

# The 1996 Criminal History Records Audit

March 1997



**ILLINOIS  
CRIMINAL JUSTICE  
INFORMATION AUTHORITY**

---

---

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

James D'Archangelis  
Karen Ann Ephraim  
Leonard Wojciechowicz

**Illinois Criminal Justice Information Authority**

Jim Edgar, Governor  
Bob Kustra, Lt. Governor  
Peter B. Bensinger, Chairman

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

## Acknowledgments

This report would not have been possible without the full cooperation of the Illinois State Police's Bureau of Identification. The Authority would especially like to thank the following individuals: Judie V. Welch, bureau chief; James R. Reed, Gail Sabin, and Paula Ambrosch, public service administrators; Tammi S. Kestel, executive manager; Carol Cates, quality assurance manager; and Gail McVey, programmer analyst with the Illinois State Police Information Systems Bureau.

Audit center staff would like to thank several Authority staff for their comments and insight throughout the course of the audit. Special thanks to Candice M. Kane, Ph.D., acting executive director; Gerard F. Ramker, Ph.D., program director, Motor Vehicle Theft Prevention Council; Roger Przybylski, associate director, Research and Analysis Unit; Robert Boehmer, general counsel; Mark Myrent, senior research analyst; Laura Egger, grants monitor; and Kristi Turnbaugh, public information officer. Special thanks to former intern Daniel Ridges for his work on the audit.

Finally, we used a previous Authority audit of the state criminal history records information system during the writing of this report. *A Comprehensive Examination of the Illinois Criminal History Records Information System (CHRI): Final Report of the 1993-94 Criminal History Records Audit* served as the baseline for measuring change in the timeliness and completeness of the state criminal history records information system.

## Table of Contents

Executive Summary .....	1
Introduction .....	4
Section 1: Timeliness of Criminal History Records .....	11
Introduction .....	12
Methodology .....	12
Finding 1: Timeliness of Local Agency Submissions .....	17
Overall Statutory Compliance by Local Agencies .....	17
Livescan Submissions .....	18
Arrest Submissions Received by Mail .....	19
State’s Attorney Charge Submissions .....	20
Court Disposition Submissions .....	21
Custodial Receipt Submissions .....	22
Custodial Status Change Submissions .....	23
Finding 2: Timeliness of Postings to the CCH Data Base .....	25
Overall Compliance by the ISP .....	25
Livescan Submissions .....	27
Arrest Submissions Received by Mail .....	27
State’s Attorney Charge Submissions .....	27
Court Disposition Submissions .....	27
Custodial Receipt Submissions .....	28
Custodial Status Change Submissions .....	28
Procedural Changes May Have Led to Improvement .....	28
Notifying Reporting Agencies of Problems .....	29
Location of All Submissions .....	29
Finding 3: Timeliness of Magnetic Tape Submissions and Postings .....	31
Tape Submissions .....	31
Statutory Compliance of Tape Submissions .....	32
State’s Attorney Submissions .....	32

Court Submissions .....	34
CCH Posting Compliance .....	34
Reasons Why Dispositions Were Not Posted .....	35
Summary .....	36
Recommendations .....	36
Section 2: Missing Court Dispositions .....	37
Introduction .....	38
Methodology .....	38
Finding 1: Status of Missing Court Dispositions .....	42
Finding 2: Ratio of Court Dispositions to Arrests: 1977–1995 .....	44
Arrests .....	44
State’s Attorney Charges .....	45
Court Dispositions .....	46
Court Dispositions as a Percentage of Arrests and State’s Attorney Dispositions .....	46
Recommendations .....	47
Section 3: The ISP Response .....	48

**Tables**

Section 1: Timeliness of Criminal History Records

Table 1: Timeliness Tracking Periods: Mailed Submissions ..... 14

Table 2: Timeliness Tracking Periods: Livescan Submissions ..... 14

Table 3: Timeliness Tracking Periods: Magnetic Tapes ..... 15

Table 4: Total Events Received by Submission Type ..... 16

Table 5: Location of All Livescan and Mailed Submissions in August 1996, by  
Submission Type ..... 30

Table 6: Tape Submissions: Number of Charges Received vs. Number of Charges  
Analyzed ..... 32

Section 2: Missing Court Dispositions

Table 1: Location of Court Dispositions Missing from the CCH Data Base in 1994,  
by County ..... 43

**Figures**

Section 1: Timeliness of Criminal History Records

Figure 1: Timeliness of Local Agency Submissions to the ISP: 1994 vs. 1996 ..... 17

Figure 2: Days from Arrest to ISP Receipt: Livescan ..... 18

Figure 3: Days from Arrest to ISP Receipt: Mailed Submissions ..... 20

Figure 4: Days from Event to ISP Receipt: State’s Attorney Charges ..... 21

Figure 5: Days from Event to ISP Receipt: Court Dispositions ..... 22

Figure 6: Days from Event to ISP Receipt: Custodial Receipts ..... 23

Figure 7: Days from Event to ISP Receipt: Custodial Status Changes ..... 24

Figure 8: Percent of Events Posted to CCH Within 90 Days: 1994 vs. 1996 ..... 25

Figure 9: Percent of Events Posted by Submission Type: 1994 vs. 1996 ..... 26

Figure 10a: Days from Event to ISP Receipt: T1 Magnetic Tapes ..... 33

Figure 10b: Days from Event to ISP Receipt: T2 Magnetic Tapes ..... 33

Figure 11: Submissions Posted Within 90 Days: Magnetic Tapes ..... 35

Section 2: Missing Court Dispositions

Figure 1: Location of Court Dispositions Missing from the CCH Database in 1994 . . . 42

Figure 2: Number of Arrest, SA and Court Events Added to the CCH Database:  
1977-1995 . . . . . 45

Figure 3: Court Events as Percentage of Arrests and SA Filings: 1977-1995 . . . . . 47

**Appendices**

Appendix A: Glossary . . . . . 51

Appendix B: Criminal Identification Act . . . . . 56

Appendix C: Timeliness Test Coding Forms . . . . . 58

Appendix D: Location of Court Dispositions at Clerk’s Offices for Submissions Missing  
from the CCH Data Base During the 1994 Audit . . . . . 63

## **Executive Summary >**

The Illinois State Police collects and maintains information about a person's criminal history record for dissemination to law enforcement officers, state's attorneys, judges, and jail and prison officials throughout Illinois. The records need to be timely, accurate and complete to help effectively administer justice. To ensure the quality of the data, the Illinois Criminal Justice Information Authority (the Authority) audits the Illinois Computerized Criminal History (CCH) records database; this is the 11th audit since 1979.

Like the other audits, this audit measures the quality of system records and offers recommendations to enhance the system. It uses the 1994 audit as a baseline to measure improvements in the timeliness of records submitted by local agencies to the Illinois State Police (ISP) and the ISP's timeliness in making records available for use by other agencies.<sup>1</sup> This audit also reviews the completeness of CCH records by analyzing the relationship between the number of arrests and corresponding court dispositions on the database.

The largest challenge facing the ISP is in managing the growth of the CCH database. At least 3.5 million misdemeanor events and 1.2 million felony events have been added to the CCH database since 1977. The number of arrests added each year has nearly doubled since 1977, when 184,558 arrests were added to the CCH database. Last year, 356,151 arrests were posted to the system, an increase of 93 percent.

ISP officials are well aware of the challenges posed by growth. They have worked with local agencies to automate the reporting of offense, charge and final disposition information. By September 1996, five counties had implemented automated disposition reporting systems to permit more timely submissions of court dispositions. They also conduct monthly work groups throughout the state to foster closer relationships with reporting agencies. These work groups have generated many ideas for improving criminal history record information (CHRI).

---

<sup>1</sup> *A Comprehensive Examination of the Illinois Criminal History Records Information (CHRI) System: Final Report of the 1993-94 Criminal History Records Audit*, Illinois Criminal Justice Information Authority, August 1995



## Timeliness ★

Illinois statutes require that arresting agencies submit documentation daily to the ISP for all offenders arrested for felonies or Class A or B misdemeanors.<sup>2</sup> Also, agencies must submit arrest cards for adults arrested for certain traffic offenses, such as aggravated fleeing, and for juveniles arrested for select criminal offenses, such as unlawful use of weapons, forcible felonies, Class 1 and 2, or Class X felonies under the Illinois Controlled Substance Act and the Cannabis Control Act, and several traffic offenses. State's attorneys and circuit clerks are required to submit charge and final disposition information to the ISP within 30 days of the event. The audit reviewed local agency compliance with these mandates and compared the results to 1994 audit findings to see if there have been improvements.

No state laws or ISP policies exist specifying how quickly submissions must be posted to the CCH database. The U.S. Department of Justice's Bureau of Justice Assistance (BJA) suggests that felony offenses be entered into the state repository's automated database within 30 days of receipt and all other events within 90 days.<sup>3</sup> Audit staff, as they did in 1994, used the more liberal 90-day criterion to measure the timeliness of submissions received and processed by the ISP.

## Findings ☆

- With some exceptions, local agencies usually do not submit arrest, charge, disposition and correction information within the time limits established by Illinois statutes. However, nearly every arrest submission from agencies that report via livescan technology arrived within statutory guidelines.
- Since 1994, the rate of compliance with timeliness requirements has decreased for arrest submissions received by mail, charges, dispositions and custodial receipts. On the other hand, compliance rates improved for agencies submitting livescan arrests and custodial status changes.

---

<sup>2</sup> 20 ILCS 2630/0.01 et seq.

<sup>3</sup> *Guidance for the Improvement of Criminal Justice Records*, U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, December 1991, p. 11.

- The ISP has significantly improved the time in which arrests, charges, dispositions and custodial information are posted to the CCH database.
- Although agencies that submit state's attorney charge or court disposition information via magnetic tape do so in a timely manner, most dispositions are not posted to the CCH database in the timely manner suggested by the BJA. Many dispositions were not postable due to errors in the submissions that could not be corrected in a timely manner.

### **Completeness ★**

In 1994, audit staff found that most arrests on the CCH database are missing subsequent court dispositions. Some of the same cases were reviewed again this year to try to determine why the number of court dispositions is less than the number of arrests. Also, audit staff analyzed the trends over time in the number of court events posted to the CCH database as a percentage of arrests.

### **Findings ☆**

- Many circuit clerks could not locate court dispositions corresponding to arrests that originated in their county. This suggests that circuit clerks: 1) may not always receive complete information from arresting agencies; and/or 2) are unable to document that information was ever sent to the ISP. Without proper documentation, it is difficult to determine if submissions that may have been sent to the ISP were returned for correction of an error.
- The number of court dispositions added to the CCH database has decreased dramatically even as the number of arrests continues to substantially increase.

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

## **Introduction >**

Since 1931, the state of Illinois has kept track of an individual's criminal history to help criminal justice agencies decide how to deal with the acts he/she committed. A criminal history may affect how practitioners manage offenders. For example, state's attorneys and judges may decide to increase the offender's bail, upgrade charges, negotiate more stringent pleas or recommend longer sentences upon conviction. Probation and community correctional personnel may impose more reporting requirements on the offender. If the offender is sentenced to prison, he/she may be sent to a maximum-security facility instead of a prison housing low-risk offenders, or the opposite.

Besides the criminal justice community, individuals, institutions and families are also interested in knowing a person's criminal history. Illinois citizens can, for a fee, request conviction information about neighbors, coworkers or anyone else they choose.<sup>4</sup> Companies may use conviction information in making employment decisions. Social service agencies must determine whether prospective foster parents are suitable for that role if they have a criminal history. In addition, the ability to purchase a firearm is restricted if the buyer has a felony conviction on his criminal history record.

All of these needs are served by the state computerized criminal history (CCH) records database maintained by the Illinois State Police (ISP). To help meet the safety needs of the public and protect the privacy rights of individuals with a criminal history, the records need to be timely, accurate and complete.<sup>5</sup> As important as CHRI is to the criminal justice system and the public, the system of collecting and maintaining criminal history data needs improvement. This report looks at the timeliness and completeness of criminal history records and makes recommendations for improving the system.

This report uses the Authority's 1994 audit as a baseline to measure improvements in the timeliness of records submitted by local agencies to the ISP and the ISP's timeliness in making

---

<sup>4</sup> In most instances, only conviction information may be furnished to authorized noncriminal justice agencies. See 20 ILCS 2630/3 and 20 ILCS 2635/1 et seq.

<sup>5</sup> See 20 ILCS 2635/3, for definitions of "accurate" and "complete."

records available for use by other agencies.<sup>6</sup> The audit also reviews the completeness of CCH records by analyzing the relationship between the number of arrests and corresponding court dispositions on the database as well as the location of court dispositions that could not be located during the last audit.

### **Federal Audit Regulations ★**

According to the federal Crime Control Act of 1990, states must allocate at least five percent of their Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant funds to improve CHRI. In 1991, the Bureau of Justice Assistance (BJA) published guidelines for implementing the reforms envisioned in the Act. Illinois submitted its criminal history records improvement plan in May 1992 to the U.S. Department of Justice and has been implementing it ever since. The plan was cooperatively developed by the Authority, the ISP, the Illinois Department of Corrections (IDOC), the Administrative Office of the Illinois Courts, and representatives of local criminal justice agencies and courts.

The BJA guidelines state that the improvement plan must ensure that 95 percent of current records are accurate and complete.<sup>7</sup> Specifically, the Act requires that 95 percent of:

- current felony arrests and fingerprints are complete;
- current felony arrest records with fingerprints contain subsequent state's attorney and court dispositions upon termination of the cases; and
- current sentences to and releases from prison are available.

In addition, the Act also requires states to make a reasonable attempt to collect and maintain arrest, disposition and incarceration information for 90 percent of felony arrests in the past five years. Furthermore, all criminal history, master name index and fingerprint records from the past five years must be fully automated.

The Act sets time requirements for local agencies to submit information and for the state

---

<sup>6</sup> *A Comprehensive Examination of the Illinois Criminal History Records Information (CHRI) System: Final Report of the 1993-94 Criminal History Records Audit*, Illinois Criminal Justice Information Authority, August 1995

<sup>7</sup> Bureau of Justice Assistance, *Guidance for the Improvement of Criminal Justice Records*, U.S. Department of Justice, December 10, 1991

to enter the information into the automated database. Local agencies are required to submit final dispositions to the state repository and, when appropriate, to the FBI within 90 days of the disposition date. They are also mandated to submit fingerprints to the state repository and, when appropriate, to the FBI Identification Division (ID) within 24 hours. State central repositories are required to enter all felony offenses into the automated system within 30 days of receipt. All other records should be entered within 90 days.

