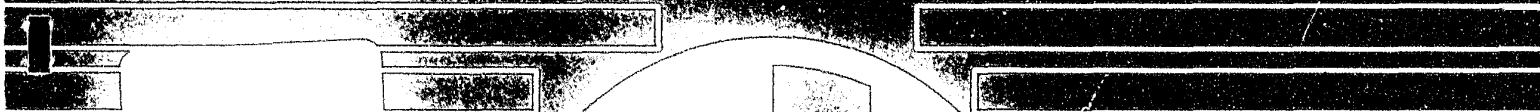
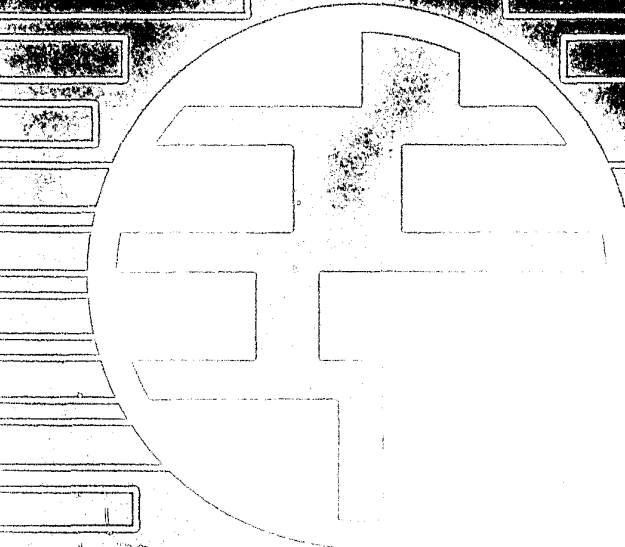


**ILLINOIS
CRIMINAL JUSTICE
INFORMATION AUTHORITY**



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ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY

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Annual Audit Report 1985-1986:
Court Disposition
Reporting and Processing

December 1986

NCJRS

APR 11 1988

ACQUISITIONS

Illinois Criminal Justice Information Authority

William Gould, Chairman
J. David Coldren, Executive Director

Gerard F. Ramker, Senior Research Analyst
John D. Markovic, Research Analyst
Karen Albrandt, Research Analyst

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Table of Contents

List of Tables and Figures	ii
Authority Resolution #3 (1986)	iv
Certification	v
Preface	vi
Executive Summary	1
Background	5
Introduction	5
The Illinois CCH System	5
Initiation of a CCH Record	6
Formats of CCH Transcripts	6
"CCH Complete" Records	6
"CCH Incomplete" Records	6
Findings of Past CCH Audits	7
The 1985-1986 CCH Audit	11
Methods	11
Analyses	12
Summary	13
Analysis	15
Second or Subsequent Dispositions	15
Dispositions Referencing More Than Eight Charges	15
Reported Date of Arrest	22
Entry of Dispositions from Custodial Reports	25
Reports Indicating the Use of Aliases	29
CCH Processing Times	33
Significance of Audit	45
Findings and Recommendations	47
Illinois Department of State Police Response	49
Bibliography	50
Attachments	51
CCH Report Forms	
Examples of CCH Transcripts	
Uniform Disposition Reporting Law	

List of Tables and Figures

TABLES

Table 1. Range of Dates Covered by Disposition Reports That Were Examined	12
Table 2. Types of Disposition Reports That Were Examined	13
Table 3. Reports Referencing More Than Eight Charges: Number of Cases Reported Disposed of	16
Table 4. Disposition Reports Referencing More Than Eight Charges: Breakdown of Offenses	17
Table 5. Charge Type Defined by Multiple Versus Single Counts of Charges	20
Table 6. Date of Arrest Reported Versus Date of Arrest Recorded on CCH	24
Table 7. Comparison of Data Entered From Custodial Reports Versus Data Contained in Disposition Reports	26
Table 8. Comparison of Data Entered From Reports Indicating Aliases Versus Data Contained in Disposition Reports	30
Table 9. Summary of Elapsed Times Analyzed From Problematic Reports	34
Table 10. Time Elapsed Between Date of Arrest and Date Arrest was Entered into CCH System	36
Table 11. Time Elapsed Between Date of Final Court Disposition and Date Disposition was Entered into CCH System	40
Table 12. Time Elapsed Between Date of Final Court Disposition and Date Disposition was Received at DSP	41
Table 13. Time Elapsed Between Date Final Court Disposition was Received at DSP and Date it was Entered into CCH System	44

