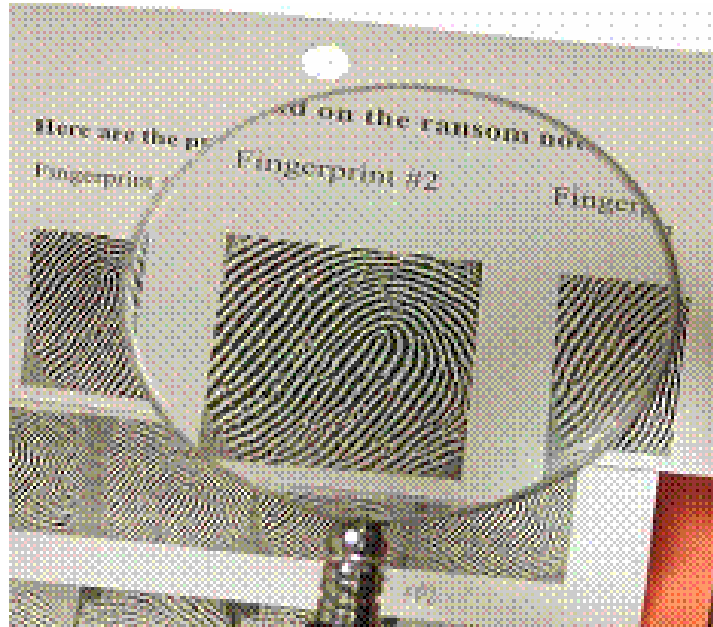


2006 Criminal History Records (CHRI) Audit Report



Prepared by the
Criminal Record Information History Audit Center



ILLINOIS
Criminal Justice Information Authority

This audit was prepared by the Criminal History Records Audit Center, a division of the Research and Analysis Unit at the Illinois Criminal Justice Information Authority.

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Criminal Justice Agencies

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Carroll	Madison
Champaign	McHenry
Cook	McLean
DeKalb	Ogle
DuPage	Peoria
Grundy	Richland
Kankakee	Rock Island
Kendall	Sangamon
Knox	St. Clair
LaSalle	Stephenson
Lake	Vermilion
Livingston	Will
Macon	Winnebago

The counties have been renamed within the body of this report to eliminate any focus on a single county or agency. The purpose of this report was to be representative of computerized records state-wide. The labels were randomly assigned to each county.

Map A: Illinois Counties Participating in Audit

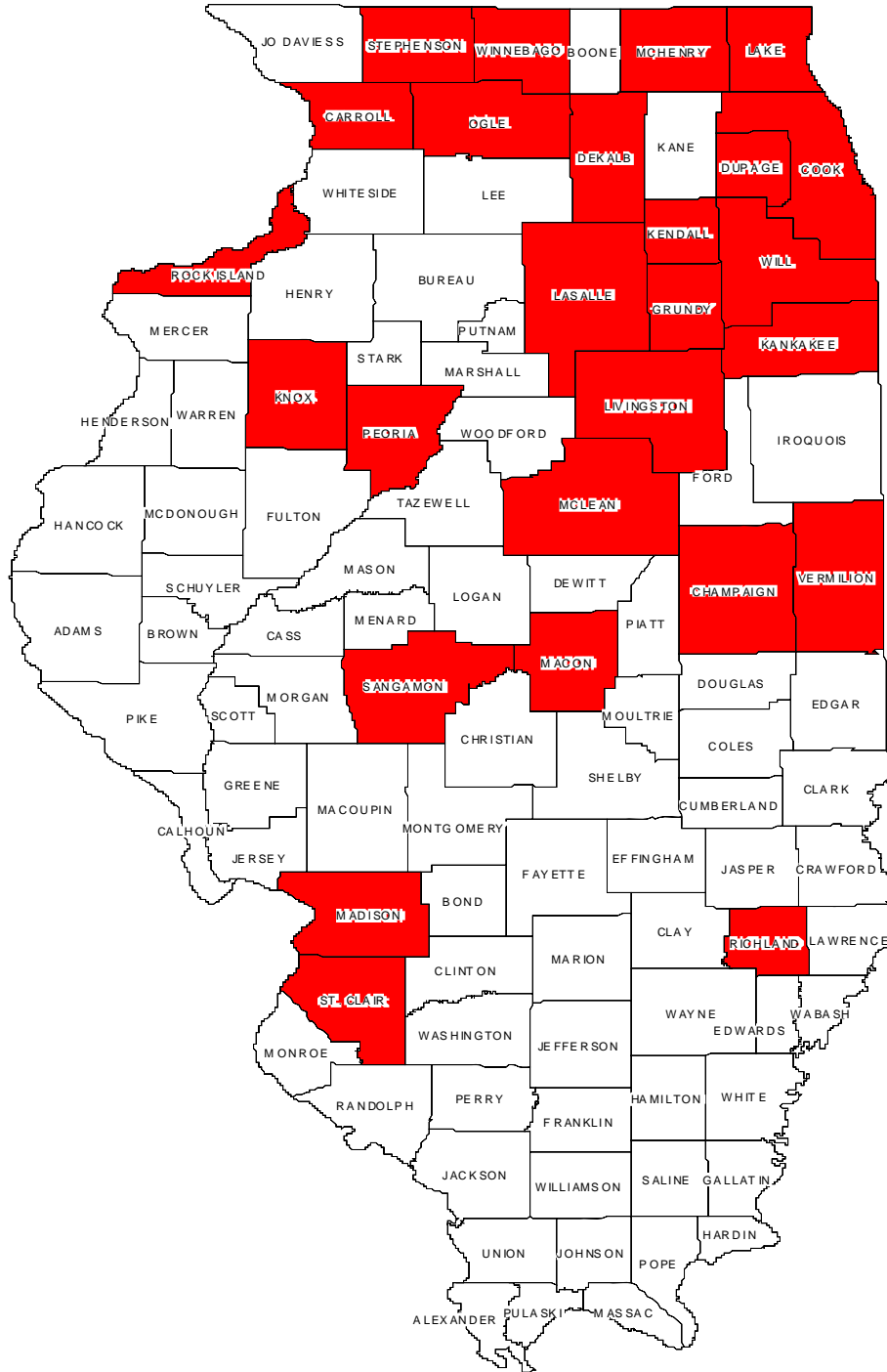
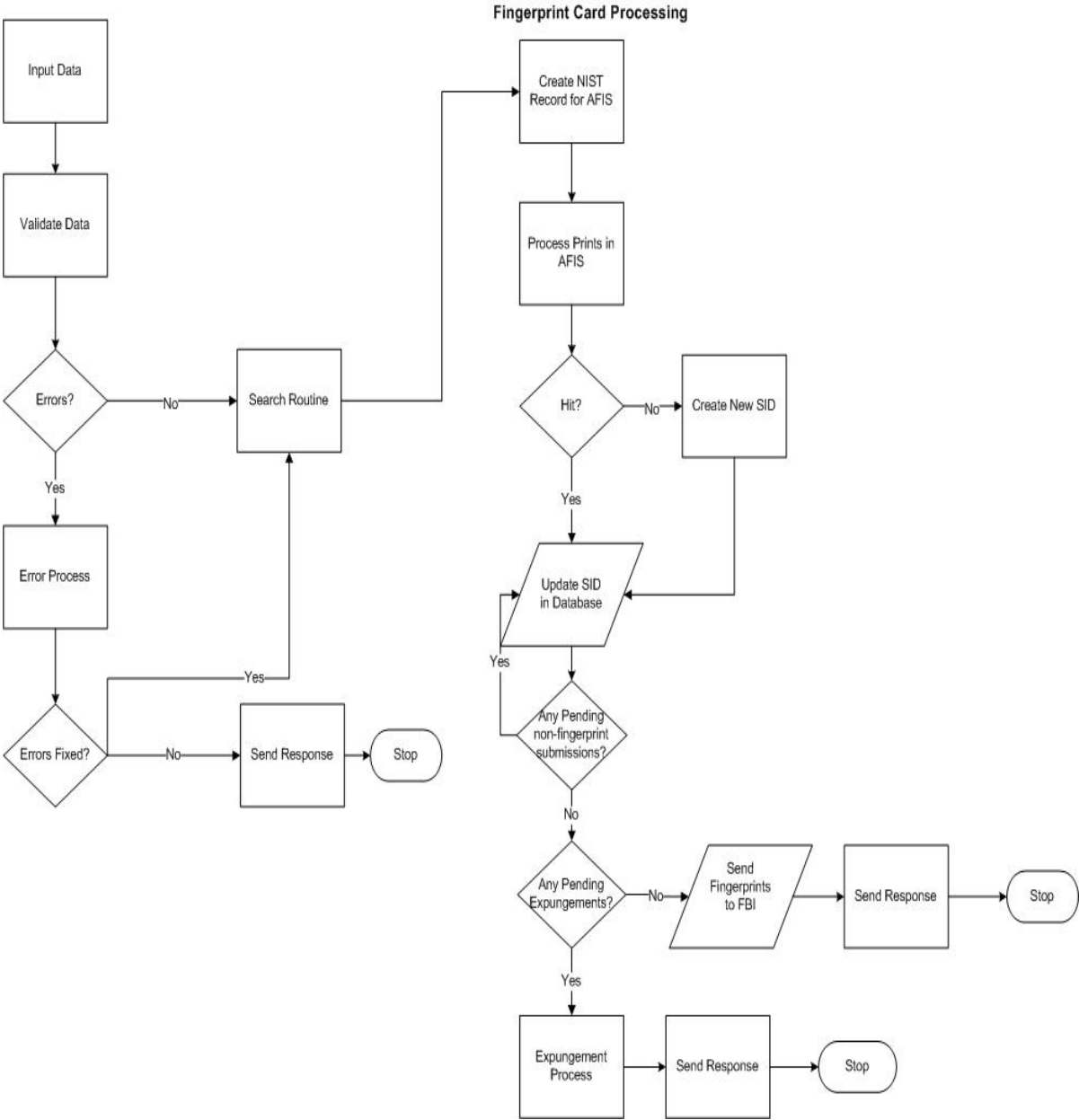


Figure 1: Electronic Processing of Fingerprint Based Criminal History Records

Source: Illinois State Police Bureau of Identification



II. Introduction

Overview of Illinois' Computerized Criminal History (CCH) Electronic Processing

In 1997, the Illinois State Police's (ISP) Bureau of Identification (BOI) initiated a project to redesign the criminal history record information system using National Criminal History Identification Program (NCHIP) funds. Testing of the new system began in 1998 and implementation of the system was completed in 1999. At that time, the ISP began using an upgraded Automated Fingerprint Identification System, AFIS-21/EX, in conjunction with a reconfigured computerized criminal history record identification system based on relational database technology. The system allows for the electronic receipt and transfer of demographic and fingerprint arrest data, via livescan technology, from local law enforcement entities to the ISP. As a result, identification responses can be received from ISP within hours, compared to days under the previous system.

The redesigned CCH system also established a direct interface with the FBI's Automated Fingerprint Identification System (AFIS), and the National Criminal Information Center (NCIC). When this connection became operational in 2000, Illinois arrest fingerprint and associated demographic information could be forwarded automatically to the FBI without the local agencies submitting an additional manual fingerprint card. Again, response from the federal CHRI system could be expected within hours instead of days or weeks due to its enhanced AFIS system.

Electronic Arrest Submission Processing (Livescan)

The key to more efficient and timely arrest submission processing is livescan technology. This equipment allows for the electronic transmittal of all information

captured on an arrest card, including fingerprints, directly into the CCH system, and generally without human intervention once the submission is made.

The process begins at the local agency, during the booking procedure. In the majority of sheriff's offices with livescan capabilities (17 of 21) included in this audit, the subject's demographic information is entered into an automated booking system, and then downloaded into the livescan device that is used to capture and transmit digital fingerprint images. Edit checks are built into both systems to minimize data entry errors that will cause the record to be rejected by the CCH system. According to the Illinois State Police Electronic Fingerprint Submission Specifications (2000)¹ each livescan vendor (Identix, Inc. in 19 observed counties, DBI in two others) is responsible for the programming and edit checks of all mandatory data fields in the demographic (Type 2) record. However, it is the responsibility of the local booking system to maintain the Illinois Statute Table and ensure that statutes entered into livescan conform to this approved format (EFSS, p. 13).

The livescan device is designed to replace the traditional "ink and roll" fingerprint process with an optical scanner and imaging software. As the subject's fingers are rolled over a glass platen (faceplate), the fingerprint images are captured and displayed on a monitor. The operator is notified of any images that do not meet image quality standards, so that they can be re-scanned until they are acceptable. Livescan software then extracts the minute details of ridges and bifurcations (minutiae) that make each print unique and

¹ The document that defines the content, format and units of measurement for the electronic exchange of fingerprints and related information, as determined by ISP and the FBI, in accordance with the American National Standard for Information Systems – Data Format for the Interchange of Fingerprint Information (ANSI/MIST –CSL 1-1993) (ANSI/NIST standard). The typical livescan transmission contains: one Type 1 record (transmission information), one Type 2 record (subject demographics and arrest event information), and fourteen Type 4 records (fingerprint images).

computes a binary image (called a template) from the results. It is this digitized image that is then compressed and transmitted to the AFIS system within CCH, for matching against those already stored at the central repository.

For this identification procedure, or one-to-many matching, the subject's demographic identifiers submitted along with fingerprints are not considered at the outset. Instead, the AFIS system tries to identify the individual's biometric sample from within its database of fingerprint templates. In most cases, this matching process is completely automated, and can be completed in minutes. When a match is not certain, fingerprint technicians make the final determination. If a match with existing prints is determined (a "hit"), then the corresponding subject and arrest event information is appended to the existing information on that subject. Any discrepancies between the subject's demographic information in the current submission and the master record associated with the fingerprint file (e.g., name, race, date of birth) are entered as alias information on the criminal history record. If no prior record exists, then a new master is created for that subject.