### **The Illinois CHRI System: An Overview ★**

According to the Criminal Identification Act, the ISP is the sole state agency responsible for collecting, maintaining and disseminating CHRI in Illinois.<sup>8</sup> The Act requires police agencies, sheriffs, state's attorneys, circuit clerks and the IDOC to submit arrest, charge, disposition, and custodial information for all felonies and Class A or B misdemeanor offenses committed by adults. Also, agencies must submit arrest cards for adults arrested for select traffic offenses, such as aggravated fleeing, and for juveniles arrested for certain criminal offenses, such as unlawful use of weapons, forcible felonies, Class 2 or greater felonies under the Illinois Controlled Substance Act and the Cannabis Control Act, and several traffic offenses. Arrest information must be submitted daily, whereas other information must be submitted within 30 days of the event.

The ISP has a procedure in place to obtain offenses and subsequent dispositions when a person is arrested and enter the information into the computerized criminal history (or CCH) database. For every new reportable arrest, law enforcement agencies are required to submit the ISP's five-part arrest card. The last page of the five-part arrest form, which is the actual fingerprint card, is to be submitted with the arrest form copy to the ISP's Bureau of Identification (BOI).<sup>9</sup> Arresting agencies keep a copy for their records and forward the remaining documents to the state's attorney. State's attorneys are to submit filing charges on their copy and

---

<sup>8</sup> 20 ILCS 2630/0.01 et seq.

<sup>9</sup> The exception is livescan arrests, in which incident, demographic and fingerprint information is transmitted electronically to the ISP.

circuit clerks submit final dispositions on their copy. Each five-part card has a unique identifier known as the document control number (DCN), which is preprinted on each copy to enable the BOI to link submissions.

Because many criminals use aliases, phony birth dates and other false information to disguise their identities, the ISP needs fingerprints to provide an accurate way to link an individual to an existing criminal history record. The ISP compares fingerprints taken after each arrest to previous fingerprint submissions to determine if the offender has a criminal history record already on the CCH database. When a match exists, the subsequent incident is posted to the offender's record.

The ISP uses a separate five-page custodial card to track and update records of offenders sentenced to incarceration. The first four pages contain demographic information about the inmate and his or her incarceration status, including receipt by IDOC, discharge, execution, commutation and others. The fifth page provides space for the inmate's fingerprints. When an inmate arrives at either the IDOC or a county-level corrections facility, the first and last page are completed and sent to the ISP (much like an arrest). When the inmate's status changes, an additional page is completed and sent to the ISP.

## **Processing Submissions ★**

### *Mailed Arrest and Custodial Receipts ☆*

#### *Event Information ◇*

When the ISP receives a mailed arrest or custodial receipt submission, an operator enters the information from the form into a mainframe computer.<sup>10</sup> To ensure accuracy, a second operator enters the same information into the computer. If the entries do not match, the computer will reject the input, at which time the entries must be reconciled. Also, the computer determines if the submission contains information such as statute citations and can be added to the system.

---

<sup>10</sup> Since October 1992, the ISP has been sending all mailed arrest submissions to an outside vendor for data entry and verification. The submissions are data-entered by the vendor, then returned to the ISP via a modem. On-line livescan agencies enter and verify data on location before uploading the information to the ISP. Custodial cards are keyed and verified at the ISP.

### *Fingerprints* ◇

The ISP stores fingerprints of all people with criminal history records on the Automated Fingerprint Identification System (AFIS). When the fingerprints from a new submission match an existing fingerprint record on AFIS, the new incident can be linked to a person already on the CCH database. If no previous fingerprints exist on AFIS, the ISP will add them to the database. All future fingerprints will be matched against the original submissions, and the corresponding event will be posted to the person's criminal history record.

### *Adding Submissions to the CCH Database* ◇

After the fingerprints are processed, if both data entries match and no critical errors are found, the information is added to the database. If the computer locates discrepancies or errors, it rejects the submission, and the ISP reconciles the data or returns the submission to the local agency for correction.

### *Livescan Arrest Submissions* ☆

Livescan, an automated device that captures digital fingerprint images directly from subjects' fingers, transmits the images, demographic and charge information directly to the ISP. The information can be received by the CCH database as soon as 10 minutes after transmission from the booking agency. Upon receipt of arrest submissions, fingerprints are routed to AFIS for processing while demographic and charged information is routed to the CCH database. As described above, AFIS searches for possible matches. When a match is found, AFIS assigns the corresponding State Identification Number (SID) to the submission, then transmits the SID and corresponding document control number (DCN) to the CCH database where it is linked to the previously entered demographic and charge information. The information is then posted to the individual's criminal history record. A number of agencies print out the fingerprint card on sight and mail it to the ISP.

### *Dispositions and Custodial Status Changes* ☆

When state's attorney dispositions, court dispositions and custodial status changes are entered into the system, the computer searches the database for the corresponding DCN from the fingerprint submission that initiated the criminal history record. If a fingerprint submission already exists, the ISP posts the disposition or status change to the record. If the fingerprint submission was not posted to the CCH database, the disposition or status change data is routed to a pending file until the fingerprint submission is posted.

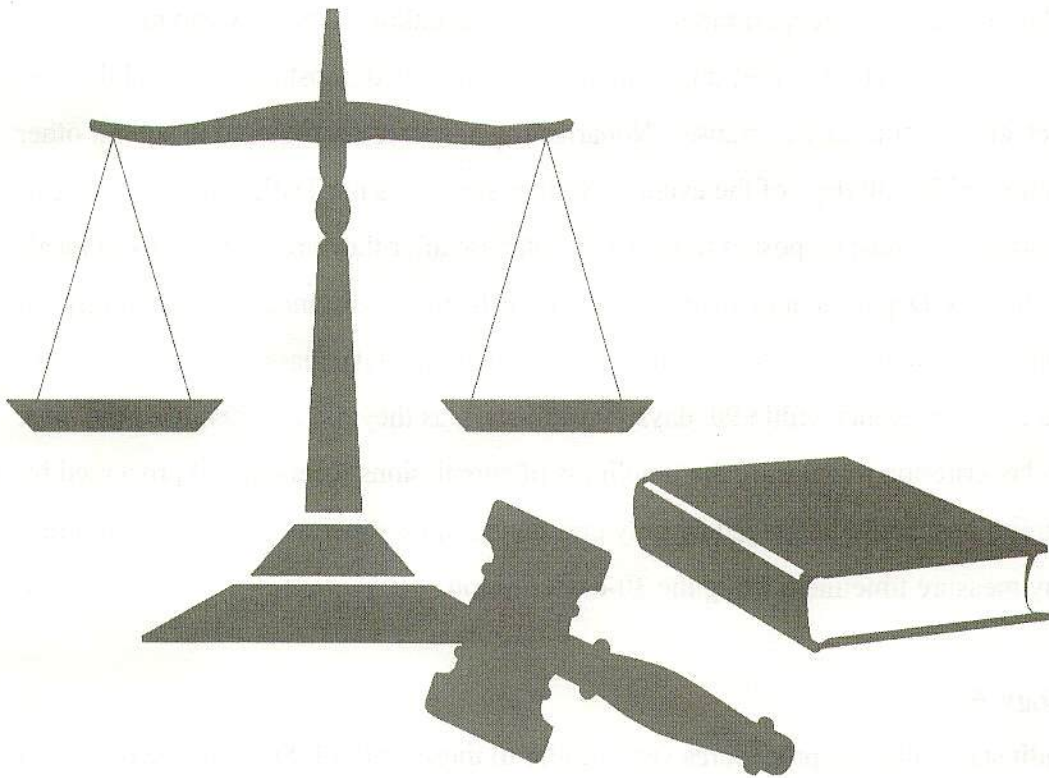
### *Magnetic Tape Submissions* ☆

The ISP receives electronic submissions, most of which are dispositions on magnetic tape. Computer programs read and edit the data contained on the tape before posting the information to CCH.





## **SECTION 1**



## **TIMELINESS OF CRIMINAL HISTORY RECORDS**

## **Introduction >**

The timely submission and entry of criminal history record information is important to criminal justice practitioners. Timely records can help law enforcement officers conduct investigations. Judges and state's attorneys seek timely records to make decisions related to bail, pretrial release, charging and sentencing. Jail and prison officials rely on timely records to determine offenders' security levels, which influence housing and work assignments.

Illinois statutes require that arresting agencies submit documentation daily to the ISP for all offenders arrested for felonies or Class A or B misdemeanor offenses.<sup>11</sup> Also, agencies must submit arrest cards for adults arrested for select traffic offenses, such as aggravated fleeing, and for juveniles arrested for select criminal offenses, such as unlawful use of weapons, forcible felonies, Class 2 or greater felonies under the Illinois Controlled Substance Act and the Cannabis Control Act, and several traffic offenses. Nonarresting agencies are required to submit other documentation within 30 days of the event.<sup>12</sup> Neither state laws nor ISP's policies dictate how quickly submissions must be posted to the CCH database after they are received from local agencies. The U.S. Department of Justice's Bureau of Justice Assistance (BJA) suggests that felony offenses be entered into the state repository's automated database within 30 days of receipt and all other events within 90 days.<sup>13</sup> Audit staff, as they did in 1994, used the more lenient 90-day criterion to measure the timeliness of submissions received and processed by the ISP so submissions would be judged by only one standard. As timeliness improves, future studies may measure timeliness using the 30-day criterion.

## **Methodology ◆**

Audit staff followed procedures very similar to those in 1994. Some of the recording devices were changed slightly (see Appendix C), but the method for recording and tracking

---

<sup>11</sup> 20 ILCS 2630/0.01 et seq.

<sup>12</sup> See Appendix B for the complete statute citation.

<sup>13</sup> *Guidance for the Improvement of Criminal Justice Records*. U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, December 1991, p. 11.

submissions remained relatively unchanged. Audit staff recorded submissions that arrived at the ISP during a certain period and later tracked these submissions to determine if and/or when these submissions were entered and posted to the CCH database.

However, unlike the last audit, staff also examined information that was submitted to the ISP on magnetic tape, an important and growing means of transmitting data from local agencies to the ISP. The tape information is analyzed separately from the information received via the mail so that information from the 1994 audit (which included only mailed submissions) can be more readily compared to information obtained in the current audit.

Finally, in the 1996 audit, auditors conducted two timeliness tests. Although they conducted one less test than in the 1994 audit, they received and analyzed 64 percent more submissions. Much of this increase is attributed to the large number of state's attorney filing decisions and court dispositions submitted to the ISP from the magnetic tapes.

#### *Mailed Submissions* ✧

Audit staff recorded mailed submissions that arrived at the ISP during a three-day period in November 1995 and February 1996. These submissions included arrests, state's attorney filing decisions, court dispositions, custodial receipts and custodial status changes. Data were recorded on Nov. 15, 16 and 17 (Wednesday through Friday) and February 26, 27 and 28 (Monday through Wednesday). Therefore, auditors covered every day of the week at least once, and recorded data from both the middle and end of a month.

Auditors returned to the ISP 13 weeks (approximately 90 days) after the first tracking date to determine whether the information was posted to the CCH database (Table 1). Therefore, submissions received in November were tracked in February, while those received in February were tracked in May.

**Table 1  
Timeliness Tracking Periods:  
Mailed Submissions**

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

*Livescan Submissions* ✧

Arrests that were submitted to the ISP via livescan were also analyzed. Audit staff planned on conducting the analysis simultaneously with those of the mailed submissions. However, difficulties in data conversion delayed the analysis. In the end, each livescan test occurred approximately one month after it was scheduled. Therefore, auditors captured events from three-day periods in both December 1995 and March 1996.

The livescan events were then tracked to determine whether they had been posted to the CCH database. Staff learned that livescan submissions are usually posted within a few days of submission of the events. Rather than wait 13 weeks to check their status on the CCH database, staff first conducted a preliminary analysis within one month of the event's receipt. They found that most of the livescan submissions had already been posted. A second (final) analysis was conducted 13 weeks after the initial receipt date to determine whether the remaining submissions that were not located during the first follow-up were available on the database (Table 2).

**Table 2  
Timeliness Tracking Periods:  
Livescan Submissions**

Test Period	Month the ISP Received Local Agency Submissions	Month the Submissions Were Tracked in CCH
T1	December	January/March
T2	March	April/June

*Magnetic Tapes* ✧

Staff also obtained and tracked submissions that arrived via magnetic tape/cartridge from one state's attorney's office and from the offices of two clerks of the circuit court (Table 3). Auditors obtained copies of the tapes from the ISP and converted them into a readable format for analysis. The first test was conducted with few complications. All three tapes arrived in November (though on different dates) and were tracked in February.

**Table 3**  
**Timeliness Tracking Periods:**  
**Magnetic Tapes**

Test Period	Agency	Month the ISP Received Local Agency Submissions	Month the Submissions Were Tracked in CCH
T1	State's Attorney	November	February
	Court #1		
	Court #2		
T2	State's Attorney	March	June
	Court #1	February	May
	Court #2	N/A	N/A

Tapes from the second test arrived during different months. The state's attorney's tape arrived in March and was tracked in June. The tape from Court #1 arrived in February and was tracked in May. Converting the data from Court #2 was problematic. Auditors attempted to convert the data into a readable format, but were unable to do so. They examined two other tapes, with the same result. Therefore, they canceled the analysis of the second tape from Court #2.

*Total Submissions Analyzed* ✧

The two timeliness tests accounted for 20,511 submissions (Table 4). Slightly more than 34 percent of the submissions were for mailed and livescan arrests; another 36.2 percent of submissions were from Court #1. Audit staff analyzed 7,418 submissions during T1 and

**Table 4**  
**Total Events Received by Submission Type<sup>14</sup>**

Submission Type		Test Period		
		T1	T2	Total
Livescan Arrests		1,443	1,779	3,222
Mailed	Arrests	1,670	2,149	3,819
	State's Attorney	885	1,118	2,003
	Courts	1,166	523	1,689
	Custodial Receipts	156	249	405
	Custodial Status Changes	277	324	601
Tapes	State's Attorney	528	496	1,024
	Court #1	988	6,455	7,443
	Court #2	305	N/A	305
Total		7,418	13,093	20,511

another 13,093 during T2. The wide disparity between tests (43 percent more during T2) was largely the result of Court #1's second tape, which yielded 5,467 more submissions than the first tape. However, many of the submissions from Court #2's second tape could not be analyzed because audit staff were unable to read the tape.