FIGURES

Figure A. Trend in Manual Rap Sheets Generated 9

Figure B. Charge Type Defined by Multiple Versus Single
Counts of Charges 21

Figure C. Dispositions Entered From Custodials: Comparison
of Reported and Recorded Data Elements 27

Figure D. Reports Indicating Aliases: Comparison of Reported
and Recorded Data Elements 31

Figure E. Elapsed Time Between Date of Arrest and Date of Final
Court Disposition 37

Figure F. Elapsed Time Between Entry of Arrest and Entry of Final
Disposition Into CCH System 38



**ILLINOIS
CRIMINAL JUSTICE
INFORMATION AUTHORITY**

120 South Riverside Plaza Chicago, Illinois 60606 (312) 793-8550

RESOLUTION

WILLIAM GOULD
Chairman

JAMES A. SPROWL
Vice-Chairman

KENNETH R. BOYLE
*Director, State's Attorneys
Appellate Service Commission*

RICHARD M. DALEY
Cook County State's Attorney

RICHARD J. ELROD
Cook County Sheriff

FRED L. FOREMAN
Lake County State's Attorney

NEIL F. HARTIGAN
Illinois Attorney General

DONALD HUBERT
Attorney-at-Law

CAROLYN H. KRAUSE
Mayor, Village of Mt. Prospect

MICHAEL P. LANE
Director of Corrections

ROBERT E. NALL
Adams County Sheriff

FRED RICE
Chicago Police Superintendent

DAN K. WEBB
Attorney-at-Law

JAMES B. ZAGEL
Director of State Police

J. DAVID COLDREN
Executive Director

#3 (1986)

Annual Audit Report 1985-1986

WHEREAS, the Illinois Criminal Justice Information Authority is responsible for conducting annual and periodic audits of the procedures, policies, and practices of the State central repositories for criminal history record information; and

WHEREAS, the Computerized Criminal History (CCH) System maintained by the Illinois Department of State Police has been examined by the Authority for compliance with federal and State laws with respect to disposition reporting, accuracy and completeness; and

WHEREAS, the Department of State Police has reviewed the Audit Report and has prepared a formal response for incorporation in the Report:

THEREFORE BE IT RESOLVED that the 1985-1986 Annual Audit Report is hereby adopted by the Authority and shall be released by the Chairman in accordance with the Authority's rules and regulations.

ADOPTED by the Illinois Criminal Justice Information Authority this 26th day of September, 1986.

Chairman *William Gould*

(Motion to adopt introduced by Adams County Sheriff, Robert E. Nall. Seconded by Cook County State's Attorney, Richard M. Daley. Motion passed by unanimous, roll call vote, Director of State Police James B. Zagel abstaining, 7-0-1.)



**ILLINOIS
CRIMINAL JUSTICE
INFORMATION AUTHORITY**

120 South Riverside Plaza Chicago, Illinois 60606 (312) 793-8550

CERTIFICATION

The Illinois Criminal Justice Information Authority hereby certifies that the criminal history record-keeping procedures and practices of the Illinois Department of State Police have been tested to ensure compliance with federal and state privacy and security laws and regulations. During the course of the examination, consideration has been given to the reporting and processing of court dispositions. The Authority's examination was conducted on a test basis and, as such, cannot ensure discovery of all types of irregularities.

