data entry vendors. This program change allows the ISP to cope with increasing submission levels.