---

<sup>14</sup> Many submissions included multiple charges for each defendant. Other submissions were duplicates that had already been submitted. Audit staff used only one submission and one charge for each defendant. Therefore, the total events received reflects the final number of submissions analyzed by audit staff, excluding duplicates and multiple charges.

## Audit Findings >

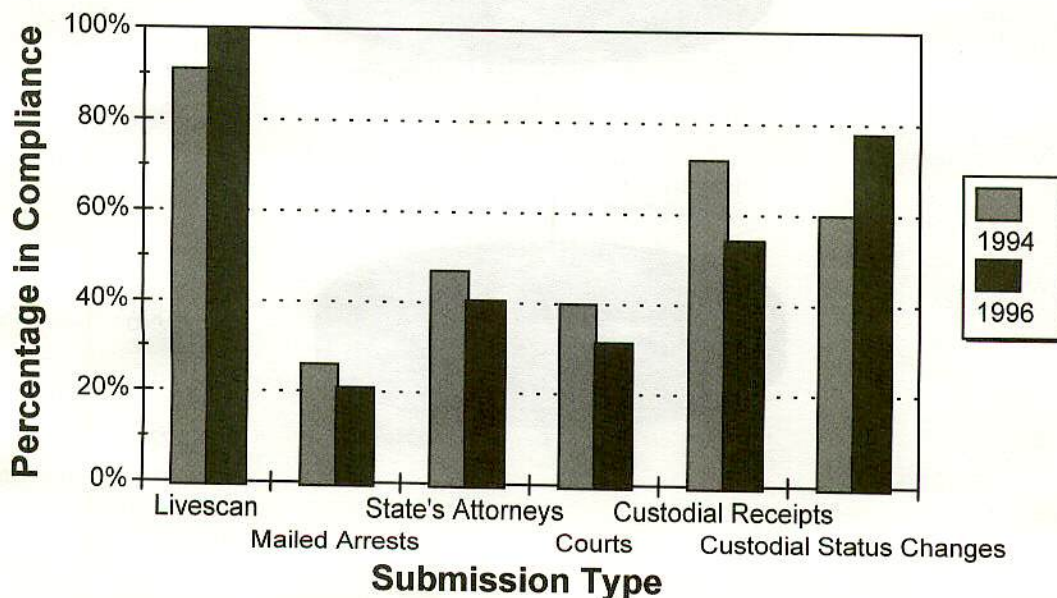
**Finding 1:** *In most cases, the timeliness of mailed arrest, charge, disposition and custodial receipt information submitted by local agencies has declined since 1994. Also, with some exceptions, local agencies do not submit mailed arrest, charge, disposition and custodial receipt information in the time frame required by Illinois statutes. Submissions for livescan (direct electronic fingerprinting) arrests had the highest rate of compliance in both years.*

### Overall Statutory Compliance by Local Agencies ♦

Figure 1 shows that agencies in two of the six categories improved their rate of compliance with timeliness reporting requirements since the last audit. Nearly every livescan submission received during the testing period arrived within statutory guidelines, compared with 91 percent from the 1994 audit.

Figure 1

### Timeliness of Local Agency Submissions to the ISP: 1994 vs. 1996





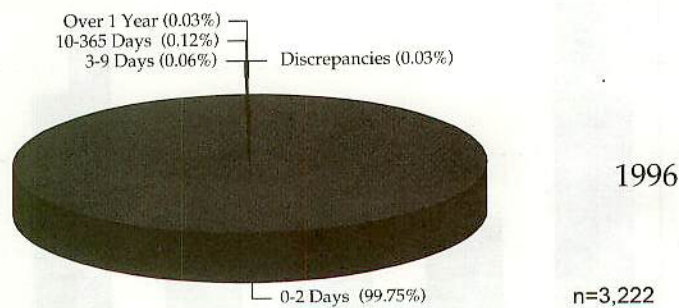
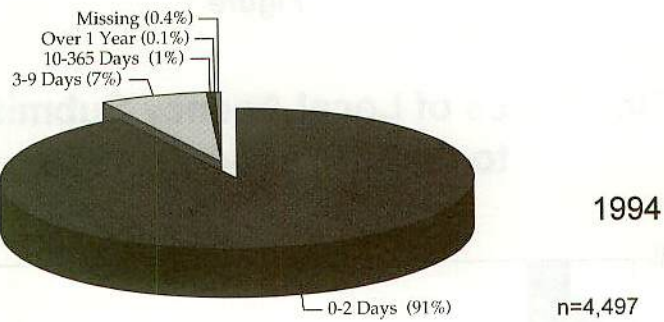
Custodial status changes also improved, increasing from 60 percent compliance to 78 percent. However, the rate of compliance of the four other categories decreased. Mailed arrest submission compliance decreased from 26 percent compliance in 1994 to 21 percent in 1996; state's attorney submission compliance, from 47 percent to 41 percent; courts, from 40 percent to 34 percent; and custodial receipts, from 72 percent to 54 percent.<sup>15</sup>

*Livescan Submissions* ✧

Figure 2 shows that the overall timeliness of livescan submissions was extremely high

**Figure 2**

**Days from Arrest to ISP Receipt:  
Livescan**



<sup>15</sup> The figures do not include state's attorney and court dispositions that arrived via magnetic tape. For an analysis of these submissions, see pp. 30 - 35.

during the testing period.<sup>16</sup> Livescan, or direct electronic fingerprinting, is a technology that is growing in popularity. Livescan allows agencies to electronically submit arrest information without mailing arrest cards to the ISP. Transmissions can often be made by a local agency to the ISP within minutes of booking the offender. Audit staff allowed agencies some liberty and considered any submission received within two days of the arrest to be in statutory compliance.

Audit staff analyzed 3,222 livescan submissions during the six-day period by comparing the date of the event to the date the submission arrived at the ISP. Only eight submissions did not arrive within two days of the event. In fact, 99.75 percent (3,193 of 3,222) of the submissions arrived on the same day as the arrest or the day immediately following the arrest. In 1994, 91 percent of the submissions were submitted within two days of the event. During the current audit, one case was not posted because the date of the arrest was Dec. 21, 1909 (it is noted as a “discrepancy”). In 1996, no livescan submissions were missing the date of the event; in 1994, there were 18 such cases.

#### *Arrest Submissions Received by Mail* ✧

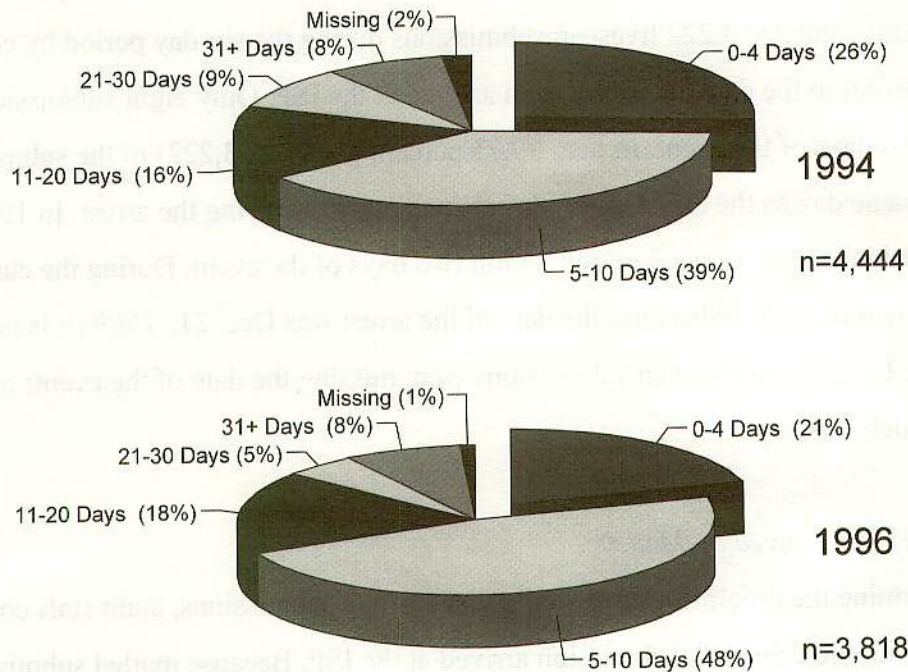
To determine the timeliness of mailed police agency submissions, audit staff compared the arrest date with the date each submission arrived at the ISP. Because mailed submissions usually take longer to arrive at the ISP than do livescan submissions, audit staff considered any submission within four days to be in compliance with the statutory mandate that arrests be sent daily to the ISP. Figure 3 indicates the timeliness of mailed arrest submissions received during the nine-day period studied during the last audit and the six-day period of the current audit.

---

<sup>16</sup> Due to rounding, percentages throughout the report may not total 100 percent.

Figure 3

### Days from Arrest to ISP Receipt: Mailed Submissions



During the 1994 audit, audit staff found that 26 percent of the police agency submissions arrived on time. In 1996, this figure was 21 percent, a five-point decrease. However, the percentage of submissions that arrived between five and 10 days increased from 39 percent to 48 percent. Therefore, the percentage of arrest submissions that arrived at the ISP between zero to 10 days actually increased slightly, from 65 percent in 1994 to 69 percent in 1996. The other categories presented in the figure changed little between the two test periods.

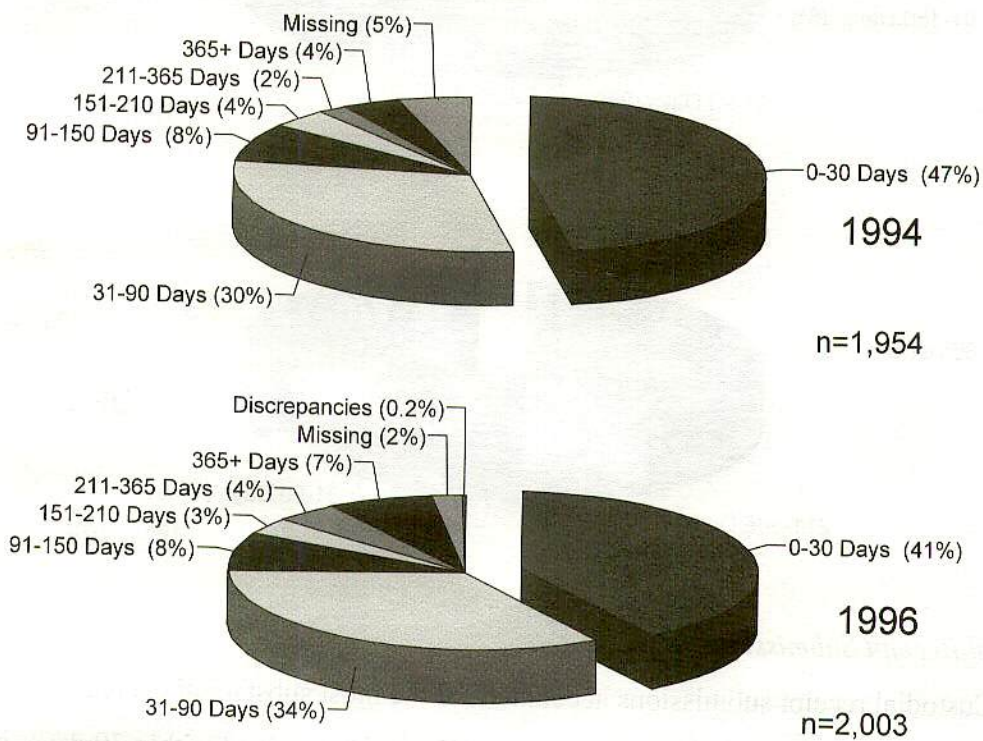
#### *State's Attorney Charge Submissions* ✧

Figure 4 indicates that in 1996, 41 percent of the 2,003 mailed state's attorney charge submissions received by the ISP arrived within 30 days of the disposition, a six-percent decrease

from 1994. However, in 1996, 75 percent of the submissions were received within 90 days, which is nearly the same percentage as 1994, when 77 percent arrived within this period. However, 11 percent of the submissions arrived 211 days (approximately seven months) or more after the charge event, a five-percent increase from 1994.

Figure 4

### Days from Event to ISP Receipt: State's Attorney Charges

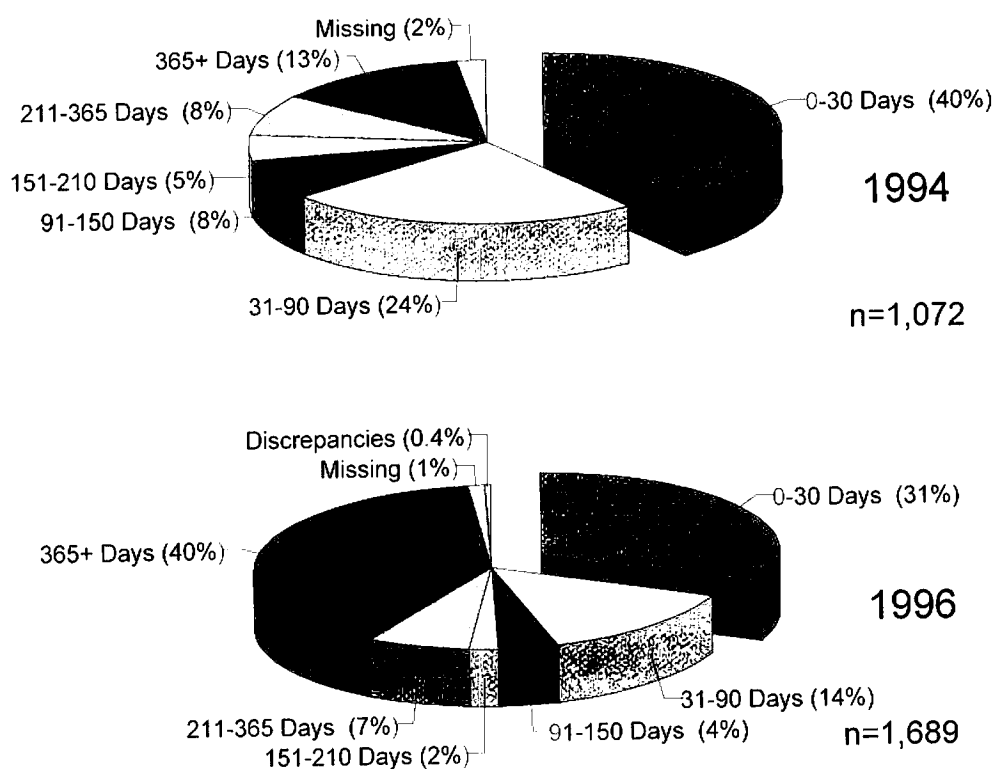


#### *Court Disposition Submissions* ✧

The timeliness of mailed court submissions declined between 1994 and 1996. (Figure 5). In 1994, 40 percent of mailed court submissions arrived within 30 days of the event, while 64 percent arrived within 90 days. In 1996, these figures were 31 percent and 45 percent, respectively. Also, in 1994, 13 percent of court dispositions arrived more than one year after the court disposition; in 1996, this figure increased to 40 percent.