Attached hereto is the full report of the Authority, including its findings and recommendations for 1985-1986.

William Gould

William Gould
Chairman

Dated: Nov. 11, 1986

Preface

This audit report by the Illinois Criminal Justice Information Authority has been reviewed by the Illinois Department of State Police (DSP) according to procedures established by the Authority's Operations and Audits Committee.

All findings and recommendations contained in the report have been discussed by representatives of DSP and Authority staff. DSP has had an opportunity to respond to the report both in the public forum afforded by the Authority's Operations and Audits Committee and in the attached formal written response. Therefore the findings and recommendations presented in this report represent the product of dialogue with DSP and are not the sole viewpoint of the Illinois Criminal Justice Information Authority.

The Authority acknowledges the contribution of DSP's Bureau of Data Processing and Bureau of Identification to the success of this audit.

Executive Summary

This report summarizes the findings of the fifth audit of the Computerized Criminal History system (CCH), the state's central repository for criminal history record information maintained by the Illinois Department of State Police (DSP). The Illinois Criminal Justice Information Authority conducts these audits under the state requirement that the Authority "act as the sole, official criminal justice body in Illinois to conduct annual and periodic audits of the procedures, policies, and practices of the Illinois central repositories for criminal history record information."

In general, the purposes of these audits are to ensure that the state repository complies with federal and state laws regarding the privacy and security of criminal history record information, and to ensure that procedures are established to identify and correct errors promptly.

The issues raised in Authority audits must be considered in the context of total CCH program operations in DSP, both historically and in terms of current activities.

Significant progress has been made in CCH operations during the last several years. Serious backlogs of reported criminal events have been eliminated, for example, resulting in reduced processing times. A new name search routine, file structures, and a reduction in duplicative reporting of Illinois Vehicle Code violations also attest to this progress. Additionally, a new microfilming program has been implemented with assistance provided through the Authority's Office of Federal Assistance Programs. This program will achieve three important goals:

- Provide secure, off-site storage of records;
- Correct errors that have occurred during the past 50 years in processing and using the vast volume of records; and
- Establish new procedures and file structures to significantly reduce errors and their impact upon local agencies.

It is also important to place these audit findings in context of the vast amount of criminal history record information processed by DSP in its operation of the CCH system. During 1985, for example, a total of 189,404 arrest fingerprint cards were received at DSP's Bureau of Identification (BOI). This represented an average of more than 15,000 cards per month. Additionally, a total of 16,179 custodial fingerprints, or about 1,300 per month, were received for processing. Applicant fingerprint cards totaled more than 24,000 for the year or about 2,000 per month. In sum, DSP received 229,771 fingerprint cards in 1985, or nearly 20,000 per month.

Similarly, each month the bureau performed about 8,000 fingerprint classifications and searches, retrieved and filed more than 15,000 file jackets, and sent almost 20,000 responses to users on a monthly basis during 1985. The volume of information transmitted to and from DSP is indicative of the critical role the CCH system plays in the state criminal justice system.

Illinois' current CCH system is under an intensive analysis and evaluation by DSP. The Authority has assisted DSP in these activities both in the issuance of its audit report recommendations and in providing consultative support during the course of redesign efforts.

Despite the progress made by DSP in the operation of the computerized criminal history system, some aspects of it remain troublesome. Past estimates place the number of arrest events with no final court disposition information ("missing dispositions") at about 50 percent. Consequently, the audit this year focused on court disposition reporting and the process through which this reported information is entered into the CCH system.

In broad terms, the goal of this audit was to learn more about the problem of "missing" dispositions and to assess the extent to which this serious problem may be a function of CCH computer system deficiencies or a function of reporting problems by local agencies.

Past audits have touched on this issue to a certain extent. And, while the Authority has already advised DSP during the redesign process of its position on a number of concerns addressed in the present audit, this report analytically demonstrates and documents the need for revisions to the current CCH system. Most important, this report also provides a series of benchmark statistics with which the Authority can better evaluate the new and improved CCH system after its implementation.