This automated identification of fingerprint images requires complex algorithms for minutiae extraction and subsequent matching. The importance of clear and distinct initial fingerprint images to the success of this process cannot be overstated. Research conducted by the National Institute of Standards and Technology (NIST) has demonstrated that poor quality fingerprints greatly reduce accuracy of fingerprint matching systems, leading to false conclusions that a match does not exist². If the livescan operator does not apply the proper amount of pressure when rolling, does not

² Fingerprint Vendor Technology Evaluation 2003: Summary of Results and Analysis, NISTR 7123, National Institute of Standards and Technology, June 2004.

fully roll the finger from nail-to-nail, or the subject's fingers are excessively moist, oily, or dry, then the minutiae coding and identification process may not recognize an existing match already in the database.³ In 2004, ISP added Visual Verification software to the AFIS system, which has allowed the fingerprint technicians to overcome some of these fingerprint quality problems and avoid creating duplicate CCH records to a greater extent than previously possible.

Livescan technology has obviously improved the timeliness of arrest submissions, which can now be measured in minutes, compared to the days or weeks needed for mailed paper submissions from non-automated agencies. However, feedback from Livescan User Group Meetings held around the state by ISP over the last few years suggests several potential problem areas:

- Unavailability of adequate charging statute citations to the livescan user;
- Inability of the local agency to know if the state police system is experiencing technical difficulties and therefore unable to receive data or send out responses;
- Cumbersome procedures for submitting corrections to records already submitted;
- Non-uniformity of practice across agencies in handling warrant arrests; and
- Lack of flexibility in changing Arresting Agency ORI⁴ from Submitting ORI.

These issues were investigated further in this audit.

³ "Identification Newsletter", Volume 2003-4, December 2003, Wisconsin Crime Information Bureau, Wisconsin Department of Justice.

⁴ An ORI is a unique nine-character agency identifier assigned by the ISP to reporting agencies.

Volume of Electronic Submissions to CCH

The CCH database maintained by ISP continues to be the fifth largest in the country. In 2005, over 1.5 million criminal based submissions were received by ISP, of which 82% were submitted electronically (Table 1). Electronic arrest submissions have increased approximately 20% across the state since 2001, the last year of the audit time frame. It is evident that Illinois is entirely committed to electronic CHRI reporting.

Table 1: Criminal Based Submissions to CCH, Calendar Year 2005

Fingerprint-based Submissions	Electronic Submissions	%	Paper Submissions	%	Total
Arrest (Adult)	459,695	86%	74,370	14%	534,065
Arrest (Juvenile)	37,657	83%	7,613	17%	45,270
Custodial Receipt	8,440	16%	43,765	84%	52,205
Non-Fingerprint based Submissions	Electronic Submissions	%	Paper Submissions	%	Total
Custodial Status Change	76,298	61%	2,253	39%	78,551
Total	582,090	82%	128,001	18%	710,091
Non-Fingerprint based Disposition Submissions	Electronic and Manual Combined				Total
State's Attorney Filing Decisions	396,447				396,447
Court Dispositions	395,860				395,860
Grand Total Submissions					1,502,398

Source: Illinois State Police, Bureau of Identification, March 2006.

III. Audit Methodology

This CHRI audit examined the timeliness, accuracy and completeness of livescan arrest submissions, with a particular focus on the submissions of county sheriff's offices. The audit was designed as a follow-up to the 2003 CHRI Audit, which examined the quality of CCH data during the time period 1994-1998. This audit focused on CCH data for the years 1999-2001, during which time the use of livescan technology became more widely used in Illinois.

Sheriff's offices arrest submissions were used as the primary source documents in this audit, as a means to follow-up on findings in the 2003 CHRI Audit. Several factors were found to affect the completeness of CCH data. These included the inconsistent adherence by local agencies to ISP policies regarding submission of arrest fingerprints for warrant arrests, along with the ISP practice of "direct filing" state's attorney decisions for certain counties in CCH⁵. For example, it was found that the worst CHRI completion rates in CCH were for warrant arrest submissions made in such "direct file" counties (a 43% completion rate for warrant arrests⁶ compared to the 74% completion rate observed for CCH overall). In order to have an adequate sample of warrant arrests in the final audit sample, a purposeful sample of sheriff's offices was drawn, since sheriff's offices have a primary duty of serving arrest warrants⁷.

⁵ In these counties, an agreement between the ISP and State's Attorney's office allows the arrest charges to be programmatically entered in CCH as the state's attorney charge, without any actual CHRI forms submitted by the state's attorney's office

⁶ Only original warrant arrests are required to be submitted to the central repository. Other types of warrant arrests (e.g. bond forfeiture) should not be submitted.

⁷ The arrest fingerprint card allows for seven types of arrests: 1) on-view arrests (where the officer witnesses the event), 2) original arrest warrant (issued by the court in response to a complaint, where no previous arrest for the incident has been made), 3) bond forfeiture warrant (where the defendant in a court case has failed to appear), 4) parole violation warrant, 5) probation violation warrant, 6) out-of state warrant (where the defendant is held by an Illinois jurisdiction pending extradition to the state issuing the

Sample Selection Methodology

The Illinois State Police (ISP) granted the Authority permission to access CCH data for research purposes, including developing audit methodology. This allowed for preliminary analyses of the CCH database to determine sampling strategies aimed at the issues of interest, instead of the simpler random sampling of local agencies used in previous audits. The CHRI audit is based on a purposeful sample of county sheriffs' offices selected using the following three criteria:

- 1) at least 75% of sheriff's office arrest records submitted via livescan in 2001⁸;
or
- 2) the sheriff's office submissions accounted for at least 50% of all county submissions; or
- 3) the county's state's attorney's charges were "direct filed" in CCH;

In choosing the audit sample, all sheriffs' offices in "direct file" counties were included, regardless of how they measured on the other criteria. All other counties were ranked on livescan use and county arrest coverage (highest percent to lowest percent), and assigned a corresponding "score" based on those rankings. Ranking "scores" were summed, and the counties with the highest criteria "scores", including all "direct file" counties, were chosen for the audit sample. This simple method would assure that those counties with the most characteristics of interest (livescan, central booking and direct file) would be included in the audit. Finally, the audit methodology called for site visits to each sheriff's office selected, to facilitate data collection and provide background

warrant), and 7) summons warrant (or notice that the defendant is to appear in court to answer charges). A single arrest event can include multiple types of warrant charges.

⁸ Agencies will rarely, if ever, submit 100% of their submissions via livescan over a year's span. Since they are required to submit arrests within 24 hours, paper forms must be substituted during periods when electronic reporting is not functioning properly.

information. Project resource constraints limited these visits to no more than 25% of all Illinois counties.

An initial sample of 26 counties was chosen using the methodology outlined above. Table 1 presents how these counties measured on the selected audit criteria. As can be seen, the last five counties in the table, included only because of the “direct file” criterion, were least likely to use livescan technology. In order to reach an adequate initial sample size, two other populous counties on the ranking list were also included, even though they did not meet the selection criteria. Overall, the sample counties had a higher percentage of livescan arrests than Illinois sheriff’s offices as a whole, although the sample was identical to all sheriffs’ offices on the other two selection criteria. In nearly half of the sample counties, the sheriff’s office submissions accounted for a majority of all the livescan transactions in the entire county. Map A shows the geographic distribution of the 26 sample counties. All of the most populous regions of the state were represented.

Site Visits and Questionnaires

Two site interview questionnaires were developed to assess CHRI reporting procedures. The purpose of the sheriff’s office questionnaire was to document CHRI reporting practices and procedures, particularly with regard to warrant arrests and central booking, ascertain the history of electronic arrest reporting in the county, and observe the booking procedure and subsequent flow of arrest information through the county’s criminal justice system. The purpose of the state’s attorney questionnaire was to document the CHRI reporting process in each county, ascertain any barriers to state’s attorney filing decision submissions to CCH, and to verify the “direct file” status of the

counties listed by ISP (meaning they have a formal agreement with ISP to not submit the state's attorney forms to CCH, and have a filing decision programmatically added by ISP at the time the arrest is posted). The data obtained from the questionnaire and observations were used to inform and supplement the accuracy and completeness analyses.

All 26 sheriff's offices and state's attorney's offices agreed to participate in the site visits. The sheriff's office questionnaire was administered to records administrators or their designees, who also provided a tour of the booking facilities and CHRI submission procedures. The second questionnaire was administered to the corresponding state's attorney's records administrators in each county, usually on the same day as the sheriff's office visit. Four state's attorney's offices verified to be direct file counties were not visited, since they do not participate in any CHRI reporting. One other state's attorney's office had experienced a recent loss of staff that affected their CHRI reporting. They requested a training session for new staff in lieu of a site visit, which was conducted in conjunction with ISP's Field Services staff.

Any observed problems with CHRI reporting policies or procedures were addressed (and usually corrected) during the site visit. In addition, follow-up letters providing feedback regarding site visit findings (if any) were sent to the Sheriffs and State's Attorneys, and follow-up visits by ISP Field Services staff were suggested for further technical assistance and staff training.

Final Audit Sample

Thirteen county sheriff's offices were able to supply the audit with local forms to compare to the corresponding CCH entries. These agencies had 3,300 entries recorded in

CCH. This initial sample was further refined by excluding all non-mandatory arrests in CCH, such as arrests for local ordinances, out of state warrants, etc. By excluding these non-reportable arrest events, the completeness audit would comprise only those events for which a final disposition would be expected to be reported by the state's attorney or court clerk. A total of 812 (25%) non-reportable arrests were excluded from the sample, for a final completeness audit sample of 2,488. The accuracy audit used a subset of these, or the 853 records submitted via livescan for reportable offenses. The timeliness audit sample was comprised of 1,256 notices printed from the sheriffs' office Law Enforcement Administrative System (LEADS) terminals during a three month period in 2005, which recorded the date and time of livescan arrest submissions to ISP and initial posting into the CCH system.

IV. Accuracy Audit

Accuracy of Livescan Arrest Records

BJA standards require that criminal history records completely and accurately reflect all statutorily required criminal justice transactions. Errors can occur at various stages in the process of creating criminal history record information: from errors made on the submitting agency completing the form, errors made in posting the data onto the CCH database, to errors in the manner in which CHRI events are linked and disseminated to end users of the information.

Only those records submitted via livescan (according to the Transaction Control Number associated with the record) were examined for accuracy of the CCH entry compared to the local arrest document. Seven counties that could produce copies of the actual livescan submissions (as opposed to booking lists) were represented in the accuracy audit. A total of 853 CCH records were examined for accuracy of the following arrest variables: **subjects' full name, date of birth, arrest charge statute citation** (act, article, paragraph, and section), **literal statute description, statutory class of offense, and date of arrest.**

It should be noted that the audit findings reported here reflect the results of the research conducted, both positive and negative. They support the Authority's recommendations for improvements of Illinois' CCH system.

Accuracy Findings

Overall, 91% of the criminal history records audited were accurately reflected in the CCH database. Out of the 853 CCH records audited, 74 (9%) records contained an

error in at least one of the data fields examined. Several criminal history records audited contained multiple errors, particularly regarding statute citation and class information.

Arrests for felony charges (Class M, X, 1, 2, 3, and 4) and Class A and B misdemeanor offenses are mandated to be reported to CCH⁹. Historically, ISP created a value “Z” (for unknown) as a default for any missing class values. For this accuracy audit, a total of 374 (44%) records containing the “Z” value on CCH but missing a class designation on the local form were counted as accurate. In 2004, ISP notified agencies of the discontinuation of the default value due to the legislative changes allowing the sealing of specific offenses based on the Class of Offense as cited in the Criminal Identification Act 20 ILCS 2630/5.

The two variables that continued to contribute to inaccurate data were the name field and the statute citation field. Table 2 presents the percentages of records containing accuracy errors, by year.

Table 2: Percent Livescan Arrest Records with Accuracy Errors*

Year	Records Audited	Arrest Date	Class	Statute	Date of Birth	Name
1999	100	7%	0%	7%	2%	3%
2000	327	0%	0%	0%	0%	2%
2001	426	0%	2%	1%	0%	3%

*Where the information on the local form and CCH entry did not match.

The error rate for statute citation and class of offense data fields was adjusted due to ISP/ livescan vendor issues with statute citation tables. Data that appeared as partial information on the local form but were successfully posted on CCH were not counted as

⁹ 20 ILCS 2630

discrepant, since the vendor-supplied code tables which had those acknowledged limitations. Compatibility of statute tables and software applications also becomes an issue when booking systems are interfaced with livescan equipment. Although all seven counties used the same make and model livescan equipment, they all used different booking systems. Table 3 below indicates the extent to which the systems were incompatible for statute information (although data was posted to CCH).

Table 3: Indications of Booking Systems/Livescan/CCH Incompatibility, 1999-2001

Statute Citation	
Out of 853 records, 138 records had partial information on the local form but complete on CCH.	16%
Class of Offense	
Out of 853 records, 19 records had discrepancies on the form but complete on CCH.	2%

Table 4: Arrest Accuracy by County

County	1999	2000	2001
Name same local/CCH			
County J	100%	98%	98%
County Q	100%	100%	100%
County K	N/A	98%	97%
County R	N/A	98%	84%
County B	86%	98%	100%
County E	N/A	100%	98%
County W	N/A	97%	99%
Total	97%	98%	97%
Arrest date same local/CCH			
County J	95%	100%	100%
County Q	76%	100%	100%
County K	N/A	100%	100%
County R	100%	100%	100%
County B	100%	98%	100%
County E	N/A	100%	98%
County W	N/A	100%	100%
Total	93%	100%	100%
Date of birth same local/CCH			
County J	97%	98%	100%
County Q	95%	100%	100%
County K	N/A	100%	100%
County R	100%	100%	100%
County B	100%	100%	100%
County E	N/A	100%	100%
County W	N/A	100%	100%
Total	98%	100%	100%
Statute citation same local/CCH			
County J	84%	98%	100%
County Q	100%*	100%*	100%
County K	N/A	100%	100%*
County R	100%	100%	100%
County B	95%*	100%*	98%
County E	N/A	100%	98%
County W	N/A	100%	99%
Total	93%	100%	99%
Class same local/CCH			
County J	100%	100%	100%
County Q	100%	100%	100%
County K	N/A	100%	88%

County R	100%	100%	92%
County B	100%	100%	100%
County E	N/A	100%	100%
County W	N/A	100%	99%
Total	100%	100%	98%

*Records posted on CCH but data was not complete on the local form due to ISP/livescan vendor issues with statute citation tables. The information partially appears on the local form but was successfully posted on CCH.