Figure 5

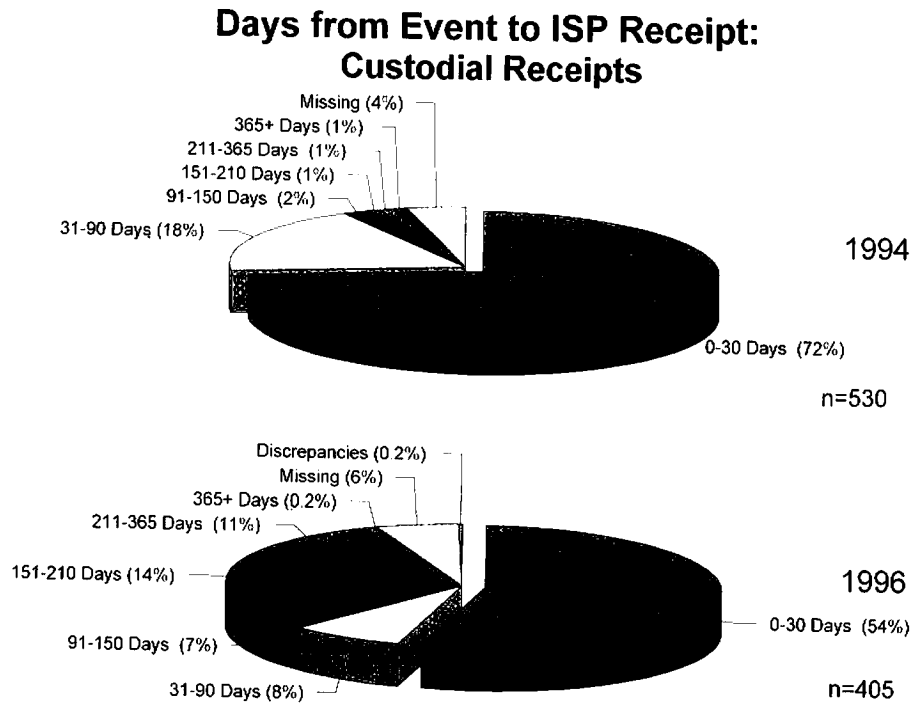
## Days from Event to ISP Receipt: Court Dispositions



### *Custodial Receipt Submissions* ✧

Custodial receipt submissions accounted for the most substantial decrease in event timeliness (Figure 6). In 1994, 72 percent of the submissions arrived within 30 days; in 1996, 54 percent arrived within 30 days, an 18-percent decrease. In addition, in 1994, 90 percent of the submissions arrived within 90 days; in 1996, this figure was 62 percent, a 28-percent decline.

Figure 6

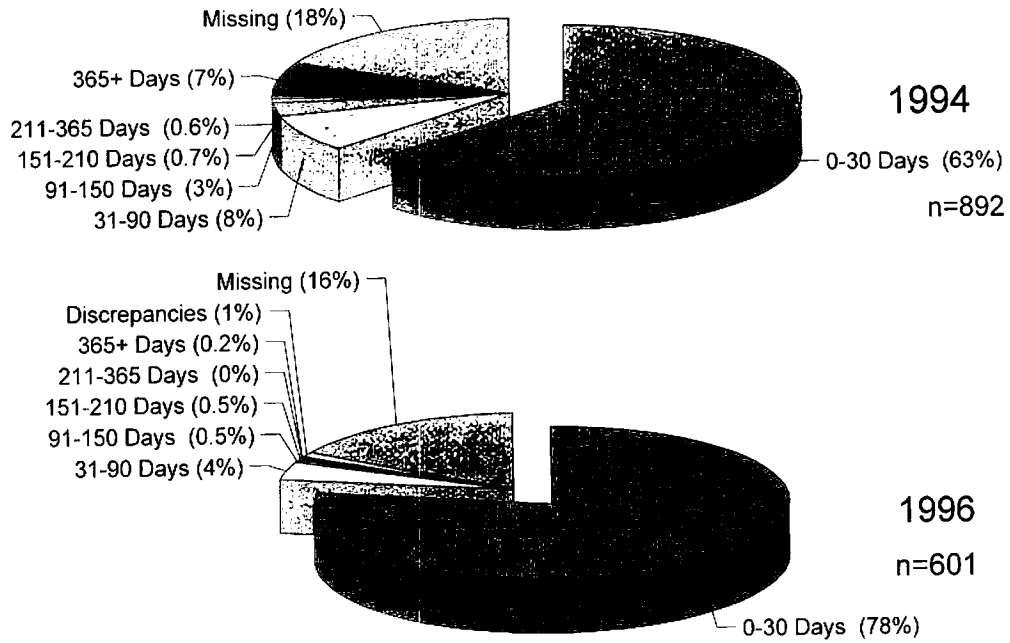


*Custodial Status Change Submissions* ♦

The timeliness of custodial status change submissions increased since 1994 (Figure 7). In 1994, 63 percent of the submissions arrived within 30 days. By 1996, this figure was 78 percent, a 15-percent increase. The percentage of submissions that arrived more than 90 days after the event decreased from more than 11 percent to about 1 percent. In addition, the 1996 audit — like the 1994 audit — revealed that many custodial status change submissions lack the status change date. In 1996, 16 percent were missing this date compared to 18 percent in 1994. When the ISP receives such submissions, they are returned to the institution for correction but, according to ISP officials, are often not resubmitted.

Figure 7

### Days from Event to ISP Receipt: Custodial Status Changes



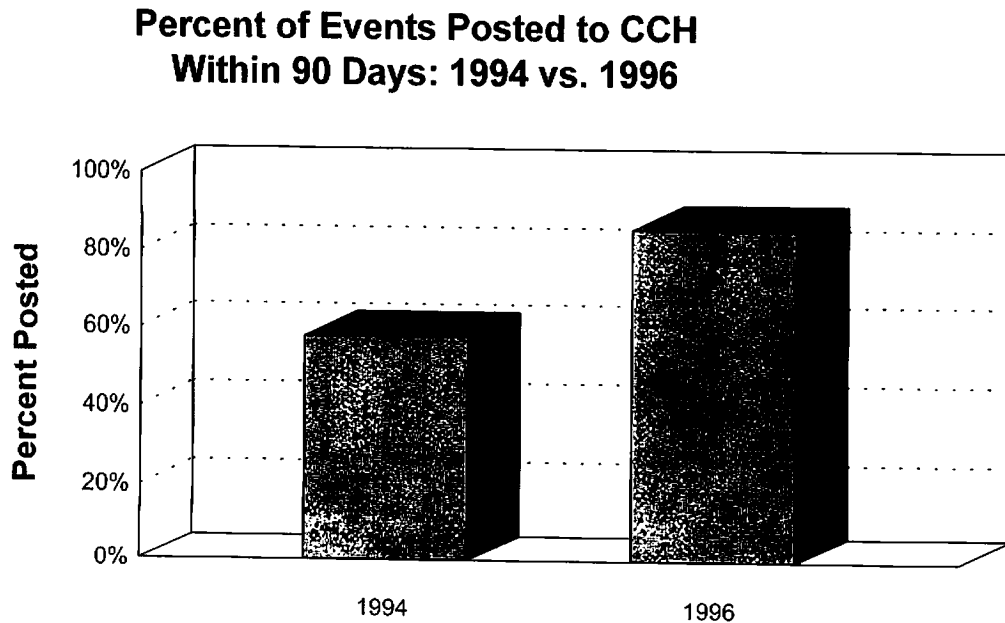
***Finding 2: The ISP has significantly improved the time in which arrests, charges, dispositions and custodial information is posted to the CCH database. Those that are not posted to the database are often not postable or are placed in a pending file. Other dispositions are in process or their location is unknown.***

Illinois statutes do not address the time frame within which data must be entered by the ISP once it is received from local agencies. As previously mentioned, the Bureau of Justice Assistance suggests that felony offenses be entered by the state repository within 30 days of receipt and all other events be entered within 90 days. To determine timeliness, audit staff compared the date the ISP received the submissions to the dates the submissions were posted to the database. Audit staff used 90 days for all of the measurements.

**Overall Compliance by the ISP ♦**

Figure 8 shows the percentage of submissions posted to the CCH database approximately 90 days after the ISP received them during the 1994 and 1996 audits. Of the total 13,389 submissions received during the 1994 audit, about 58 percent (7,777 submissions) were posted to

**Figure 8**

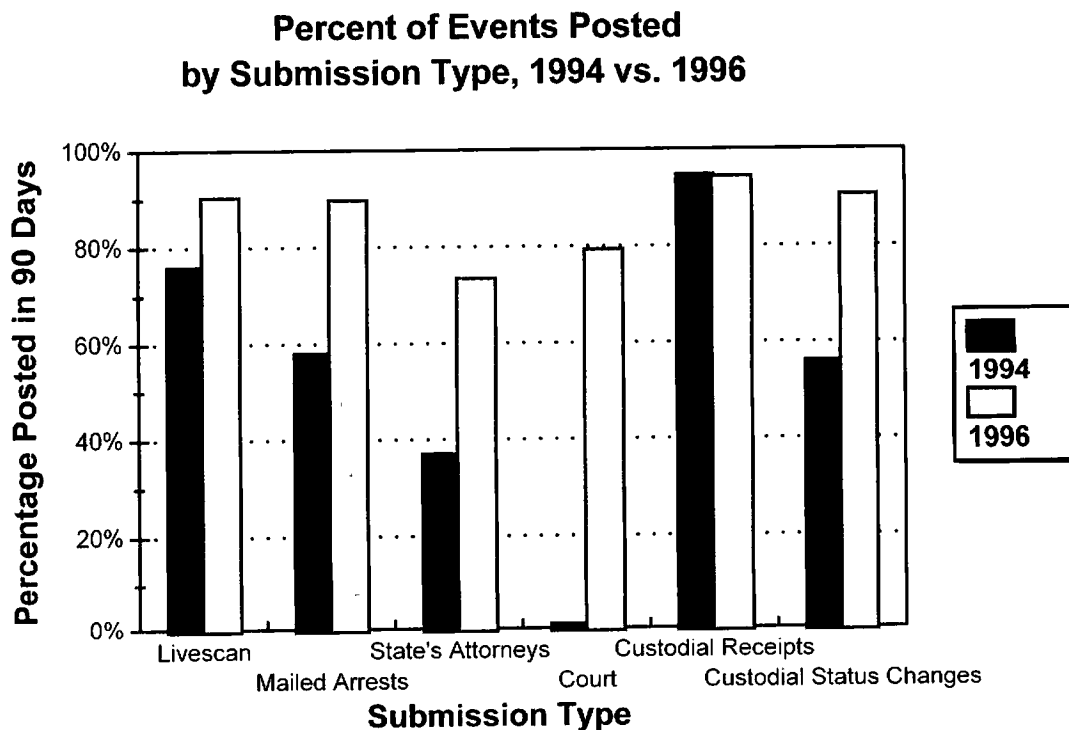




the CCH database within 90 days. This figure improved in 1996 when 86 percent (10,075 of 11,738) of the submissions were posted to the CCH database within 90 days of their receipt by the ISP, a 48-percent increase over the 1994 figure. In fact, nearly all of the submissions posted were added to the CCH database within 30 days, meeting the more stringent BJA criteria. This substantial improvement in record processing may be attributed to the new procedures the ISP uses to add submissions to the CCH database once they are received.

Figure 9 indicates that the ISP improved its posting of every submission type except custodial receipts, which decreased by only 1 percent but remained the event that had the highest rate of event posting (94 percent).<sup>17</sup> There was a significant increase in every other category. Four of the six categories had posting rates greater than 90 percent during the most recent study. Even the submission type with the lowest posting rate (state's attorney charge dispositions) had a posting rate of nearly 75 percent.

**Figure 9**



<sup>17</sup> "Posting" data means attaching an event or other information to an individual's criminal history record on the CCH database.

Most submission types reflected significant increases. For example, the percent of livescan submissions that were posted within 90 days increased from 76 percent in 1994 to 90 percent in 1996; arrest submissions increased from 58 percent to 90 percent; state's attorney submissions from 37 to 73 percent; and custodial status change submissions from 56 percent to 91 percent. But the largest overall increase was in posting court dispositions, which jumped from one percent in 1994 to 79 percent in 1996.

#### *Livescan Submissions* ✧

The ISP posted 2,908 of the 3,222 (90 percent) livescan submissions it received within 90 days. In fact, 85 percent of the total was posted within 30 days. In contrast, during the 1994 audit, 76 percent of the submissions were posted to the CCH database within 90 days.

#### *Arrest Submissions Received by Mail* ✧

During the 1994 tests, the ISP posted 2,578 (58 percent) of the 4,444 mailed arrest submissions it received within 90 days. During the 1996 audit, the ISP posted 3,436 (90 percent) of the 3,818 mailed arrest submissions that it received during the testing period, a dramatic 55-percent increase from the previous tests. Similar to the livescan submissions, the great majority (82 percent) of the arrest submissions were posted within 30 days of their receipt.

#### *State's Attorney Charge Submissions* ✧

The percent of state's attorney charge submissions posted to the CCH database within 90 days increased even more dramatically than the arrest submissions. In 1994, 37 percent of the charge submissions were posted to the database within 90 days; in 1996, this figure almost doubled to 73 percent. The ISP posted 1,463 of 2,003 submissions within 90 days. In fact, all but 10 of the 1,463 submissions were posted within 30 days.

#### *Court Disposition Submissions* ✧

Court disposition submissions were by far the event that had the most significant improvement in the percentage that were posted within 90 days of their receipt. In 1994, only 1

percent of all court dispositions were posted to the database within 90 days. In 1996, the ISP posted 1,339 of 1,689, or 79 percent, within 90 days. Again, almost all of the submissions were posted within 30 days of their receipt. In this case, 1,318 of the 1,339 cases or 98 percent of all posted submissions were posted within 30 days.