Current disposition processing at DSP works in the following manner. Reports are initially processed at facilities in Springfield. If "problems" with individual disposition reports are encountered during attempted data entry, however, the problematic reports are boxed and eventually forwarded to the Joliet facility, where an attempt is made to "solve" the problems and enter the dispositional data.

Our analyses of disposition reporting and processing were conducted with the reports on hand at the Springfield facility in October 1985. The inventory of problematic disposition reports totaled 11,660 individual reports.¹ The reports were grouped into five subsets of specific problems by DSP personnel in Springfield:

1. Dispositions reporting second dispositions of terms of probation, including violations and dismissals, and dispositions reporting dismissals of terms of court supervision and certain probations (4,638; 40 percent).
2. Dispositions indicating a date of arrest that was different from the date on the CCH system associated with the reported arrest document (1,148; 10 percent).
3. Dispositions reporting information on more than eight charges (604; 5 percent).
4. Dispositions reporting information that did not agree with disposition information on the CCH system entered from a custodial fingerprint card (3,885; 33 percent).
5. Dispositions reporting various aliases, such as name or date of birth, which had to be entered at the Joliet facility (1,385; 12 percent).

The audit staff drew a stratified sample of these problematic disposition reports for further study. Our analyses of these reports and the methods employed to process them revealed several important findings:

- The current CCH system is not equipped to handle the variety of disposition outcomes that are encountered in routine criminal justice processing. In instances where there is more than one disposition resulting from a given charge or set of charges, CCH cannot adequately capture the second disposition. Of significance is the fact that the method used by DSP to modify the initial disposition to include information about the second or

¹It should be noted that these disposition reports do not represent all dispositions missing from the CCH system. In fact, these 11,660 reports were simply those "problematic" dispositions on hand in the Springfield DSP facility when we requested them for data analysis.

subsequent disposition is not satisfactory because such dispositions cannot be easily interpreted by criminal justice personnel and consequently are not adequate for decision making.

- The current CCH system does not allow for the entry of criminal history record information relating to more than eight charges. DSP developed a procedure for handling this computer design shortcoming, but it is inadequate and does not appear to be implemented in a uniform or consistent manner. In some cases in which there was information in the report dealing with more than eight charges, no dispositional information was entered on CCH. In other cases, some charges were omitted from entry. In still other cases, DSP created additional arrest segments to capture the extra charge information. What is significant is that these methods have the effect of inflating the number of arrests and missing dispositions on the CCH system and, more important, compromise the utility of CCH as a decision-making tool.
- In situations where the disposition report indicated an arrest date that did not match the arrest date indicated on the corresponding CCH arrest segment, the report was not entered on CCH. There appeared to be no rationale for precluding the entry of these events since DSP routinely enters information from disposition reports in which no arrest date is indicated. Furthermore, based on information indicated on the disposition reports (court case number and the charge citations), it was evident that the dispositions could have been reliably linked to the arrest segment.
- The policy of entering the available disposition information from the custodial fingerprint cards, rather than from the disposition report itself, caused inaccurate and incomplete disposition information to be posted to CCH. Again, this policy compromises the utility of CCH as a decision-making tool.
- Disposition reports that were forwarded from Springfield to Joliet because of the need to enter alias name or date of birth were generally not problematic. An examination of data elements on the disposition reports indicated that they generally matched the corresponding information on CCH. However, in approximately one-fifth of the CCH entries the information about sentence type and sentence term did not fully reflect what was indicated on the disposition report.
- An analysis of processing time confirmed findings of previous audits that arrest information is generally reported to DSP in a timely manner and that DSP, in turn, is posting this information to CCH within a relatively short time period, on average. On the other hand, the processing of disposition information is more problematic. A considerable portion of disposition reports are missing. Given the findings of this and previous audits, deficiencies in processing of dispositional information are further aggravated by the fact that manual disposition reporting is not done uniformly in Illinois, and that certain systematic constraints of the current CCH system act to delay the timely processing of disposition information at DSP.