Accuracy Finding #1: The overall accuracy of livescan CCH entries was 91%, an accuracy rate that surpasses the 2003 audit of 87%. Name, statute citation, and class of offense continue to be the problematic fields.

Accuracy Recommendations

With the implementation of livescan technology, approximately 85% of arrest records are currently being electronically submitted to the CCH database, up from 63% in 1999. CCH records, as a whole, should be accurate and complete so that law enforcement officials and other entities that rely on this information may make appropriate and credible decisions. While the 91% overall accuracy rate found in this audit surpasses that of the 2003 audit (87%), any vendor software problems have the potential of impacting the accuracy of a large proportion of the CCH database in a relatively short time.

Accuracy Recommendation #1: ISP should implement an active reporting monitoring system that is conducted routinely and checks the reporting levels of the contributing agencies. Further, ISP should provide more consistent and timely feedback to local agencies when systemic problems are detected, not just problems with individual records.

The Illinois State Police should test the automated edit routines on a regular basis to ensure that data is being accurately transmitted and posted. Also, ISP should make available livescan reports on rejections for quality problems so that local agency operator

problems can be identified and handled to ensure resubmission of records rejected by ISP due to errors.

Accuracy Recommendation #2: ISP should develop policies on livescan data retention practices.

Some of the local agencies may have informal methods through which they can determine whether reporting forms have been sent to the ISP; however these methods may not be sufficient for auditing or problem-solving purposes.

Accuracy Recommendation #3: Implement a more comprehensive livescan certification process to determine if all data meet quality standards, not just if devices comply with electronic transmission standards.

The accountability for the accuracy of criminal history information in the CCH files is shifting increasingly to the submitting agencies. To enable the livescan system to operate as intended, it should be integrated with any existing or proposed automated booking, records management, or information system for data entry. This internal integrated process should be included in the certification process to ensure all applications are compatible and submissions of events are successfully posted onto the CCH database.

V. Completeness Audit

Completeness Standards

“Modified” BJA Standard

For records created in the past five years, the U.S. Justice Department’s Bureau of Justice Assistance (BJA)¹⁰ mandates that a reasonable attempt be made by the state central repository to complete arrest, disposition, and incarceration information for 90 percent of felony arrests. However, in Illinois during the audit period (1999-2001), local agencies were allowed to use a default class of offense code (“Z”) if that information was not yet determined at the time of arrest. As a result, the class (felony vs. misdemeanor) of at 47% of arrest records in the audit sample could not be determined for audit purposes (Table 5). In order to achieve a statistically adequate sample size, the BJA Standard was broadened in this audit to be applied to *all reportable arrests*, as defined in the Illinois Criminal Identification Act (20 ILCS 2630/2.1). The term “Modified BJA Standard” is used in this report to reflect the broader application of the standard to both felony and misdemeanor arrests in the completeness audit. A record was considered “complete” using this Modified BJA Standard when court disposition information was found, or the state’s attorney decision to not file all charges was indicated. The presence of other state’s attorney decision information was not necessary to this standard.

¹⁰ This standard applies to states receiving Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant funds.

ILCS Standard

The second standard of completeness is specified by Illinois state statute¹¹, where arrest information for all felonies and Class A and B misdemeanors must be reported, along with the corresponding state's attorney filing decision, court disposition, and sentence (if applicable). Due to the requirement for state's attorney filing information, this standard is more stringent than the BJA standard, and typically produces somewhat lower completeness rates. This standard has been used by the Authority in its audits of the state central repository for criminal history records since 1983.

It should be noted that the audit findings reported here reflect the results of the research conducted, both positive and negative. They support the Authority's recommendations for improvements of Illinois' CCH system.

Completeness Audit Sample - Missing Class of Offense Data

Of the 3,300 arrest records received from the audit agencies where a corresponding CCH entry was found, 812 (25%) were eliminated because all charges in the arrest event were for non-reportable offenses (that is, not an original arrest for a felony, or Class A or B misdemeanor), and therefore not included in either completeness standard. The remaining 2,488 records for reportable arrest events comprised the completeness audit sample. Table 5 presents the breakdown of **arrest events** included in the completeness audit by class of offense recorded in CCH. As previously discussed, since class of offense information was missing in almost half the audit sample, it was not possible to accurately identify all felony arrests in the audit sample for separate analysis.

¹¹ Illinois Criminal Identification Act (20 ILCS 2630/2.1)

The issue of “Z” class code and missing class of offense data generally in CCH will be a follow-up topic in the next audit.

Table 5: Completeness Audit Sample by Class of Offense, 1999-2001

Offense Class Type per arrest event	Number of Records	Percent
At least one charge is a Felony	400	16%
All charges are Misdemeanors	929	37%
Unable to determine (blank or Class Z)	1,159	47%
Total	2,488	100%

Completeness Audit Sample – Livescan vs. Paper Submissions

Table 6 presents the total number of sheriff’s office records audited for completeness in each county, by submission type (livescan vs. paper), for all reportable arrests (felony and Class A and B misdemeanors combined).

**Table 6: Sheriffs' Offices Final Completeness Audit Sample,
By Submission Type, 1999-2001**

County	Livescan		Paper		Total Sample
	Count	Percentage	Count	Percentage	
County R	114	100%	0	0%	114
County W	115	100%	0	0%	115
County E	94	99%	1	1%	95
County S	293	81%	67	19%	360
County Q	69	74%	24	26%	93
County J	149	65%	80	35%	229
County B	112	63%	66	37%	178
County X	153	56%	120	44%	273
County K	200	53%	176	47%	376
County M	117	43%	157	57%	274
County F*	17	6%	254	94%	271
County O*	0	0%	34	100%	34
County Z*	0	0%	76	100%	76
TOTAL	1,433	58%	1,055	42%	2,488

*"Direct file" counties

The overall percentage of livescan arrests received from the participating sheriffs' offices was just slightly lower (58%) than the percentage that had been expected from the sample (62%), based on the total entries in the Authority's Extract files. Some of the larger sheriff's offices had problems retrieving historic livescan documentation instead of the paper forms that have been used historically. See Appendix A for more details on the data collection process.

As Table 7 shows, the *pattern* of livescan arrest submissions received from participating sheriff's offices over the three audit years mirrors the statewide livescan implementation pattern. That is, only a handful of Illinois agencies were submitting arrests via livescan in 1999, with a complete reversal just two years later (when

approximately 60% of all Illinois arresting agencies were using livescan technology). Based on these analyses, it was concluded that the audit sample sufficiently resembles the characteristics of the CCH database during the audit time frame to be able to generalize the findings to all livescan submissions in the CCH database from 1999-2001 with sufficient confidence and precision (99% ± 3%).

**Table 7: Records Audited for Completeness,
By Submission Type and Year, 1999-2001**

Submission Type	1999	2000	2001	Total
Livescan	183 (27%)	467 (63%)	783 (74%)	1,433 (58%)
Paper	503 (73%)	272 (37%)	280 (26%)	1,055 (42%)
TOTAL	686	739	1,063	2,488

Completeness Audit Findings– Modified BJA Standard

As of November 2004, the overall completeness of the CCH database using the Modified BJA Standard, for the time period 1999-2001, was found to be 66%. While the original BJA Standard requires that all final disposition information be found on CCH for all felony arrest events¹². As previously discussed, the lack of Class of Offense information in the CCH database necessitated the inclusion of *all reportable offenses* (felony and misdemeanor) in order to generate a sufficient sample size for the completeness audit. The final dispositions considered in the completeness assessment include all court dispositions and state’s attorney decisions to not file all charges. As can be seen from Table 8, arrests submitted via livescan were found to be slightly less

¹²During the audit data period the “Z” class code was used when the data element was missing from reported information. Audit staff was unable to reliably separate offenses by class due to the absence of class indicators for 47% of the audit sample arrests.

complete than those submitted via paper arrest forms, although the difference is not statistically significant.

Table 8: Overall Completeness Findings, Modified BJA Standard* (reportable felony and misdemeanor arrests), by Submission Type, 1999-2001**

Submission Type	Complete	Percent	Total Audited
Livescan	928	65%	1,433
Paper	714	68%	1,055
Overall	1,642	66%	2,488

*CCH records do not require state’s attorney initial filing decision to be considered complete.**

**Audit staff was unable to reliably separate offenses by class due to the absence of class indicators for 47% of the audit sample arrests.

Table 9 shows the completeness rates over the three year audit period, for each submission type. As can be seen, the Modified BJA Standard completion rates are fairly similar over the three years, although the completion rate for paper submissions showed slight improvement over livescan submissions. Since updated disposition information from CCH was obtained for the audit fully three years after the 2001 arrest events, the decline in completion rates between years 2000 and 2001 was not attributed to any lag between CCH data used in the audit and actual CCH database postings.

Table 9: Modified BJA Standard* Completeness Rate (reportable felony and misdemeanor arrests), by Year and Submission Types, 1999-2001

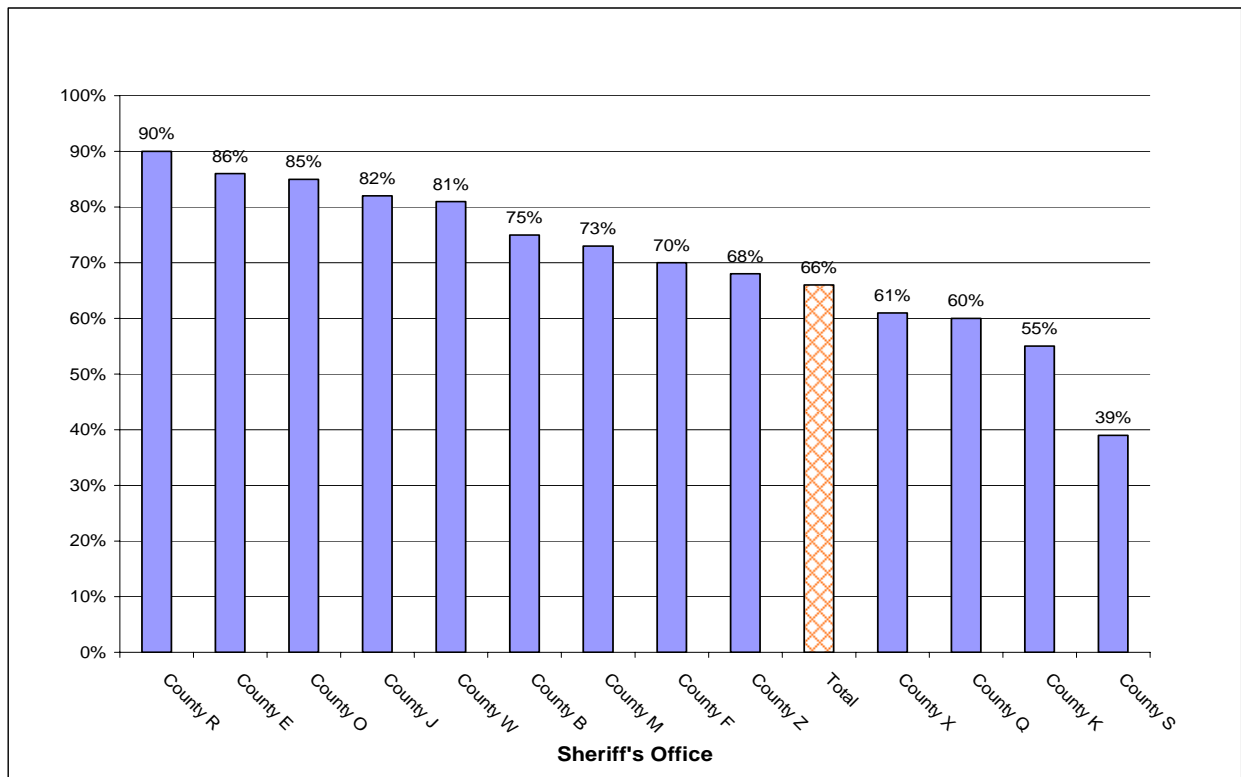
Year	Livescan	Paper	Overall
1999	67%	64%	65%
2000	68%	73%	70%
2001	62%	68%	64%

* Modified BJA Standard was applied to all *reportable* offenses, felony and misdemeanor, due to 47% missing Class of Offense information.

Completeness Rates by County – Modified BJA Standard

The overall completeness rate (using the Modified BJA Standard) masks some real differences among the audit county sheriff's offices. Here, the completeness rates for all submission types (electronic and paper) combined ranges from 90% down to 39%. Figure 2 shows the completeness rates (Modified BJA Standard) by individual county sheriff's office.

Figure 2: Modified BJA Standard Completeness Rates* by County (reportable felony and misdemeanor arrests), 1999-2001



* Modified BJA Standard completeness measured for all reportable offenses, felony and misdemeanor, due to 47% missing Class of Offense information.

Completeness (Modified BJA Standard) Findings: The overall completeness of the CCH database using the Modified BJA Standard for felony and misdemeanor reportable

offenses, for the time period 1999-2001, was found to be 66%. However, completeness rates for individual sheriff's offices ranged from 90% down to 39%. Completeness rates for electronic submissions was slightly less than for paper submission (65% vs. 68%), but the difference was not statistically significant.