#### *Custodial Receipt Submissions* ✧

Custodial receipts continued to be the submission type that had the highest rate of postings to the CCH database. In 1996, 94 percent of all custodial receipts mailed to the ISP were posted within 90 days, a figure that decreased only one percent from the 1994 study. In 1996, most of the submissions (82 percent) were posted within 30 days.

#### *Custodial Status Change Submissions* ✧

In 1994, 56 percent of custodial status change submissions were posted to the CCH database within 90 days of their receipt; in 1996, this figure climbed to 91 percent, a 35-percent increase. In addition, of the total posted to the CCH database, 71 percent were posted within 30 days.

#### **Procedural Changes May Have Led to Improvements** ✧

Since the 1994 audit, the ISP has made many improvements in data processing. In 1994, the ISP was without its data entry vendor for a long period, which led to a backlog of more than 40,000 submissions. The third 1994 timeliness test happened to be conducted at the peak backlog period. Therefore, few arrests and even fewer court dispositions were posted to the database.

The circumstances surrounding the 1996 audit were different. Data entry services were uninterrupted throughout the testing period, and the evenness with which the records were posted is apparent in the above figure. In addition, all mailed arrest cards, state's attorney and court submissions are sent daily to an outside data entry vendor for processing. In 1994, the ISP only sent arrest fingerprint cards weekly to the vendor. Also, the vendor returns the submissions daily to the ISP via a modem to the CHRI program.

The ISP also conducted a work flow analysis to eliminate or redesign procedures that delayed the identification process and the posting of data to the CHRI system. In 1994, ISP staff microfilmed nonfingerprint submissions and processed court initiation submissions. By 1996, the tasks were eliminated, thereby freeing up time for staff to concentrate on identification tasks. Also in 1994, file maintenance and labeling procedures were conducted before data was posted to the system. The order was reversed by 1996 and enabled data to be posted more quickly. Finally, the ISP expanded automated and electronic transmission procedures to improve the timeliness in which CHRI data was available to the criminal justice community.

### **Notifying Reporting Agencies of Problems ♦**

The ISP notifies state's attorneys and circuit clerks when submissions cannot be posted due to "fatal errors" or lack of a corresponding arrest record. "Fatal errors" occur when submissions contain critical information that is missing, incomplete or inconsistent with previous submissions on that case. The critical information includes the defendant's name, date of birth, the statute citation and the originating agency identifier (ORI). The ISP sends a list of such errors back to the reporting agencies for correction. Upon receipt of the arresting agency's submission, the ISP can post all subsequent submissions to the CCH database.

### **Location of All Submissions ♦**

Table 5 lists the location of all records sent via the mail and livescan as of Aug. 30, 1996, which is between six and 10 months from the time the submissions arrived at the ISP.<sup>18</sup> Of the 11,739 livescan and mailed records that were received and tracked, 90.3 percent were posted, and 5.5 percent were in a pending file, which includes all submissions awaiting the arrival of the arrest to which the submission could be attached. About 2.5 percent were not entered (303 records). Less than 1 percent could not be posted due to fatal errors or missing DCNs.

---

<sup>18</sup> Custodial receipt figures are current as of Sept. 20, 1996.

**Table 5**  
**Location of All Livescan and Mailed Submissions in August 1996,**  
**by Submission Type**

Location	Submission Type						Total	Percent of Total
	Livescan	Arrests	State's Attorney	Court	Custodial Receipt	Custodial Status Change		
Posted	2,953	3,647	1,537	1,503	401	570	10,611	90.3
Not Entered	138	140	0	0	0	25	303	2.5
Pending <sup>19</sup>	NA	NA	466	178	NA	4	648	5.5
Resolution <sup>20</sup>	98	31	NA	NA	1	NA	130	1.1
Fatal Error	33	0	0	8	0	0	41	.3
No DCN	0	0	0	0	0	2	2	.01
Unknown	0	0	0	0	3	0	3	.02
<b>Total</b>	<b>3,222</b>	<b>3,818</b>	<b>2,003</b>	<b>1,689</b>	<b>405</b>	<b>601</b>	<b>11,738</b>	<b>100.0</b>

---

<sup>19</sup> State's attorney and circuit court submissions may be received before an arrest submission on the same case and custodial status changes may be received before custodial receipt submissions. In these instances, the submissions cannot be linked to any fingerprints since they were not submitted on the case. Therefore, they went to the pending file. Once arrest-based fingerprints are received by the ISP, state's attorney and court dispositions can be linked to the incident and posted to the CCH database. Also, once custodial receipt fingerprints are received by the ISP, subsequent status changes can be posted to the CCH database.

<sup>20</sup> These fingerprint-based submissions may contain wrong or incomplete information. They are directed into a "submission error resolution file." If the submissions are not correctable, they are not posted to the CCH database and are returned to the submitting agency.

***Finding 3: Although agencies that submit state's attorney charge or court disposition information via magnetic tape do so in a timely manner, most of the dispositions could not be posted to the CCH database in a timely manner.***

#### **Tape Submissions ♦**

In 1994, audit staff asked the ISP to provide them with any tapes that arrived during any of the nine days during which staff were conducting timeliness tests of mailed submissions. No tapes arrived during that period. However, because so many submissions arrive on magnetic tape, audit staff decided in 1996 to accept tapes that arrived on or near the testing periods.

The ISP provided six tapes from two circuit court clerks and one state's attorney during both timeliness tests. Technical difficulties prevented staff from reading one of the court tapes that arrived during the second timeliness test.<sup>21</sup> Therefore, only five of the six tapes were analyzed.

Audit staff then conducted inquiries on the CCH database approximately 90 days after the tape was received to determine if the submissions were posted to the database. Because offenders are often charged with more than one crime when arrested, the tapes contained many submissions with multiple charges. For the submissions that contained multiple charges, audit staff — because of time constraints and the large volume of cases received — examined only the first charge to determine if it was located on the CCH database. Therefore, audit staff examined about half of the total number of charges on the tapes (Table 6).

---

<sup>21</sup> In fact, audit staff tried reading copies of three different tapes from the agency. Staff worked closely with Authority and ISP technicians but were unable to put the data into a readable format.

**Table 6**  
**Tape Submissions: Number of Charges Received**  
**vs. Number of Charges Analyzed**

Test Period	Agency	Number of Charges Received	Number of Charges Analyzed
T1	State's Attorney	536	528
	Court #1	1,642	988
	Court #2	1,411	305
T2	State's Attorney	504	496
	Court #1	13,406	6,455
	Court #2	NA	NA
Total		17,499	8,772

*Statutory Compliance of Tape Submissions* ✧

Figures 10a and 10b indicate that most agency submissions sent on tape arrive at the ISP within 30 days of the event date. Agency officials told audit staff that tapes are usually sent on a monthly basis, indicating that events will likely be from the prior month. Audit staff found this was usually the case. Almost every submission received was received within 60 days of the event.

*State's Attorney Submissions* ☆

Eighty percent of the T1 state's attorney submissions arrived within 30 days, while 88 percent did so during T2. All of the other submissions that listed a disposition date arrived within 60 days. A small percentage (2 percent during T1; 3 percent during T2) were missing the disposition date and could not be analyzed.

Figure 10a

Days from Event to ISP Receipt:  
T1 Magnetic Tapes

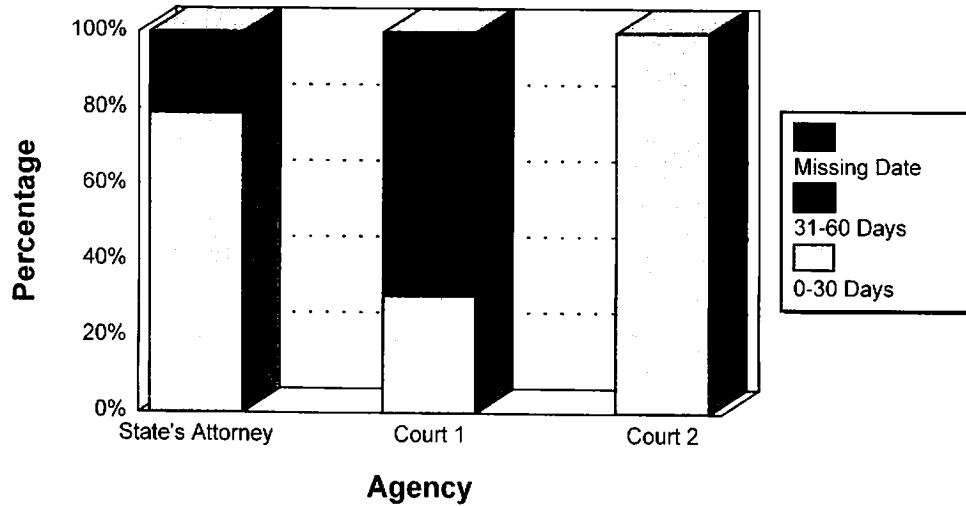
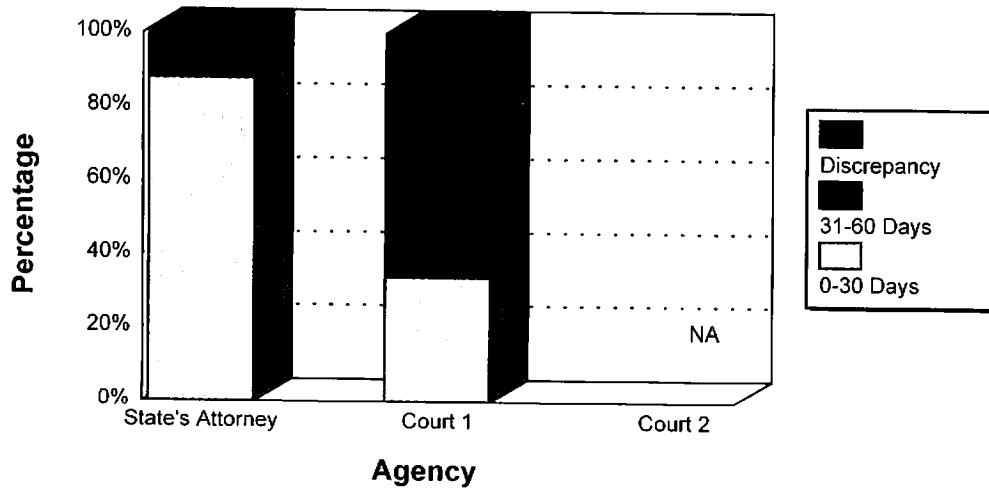


Figure 10b

Days from Event to ISP Receipt:  
T2 Magnetic Tapes





### *Court Submissions* ☆

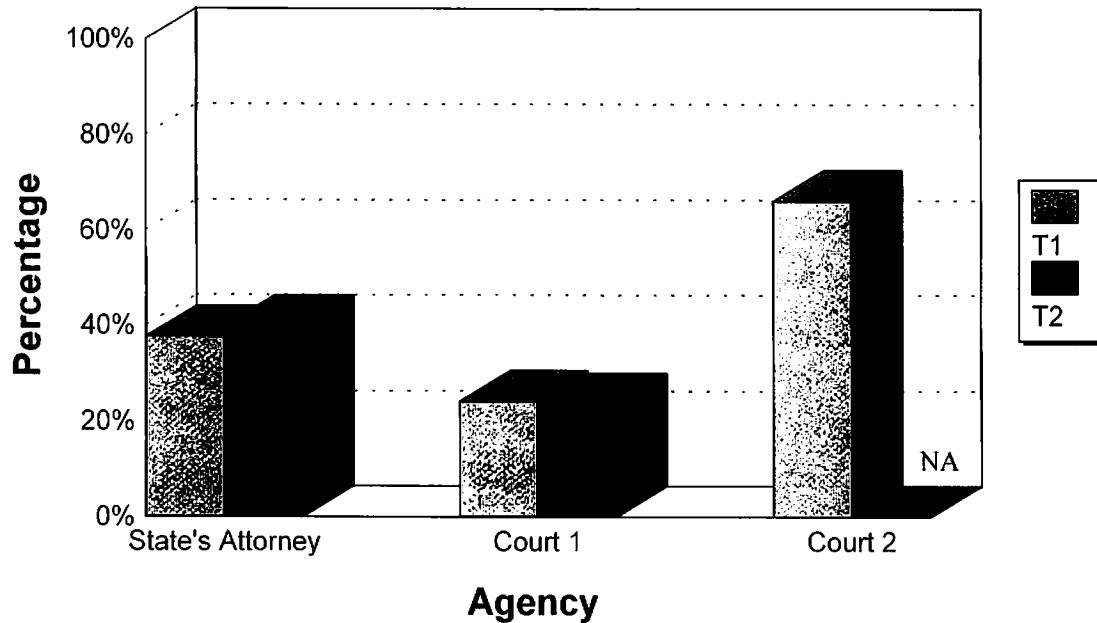
Every court disposition that arrived during T1 and T2 was received within 60 days of the date of the court disposition. Thirty-one percent of Court #1s submissions during T1 arrived within 30 days, while the remainder (69 percent) arrived within 60 days. During T2, the figures changed only slightly: 34 percent arrived within 30 days, while the others (66 percent) arrived within 60 days. The submissions from Court #2 showed the best arrival time. All 305 submissions analyzed during T1 arrived within 30 days of the disposition. No comparison could be made for the second tape because of the technical difficulties in reading the tape.

### *CCH Posting Compliance* ✧

Although almost every submission from the tapes arrived within 60 days, less than half of the submissions were posted to the CCH database within 90 days of their receipt (Figure 11). In fact, in some cases audit staff found that less than 25 percent of the submissions were posted within 90 days. The percentage of state's attorney submissions that were posted to the CCH database remained very constant between the two tests. During T1, 38 percent of 528 submissions were located on the CCH database; during T2, 40 percent of 496 submissions were located. The percentage of Court #1 submissions that were located was also very constant although lower than those of the state's attorney. During T1, 24 percent of the 988 submissions were located; during T2, 23 percent of the 6,455 submissions were located. Submissions sent by Court #2 were the most likely to be located on the CCH database. More than 66 percent of the 305 submissions were located on the database during T1.

Figure 11

### Submissions Posted Within 90 Days: Magnetic Tapes



#### *Reasons Why Dispositions Were Not Posted* ◆

The ISP analyzed a sample of the “missing” court dispositions to determine why they were not posted to the CCH database within 90 days. In one county, 39 percent of the sampled cases were for class C misdemeanor arrests, which are not reportable to the ISP. Neither the disposition nor the underlying arrest are posted to the CCH database in such instances.