Background

Introduction

This report summarizes the findings of the fifth audit of the state central repository for criminal history record information maintained by the Illinois Department of State Police (DSP).² The Illinois Criminal Justice Information Authority conducts these audits pursuant to the statutory requirement that the Authority "act as the sole, official criminal justice body in Illinois to conduct annual and periodic audits of the procedures, policies, and practices of the Illinois central repositories for criminal history record information."³ In general, the purposes of these audits are to ensure that the state repository complies with federal and state laws regarding the privacy and security of criminal history record information, and to ensure that procedures are established to identify and correct errors promptly.

Illinois' current computerized criminal history (CCH) system is under an intensive analysis and evaluation by DSP. This audit was designed and implemented with the intent of benefiting these efforts as well as laying the groundwork for future audits of the "new" CCH system.

The Illinois CCH System

The Criminal Identification and Investigation Act of 1931 designated DSP as the central repository and custodian of crime statistics for the state.⁴ By statute, all policing bodies in the state are required to furnish daily to DSP copies of fingerprints of individuals arrested for felonies and most misdemeanors. Subsequent legislation⁵ requires that other case information be supplied by state's attorneys, circuit court clerks, and local correctional agencies.

The CCH transcript (rap sheet) is meant to be a cumulative record of an individual's activities within the criminal justice system. By law, however, only felony charges and serious misdemeanors are required to be reported.⁶ The rap sheet also contains identification information, such as race, date of birth, physical descriptors, and fingerprint classification.

Criminal history record information is available to any criminal justice agency, anywhere in the state, for use in day-to-day decisions about processing persons through the system. For example:

- State's attorneys rely on rap sheets in deciding how to approach a case, and what charges to file in light of a defendant's criminal history. For example, theft of a firearm could be filed as a Class 3 felony instead of a Class 4 felony if it is a second or subsequent offense.⁷
- Judges rely on rap sheets in setting bond for defendants and in deciding which defendants not to release prior to final disposition in a case. They also use rap sheet information in sentencing convicted offenders.

²Additionally, in 1982, the Office of the Auditor General, State of Illinois, published an audit of the CCH system (see bibliography).

³Illinois Revised Statutes, Chapter 38-210-7(i)

⁴Illinois Revised Statutes, Chapter 38-206 et seq.

⁵Illinois Revised Statutes, Chapter 38-206-2.1 et seq.

⁶Illinois Revised Statutes, Chapter 38-206-5, 206-2.1 et seq.

⁷Illinois Revised Statutes, Chapter 38-16-1(e),(2)

- Probation and other community correctional agencies rely on rap sheet information to formulate treatment programs and to determine appropriate levels of supervision.
- Correctional officials need to classify persons remanded to their custody as to appropriate security placement for housing, work assignments, and so on. Knowledge of prior criminal history is considered essential in making these decisions.

The timeliness, accuracy and completeness of CCH information are of utmost importance if these and other decisions are to be supported.

Initiation of a CCH Record

A criminal history record is initiated when an arresting agency submits an arrest fingerprint card to DSP's Bureau of Identification (BOI). All subsequent activity on that case (prosecution, court disposition, and incarceration, for example) is then reported by the agency responsible for each action, and posted in sequence on the rap sheet. Time limits have been set by law within which each agency is to report dispositions⁸ and, furthermore, within which DSP is to enter the reported information on the system.⁹

Formats of CCH Transcripts

Presently, CCH information is available in several formats, which vary in detail and speed of accessibility by other agencies. They are:

"CCH Complete" Records

When all information about a case has been reported to DSP and has been completely entered onto the CCH database, a summary record is available via the Law Enforcement Agencies Data System (LEADS) network of computer terminals. This response contains identifying information as well as a summarized count of arrests and convictions by charge. It is the most timely format of CCH, although it is not very detailed. Law enforcement personnel rely on these summary responses when making immediate decisions in the field. In addition, agencies can request from BOI a "hard copy" transcript of all record information entered on the CCH database. This transcript will be electronically transmitted via telefacsimile equipment¹⁰ or mailed. DSP refers to records that are completely recorded on the CCH database as "CCH complete" records.