Completeness Audit – Illinois Compiled Statutes (ILCS) Standard

Illinois statutes mandate that all dispositions in a case be submitted to CCH within specified timeframes, including all state's attorney filing decisions, court dispositions, and custodial receipts and releases. In contrast, the Modified BJA Standard requires only final dispositions be available. Therefore, any differences in completeness findings between the ILCS Standard and the Modified BJA Standard can be attributed to the quality of state's attorney disposition reporting to CCH.

Table 10 presents the overall findings of the completeness audit according to the ILCS Standard. As can be seen, the overall completeness rate using this standard is substantially lower than the Modified BJA Standard findings (59% vs. 66%). Further, the lower completeness rate for livescan submissions compared to paper is statistically significant using the ILCS Standard. The difference can be attributed to a lower rate of state's attorney disposition reporting for livescan submissions, since that is the essential difference between the two audit standards.

Table 10: Overall Completion Findings, ILCS Standard*, by Submission Type, 1999-2001

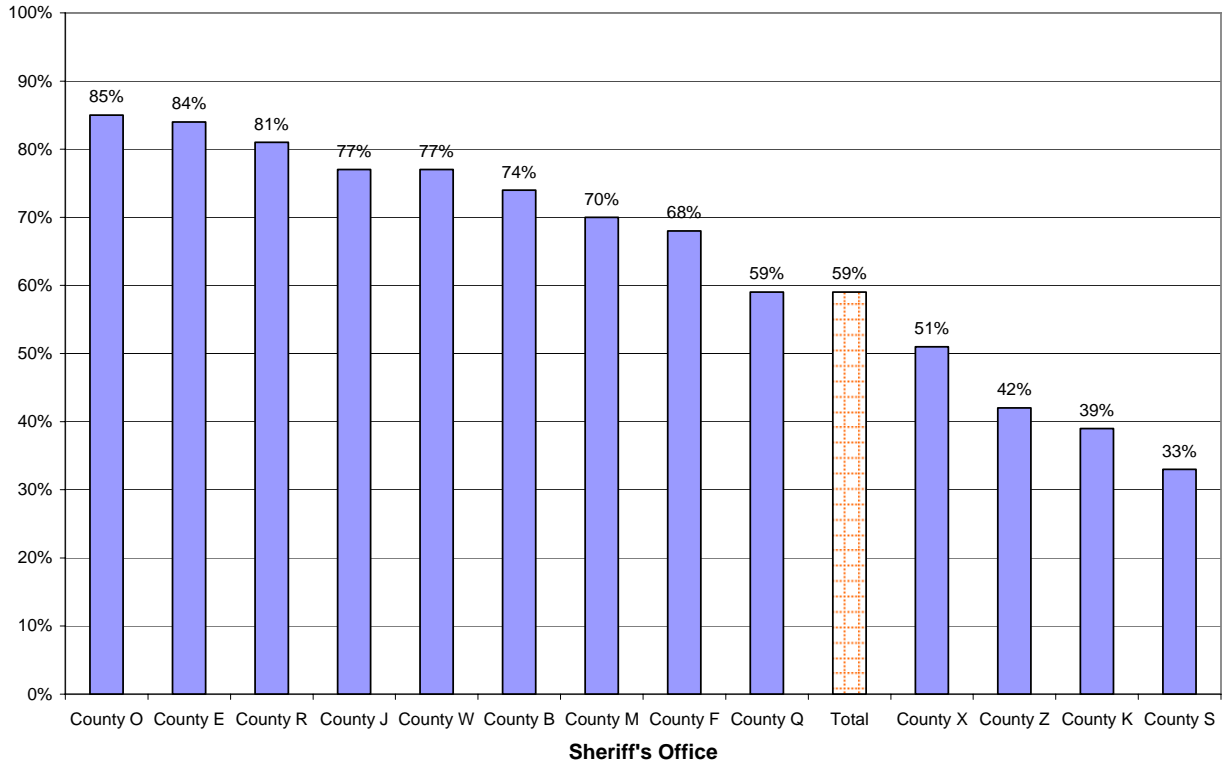
Submission Type	Complete	Percent	Total Audited
Livescan	823	57%	1,433
Paper	646	61%	1,055
Overall	1,469	59%	2,488

*20 ILCS 2630/2.1

Completeness Rates by County – ILCS Standard

Figure 3 shows the completeness rates (all submission types) by individual county sheriff’s office using the ILCS standard of completeness (where state’s attorney filing decision must be present in addition to the court disposition). Overall, the counties exhibit a lower completion rate than with the Modified BJA Standard, with a similar wide range (85% to 33%) (Figure 1). In addition, most counties retain their relative rank regardless of completeness standard.

Figure 3: ILCS Completeness by County (for reportable felony and misdemeanor arrests), 1999-2001



Completeness Rates for Electronic Submissions (Livescan) by County

Table 11 presents the completeness rates for livescan records only for each individual county sheriff’s office. As can be seen, the four counties with the lowest

completion rates in terms of complete CHRI records were much worse than those at the top of the list. There was a serious disconnect between arrest reporting and court disposition reporting to CCH in at least four counties with completion rates below the audit sample average. This suggests the need for closer scrutiny into the CHRI reporting processes in those counties, to identify where the system is breaking down.

Table 11: Livescan Submission Completeness Rates By County and Completeness Standard, 1999-2001

County	Modified BJA Standard* % Complete	ILCS Standard % Complete	Difference
County R	90%	81%	9%
County M	86%	85%	1%
County E	86%	84%	2%
County J	83%	79%	4%
County W	81%	77%	4%
County B	76%	74%	2%
OVERALL	65%	57%	8%
County X	54%	48%	6%
County F	47%	47%	0%
County K	42%	13%	29%
County S	40%	37%	3%

*Modified BJA completeness applied to all reportable arrests, both felony and misdemeanor (not just felony arrests), due to 47% missing Class of Offense information in the audit sample arrests.

Missing State’s Attorney Dispositions

Audit resources precluded any follow-up data collection activities at the state’s attorney’s offices to determine the status of the missing dispositions identified in the completeness audit. However, the interviews that were conducted as part of the audit did provide useful information regarding general processing problems that could explain the results.

The completeness findings using the ILCS standard are of particular interest here, since they specifically indicate the degree to which state’s attorney dispositions are

missing over and above the findings according to the Modified BJA Standard. Most counties in the audit sample did not exhibit significantly different completeness rates between the two standards. Those three counties showing significant differences also mentioned significant processing problems during the state's attorney office interview.

The county with the most severe shortage of disposition information (County K) believed it was operating as a "direct file" county with regard to CHRI state's attorney disposition reporting, and thus was not submitting any filing decisions to ISP by the end of the audit period. However, ISP was not aware of this agreement, and was not programmatically adding state's attorney information to that county's records. The resulting low completeness rates for the county were a direct result of this miscommunication. Beginning in 2005, this situation was corrected, and the state's attorney's filed charges are now being programmatically added in the CCH Database.

Completeness (ILCS Standard) Findings: The overall completeness rate using this standard is substantially lower than the Modified BJA Standard findings (59% vs. 66%). Completeness rates for individual sheriff's offices fell within an even wider range than with the Modified BJA Standard – from 81% down to 33%. Completeness of livescan records assessed by the ILCS Standard had the lowest completion rate (57%) of any record type audited.

Completeness of Sheriff's Office CCH records with "ORI problems" (Originating Agency (ORI) number)

One of the sample selection criteria used in this audit was to include those counties where the sheriff's office contributed a disproportionate volume of arrests to

CCH compared to the other municipalities in the county. Table 11 shows that approximately half of the sheriff's offices participating in the audit had more than the expected share of arrests records in CCH. For example, the sheriff's office in County J was reflected in CCH as practically the sole arresting agency in that county, even though there are several other large municipalities located there.

This situation is likely to occur when the sheriff's office is used as a central booking facility in the county. If the other local agencies that use the sheriff's livescan devices for their own arrests do not change the Originating Agency (ORI) field to their municipality's number, the arrest event will be recorded under the sheriff's number. Site visits corroborated this situation. For example, when officials from one county were made aware of this potential ORI problem, they investigated their livescan machines and found that the incorrect ORI was being applied to other local agency arrests¹³. Further discussion of the ramifications of incorrect ORI information can be found in the Detailed Sample Methodology section (Appendix A).

In order to investigate whether incorrect ORIs have an adverse effect on the flow of case information to the rest of the criminal justice system, an analysis of completeness rates was conducted, comparing "ORI problem" sheriff's offices to the others in the audit sample. As Table 12 indicates that seven counties were above the sample median (50%) in terms of percent of total county CCH entries, and six were below the median. The completeness rates of these two groups were compared.

¹³ They also took immediate steps to correct the ORI problem, effective May 2004.

Table 12: Distribution of CCH Entries, Sheriff’s Office as Percent of Total County Submissions, 2001

County Sheriff’s Office	Sheriff’s Office, percent of total county CCH arrest submissions, 2001 (adults)	Percent of Sheriff’s Office arrests submitted via livescan, 2001 (adults)	Sheriff’s Office acts as Central Booking	Potential “ORI* Problem”
County J	92%	90%	yes	yes
County M	88%	94%	yes	yes
County E	79%	99%	yes	yes
County X	71%	90%	yes**	yes
County R	66%	99%	yes	yes
County W	64%	99%	yes	yes
County Q	58%	90%	yes	yes
Audit Sample Median	50%	92%	-	-
County F	37%	61%	yes	no
County O	36%	.00%	yes	no
County K	28%	96%	no	no
County B	23%	58%	yes	no
County Z	21%	.00%	no	no
County S	9%	96%	no	no

*Agency Originating Number

**Sheriff’s office does not book arrests for largest police department in county.

As can be seen in Table 13, the completeness rates for livescan submissions was significantly higher for the group of sheriff’s offices that had a disproportionate volume of arrests recorded in their county in CCH (“ORI Problem” Sheriff’s Offices), compared to the other group of sheriffs (76% vs.42% averaged across the two audit standards). This held true regardless of completeness audit standard applied. On the other hand, paper submissions from these same two groups did not have significantly different completeness rates. If anything, the non- “ORI Problem” group had slightly higher completeness rates for paper submissions than the first group. The extremely low

completeness rates for livescan arrests in the non-“ORI Problem” group suggests that local agencies were correctly using the livescan devices, but not following through with sending the state’s attorney and court clerk copies on to those recipients. This finding points to the real need for local agency training on CHRI procedures whenever new technology is introduced.

**Table 13: Completeness Rates for “ORI Problem” Counties
By Submission Type and Audit Standard,
1999-2001**

Submission Type	Modified BJA Standard* Completeness Rate		ILCS Standard Completeness Rate		Total Records
	“ORI Problem” Sheriff’s Office	Non “ORI Problem” Sheriff’s Offices	“ORI Problem” Sheriff’s Offices	Non “ORI Problem” Sheriff’s Offices	
Livescan	78%	47%	74%	36%	1,433
Paper	66%	68%	59%	63%	1,055

*Modified BJA completeness applied to all reportable arrests, both felony and misdemeanor (not just felony arrests), due to 47% missing Class of Offense information in the audit sample arrests.

CCH Completeness in Direct File Counties

The following nine counties were identified as having submitted “direct file” state’s attorney charges in the years 1999-2001 (Table 14):

Table 14: Direct File Counties in CCH, 1999-2001

County	Direct File Charges, 1999	%*	Direct File Charges, 2000	%	Direct File Charges, 2001	%
County H	129,421	97.88	242,546	99.28	371,888	99.87
County N	7,791	97.38	19,699	99.50	31,867	99.77
County V**	495	10.00	-	-	-	-
County A	1,353	23.03	30	0.70	13	0.28
County O	207	45.10	422	82.91	450	89.82
County D	702	81.25	13	12.26	10	9.35
County Z	116	80.00	143	98.62	1502	99.67
County S	7,675	75.40	10,168	72.73	5,611	44.62
County I	4,631	92.49	95	36.96	1,266	95.33

*Of total charges filed in the county.

** County V had 1,890 direct file charges in 1998 (85% of charges filed that year)

Of these nine counties, only one county (County S) was included in the livescan completeness audit. Two other counties (County O and County Z) were included in the paper submission completeness audit. Together, these direct file counties contributed 303 records to the completeness audit, or 12% of the 2,508 total completeness sample. This is less representation than the 33% that would be expected (based on the participation of 3 out of 9 direct file counties). Therefore, the completeness results obtained cannot be considered representative of all direct file counties, although the findings are suggestive

of potential problems, especially when compared to paper submissions from the same county.

Table 15: Completeness Rates for Three “Direct File” Counties Compared to Ten Non-Direct File Counties, 1999-2001

State’s Attorney Filing Type	Arrest Submission Type	ILCS Standard Records Complete	Percent Complete
Direct Filed	Livescan	97	41%
Filed*	Livescan	726	61%
	Paper	592	59%

*Filing decision submitted via 5-part card (State’s Attorney’s portion) to ISP

As can be seen from Table 15, the completeness rate (using the ILCS Standard which requires state’s attorney filing decisions) for records submitted via livescan in direct file counties was lower than any other category. As previously stated, the number of direct file cases did not include as many counties as auditors had hoped.

Warrant Arrest Reporting in CCH

The final issue to be addressed in the completeness audit involved warrant arrests. This type of arrest was found to be most problematic in the 2003 audit in several ways. For example, close to 40 percent of arrests not found on CCH at all were warrant arrests. Further, warrant arrests were also less likely than original arrest cases to have court dispositions found on CCH, with the worst disposition rate being warrant arrests where the associated state’s attorney disposition was “direct filed”.