Also, the ISP discovered problems in the electronic transmission of document control numbers (DCNs) between some arresting agencies, state’s attorneys and circuit clerks’ offices. In one county where livescan is used, an arresting agency transmitted the digitized fingerprints and arrest record to the ISP correctly, but was unable to electronically transmit the arrest information to the state’s attorney. In its place, the arresting agency completed and distributed the manual state five-part arrest card to the state’s attorney’s office. However, the DCN of the livescan

transmission to the ISP did not match the DCN on the state five-part arrest card. As a result, the ISP was unable to link the arrest event with subsequent submissions on that case.

In another county, a systematic programming error caused an arresting agency to transmit different DCNs to the ISP and the circuit clerk's office on the same incident. The arresting agency submitted the correct DCN to the ISP and the wrong DCN to the circuit clerk. When the circuit clerk reported the final disposition on that case, the ISP could not link the DCN to an existing DCN even though an arrest had been submitted on the case. Upon discovering the problem, the ISP contacted the arresting agency and the program was corrected for future submissions. Also, the ISP was able to link the corrected court dispositions DCNs to an arrest on the CCH database. Based on a sample of 704 court dispositions submissions, the ISP was able to post 85 percent of the corrected dispositions to the CCH database within 45 days of the audit date.

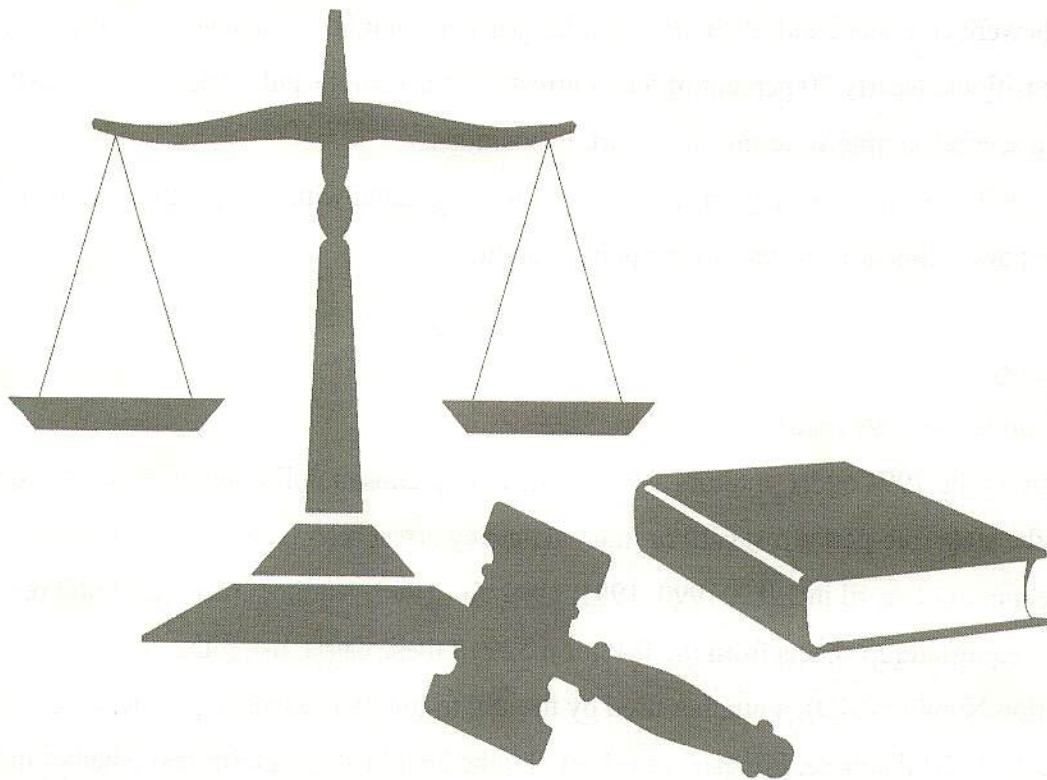
### **Summary >**

When compared to the 1994 audit findings, local agencies did not improve the speed with which they submit information to the ISP. On the other hand, the ISP has greatly improved the timeliness in which they post mailed and livescan submissions to the CCH database. The majority of submissions are now posted within 90 days, the criteria used by audit staff to measure the timeliness of submission postings. However, less than half of the state's attorney and court submissions arriving on magnetic tape which were tracked during the 1996 tests were posted within 90 days.

### **Recommendations >**

- 1) The Authority recommends that the ISP promote the continued use and expansion of livescan among Illinois criminal justice agencies.
  
- 2) The Authority recommends that the ISP continue to proceed with an in-depth analysis of the "fatal error" problems associated with magnetic tape submissions and work with local agencies to develop a strategy for improving the posting of disposition data to the CCH database.

## SECTION 2



## MISSING COURT DISPOSITIONS

## **Introduction >**

The 1994 audit included an extensive analysis of the criminal history records system.<sup>22</sup> That audit focused on the state central repository for all CCH records maintained by the Illinois State Police. To analyze the database, auditors obtained known reportable arrests from local police departments to determine if the CCH database included the events that follow the arrest. Thus, audit staff searched the database for the corresponding state's attorney charge(s), court disposition, and — if the person was incarcerated — the custodial receipts and status changes that are mandated to be reported.

Auditors paid particular attention to court dispositions, which indicate whether defendants were convicted and, if so, of what charges, and found that most arrests were missing court dispositions. Nearly 70 percent of 5,657 arrests in one sample and 57 percent of 3,298 arrests in a second sample were missing court dispositions.<sup>23</sup>

Since it was not clear why so few arrests were associated with a disposition, auditors decided to pursue this issue as part of the present audit.

## **Methodology ★**

### *1. Follow-up to the 1994 audit ☆*

During the 1994 audit, auditors asked 49 randomly chosen police agencies to provide copies of the state five-part arrest card or internal agency arrest records for people arrested during the month of April in 1989, 1990, 1991, 1992 and 1993. Auditors received 7,662 reports. They then requested rap sheets from the ISP for 6,329 of these cases, using the offenders' State Identification Number (SID), a number used by the ISP to uniquely identify people with existing records in the CCH database. For each rap sheet obtained, audit staff determined whether the rap sheet contained the corresponding arrest. If it did contain the arrest, the rap sheet was also examined to determine if it contained a corresponding court disposition. This sample was known

---

<sup>22</sup> *A Comprehensive Examination of the Illinois Criminal History Records Information (CHRI) System: Final Report of the 1993-94 Criminal History Records Audit*, Illinois Criminal Justice Information Authority, August 1995.

<sup>23</sup> *Ibid*, p. 118.

as the “cycle” of cases as the events were tracked from the time of the arrest until the series of events following that arrest were completed.

Auditors eventually examined 5,657 “cycle” rap sheets and discovered court dispositions that corresponded to the arrests on 1,704 of them (30.1 percent).<sup>24</sup> Auditors then looked at every arrest on a select sample of the “cycle” rap sheets. These rap sheets (known as the “extended cycle” sample) contained 3,298 arrests. Of these, 1,425 (43.2 percent) listed a corresponding court disposition.

In 1996, staff sought to determine how many of the “missing” court dispositions could be located by the circuit clerks and why they may not have been reported. According to the ISP and local reporting agencies, missing dispositions may result in the following circumstances:

#### *Problems with Distribution of the State Five-Part Arrest Card*

- ◆ The arresting agency may not send the five-part arrest card form to the state’s attorney. Therefore, the state’s attorney has no way of forwarding the paperwork to the circuit clerk. Without the five-part form, the circuit clerk is unable to report the DCN and subsequent court disposition information to the ISP.
- ◆ The state’s attorney may not forward the five-part arrest card to the clerk’s office. Without the five-part form, the circuit clerk is unable to report the DCN and subsequent court disposition information to the ISP.
- ◆ The clerk may not forward the court section of the state five-part arrest card to the ISP upon completion of the case.

#### *Errors in Submissions to the ISP*

- ◆ The court section of the state five-part arrest card may contain an error that causes the submission to be rejected by the ISP. Errors which cause rejection include inaccurate, incomplete, illegible or missing names, dates of birth, statute citation or Originating Agency Identifier (ORI).
- ◆ There may be problems in obtaining, converting or posting court data that is sent by tape from circuit court clerks to the ISP.

---

<sup>24</sup> Ibid, p. 118. Auditors included only those rap sheets that could be determined using an existing state identification number (SID).

### *Reporting Arrests on Warrants*

- ◆ The ISP reports that it receives two separate arrest cards when warrants are executed in a county other than where the warrants were issued. The county in which the person is arrested completes the first arrest card and submits it to the ISP. Upon extradition to the county in which the warrant was issued, the county completes the state five-part arrest card and submits it to the ISP. Since the ISP is required to post all arrests submitted to them, it posts both arrests for the same incident to the CCH database. All subsequent dispositions on that case will be linked to the arrest reported from the county in which the warrant originated.
  
- ◆ The ISP receives arrest cards when defendants fail to appear in court and when offenders commit a felony or Class A or B misdemeanor. However, no reportable final dispositions are associated with failure-to-appear arrests. Dispositions are reportable for the initial arrest on a case. Consequently, the CCH database will contain more arrests than final dispositions.

To determine how many of the “missing” court dispositions may fit into any of the above categories, staff contacted the circuit clerks and asked for their assistance in locating the cases and in determining when, if ever, the cases had been submitted to the ISP.

Staff first took the 5,657 “cycle” arrests and set aside those for which they had located a court disposition (1,704). That left 3,953 rap sheets that listed an arrest but had no corresponding court disposition.

The majority (88.3 percent) of the cases came from Cook County. Auditors did not review these cases since a separate audit which focuses solely on Cook County has been proposed for 1997. Auditors included only those events that occurred outside of Cook County were included in this follow-up analysis.

Auditors examined 461 cases, representing 24 different circuit clerks. To obtain information about these cases, auditors mailed each of the 24 circuit clerks a list of cases that originated in their county but for which there was no record on the CCH database. Of the 461 cases, nearly 76 percent originated in two large counties. Seven of the 24 counties had 10 or more cases. Eight counties had one case.

Auditors provided the circuit court clerks as much information as possible regarding each arrest, including the offender's first, middle and last names; aliases; state identification number (SID); document control number (DCN); arrest date; the arresting agency's Originating Agency Identifier (ORI); court case number; and whether the arrest indicated it was a warrant arrest.

Auditors obtained information from every county surveyed. Twenty-two counties returned survey results to the Authority; after two agencies' officials indicated that insufficient staff resources would prevent them from providing the requested information, auditors obtained it themselves. Upon reviewing the requested information, auditors realized that many agencies could not provide information regarding the court disposition.

## *2. Analysis of ISP's Statistical Report on Arrests ☆*

The Audit Center also analyzed annual trends in reporting arrests, state's attorney filings and court dispositions to the ISP for inclusion on the CCH database. The source of information – the ISP's Statistical Report on Arrests – is a monthly report regarding the number of arrests, state's attorney filings, court dispositions and other key data contained on the CCH database.



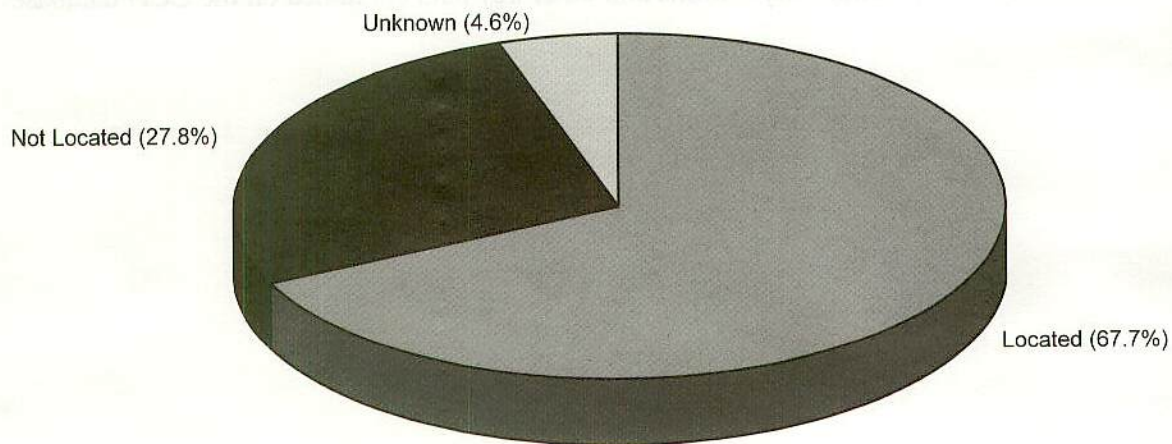
## Audit Findings >

***Finding 1: Most of the sampled cases had final dispositions, but they were not recorded on the CCH database.***

Of the 461 cases analyzed, circuit court clerks and audit staff located 312 (67.7 percent) dispositions; 128 dispositions (27.8 percent) were missing from the clerks' computer system or files; and 21 dispositions (4.6 percent) were "unknown" (Figure 1).<sup>25</sup> Most of these "unknown" cases were ones for which the circuit clerk had a file on the individual but did not indicate whether the person's case had been completed. For example, most of these cases did not indicate the final court disposition date. Some of these cases may still be open.

**Figure 1**

**Location of Court Dispositions Missing  
From the CCH Database in 1994**



N = 461

<sup>25</sup> Due to rounding, percentages in figures throughout the report may not total 100 percent.

Table 1 lists the location of dispositions for the seven counties from which audit staff requested information on at least 10 dispositions. The other 14 counties are grouped together in the table (#8 to #24).<sup>26</sup> Only one county could locate all of the requested dispositions. Another county was able to locate only two of the 11 dispositions, or 18.2 percent. The county from which the greatest number of dispositions was requested located 79.1 percent of the missing dispositions.

**Table 1  
Location of Court Dispositions Missing from the  
CCH Database in 1994, by County**

County	Total # of Cases	Dispositions Located		Dispositions Not Located		Location Unknown	
		# of Cases	% of Total	# of Cases	% of Total	# of Cases	% of Total
#1	206	163	79.1%	38	18.4%	5	2.4%
#2	143	93	65.0	42	29.4	8	5.6
#3	19	9	47.4	7	36.8	3	15.8
#4	15	9	60.0	5	33.3	1	6.7
#5	13	8	61.5	5	38.5	0	0.0
#6	11	2	18.2	8	72.7	1	9.0
#7	10	10	100.0	0	0.0	0	0.0
#8 to #24	44	18	40.9	23	52.3	3	6.8
Total	461	312	67.7	128	27.8	21	4.6

Dispositions exist on most of these cases (67.7 percent). Auditors were unable to determine which of these dispositions were not reported or were not postable. A large minority of dispositions (27.7 percent) were not located on the circuit clerk's system. Finally, a small minority of "missing" dispositions (4.6 percent) reflect the fact that cases are still in the courts.