ISP defines seven arrests types:

- 1) on-view arrests (no warrant involved),
- 2) original arrest warrants (issued by a judge and being served for the first time),

- 3) bond forfeiture warrants (where a defendant has missed a court appearance),
- 4) parole violation warrants,
- 5) out-of-state warrants,
- 6) probation violation; and
- 7) summoned/cited arrests (where the offender is required to appear in court in lieu of an initial arrest booking procedure).

CCH submission criteria for warrant arrests are complex for many reasons. ISP regulations state that only the originating agency should submit a fingerprint arrest card for the incident. Any subsequent agency involved in the apprehension or temporary custody of a wanted person should refrain from submitting an arrest card on that person, if the only charges against the individual are those from the original arrest. When this procedure is not followed, the same charge(s) will be duplicated on the criminal history transcript, making it appear that the person has been involved in the same offense multiple times during a short period of time. Since any arrest event may involve charges stemming from both offenses witnessed by the officer (particularly traffic offenses) and from warrants already issued (as revealed by an inquiry to the Law Enforcement Agencies Data System (LEADS) at the time of apprehension), one arrest report may be a mix of both on-view and warrant arrest charges.

The proper use of the arrest type code may also be a livescan training and/or technology issue. Preliminary analyses conducted on the Authority's CCH extract files (See Appendix A) revealed that livescan submissions were much less likely to contain arrest type information than paper arrest card submissions, for each year 1999-2001.

However, there was an increase in use of warrant arrest type codes for livescan submissions in 2001, suggesting that livescan users were becoming aware that these arrest type codes should be used for all arrest events.

Completeness Rates of Warrant Arrests

The audit sample contained 526 warrant arrests, or 21% of the 2,488 total records. This is slightly more than the previous audit, which was comprised of 18% warrant arrests. Table 16 shows that the proportion of livescan arrest warrants changed dramatically over the three audit years. More warrant arrests overall were submitted via livescan than paper in this sample (58% vs. 42%).

Table 16: Audited Warrant Arrests by Submission Type, 1999-2001

Year	Livescan	Paper	Total
1999	31 (18%)	142 (82%)	173
2000	79 (66%)	41 (34%)	120
2001	197 (84%)	36 (15%)	233
Overall	307 (58%)	219 (42%)	526

As Table 17 reveals, warrant arrests (livescan and paper submissions combined) had higher completeness rates than non-warrant arrests, regardless of audit standard used. This difference was statistically significant for both standards. The completeness rates for warrant arrests in the previous audit was found to be 63%, which for that audit, was the lowest rate found of any record type. This audit found that warrant arrest completeness had not changed appreciably from 1994 to 2001. Instead, the completeness of non-warrant arrests fell from 74% to the same levels as warrant arrests.

**Table 17: Completeness Rates of Warrant Arrests (all submission types),
By Audit Standard, 1999-2001**

Standard	Warrant Arrests	Non-Warrant Arrests	Overall
Modified BJA*	69%	65%	66%
ILCS	63%	58%	59%

*Modified BJA completeness applied to all reportable arrests, felony and misdemeanor (not just felony arrests), due to 47% missing Class of Offense information in the audit sample arrests.

Completeness of Electronically Submitted (Livescan) Warrant Arrests

Of the 526 warrant arrests in the audit sample, 307 (58%) were submitted electronically via livescan (Table 16). This mirrors the CCH database as a whole, where 60% of arrest records were submitted via livescan by 2001. However, as seen in Table 18, the completeness rates for livescan warrant arrests was statistically significantly lower than for warrant arrests submitted via paper forms to CCH. When the Modified BJA Standard was used, livescan warrants had a 63% completeness rate vs. 78% for manually submitted warrants. When the ILCS Standard was used, the livescan warrant arrest completeness rate was even lower, 55% vs. 75% for manually submitted warrant arrests.

**Table 18: Completeness of Warrant Arrests
By Submission Type, 1999-2001**

Standard	Livescan Warrant Arrests	Paper Warrant Arrests	Overall
Modified BJA*	63%	78%	69%
ILCS	55%	75%	63%

*Modified BJA completeness applied to all reportable arrests, felony and misdemeanor (not just felony arrests), due to 47% missing Class of Offense information in the audit sample arrests.

Completeness Findings and Recommendations

Overall Completeness Finding #1: The overall completeness rates of CCH records were no better than 70%, regardless of whether the arrests were submitted electronically or via

paper forms. This is less than the 74% found in the previous audit. Completeness rates calculated by the ILCS Standard were significantly less than those using the Modified BJA Standard, pointing to a relative lack of state's attorney decision information in CCH.

Overall Completeness Finding #2: Electronically submitted records tended to have lower disposition completeness rates than those submitted via paper, with completeness rates being lowest (57%) when state's attorney information was expected (ILCS Standard).

Completeness Finding #3 – “ORI Problem” Counties: Sheriff's offices that had a disproportionate volume of arrests from the entire county attributed to them (“ORI Problem” counties) were found to have significantly more complete livescan arrest records than livescan arrest records from counties without this ORI issue (76% vs. 42% respectively). This was a higher rate of completeness than for paper submissions in the same counties. This finding suggests that copies of the livescan output were not being forwarded to the correct recipients (state's attorney's office and court clerks) by the local agencies that were using the sheriff's office as a central booking facility.

Completeness Finding #4 – Overall Warrant Arrests: Warrant arrest completeness had not changed appreciably from 1994 to 2001. It remains around 65%.

Completeness Finding #5 - Livescan Warrant Arrests: Warrant arrests submitted via livescan had lower completeness rates than those submitted via paper forms. The worst

completeness rates were found using the ILCS Standard (which requires state's attorney decision information to be found along with the court disposition). Slightly over one-half (55%) of livescan warrant arrests were complete using this standard, compared to 75% of manually submitted warrant arrests originating from the same agencies.

Completeness Recommendation #1: At a local level, there is need for more communication and coordination between the various reporting agencies regarding disposition reporting. There is also a need for more training on CHRI reporting procedures within the environment of new technology.

Local agencies may need additional training on these technological reporting advances, including electronically integrating reporting processes and procedures within their county. It was apparent from the audit that the flow of CHRI information was interrupted in some counties once new technology was introduced (either electronic arrest reporting or direct filing options). This resulted in profoundly negative effects on the completeness of CHRI data.

VI. Timeliness Audit

Timeliness Audit Standards

Illinois statutes¹⁴ specify stringent timeframes within which agencies must submit criminal history records to the state central repository, so that the information will be available to decision makers as quickly as possible. Specifically:

- 1) Arresting agencies must submit arrest fingerprint cards for reportable offenses¹⁵ within 24 hours of arrest;
- 2) State's attorney dispositions (e.g., charges filed, modified, added, not filed) must be reported within 30 days of the decision;
- 3) Court dispositions must be reported within 30 days of the decision; and
- 4) Custodial receipts and releases (from county jails and state correctional facilities) are to be reported within 30 days of the decision.

Beyond these local agency submission timeframes, Illinois law does not address how quickly these submissions must be available on the CCH system¹⁶. On the other hand, Illinois must demonstrate that it meets BJS standards regarding timely processing of criminal history record information by the state repository, as one condition of being eligible for exemption from the five percent set-aside requirement of the federal Byrne funds. These voluntary standards include:

¹⁴ Criminal Identification Act 20 ILCS 2630/2.1

¹⁵ Felonies, class A & B misdemeanors; DUI charges, aggravated fleeing and eluding, and anti-theft laws under the Illinois Vehicle code.

¹⁶ Previous ICJIA CHRI audits had used the nomenclature "entered" for entries initially received into CCH and "posted" for those attached to an individual's criminal history record and available on a transcript (rap sheet). In the redesigned CCH system (since 1999), the term "posted" means the initial location of an already existing (or new) State Identification (SID) number assigned to the individual in CCH, and "complete" refers to a submission that has been completely processed through the system, a response sent to the submitting agency, archived on the Automated Fingerprint Identification System (AFIS), and thus available to be added to the rap sheet.

- 1) Central repositories should enter felony offenses into an automated system within 30 days of receipt and all other records are to be entered within 90 days.
- 2) Fingerprints are to be submitted to the state repository and to the FBI Identification Division (ID) within 24 hours of an arrest. For states where fingerprints are submitted to the FBI through a single source, (e.g., the central repository in Illinois), there is a two-week time frame for fingerprint submission to the FBI.
- 3) Final dispositions must be reported to the state repository within 90 days after the decision date, and, when appropriate, be submitted to the FBI within 90 days as well. All other records other than felony offense information are to be entered within 90 days of receipt.

It should be noted that the audit findings reported here reflect the results of the research conducted, both positive and negative. They support the Authority's recommendations for improvements of Illinois' CCH system.

Timeliness Audit Methodology

The timeliness audit was designed specifically to complement the electronic reporting focus of the accuracy/completeness audit. When local agencies submit their arrests to the CCH system (regardless of submission method), they can elect to have responses relayed back to them automatically via the Law Enforcement Agency Data System (LEADS). One type of response notes the date and time the arrest "posted" (i.e., was received) to the CCH system, along with the date of arrest and other arrest event identifying information. From these LEADS responses, the elapsed time between date of

arrest and posting date could be calculated. The 26 sheriff's offices in the initial audit sample were asked to save copies of these LEADS responses, from the day they received the letter from audit staff requesting participation in the audit until their site visit was completed. This resulted in a timeliness sample time frame spanning approximately 3 ½ months (88 days, from 3/22/04 – 7/10/04) ¹⁷.

This methodology for assessing timeliness was a departure from previous audits, where the focus was on arrest submissions mailed to ISP and received during randomly selected days. Even the 1995 CHRI Audit, which was the first to include livescan submissions in the timeliness analysis, considered the livescan sample as a variant of other mailed submissions. That is because technical limitation in the CCH system at the time did not allow for the direct automated processing of livescan submissions, a feature that is standard today. Instead, ISP technicians processed all submissions using Automated Fingerprint Identification System (AFIS) readers prior to the arrest being posted to CCH.

Timeliness Audit Sample

The final timeliness sample was obtained from 17 sheriff's offices, which provided LEADS data on 1,256 electronically submitted arrests that were posted to CCH during the 3½-month sampling time frame ¹⁸. From the sheriff's office survey administered as part of the audit, it was determined that all but one department in the

¹⁷ The only drawback to this methodology was that the actual time of the arrest submission by the local agency could not be ascertained. However, for all but a handful of cases, this information was not necessary for the analysis.

¹⁸ The timeliness sample began with 1,300 records. However, 34 records were found to be submitted via paper forms, not livescan. For 10 other cases, the actual dates of arrest for these records were months or even years earlier than the sample timeframe. These outliers were also excluded from the sample, since they were most likely the result of disposition acquisition activity, or post-conviction fingerprinting, rather than the initial apprehension and booking process being evaluated here.

sample used Identix livescan equipment. Therefore, any variation in results between agencies would not be likely to stem from differences in livescan hardware.

The remaining nine sheriff's offices included in the audit report could not be included in the timeliness audit for a variety of reasons. Four of these were livescan agencies which were either experiencing technical problems with their LEADS terminals, had opted out of receiving LEADS responses, or had a prohibitively high volume of LEADS responses to provide copies for the audit. Two sheriff's offices were not livescan agencies and do not use LEADS in their booking process. The last three sheriff's offices submitted LEADS responses to the audit on manually submitted arrests (via paper forms), since they are not livescan agencies. While their cooperation was greatly appreciated, due to the focus on timeliness of electronic arrest submissions, the LEADS data from these paper submissions (n=224) could not be included in the timeliness analysis.

While the final 1,256 arrest timeliness sample size is smaller than the previous audit, it was determined to be sufficient to produce a confidence level of 99% ($\pm 4\%$) based on a total population of 84,017 livescan submissions made to CCH by all agencies during that time period¹⁹. This does not include arrests made by the Chicago Police Department (CPD), since CPD was not included in the audit sample. Therefore, the timeliness findings should be considered representative of livescan transactions processed by ISP for agencies outside of Chicago.

¹⁹ This total arrest figure for the 4-month audit timeframe was obtained from the Authority's Ad Hoc Data Mine, which allows audit staff access to the daily "backup" of the CCH database housed at ISP.

Timeliness Finding #1: In concurrence with ISP assertions, virtually all (92%) of livescan arrests in the timeliness sample were completed on CCH (made available to users) within 24 hours of the arrest.

In fact, only 17 arrests (1%) were completely processed thru the CCH system after 90 days of arrest (Table 19). Since the timeliness audit relied on the arrest date indicated on the LEADS response, not the livescan submittal date, it is not known if there was some delay prior to arrest submission for these few cases. For example, these “late” arrests could have been the result of post-sentencing fingerprinting ordered by the court, or some other arrest acquisition process (e.g., receipt of a court disposition for which no arrest had been previously posted).

This timeliness finding highlights the technological advances currently achieved in electronic arrest processing, compared to earlier phases. In the 1995 audit, livescan arrests were found to have a better than average completion rate, although it still took close to 90 days after arrest for these events to be “done”.

Table 19: Timeliness of Livescan Arrest Completely Processed²⁰ on CCH

Completion Time	2004	1995
Within 24 hrs of arrest	1,149 (92%)	0 (0%)
Within 2 days of arrest	1,173 (93%)	0 (0%)
Within 90 days of arrest	1,239 (99%)	3,420 (76%)
Over 90 days of arrest	17* (1%)	671 (15%)
Total	1,256 (100%)	4,497 (100%) **

* While the CCH completion date was >90 days from the reported Date of Arrest, the actual date of arrest submission (from the livescan device to CCH) was not available, since the internal queue is overwritten once the livescan memory capacity is reached.
 ** The remaining 9% of arrests in the 1995 sample were not completed on CCH at all (during the audit tracking period).

Timeliness Finding #2: The timeliness of both submission and completion of electronically submitted (livescan) arrests on CCH have improved tremendously since the last livescan timeliness audit conducted in 1995. Overall, 92% of the current timeliness sample records were received and completed (made available to users) within 24 hours of arrest. In contrast, the majority of livescan arrests submitted during the 1995 audit were complete on CCH closer to 90 days of the arrest (which was the most timely of all audited records at the time).

Technical Difficulties

While 9% of the 1995 timeliness audit sample was not posted to CCH at all during the audit tracking period, direct evidence of arrests not posted during the 2004 audit was seen in only one county. Thirteen error notification responses²¹ were included

²⁰ The 1995 Audit referred to this stage as “posted” to CCH, or the stage when the information was finished processing and available to users.

²¹ These notices inform the submitting agency that some particular data field (statute citation in most cases) contains an error that precluded the submission from being accepted by the CCH system. In order to be posted, the arrest card must be corrected and re-submitted, accompanied by the subject’s fingerprints.

in the batch of LEADS responses forwarded to audit staff. Since this type of LEADS responses was not specifically requested, and this accounts for only 1% of the timeliness sample, no conclusions can be drawn about the livescan error rate from these data. It is likely that submission errors occurred in other counties, as well, but that the notifications were not included in the audit data provided by the sheriff's offices²².

There was one other significant problem with livescan transmissions observed in the timeliness audit. In one county (where the sheriff's office acts as the central booking facility) no livescan arrests were posted to CCH during a 10-day period until the last day in the sequence. This caused 65 observed arrests during those 10 days to take longer than 2 days from the date of arrest to post to CCH. Once the problem was corrected, all subsequent arrests posted within 24 hours. Discussions with the local agency and ISP staff confirmed that there was a problem with the CCH database during that time period, resulting in delayed postings. When the problem was corrected, the arrests that had been submitted in the interim were all successfully posted on the same date. While this had the potential of affecting thousands of records statewide, a scan of the CHRI back-up files available to the Authority indicated that arrest volumes, during the month affected (for all submission types), were unaffected by this CCH technical difficulty.

Timeliness Finding #3: It is estimated that approximately 7% (\pm 4%) of all livescan arrests submitted to CCH would experience some delay in posting beyond 24 hours after arrest, due to technical problems at either the local agency or ISP. However, it would be

²²All of these error notifications were for invalid arrest charge statute citations, submitted for non-reportable offenses (failure to appear). The proper local agency response in these cases, if the incorrect statute is the only charge in the arrest, would be take no further action.

expected that only 1% (\pm 4%) of all livescan submissions would be delayed beyond 90 days from date of arrest.

Submissions to the FBI

The other BJA timeliness standard assessed in this audit involves forwarding of the Illinois arrest record to the FBI. The standards specify that those states that designate a single agency to forward fingerprints to the FBI (ISP acts as the single source in Illinois) must do so within two weeks of the arrest.

A sub-sample of LEADS responses included the FBI response, as well. These must be requested by the agency at the time of original livescan submission to ISP. This response will typically include the FBI rap sheet, which includes arrests from other states besides Illinois²³.

There were a total of 809 arrest records (62% of the total timeliness sample) with FBI responses. Of these, 734 (91%) were dated within 24 hours of the Date of Arrest. The majority (65) of those not immediately posted to the FBI system were the same arrest records affected by the CCH technical problem (previously discussed). The remaining 10 FBI responses were sent within two days of the CCH posting. While the actual time of FBI posting is not reported on the LEADS response (as is the case with Illinois CCH arrest posting messages), by observing CCH postings occurring close to midnight (for example, 23:17:25) arrests posted to CCH after 2300 hours would not be posted to the FBI system until the next day. Thus, at least a one-hour lag time would be expected for FBI responses, once the arrest was posted to CCH.

²³ See the Authority publication, Sharing Criminal History Record Information: The Interstate Identification Index (November 2003)

Timeliness Finding #4: Illinois exceeds the Modified BJA Standard for timeliness of arrest submissions to the FBI. It was found that 91% of all FBI responses included in the timeliness sample were sent within 24 hours of the date of arrest, well within the two week suggested timeframe for single source states. The remaining FBI responses were sent within 10 days of the arrest, with the majority of those delayed by an ISP technical problem that was subsequently corrected.

Timeliness Recommendation #1: It is recommended that ISP continue to encourage agencies to use livescan technology for arrest submissions to ensure timely processing. In addition, state funding opportunities should be made available for equipment purchase and maintenance.

Timeliness Recommendation #2: ISP should continue to work on bi-direction communication capabilities with local agencies. There needs to be a reliable mechanism in place to inform local agencies when ISP's systems are down and records have not been successfully transmitted.

VII. Summary of Findings – How does Illinois rate?

The purpose of the BJA set-aside waiver requirements is to provide an objective standard by which the quality of a state’s criminal history records can be judged. These are the requirements that must be met before a state can cease to apply 5 percent of its Byrne Funds towards CHRI improvement. Through this audit report, the various BJA criteria were cited, against which the audit findings could be measured. As a summary, Table 20 presents the BJA criteria and Illinois’ progress, as measured by this audit, toward compliance with those federal funding requirements.

Table 20: BJA “Report Card”

BJA Standard	Illinois’ “Grade”
Timeliness of electronic submissions, 2004 For Current CCH Records	
ISP to post felonies within 30 days of receipt to CCH	Livescan – 92%
ISP to post non-felony CHRI within 90 days of receipt	Livescan – 99%
Local agencies to report fingerprint submissions to ISP within 24 hours of arrest	Livescan – 92%
Completeness of CCH Records (1999-2001)	
BJA Standard	Illinois Modified BJA Standard* “Grade”
90% of felony arrest have (expected) disposition and incarceration information posted for records created in the past five years	Livescan – 65% (felony and misdemeanor) Paper – 68% (felony and misdemeanor)
95% of <u>current</u> felony records have a disposition	Not assessed in this audit

*Modified BJA completeness applied to all reportable arrests, felony and misdemeanor (not just felony arrests), due to 47% missing Class of Offense information in the audit sample arrests.

Appendix A Detailed Sample Methodology

**Table 1A: Initial Audit Sample
26 Counties Sheriff's Offices Rankings on 2004 Audit Criteria***

County Sheriff's Office (Renamed)	Percent of Sheriff's Office arrests submitted via livescan, 2001 (adults)	Sheriff's Office, percent of total county CCH Arrest submissions, 2001	Sheriff's Office, percent of total county livescan arrest submissions, 2001
County P	99.90	65.60	98.37
County Y	99.90	92.02	94.38
County E	99.78	79.41	83.47
County G	99.73	80.39	81.64
County H**	99.65	3.72	3.83
County C	99.56	31.95	31.96
County L	99.51	24.26	46.67
County W	99.50	64.23	66.58
County R	99.42	65.98	66.93
County A	98.43	9.75	15.99
County K	96.31	28.16	84.10
County S	95.75	9.10	40.34
County I	94.00	73.49	100.00
County M	93.66	87.92	99.83
County Q	90.43	57.26	80.30
County J	90.23	91.93	96.31
County X	90.17	70.57	85.50
County D	70.17	14.14	29.71
County F	60.85	36.39	88.37
County B	57.74	22.66	30.20
County U	33.44	35.53	98.40
County V***	.57	15.52	10.34
County N***	.10	10.95	.04
County O***	.00	35.64	.00
County Z***	.00	21.11	.00
County T***	.00	32.22	.00
Audit Sample Total	89.32	15.71	17.28
Illinois Total (102 Sheriff's Offices)	77.95	16.23	17.74

* All statistics based on Authority CCH Extract datasets, created 9/02

** Based on 6 days, one (randomly selected) for each audit month

*** *Included because of "direct file" criterion.

Data Collection Methodology

Letters were sent to all county sheriffs selected for participation, requesting: 1) copies of all arrest fingerprint cards submitted to CCH during two months, April and October²⁴, in each year 1999-2001, for arrests made by *sheriff's officers only*, 2) copies of current LEADS responses received indicating when arrests submitted via livescan were actually posted to the CCH system (to be used to assess timeliness of CCH postings), and 3) permission to conduct an on-site interview with sheriff's office staff responsible for CHRI submissions and observation of the booking/CHRI submission procedures (see Appendix B and C).

Site Visits and Questionnaires

Two site interview questionnaires were developed to assess CHRI reporting procedures. The purpose of the sheriff's office questionnaire was to document CHRI reporting practices and procedures, particularly with regards to warrant arrests and central booking, ascertain the history of electronic arrest reporting in the county, and observe the booking procedure and subsequent flow of arrest information through the county's criminal justice system. The purpose of the state's attorney questionnaire was to document the CHRI reporting process in each county, ascertain any barriers to state's attorney filing decision submissions to CCH, and to verify the "direct file" status of the counties listed by ISP (meaning they have a formal agreement with ISP to not submit the state's attorney forms to CCH, and have a filing decision programmatically added by ISP at the time the arrest is posted). The data obtained from the questionnaire and

²⁴ These months were chosen to conform to the same sample time frames used in past CHRI Audits.

observations were used to inform and supplement the accuracy and completeness analyses.

All 26 sheriff's offices and state's attorney's offices agreed to participate in the site visits. The sheriff's office questionnaire was administered to records administrators or their designees, who also provided a tour of the booking facilities and CHRI submission procedures. The second questionnaire was administered to the corresponding state's attorney's records administrators in each county, usually on the same day as the sheriff's office visit. Four state's attorney's offices verified to be direct file counties were not visited, since they do not participate in any CHRI reporting. One other state's attorney's office had experienced recent loss of staff that affected their CHRI reporting. They requested a training session for new staff in lieu of a site visit, which was conducted in conjunction with ISP's Field Services staff.

Any observed problems with CHRI reporting policies or procedures were addressed (and usually corrected) during the site visit. In addition, follow-up letters providing feedback regarding site visit findings (if any) were sent to the Sheriffs and State's Attorneys, and follow-up visits by ISP Field Services staff were suggested for further technical assistance and staff training.

Arrest Records Received –Contributing Agencies Audit Sample

An initial analysis revealed that the CCH database held over 18,000 arrest records attributed to the sheriff's offices in the 26 audit counties, for the months and years chosen as the audit timeframe. It was not expected that the local agencies would be able to provide auditors with that many copies of local records to audit the corresponding CCH entries. In fact, 12 of the 26 (46%) were unable to provide *any* records for the requested

time period. Ten of these 12 cited technical difficulties in providing automated list of arrests, mostly because the booking systems that interface with their livescan machine were not capable of being queried in by date parameters. Two other counties provided booking lists that, in the end, could not be used for audit purposes, due to insufficient arrestee identifiers to allow matching to corresponding CCH entries. Finally, one county (County H) was excluded from the sample when the total arrest forms submitted equaled less than 10 reportable arrests for the entire audit timeframe, too few to be representative of that county's sheriff's office submissions.

Despite the attrition of half the intended audit counties, auditors received more arrest records (8,283) from the remaining 13 counties than there were corresponding CCH entries (8,013). While it was already known that one county included in the audit was submitting a large volume of non-reportable events to CCH on a regular basis (especially bond forfeitures and holds for other agencies), preliminary analyses had also shown that many arrests attributed to the sheriff's offices (through the ORI number) were actually local agency arrests. Thus, auditors had anticipated receiving far fewer sheriffs' office arrests records, particularly when several larger agencies could not provide any records. It was certainly a surprise to receive 3% more sheriffs' arrest records than the total possible corresponding CCH entries. As can be seen in Table 2A, not every sheriff's office provided more arrest forms than expected, but some that did provided significantly more than expected.

**Table 2A: Contributing Agencies Audit Sample
13 Counties Expected/Received Local Arrest Forms**

County Sheriff's Office	CCH Arrest Submissions, April & October, 1999-2001* (adults)	Local arrest forms received from Sheriff's Offices
County J	2,234	466
County F	433	880
County M	671	767
County Q	209	375
County E	464	192
County K	752	518
County R	487	182
County W	163	333
County X	1,655	2,074
County O**	69	193
County B	394	263
County Z**	108	628
County S	447	1,412
Audit Sample Total	8,013	8,283

*Entries in Authority's CCH Extract dataset, created 9/02

** Based on 6 days, one (randomly selected) for each audit month

Local Records Matched to CCH Entries

The first step in the audit process was to match the local arrest forms (either actual copies of the livescan/paper arrest forms, or booking list entries) to the corresponding entries in the CCH database. The static extracts of yearly CCH data that were produced for Authority research purposes in late 2002 were used as the starting point for the comparison. Access to these CCH extracts eliminated the need for data entry of information from manually produced CCH rap sheets, thereby insuring accurate comparison data, and allowing audit staff to compare *all* local records received.

Arrests Not Found

Surprisingly, only 3,300 (40%) of the 8,283 local arrest records were found to have a corresponding entry on CCH. Further examination of the 4,983 (60%) records not found on CCH revealed several reasons for their absence:

- (3% of 8,283) records received from a sheriff's office were actually an arrest made by another local police department (according to the ORI on the form) and thus discarded from the audit sample;
- 3,188 (38%) records were for non-reportable charges²⁵ and/or non-reportable events (e.g., holds for other agencies, custodial bookings, duplicate warrant arrests, etc.), and therefore correctly not submitted to CCH.
- 1,517 (18%) were for reportable events that should have been found on CCH. This is twice as much as the rate of arrests not found in the 2003 CHRI Audit (8%), and back to the 1995 statewide CHRI Audit rate (17%).

Sheriff's Office CCH Entries without a Local Arrest Record Match (Excluded from Audit Sample)

This is the first Authority CHRI Audit where auditors had access to the universe of CCH entries before the audit began. Previous audits relied on randomly selected samples of local arrest forms to produce estimates of the status of the entire CCH database maintained by ISP. In this CHRI audit, the magnitude of CCH entries not matched with local forms (and therefore, excluded from the audit sample) could also be ascertained.