<sup>26</sup> A complete list, by county, is located in Appendix D.

***Finding 2: The number of court dispositions added to the CCH database has decreased even as the number of arrests continues to increase.***

The ISP maintains statistics regarding the number of arrests and court dispositions that are posted to the CCH database by event type (for example, arrest, state's attorney charge, court disposition). Because court proceedings follow arrests in the criminal justice system, final disposition reporting may lag behind the arrest reporting by months or even years. However, over time, there should be a near one-to-one relationship between the number of arrests and court dispositions posted to the CCH database.

**CCH Database Totals ★**

*Arrests ☆*

As Figure 2 indicates, arrest events increased substantially during the late 1970s and early 1980s.<sup>27</sup> During that time, the number of arrests increased from about 184,500 in 1977 to more than 236,000 in 1981. The number then declined and stabilized during the mid-1980s. At its low point, about 152,500 arrests were reported for 1987. Arrests on the CCH database from 1989 to 1990 increased 63 percent, the most dramatic increase during the last 20 years. Nearly all of this increase was because the Chicago Police Department began reporting misdemeanor arrests to the ISP in 1989. Since then, arrest figures have continued to increase. There are 356,151 arrests from 1995 on the CCH database, more than double the figure for 1989.<sup>28</sup>

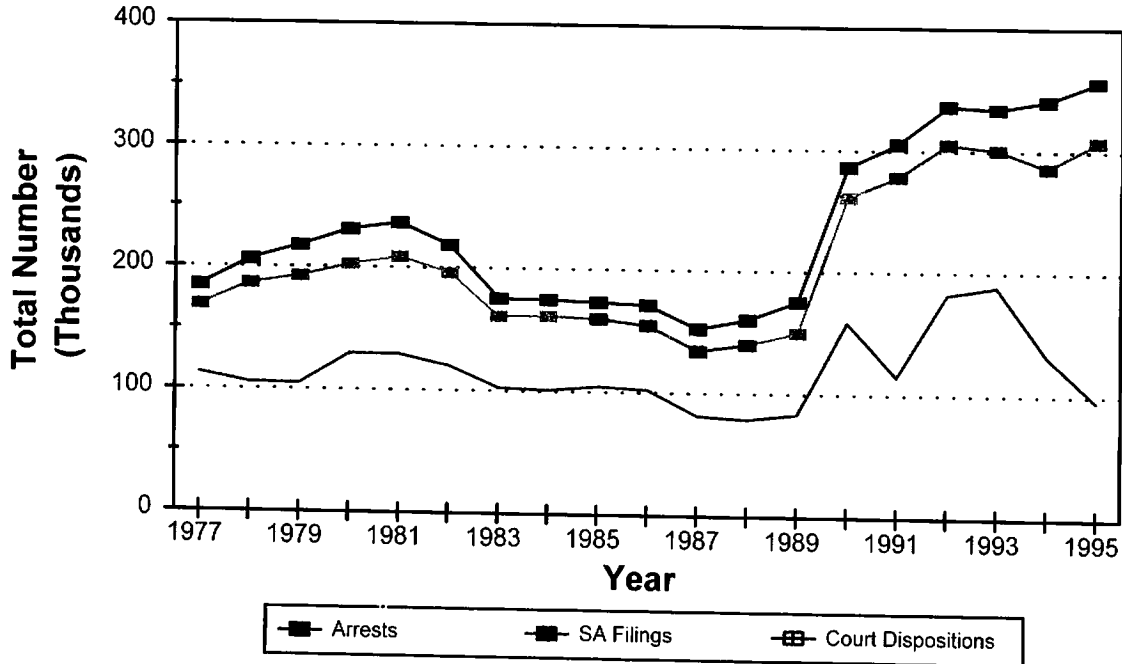
---

<sup>27</sup> All figures are grouped by year of the event (which may differ from the year the event was received by the ISP).

<sup>28</sup> As of the writing of the report, figures from 1996 were incomplete.

Figure 2

**Number of Arrest, SA and Court Events  
on the CCH Database: 1977 - 1995**



*State's Attorney Charges ☆<sup>29</sup>*

State's attorney charges and court dispositions cannot be posted to the CCH database unless a fingerprint-based arrest has been submitted. Figure 2 indicates that state's attorney charges follow very closely the number of arrests on the CCH database. Between 1977 and 1991, the number of state's attorney filings usually trailed the number of arrests by approximately 13,000 to 28,000 events. In 1992, the gap increased to nearly 31,000 and reached 55,000 in 1994.

<sup>29</sup> An Authority audit in December 1994 presented the issue of state's attorney filings being nearly equal to the number of arrests. That report noted that state's attorney filings nearly always equal arrests. Since 1987, the ISP has allowed counties to report the direct filing of state's attorney dispositions. Since 1991, the ISP can automatically post these records to the CCH system. The ISP automatically posts state's attorney dispositions from seven counties when it posts an arrest from one of them. All state's attorney dispositions in two counties, DuPage and Winnebago, are now directly filed. Misdemeanor charges are direct filed for Cook County. In addition, police departments in Cook County automatically file felony charges with the Cook County Circuit Court Clerk. Once ISP receives the police department's submission, it posts both the arrest and filing decision to the CCH database. ISP officials indicate that the ISP has followed this practice since March 1994. Filings that occurred before March were posted retroactively. Misdemeanor and traffic offenses are direct filed for state's attorneys in St. Clair, LaSalle and Madison counties. Felonies and misdemeanors are direct filed for state's attorney dispositions in Peoria County, as are warrants for Failures to Appear (FTAs) and Failures to Comply (FTCs). In fact, beginning in 1993, the ISP has retroactively posted state's attorney dispositions for all arrests in these counties to the CCH database.

In 1995, state's attorney filings still trailed arrest submissions by more than 48,000 events.

#### *Court Dispositions* ☆

Annual submissions of court dispositions remained fairly consistent from 1977 to 1989. The high point during those years is 1980, which accounts for more than 129,000 dispositions. The low was in 1988, which accounts for about 78,500 court dispositions. Like arrests, court dispositions increased significantly in 1989, almost doubling to 158,519 events. The greatest number of dispositions for one year is 1993. The CCH database had 187,803 court dispositions for that year. However, the number decreased to 131,114 in 1994. There were 76,253 dispositions for events that occurred in 1995, a decrease of 59 percent in two years.

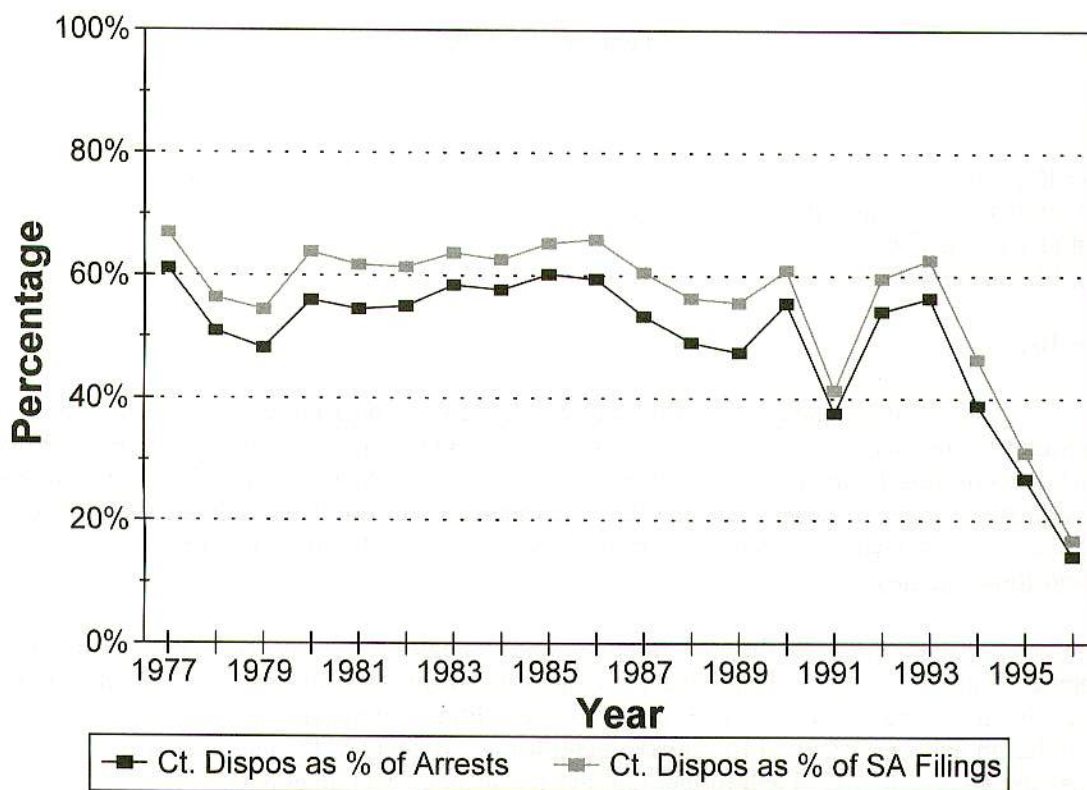
#### *Court Dispositions as a Percentage of Arrests and State's Attorney Dispositions* ☆

When a person is arrested and formally charged, the information is forwarded to the ISP for posting on the CCH database. Each arrest with a state's attorney's filing should have a subsequent court disposition, such as guilty, not guilty, case dismissed and no contest. The ratio of annual submissions of court events to arrests and state's attorney filings has decreased during the last two years (Figure 3). Until the mid-1980s, court dispositions usually averaged just less than 60 percent of the number of arrests. In 1986, there were nearly 60 percent as many court events as arrests. By 1989, this figure had decreased to 47 percent.

In the 1990s, the ratio of annual submissions of court dispositions to arrests and state's attorney filings has changed annually. The ratio increased to 56 percent in 1990, dropped to 38 percent in 1991, increased to 54 percent in 1992 and 56 percent in 1993, and has dropped ever since. In 1994, court dispositions as a percentage of all arrests on the CCH database dropped to 39 percent and then fell even further to 27 percent in 1995. Although figures for 1996 are incomplete, through September 1996 the CCH database contained one court disposition for every 14 arrests.

Figure 3

### Court Events as Percentage of Arrests and SA Filings: 1977 - 1995



On average, court events as a percentage of state's attorney filings were 6 percent greater than court events as a percentage of arrests. This varies very little from 1977 to 1995. In fact, the greatest difference in the figures was for 1980 and 1989, when court events as a percentage of state's attorney filings was 8 percent greater than those for arrests; the smallest differences were in 1991 and 1995, when there was a 4-percent difference between the categories.

#### Recommendations ➤

As in the 1994 audit, the Authority recommends the Ad Hoc Committee on Dispositional Reporting devise a strategy for obtaining those dispositions currently missing from the CCH database.



**ILLINOIS STATE POLICE**  
*Office of the Director*

Jim Edgar  
*Governor*

Terrance W. Gainer  
*Director*

February 10, 1997

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

Dear Mr. Bensinger:

The Illinois State Police (ISP) has reviewed the *1996 Criminal History Records Audit*. The audit measures the quality of system records by using the 1994 audit as a baseline to measure improvements in the timeliness of records submitted by local agencies to the Illinois State Police and the ISP's timeliness in making records available for use by other agencies. This audit also reviewed the completeness of computerized criminal history (CCH) records by evaluating the relationship between the number of arrests and corresponding court dispositions on the data base.

ISP concurs with the audit findings, and strategies to address these findings are included in this response. Audit Finding #2 indicates that strategies implemented by ISP have been effective in reducing ISP processing times and therefore will be continued. In addition, a new criminal history record information (CHRI) redesign and an automated fingerprint identification system (AFIS) upgrade will be implemented within the next 18 months which will further improve the accuracy and timeliness of the CHRI system.

**Section 1: Timeliness of Criminal History Records**

***Finding 1: In most cases, the timeliness of mailed arrest, charge, disposition and custodial receipt information submitted by local agencies has declined since 1994. Also, with some exceptions, local agencies do not submit mailed arrest, charge, disposition and custodial receipt information in the time frame required by Illinois statutes. Submissions for Livescan arrests had the highest rate of compliance in both years.***

*ISP will continue to promote utilization of Livescan technologies.* Illinois Compiled Statutes require arrest information to be reported to ISP within 24 hours of the arrest. The audit found that only 21 percent of mailed arrest cards were received by ISP within 4 days of the arrest as compared to 99.75 percent of Livescan arrest cards were received within 2 days of the arrest. Therefore, ISP will continue to offer technical expertise in purchasing and evaluating Livescan equipment.

*ISP will continue to pursue the electronic reporting of all criminal history submissions.* Illinois Compiled Statutes require disposition and custodial information to be reported to ISP within 30 days of the event. ISP is utilizing federal funds to implement a \$4 million dollar upgrade of the Law Enforcement Agencies Data System (LEADS) and criminal history systems. This would facilitate the rapid identification of offenders, the electronic reporting of disposition and custodial information, and to provide electronic notification to users. This redesign is expected to be completed by June 1998.

ISP will continue to discuss reporting issues *with local agencies*. Over the past several years, ISP has conducted formal discussion groups within county boundaries to identify and resolve problems associated with reporting arrests and dispositions to the criminal history record information program, and to provide a continual forum for the criminal justice community to discuss changes in reporting procedures, new technologies and additional reporting problems.

*ISP will continue to maintain and distribute the CHRI User's Manual to all reporting entities.* In 1995, ISP created and distributed an Illinois CHRI User's Manual for criminal justice agencies to use when reporting CHRI to ISP. An update of the manual was distributed to all criminal justice agencies in December 1996.

***Finding 2: The ISP has significantly improved the time in which arrests, charges, dispositions and custodial information is posted to the CCH database. Those that are not posted to the database are often not postable or are placed in a pending file. Other dispositions are in process or their location is unknown.***

*ISP will continue to use private vendors to assist in processing criminal history documents.* ISP has arranged for a vendor to key and send criminal history data via modem to the ISP mainframe computer which has had a significant impact on processing time

*ISP will upgrade the Automated Fingerprint Identification System.* A \$10 million dollar upgrade of the current AFIS system will incorporate an electronic interface to Livescan fingerprint devices, incorporate single fingerprint technology, and allow for the electronic submission of fingerprints to the FBI and other criminal justice agencies.