²⁵ As defined by the Illinois Criminal Identification Act, 20 ILCS 2530/5.

The CCH extract datasets used for this audit contained 8,013 arrest records for the 13 sheriff's offices where useable local forms were actually received (Table 2). Although the participating sheriff's office's were asked to provide all sheriff's deputy's arrests for the audit timeframes, and indeed, provided more local arrest forms than total possible CCH entries (8,838 vs. 8,013), there were 4,673 CCH entries (58%) for which a local form was not received. This magnitude of CCH entries not matched with corresponding local forms was somewhat unexpected, given the volume of local forms received for the audit. Table 3 presents the distribution of CCH entries without a corresponding local form by county, along with other variables salient to the audit.

One likely explanation for why local forms may not have been received for so many CCH entries is the problem of incorrect originating agency identification number (ORI) information on the arrest form. This agency identification number is the means by which the arresting agency is ascertained in the CCH database. In agencies that serve as a central booking facility for surrounding municipalities, the booking officer operating the livescan machine needs to change the arresting ORI from the sheriff's office default setting to the correct local agency number when processing arrests for other agencies. Assigning the incorrect arresting agency ORI is an easy mistake to make using livescan technology. If the default sheriff's office ORI is used for non-sheriff arrests, that arrest will be attributed to the sheriff in CCH, although the sheriff's office may not have any record of those non-sheriff arrests.

Table 3A: Distribution of CCH Entries without Local Form Matches, by County

County Sheriff's Office	Percent Sheriff's Office CCH entries w/out local form match, 2001	Sheriff's Office, percent of total county CCH arrest submissions, 2001 (adults)	Percent of Sheriff's Office arrests submitted via livescan, 2001 (adults)	Sheriff's Office acts as Central Booking
County J	91%	92%	90%	yes
County R	85	66	99	yes
County Q	77	58	90	yes
County X	65	71	90	yes**
County E	57	79	99	yes
County B	56	23	58	yes
Audit Sample Median	52	50	92	-
County F	49	37	61	yes
County K	47	28	96	no
County M	32	88	94	yes
County O	17	36	.00	yes
County Z	12	21	.00	no
County W	10	64	99	yes
County S	9	9	96	no

**Does not book arrests for largest police department in county

Table 3A illustrates that those counties with larger than average volumes of unmatched sheriff's office CCH entries were those where both: 1) the sheriff's office acts as the central booking facility for the county, and 2) those arrests are made predominantly via livescan. A further clue of an "ORI problem" is where the sheriff's office arrests account for a higher than expected share of the entire county's arrest submissions (County J, for example). Site visits corroborated this situation. For example, when officials were made aware of this potential ORI problem in one of these counties, they investigated their livescan machines, and found that, indeed, the incorrect ORI were being applied to other local agency arrests. Conversely, sheriff's offices that were not

central booking facilities and/or did not submit via livescan had a much lower rate of unmatched CCH entries (County S and County O, for example).

There are several important ramifications when this “ORI problem” exists within a county. First, since the ORI identifies the arresting agency in CCH, the correct agency will not appear on the arrestee’s criminal history record (rap sheet). This makes any follow-up on that event more difficult and time consuming, and may even result in records not posting to CCH if a submission error requires correction and the arresting agency cannot be identified. Further, local agencies that book their arrestees thru a central facility should also be concerned that their ORI is correctly recorded in CCH submissions, since funding/research decisions are being made with increasing frequency based on CCH data. For example, recent livescan funding decisions were based on arrest volumes reflected in the CCH database. Therefore, accurate CCH information benefits the criminal justice community in many ways beyond an individual’s criminal history record.

Completeness Sample – Reportable Arrest Records

The assessment of the completeness of CCH records was defined as the presence of all expected disposition information for each arrest event. Since the focus of this audit was in part to determine the effect of electronic processing on CHRI data completeness, it was deemed useful to have a comparison group of arrest events submitted via paper forms. Therefore, any format of original arrest documents was accepted into the completeness audit sample (booking lists, livescan copies, manual arrest cards, etc.).

Besides the seven counties providing copies of livescan printouts for the accuracy audit, an additional six counties were able to provide arrest data in the form of booking

lists or automated databases, for a total of 13 counties (half of the 26 counties initially selected). Of the 2,488 local records received that matched CCH entries for reportable arrest events, two completeness samples could be derived: 1,433 (58%) reportable livescan arrest records and a comparison group of 1,055 (42%) reportable arrests submitted via paper forms. The total completeness sample of 2,488 (75% of the original 3,300 matched arrest records) was sufficient to attain a confidence level and precision of 99% ($\pm 3\%$) when generalizing to the entire CCH database (both livescan and manual submission types).

Accuracy Sample – Livescan Arrest Records

Since the focus of the CHRI audit included electronic arrest reporting; only those arrests submitted to CCH via livescan were included in the accuracy audit. Information from these livescan arrest documents is electronically entered directly onto the CCH database without the need for any other manual data entry. Therefore, it reflects the submission as posted to CCH without any other intervention (assuming an error correction was not made subsequent to the original submission). Any discrepancies between the original livescan arrest form and the final CCH database entry will indicate software incompatibility between the livescan machine and the CCH system, and/or the types of errors that are being corrected.

Copies of livescan arrest printouts from the years included in the audit were requested from the 20 agencies that submit arrests to CCH electronically. Copies of livescan printouts were received from seven counties (35% of the 20 livescan counties), for an initial accuracy sample size of 1,433 records. The remaining 13 counties could

not produce livescan printouts from the years under audit²⁶, either because of lack of staff resources required to copy individual record files, or a lack of technical capability to access internal livescan logs. While fewer counties than originally anticipated could provide livescan audit data, five of these seven counties were above the average rank used to “score” counties on the selection criteria for this audit. That is, they represented more of the desired sheriff’s office characteristics of livescan use and central booking role than the other counties not providing accuracy data. Only one of the three direct file counties using livescan technology was able to provide livescan copies for the audit; however, the accuracy of arrest information was not expected to be related to direct filing.

A final refinement was made to the accuracy sample. In order to adhere to the Bureau of Justice Assistance (BJA) and Illinois Compiled Statutes (ILCS) audit standards, arrest events for non-reportable offenses were excluded, regardless of whether they were submitted via livescan. The final accuracy sample was comprised of 853 reportable livescan arrests, or 26% of the original 3,300 CCH entries for which a local form was received. Due to the purposeful nature of this accuracy audit sample selection, the accuracy audit results can be generalized only to livescan arrest submissions in CCH, rather than the entire CCH database (which also contains 14% of arrest submissions made via paper arrest form). The final accuracy sample of 853 livescan arrest records was sufficient to attain a confidence level and precision of 99% ($\pm 4\%$) when generalizing to all livescan arrest submissions in the CCH database.

²⁶ Booking lists generated by several counties were used in the completeness audit, to the extent that identifiers on those lists allowed for matching to the corresponding CCH entry.

Timeliness Sample - LEADS Responses

The timeliness audit was designed specifically to complement the electronic reporting focus of the accuracy/completeness audit. When local agencies submit their arrests to the CCH system (regardless of submission method), they can elect to have responses relayed back to them automatically via the Law Enforcement Agency Data System (LEADS). These responses note the date and time the arrest posted to the CCH system, along with the date of arrest and other arrest event identifying information. From these response notes, the elapsed time between date of arrest and posting date could be calculated. The 26 sheriff's offices in the initial audit sample were asked to save copies of these LEADS responses, from the time they received their letter from audit staff requesting their participation in the audit, until their site visit was completed. Seventeen sheriff's offices (approximately two-thirds of those in the audit sample) were able to comply with this data request. This resulted in a timeliness sample time frame spanning approximately 3 ½ months (88 days, from 3/22/04 – 7/10/04).

Not all of the 26 sheriff's offices report arrests electronically, and of those that do, not all elect to receive LEADS responses. Six counties were unable to provide LEADS responses for the timeliness audit. Four of these were livescan agencies which were either experiencing technical problems with their LEADS terminals, had opted out of receiving LEADS responses, or had a prohibitively high volume of LEADS responses to provide copies for the audit. The other two sheriff's offices not providing LEADS data submit arrests to CCH via mailed paper arrest forms and do not use LEADS in their booking process. Finally, three sheriff's offices that did provide LEADS data submit their arrests via mailed paper forms. Due to the focus on timeliness of electronic arrest submissions,

the LEADS data from these paper submissions were not included in the timeliness analysis.

The final timeliness sample was obtained from 17 sheriff's offices providing LEADS data on 1,256 electronically submitted arrests posted to CCH during the 3½-month sampling time frame²⁷. While this is a smaller arrest timeliness sample size than the previous audit, it was determined that it was sufficient to produce a confidence level of 99%, \pm 4%, based on a total population of 84,017 livescan submissions made to CCH by all law enforcement agencies during the 88 day audit timeframe, excluding the Chicago Police Department.²⁸

The timeliness of state's attorney and court submissions was assessed by tracking the events posted to the initial arrests during the subsequent six months. Again, this is a departure from past timeliness audits, where mailed submissions received into ISP during certain predetermined dates were used as the timeliness sample. While this approach resulted in far fewer state's attorney (n=428) and court events (n=334) in the final timeliness sample than in previous audits, the findings more clearly demonstrate the actual flow of CHRI information during 2004.

²⁷ The actual *dates of arrest* for these records were, in some few cases, months or even years earlier than the sample timeframe.

²⁸ CPD has its own unique CHRI processing system

Appendix B

6/1/2004

«Title» «FirstName» «LastName»
«AgencyOrg»
«Address»
«City», Illinois «ZipCode»

Dear Sheriff «LastName»,

This letter is to thank you and your staff for participating in the recent CHRI Audit site visit and data collection activities. Information gathered via the site visit is essential to the examination and recommendations for improved criminal history record information reporting.

Attached you will find a summary of information gathered by auditors during the visit to your office. We hope the information provided is helpful. If there are any inconsistencies or other errors in the information provided please contact me at 312-793-8646 to have the information corrected.

Sincerely,

Karen Levy McCanna
Manager, CHRI Audit Center

Enclosure

Cc: Lori Levin, Executive Director
Gerard Ramker, Associate Director of Research and Analysis

Appendix C

July 12, 2006

«Prefix» «First_Name» «Middle_Name» «Last_Name»
«Department»
«Address_Line_1»
«Address_Line_2»
«Address_Line_3»
«City», «State» «Zip»

Dear «Prefix» «Last_Name»:

The Illinois Criminal Justice Information Authority is charged with conducting periodic audits of the Illinois State Police criminal history central repository. The Authority carries out the audits and provides recommendations for system improvement, particularly involving the availability, accuracy and completeness of criminal history record information (CHRI). A copy of the last CHRI Audit report is available from the Authority's website at www.icjia.state.il.us.

The current CHRI Audit project focuses on issues associated with electronic reporting. Auditors will compare information from original local agency documentation to the information in the computerized criminal history (CCH) system for accuracy, completeness and timeliness.

Your agency has been selected as part of a sample of 26 state's attorney's offices identified for the current audit project. Audit staff would like to conduct a site visit to observe your criminal history record information reporting process. In addition, auditors would like to administer a questionnaire to agency representatives regarding criminal history information reporting processes and policies. A copy of the questionnaire has been enclosed for your review.

I will be contacting your agency by phone to further discuss this request for information and schedule the site visit. If you have any questions or comments please feel free to contact me directly at kslmccanna@icjia.state.il.us or 312-793-8646.

Sincerely,

Karen Levy McCanna
Manager, CHRI Audit Center

Cc: file
Enclosure



ILLINOIS STATE POLICE
Office of the Director

Rod R. Blagojevich
Governor

June 28, 2006

Larry G. Trent
Director

Ms. Lori G. Levin
Executive Director
Illinois Criminal Justice Information Authority
120 South Riverside Plaza
Chicago, Illinois 60606-3997

Dear Director Levin:

On behalf of the Illinois State Police, please accept the enclosed response to the 2006 Criminal History Records (CHRI) Audit Report. We appreciate the efforts your staff put forth in the compilation of the enclosed data. An effective, open audit process is important to the success of the system. Consequently, this response addresses some critical areas of both support and concern which we believe are fundamental in obtaining an accurate picture of the current CHRI system.

Since the last audit, the Illinois State Police has aggressively worked with our stakeholders as we strive to improve the accuracy, timeliness, and completeness of the state's criminal history data. As a result, the strength of the data has increased dramatically, making CHRI a much more valuable tool to Illinois' criminal justice and non-criminal justice agencies. In fact, the use of livescan technology to ensure timely processing has resulted in Illinois exceeding the BJA standard regarding the timeliness of submissions. In coming years, the men and women of the Illinois State Police will continue the collaborative efforts needed to improve this system.

Thank you for the opportunity to respond to this audit. I look forward to working with you as we continue to support Illinois' law enforcement community.

Sincerely,

A handwritten signature in black ink, appearing to read "Larry G. Trent".

Larry G. Trent
Director

Appendix D

Accuracy Finding #1: The overall accuracy of livescan CCH entries was 91 percent, an accuracy rate that surpasses the 2003 audit of 87 percent. Name, statute citation, and class of offense continue to be the problematic fields.

ISP Response: We concur that there has been a marked improvement from the 2003 audit to the current audit. However, regarding the identified fields, the demographic data submitted via livescan to the BOI is accepted as accurate provided it passes the CHRI system edits. It is impossible to tell if the discrepancy emanates with the sender or the Illinois State Police (ISP). It would be helpful to compare the livescan record transmitted, to the record posted to the ISP CHRI database, rather than comparing the paper record to the CHRI database.

Accuracy Recommendation #1: **ISP should implement an active reporting monitoring system that is conducted routinely and checks the reporting levels of the contributing agencies. Further, ISP should provide more consistent and timely feedback to local agencies when systemic problems are detected, not just problems with individual records.**

The Illinois State Police should test the automated edit routines on a regular basis to ensure that data is being accurately transmitted and posted. Also, ISP should make available livescan reports on rejections for quality problems so that local agency operator problems can be identified and handled to ensure resubmission of records rejected by ISP due to errors.

ISP Response: The ISP currently conducts a monthly combined comparison of reporting levels for all submitting agencies to determine fluctuations in submission levels. Monitoring this at an individual contributor level would require modifications to the computerized CHRI program to capture and analyze the data. This functionality will be included in the next re-write of the CHRI system.

Regarding notification of systemic problems, ISP currently makes notification to law enforcement agencies concerning extended AFIS downtime via LEADS. We concur that additional notifications should be made automatically for all systemic problems. This functionality should also be included in the next re-write of the CHRI system.

ISP concurs that automated edit routines in the local agency booking system would elevate some of the identified systemic problems identified in the audit. The CHRI edit routines merely ensure that no required data is missing and that the reported data conforms to certain formats necessary to process the record. The system does not have the capability, for example, to determine if a name was spelled correctly by the submitter, or whether the hair color should have been submitted as brown rather than black. We believe these problems would be better corrected by instituting a standardized front end booking module used by local law enforcement. Funding for this endeavor has not been identified at this time.

Regarding livescan rejection reports, ISP currently provides error and rejection notifications concerning all livescan submissions.

Accuracy Recommendation #2: ISP should develop policies on livescan data retention practices.

ISP Response: Local governmental records retention is governed by 50 ILCS 205/7 which states “no local record can be disposed of unless approved by the local records commission.” The ISP does not have the authority to develop policies related to local record retention.

Accuracy Recommendation #3: Implement a more comprehensive livescan certification process to determine if all data meet quality standards, not just if devices comply with electronic transmission standards.

ISP Response: ISP addressed this issue in 2004. Once a livescan device is certified, ISP personnel assigned to the BOI Quality Assurance Unit audit data submitted via livescan. This process is also utilized regarding the submission of data transmitted utilizing a booking system. If submissions received do not meet required quality standards, BOI staff work with the submitting agency to address any concerns.

Completeness Findings and Recommendations

Overall Completeness Finding #1: The overall completeness rates of CCH records were no better than 70 percent, regardless of whether the arrests were submitted electronically or via paper forms. This is less than the 74 percent found in the previous audit. Completeness rates calculated by the ILCS Standard were significantly less than those using the BJA standard, pointing to a relative lack of state’s attorney decision information in CCH.

ISP Response: The ISP strongly disagrees with this assessment. The CCH records used as an audit sample in this report do not conform to the requirements set forth by the Federal Audit Standards. The Federal Audit Standards requires “95 percent of current *felony* arrests records contain disposition information, if a disposition has been reached”. The sample utilized in this audit contains “a purposeful sample of county sheriff’s offices reporting the statutorily mandated reporting of arrests for felony charges and Class A and B misdemeanor offenses...” Throughout this audit report, reference is made to the BJA standard as including felonies only. However, the audit sample includes Class A and B misdemeanor offenses which skew the comparison. For example, on page 24, the statement is made, “as of November 2004, the overall completeness of the CCH database using the BJA Standards, for the time period 1999-2001, was found to be 66 percent”. While the completeness of the sample may be 66 percent, we disagree that the completeness based on the *BJA standard* is 66 percent. According to ISP records, as of November 2004, the overall completeness using the BJA Standard as defined by the BJA, for the time period 1999-2001, was found to be 88 percent. Understanding, the intent of the audit was to measure sheriff’s office reporting of all statutorily mandated offenses, it is inappropriate to continuously refer to the BJA standards when the sample does not conform to that standard. In addition, it is inappropriate to modify the BJA standard to conform to a flawed audit methodology.

Because this audit fails to properly utilize the BJA standard as defined by the BJA, ISP progress towards meeting federal requirements concerning the posting of felony dispositions is not accurately measured. ISP recommends the ICJIA conduct a second completeness audit utilizing the BJA standard as defined by the BJA.

Additionally, this finding makes a comparison to the previous audit when the samples of the current audit and the previous audit are not identical. The previous audit contained a sample of all Illinois law enforcement agencies compared to the current audit of county sheriffs' offices only. To make a true comparison, the sample should use the same methodology.

Overall Completeness Finding #2: Electronically submitted records tended to have lower disposition completeness rates than those submitted via paper, with completeness rates being lowest (57 percent) when state's attorney information was expected (ILCS Standard).

ISP Response: ISP concurs and intends to address this issue as part of the 2006 CHRI Improvement Plan in conjunction with the ICJIA. We believe when the five part fingerprint card was replaced by livescan, the local agencies stopped notifying the state's attorney's office and circuit clerk's office of new arrests which in turn caused low disposition rates. The ISP will assist ICJIA with plans to develop a training and publication website focused on CHRI training.

Completeness Finding #3 – “ORI Problem” Counties: Sheriffs' offices that had a disproportionate volume of arrests from the entire county attributed to them (“ORI Problem” counties) were found to have significantly more complete livescan arrest records than livescan arrest records from counties without this ORI issue (76 percent vs. 42 percent respectively). This was a higher rate of completeness than for paper submissions in the same counties. This finding suggests that copies of the livescan output were not being forwarded to the correct recipients (state's attorneys and court clerks) by the local agencies that were using the sheriff's office as a central booking facility.

ISP Response: The ISP disagrees that the “ORI Problem” has any bearing on the completeness finding identified within this audit. The audit report has provided no evidence to support this assertion. ISP concurs that the reporting of arrest data to state’s attorneys and circuit courts is deficient in some counties that utilize livescan technology. ISP also intends to address this issue in conjunction with the ICJIA as part of the 2006 CHRI Improvement Plan.

Completeness Finding #4 – Overall Warrant Arrests: Warrant arrest completeness had not changed appreciably from 1994 to 2001. It remains around 65 percent.

ISP Response: There are seven total arrest types, of these arrest types only two should be expected to contain a state’s attorney filing decision and final court disposition. These would be 1) on view arrest and 2) original arrest warrant. Any state’s attorney filing decisions or court dispositions for the other five arrest types would be attributed to the original arrest submission. Because the ISP is unable to determine the arrest types in the audit sample, ISP can not comment as to the validity of the finding.

Completeness Finding #5 - Livescan Warrant Arrests: Warrant arrests submitted via livescan had lower completeness rates than those submitted via paper forms. The worst completeness rates were found using the ILCS Standard (which requires state’s attorney decision information to be found along with the court disposition). Slightly over one-half (55 percent) of livescan warrant arrests were complete using this standard, compared to 75 percent of manually submitted warrant arrests originating from the same agencies.

ISP Response: As stated in finding #4, there are seven total arrest types, of these arrest types only two should be expected to contain a states attorney and final court disposition. These would be 1) on view arrest and 2) original arrest warrant. Any states attorney filing decisions or court dispositions for the other five arrest types would be attributed to the original arrest submission. Because the ISP is unable to determine the arrest types in the audit sample, ISP can not comment as to the validity of the finding.

Completeness Recommendation #1: At a local level, there is need for more communication and coordination between the various reporting agencies regarding disposition reporting. There is also a need for more training on CHRI reporting procedures within the environment of new technology.

Local agencies may need additional training on these technological reporting advances, including electronically integrating reporting processes and procedures within their county. It was apparent from the audit that the flow of CHRI information was interrupted in some counties once new technology was introduced (either electronic arrest reporting or direct filing options). This resulted in profoundly negative effects on the completeness of CHRI data.

ISP Response: ISP recently updated the electronic CHRI user's manual which is available on the ISP website. In addition, local agency training sessions are being discussed with potential implementation in calendar year 2007.

Timeliness Finding #1: In concurrence with ISP assertions, virtually all (92 percent) of livescan arrests in the timeliness sample were completed on CCH (made available to users) within 24 hours of the arrest.

In fact, only 17 arrests (1 percent) were completely processed thru the CCH system after 90 days of arrest. Since the timeliness audit relied on the arrest date indicated on the LEADS response, not the livescan submittal date, it is not known if there was some delay prior to arrest submission for these few cases. For example, these “late” arrests could have been the result of post-sentencing fingerprinting ordered by the court, or some other arrest acquisition process (e.g., receipt of a court disposition for which no arrest had been previously posted).

This timeliness finding highlights the technological advances currently achieved in electronic arrest processing, compared to earlier phases. In the 1995 audit, livescan arrests were found to have a better than average completion rate, although it still took close to 90 days after arrest for these events to be “done”.

Table 17: Timeliness of Livescan Arrest Completely Processed¹ on CCH

Completion Time	2004	1995
Within 24 hrs of arrest	1,149 (92%)	0 (0%)
Within 2 days of arrest	1,173 (93%)	0 (0%)
Within 90 days of arrest	1,239 (99%)	3,420 (76%)
Over 90 days of arrest	17* (1%)	671 (15%)
Total	1,256 (100%)	4,497 (100%) **

¹ The 1995 Audit referred to this stage as “posted” to CCH, or the stage when the information was finished processing and available to users.

* While the CCH completion date was >90 days from the reported Date of Arrest, the actual date of arrest submission (from the livescan device to CCH) was not available, since the internal queue is overwritten once the livescan memory capacity is reached.

** The remaining 9 percent of arrests in the 1995 sample were not completed on CCH at all (during the audit tracking period).

ISP Response: ISP concurs with this positive finding. The use of livescan technology has vastly improved arrest posting time.

Timeliness Finding #2: The timeliness of both submission and completion of electronically submitted (livescan) arrests on CCH have improved tremendously since the last livescan timeliness audit conducted in 1995. Overall, 92 percent of the current timeliness sample records were received and completed (made available to users) within 24 hours of arrest. In contrast, the majority of livescan arrests submitted during the 1995 audit were complete on CCH closer to 90 days of the arrest (which was the timeliest of all audited records at the time).

ISP Response: ISP concurs with this positive finding. The use of livescan technology has vastly improved arrest posting time

Timeliness Finding #3: It is estimated that approximately 7 percent (\pm 4 percent) of all livescan arrests submitted to CCH would experience some delay in posting beyond 24 hours after arrest, due to technical problems at either the local agency or ISP. However, it would be expected that only 1 percent (\pm 4 percent) of all livescan submissions would be delayed beyond 90 days from date of arrest.

ISP Response: ISP concurs with this statement, however does not understand why it is a finding.

Timeliness Finding #4: Illinois exceeds the BJA standards for timeliness of arrest submissions to the FBI. It was found that 91 percent of all FBI responses included in the timeliness sample were sent within 24 hours of the date of arrest, well within the two week suggested timeframe for single source states. The remaining FBI responses were sent within 10 days of the arrest, with the majority of those delayed by an ISP technical problem that was subsequently corrected.

ISP Response: ISP concurs with this positive finding. At this time ISP is upgrading the AFIS system and expects to surpass the current processing time.

Timeliness Recommendation #1: It is recommended that ISP continue to encourage agencies to use livescan technology for arrest submissions to ensure timely processing. In addition, state funding opportunities should be made available for equipment purchase and maintenance.

ISP Response: ISP will continue to encourage the expanded use of livescan technology throughout the state.

Timeliness Recommendation #2: ISP should continue to work on bi-direction communication capabilities with local agencies. There needs to be a reliable mechanism in

place to inform local agencies when ISP's systems are down and records have not been successfully transmitted.

ISP Response: ISP concurs; however, current AFIS and livescan technology do not allow two way communications back to the livescan device. ISP is currently seeking funding in order to implement such technology.

ISP Summary

ISP would like to acknowledge the hard work and tedious nature of conducting an audit of the size and complexity as reflected in the audit report. The ICJIA staff was obviously committed to the project as evidenced by the long hours devoted to seeing it through to its conclusion. As a result, many portions of the report reflect sound audit methodologies which produced sound conclusions and valid findings. The audit staff is to be commended for their effort. In order to ensure that their effort is not spent in vain, ISP would like to recommend that the completeness portion of the audit be re-done using the BJA standard as defined by the BJA. This would give the completeness portion of the audit credibility and provide utility of the final product.

The overall findings noted in this audit report are favorable and highlight the progress ISP has made in improving reporting and posting of CHRI data since the 1995 audit was completed. However, the audit sample used to measure the completeness rate as described in the completeness portion of this audit has resulted in inaccurate and unfounded findings and conclusions. To state that the completeness rate determined by this audit was based on the 'BJA standard' is inaccurate and misleading. To attempt to modify the BJA standard in order to conform to the shortcomings of the audit methodology is also inappropriate and disappointing. The ISP strongly disagrees with the findings and conclusions stated in the completeness portion of this audit. The sampling methodology used in this audit clearly does not accurately reflect the completeness rate of the ISP based on the BJA standard as defined by the BJA. Unfortunately, because the audit sample used does not conform to a true BJA standard, the audit provides no opportunity for ISP to determine its actual completeness rate based on an authentic BJA standard. Consequently, ISP must rely on its own internal audit processes to gauge progress made toward meeting the BJA standard rather than having the benefit of an independent outside agency review of our progress.

ISP agrees with many areas of this audit including some areas of identified weaknesses. Over the years we have continued to improve our criminal history records primarily utilizing federal funds which no longer exist. Many of the remaining accuracy problems identified within this audit could be corrected with a standardized front end booking system utilized at the local level.

Unfortunately, funding has not been identified for this endeavor. In the past, federal funding has been the primary source for CHRI improvements at both the state and local level. ISP will continue to pursue federal funding for these initiatives.

ISP's mission is to collect, maintain, and provide accurate, timely, and complete criminal history information. The ISP welcomes periodic audits of the criminal history database which identifies areas of improvement. By working in close partnership, we will continue to improve the timelines, accuracy, and completeness of our records to better serve the public. We look forward to continuing this effort.