*ISP will expand the Online Disposition Reporting program to counties within the state.* ISP used federal funds to fully automate the reporting of court dispositions in Illinois by developing an online reporting system. Programming logic has been included to notify arresting agencies when court dispositions are not postable to the CCH database because the corresponding arrest event has not been submitted to ISP.

***Finding 3: Although agencies that submit state's attorney charge or court disposition information via magnetic tape do so in a timely manner, most of the dispositions could not be posted to the CCH database in a timely manner.***

*ISP will implement programming changes to improve the processing of magnetic tapes.* ISP analysis of unposted dispositions has determined significant discrepancies between the document control numbers reported on dispositions and the arrest card. In fact, based on ISP analysis, specialized edit routines to the unposted dispositions were applied that resulted in 85 percent of the audited dispositions being posted within 45 days of the audit date. In addition, it is anticipated that programming changes made in the online disposition reporting program will improve the processing of dispositions received via magnetic tapes.

## **Section 2: Missing Court Dispositions**

***Finding 1: Most of the sampled cases had final dispositions, but they were not recorded on the CCH database.***

***Finding 2: The number of court dispositions added to the CCH database has decreased even as the number of arrests continues to increase.***



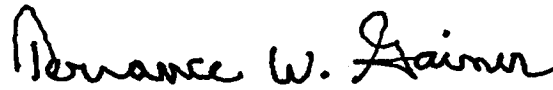
Mr. Peter Bensinger  
February 10, 1997

Page 3

ISP will target counties whose disposition reporting rate is low and partner with those counties to retrieve missing disposition information. Whenever possible, the retrieval of historical disposition information will occur in an electronic format through the exchange of magnetic tapes or via the online disposition reporting program.

While significant improvements have been made since our previous audit, this report will assist in focusing our attention for future improvements. The Illinois State Police will continue to develop new and innovative programs designed to minimize manual resources required by criminal justice agencies to fulfill their statutory obligations for reporting CHRI. This should result in an overall improvement in the quality of the records maintained by the Illinois State Police.

Respectfully,

A handwritten signature in black ink that reads "Terrance W. Gainer". The signature is written in a cursive style with a large initial 'T'.

Terrance W. Gainer  
Director

## Appendix A

### Glossary

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**posted data.** An event or other information that has been attached to an individual's computerized criminal history (CCH) record on the CCH database.

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

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

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

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

**source document.** The original written or printed record of a person's formal contacts with the criminal justice system.

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

**State Identification Number (SID).** Number used by the Illinois State Police (ISP) to uniquely identify people with existing records in the computerized criminal history (CCH) records database.

**statutory class of (arrest charge, charge reported by state's attorney, or charge reported by circuit court clerk).** Also, offense class. The statutorily defined grouping of criminal offenses to establish severity and criminal sanction. In Illinois, there are six classes of felony offenses: first degree murder, and Classes X, 1, 2, 3 and 4. There are also three classes of misdemeanor offenses: Classes A, B and C. With some exceptions, all but Class C offenses are reportable to the ISP.

**submission (of events).** The act of reporting criminal history or noncriminal history event information from an agency to the state central repository.

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

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

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

## Appendix B

### Criminal Identification Act

The Criminal Identification Act (20 ILCS 2630/0.01 et seq./formerly IRS, Ch. 38. par 206) names the Illinois State Police as the state central repository for Illinois CHRI, including collection, maintenance, and dissemination of CHRI. In addition, all policing bodies, clerks of circuit courts, sheriffs and state's attorneys in each county, and Illinois Department of Corrections (IDOC) must submit certain arrest, charge, and disposition information to ISP within 30 days of the criminal history event. Specifically, the Act provides the following reporting requirements:

(a) Arrest Information. All agencies making arrests for offenses which are required by statute to be collected, maintained or disseminated by the Department of State Police shall be responsible for furnishing daily to the Department fingerprints, charges and descriptions of all persons who are arrested for such offenses. All such agencies shall also notify the Department of all decisions not to refer such arrests for prosecution. An agency making such arrests may enter into arrangements with other agencies for the purpose of furnishing daily such fingerprints, charges and descriptions to the Department upon its behalf.

(b) Charge Information. The State's Attorney of each county shall notify the Department of all charges filed, including all those added subsequent to the filing of a case, and whether charges were not filed in cases for which the Department has received information required to be reported pursuant to paragraph (a) of this Section.

(c) Disposition Information. The clerk of the circuit court of each county shall furnish the Department, in the form and manner required by the Supreme Court, with all final dispositions of cases for which the Department has received information required to be reported pursuant to paragraphs (a) or (d) of this Section. Such information shall include, for each charge, all (1) judgments of not guilty, judgments of guilty including the sentence pronounced by the court, discharges and dismissals in the court; (2) reviewing court orders filed with the clerk of the circuit court which reverse or remand a reported conviction or vacate or modify a sentence; (3) continuances to a date certain in furtherance of an order of supervision granted under Section 5-6-1 of the Unified Code of Corrections or an order of probation granted under Section 10 of the Cannabis Control Act, Section 410 of the Illinois Controlled Substances Act, Section 12-4.3 of the Criminal Code of 1961, Section 10-102 of Illinois Alcoholism and Other Drug Dependency Act, or Section 10 of the Steroid Control Act; and (4) judgments terminating or revoking a sentence to

probation, supervision or conditional discharge and any resentencing after such revocation.

(d) Fingerprints After Sentencing. (1) After the court pronounces sentence, or issues an order of supervision or an order of probation granted under Section 10 of the Cannabis Control Act, Section 410 of the Illinois Controlled Substances Act, Section 12-4.3 of the Criminal Code of 1961, Section 10-102 of the Illinois Alcoholism and Other Drug Dependency Act, or Section 10 of the Steroid Control Act, for any offense which is required by statute to be collected, maintained, or disseminated by the Department of State Police, the State's Attorney of each county shall ask the court to order a law enforcement agency to fingerprint immediately all persons appearing before the court who have not previously been fingerprinted for the same case. The court shall so order the requested fingerprinting, if it determines that any such person has not previously been fingerprinted for the same case. The law enforcement agency shall submit such fingerprints to the Department daily.

(2) After the court pronounces sentence for any offense which is not required by statute to be collected, maintained, or disseminated by the Department of State Police, the prosecuting attorney may ask the court to order a law enforcement agency to fingerprint immediately all persons appearing before the court who have not previously been fingerprinted for the same case. The court may so order the requested fingerprinting, if it determines that any so sentenced person has not previously been fingerprinted for the same case. The law enforcement agency may retain such fingerprints in its files.

(e) Corrections Information. The Illinois Department of Corrections and the sheriff of each county shall furnish the Department with all information concerning the receipt, escape, execution, death, release, pardon, parole, commutation of sentence, granting of executive clemency or discharge of an individual who has been sentenced to the agency's custody for any offenses which are mandated by statute to be collected, maintained or disseminated by the Department of State Police. For an individual who has been charged with any such offense and who escapes from custody or dies while in custody, all information concerning the receipt and escape or death, whichever is appropriate, shall also be furnished to the Department.



**APPENDIX C - TIMELINESS TEST CODING FORMS**

Audit Sample Number

Prepared by: J K L

**CHRAC Authority Audit  
Data Collection Form**

**ARRESTS**

Receipt Date: [ 11/15 11/16 11/17 ] 1995

DATA MISSING

DCN:

Y

Arresting Agency ORI: IL

Y

PCN:

Y

Class: X M 1 2 3 4 A B C Z

Y

DOA:

Y

---

**FOLLOW UP**

DATA  
MISSING

PRELIMINARY [ 12/06 12/07 12/08 ] 1995

Date Rec'd:  (off of PCN screen) Tracked by: J K L

Y

90 DAYS [ 2/14 2/15 2/16 ] 1996

Date Rec'd:  (off of PCN screen) Tracked by: J K L

Y

Maint. Date:  (off of DCN screen) Tracked by: J K L

Y

Duplicate PCN?                    Y            N

If Yes, New PCN:

Auditor's Comments:

---

---

Audit Sample Number

Prepared by: J K L

**CHRAC Authority Audit  
Data Collection Form**

**STATE'S ATTORNEY (SA)**

**Receipt Date: [ 11/15 11/16 11/17 ] 1995**

DCN:

DATA MISSING

Y

Arresting Agency ORI:IL

Y

PCN:

Y

Class: X M 1 2 3 4 A B C Z

Y

SA's Disposition: 3 4 5 6

Y

Disposition Type: 1 2

Y

Disposition Date:

Y

SA's ORI: IL

Y

---

**FOLLOW UP**

PRELIMINARY [ 12/06 12/07 12/08 ] 1995

DATA MISSING

Date Rec'd:  (off of PCN screen) Tracked by: J K L

Y

90 DAYS [ 2/14 2/15 2/16 ] 1996

Date Rec'd:  (off of PCN screen) Tracked by: J K L

Y

Maint. Date:  (off of DCN screen) Tracked by: J K L

Y

Duplicate PCN? Y N

If Yes, New PCN:

Auditor's Comments:

---

---

Audit Sample Number

Prepared by: J K L

**CHRAC Authority Audit  
Data Collection Form**

**COURT (CT)**

**Receipt Date: [ 11/15 11/16 11/17 ] 1995**

DATA MISSING

DCN:

Y

Arresting Agency ORI: IL

Y

PCN:

Y

Class: X M 1 2 3 4 A B C Z

Y

Court Case Number: \_\_\_\_\_

Y

Date Disposed:

Y

NCIC Number: IL

Y

---

**FOLLOW UP**

PRELIMINARY [ 12/06 12/07 12/08 ] 1995

DATA MISSING

Date Rec'd:  (off of PCN screen) Tracked by: J K L

Y

90 DAYS [ 2/14 2/15 2/16 ] 1996

Date Rec'd:  (off of PCN screen) Tracked by: J K L

Y

Maint. Date:  (off of DCN screen) Tracked by: J K L

Y

Duplicate PCN? Y N

If Yes, New PCN:

Auditor's Comments:  
\_\_\_\_\_  
\_\_\_\_\_

Audit Sample Number

Prepared by: J K L

**CHRAC Authority Audit  
Data Collection Form**

**Custodial Receipt --421s (CR)  
Receipt Date: [ 11/15 11/16 11/17 ] 1995**

(\*ALWAYS USE FINGERPRINT CARD FOR INFORMATION)

DATA MISSING

DCN: <input type="text"/>	Y
Confining Agency ORI: IL <input type="text"/>	Y
Agency Received From ORI: IL <input type="text"/>	Y
PCN: <input type="text"/>	Y
Date Printed: <input type="text"/>	Y

**FOLLOW UP**

PRELIMINARY [ 12/06 12/07 12/08 ] 1995 DATA MISSING

Date Rec'd:  (off of PCN screen) Tracked by: J K L Y

90 DAYS [ 2/14 2/15 2/16 ] 1996

Date Rec'd:  (off of PCN screen) Tracked by: J K L Y

Maint. Date:  (off of DCN screen) Tracked by: J K L Y

Duplicate PCN? Y N

If Yes, New PCN:

Auditor's Comments:

Audit Sample Number|\_|\_|\_|\_|

Prepared by: J K L

**CHRAC Authority Audit  
Data Collection Form**

**Custodial Status Change (CSC)  
Receipt Date: | 11/15 11/16 11/17 | 1995**

DATA MISSING

DCN: |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

Y

Confining Agency ORI: IL |\_|\_|\_|\_|\_|\_|\_|\_|

Y

PCN: |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

Y

CSC Date: |\_|\_|\_|\_|\_|\_|\_|\_|

Y

Status: 401 408 409 410 411 416 422

423 424 431 432 433 434 435 436

Y

**FOLLOW UP**

PRELIMINARY [ 12/06 12/07 12/08 ] 1995

DATA MISSING

Date Rec'd: |\_|\_|\_|\_|\_|\_|\_|\_| (off of PCN screen) Tracked by: J K L

Y

90 DAYS [ 2/14 2/15 2/16 ] 1996

Date Rec'd: |\_|\_|\_|\_|\_|\_|\_|\_| (off of PCN screen) Tracked by: J K L

Y

Maint. Date: |\_|\_|\_|\_|\_|\_|\_|\_| (off of DCN screen) Tracked by: J K L

Y

Duplicate PCN? Y N

If Yes, New PCN: |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

Auditor's Comments:

**Appendix D**  
**Location of Court Dispositions at Clerks's Offices for Submissions**  
**Missing from the CCH Database During the 1994 Audit**

County	Dispositions Located	Dispositions Not Located	Location Unknown	Total Number of Dispositions
#1	3	1	0	4
#2	9	7	3	19
#3	1	0	0	1
#4	0	3	0	3
#5	1	0	2	3
#6	93	42	8	143
#7	1	0	0	1
#8	2	8	1	11
#9	0	1	0	1
#10	1	0	0	1
#11	2	2	0	4
#12	3	0	0	3
#13	3	5	0	8
#14	1	0	0	1
#15	0	3	0	3
#16	10	0	0	10
#17	1	0	0	1
#18	1	3	0	4
#19	0	3	1	4
#20				1
#21	9	5	1	15
#22	8	5	0	13
#23	0	1	0	1
#24	163	38	5	206
Total	312	128	21	461

*This report was published pursuant to Grants #94-DB-CX-0017 and #95-DB-CX-0017 awarded by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. The Crime Control Act of 1990 amended part E of the Omnibus Crime Control and Safe Streets Act to require each state that receives Edward Byrne Memorial State and Local Law Enforcement Assistance formula grant funds to allocate at least 5 percent of its total award for the improvement of criminal justice records. This criminal history records audit is paid for with some of the funds made available to Illinois. The Assistant Attorney General, Office of Justice Programs, coordinates the activities of the following program offices and bureaus: Bureau of Justice Assistance, Bureau of Justice Statistics, National Institute of Justice, Office of Juvenile Justice and Delinquency Prevention, and the Office of the Victims of Crime.*

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

Copyright © 1997 Illinois Criminal Justice Information Authority  
120 S. Riverside Plaza, Suite 1016  
Chicago, IL 60606-3997  
312-793-8550

Printed by authority of the State of Illinois  
March 1997  
Printing order number: 97-043  
1,200 copies

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