"CCH Incomplete" Records

A majority of criminal history records maintained at the BOI are not completely automated, however. According to DSP officials, about half of the approximately 2 million records on the system are termed "CCH incomplete." These records are defined as computerized records that do not contain all information from an individual's manual file. These include

- Records that have not experienced arrest activity since 1976;
- Records for which the quality of fingerprints submitted precluded positive classification;

⁸Illinois Revised Statutes, Chapter 38-206-2.1 et seq.

⁹28 Code of Federal Regulations, Section 20 et seq.

¹⁰With assistance from the Authority, the Cook County State's Attorney's Office has established a "war room" that receives CCH records directly from DSP via a high-speed line printer. This criminal justice information war room provides criminal history records to the assistant state's attorneys for bond hearings in a more timely fashion than was previously available.

- Records where some problem exists that does not allow additional information to be posted (due to system constraints or problems with the source documents);
- Records that have experienced some activity since 1976, but for a number of reasons have not been entered on CCH.

Inquiries made via the LEADS network for "CCH incomplete" records result in a message stating that no automated record exists, but that criminal history information is available in a manual record file. Thus a law enforcement officer must make an additional request to obtain the desired information. BOI staff retrieve the source records and then manually type and transmit a response. Under special circumstances, the record will be immediately entered on the CCH system for faster dissemination. Manual rap sheets can also be transmitted to an inquiring agency through telefacsimile equipment.

Manual construction and transmission of "CCH incomplete" records result in less timely access to that information, and repeated requests for the same information result in a burden on staff workload at BOI. Perhaps the most serious drawback to producing manual rap sheets is in the case of serious, repeat offenders. Criminal justice decision makers, in their dealings with such offenders, should be able to take advantage of the timely access of "CCH complete" records rather than being forced to rely on "incomplete" criminal records that involve inherent delays.

As Figure A illustrates, the number of manual rap sheets generated by DSP has decreased since 1982. During 1985 a total of 4,494 of these criminal histories were disseminated.

In summary, automated rap sheets contain detailed information on arrest and dispositional events available from BOI sources. Manual records, on the other hand, are neither as detailed nor as timely as automated transcripts.¹¹

Findings of Past CCH Audits

Previous audits have consistently found missing and delinquent dispositions to be a serious problem with the CCH system. The most recent audit (*Illinois Criminal Justice Information Authority, 1985*), for example, found that approximately 50 percent of a sample of 1,074 police arrest records had no corresponding disposition posted on the CCH database.

Earlier audits found much the same, but revealed that the problem had been even more extensive. The Authority's 1983 audit indicated that 59 percent of the 1.24 million arrest events recorded on CCH at that time had no disposition of any kind.

The audit suggested several factors that could have accounted for at least some of the absent dispositions. The failure of police to report decisions to "release without charging," for example, may have accounted for as many as 30,000 missing dispositions. Second, the failure of state's attorneys to report decisions not to file criminal charges in particular cases could have accounted for as many as 75,000 missing dispositions.

Similarly, a 1982 audit conducted by the Illinois auditor general found that a significant proportion of arrests then posted to CCH lacked dispositions. The audit also indicated that many of these missing dispositions were caused by a backlog in posting dispositions to the CCH system rather than by the failure of local agencies to report information to DSP.

These past audits document the persistence of the problem of missing dispositions. The most recent figure of 50 percent, though lower than previous rates, is unacceptably high and

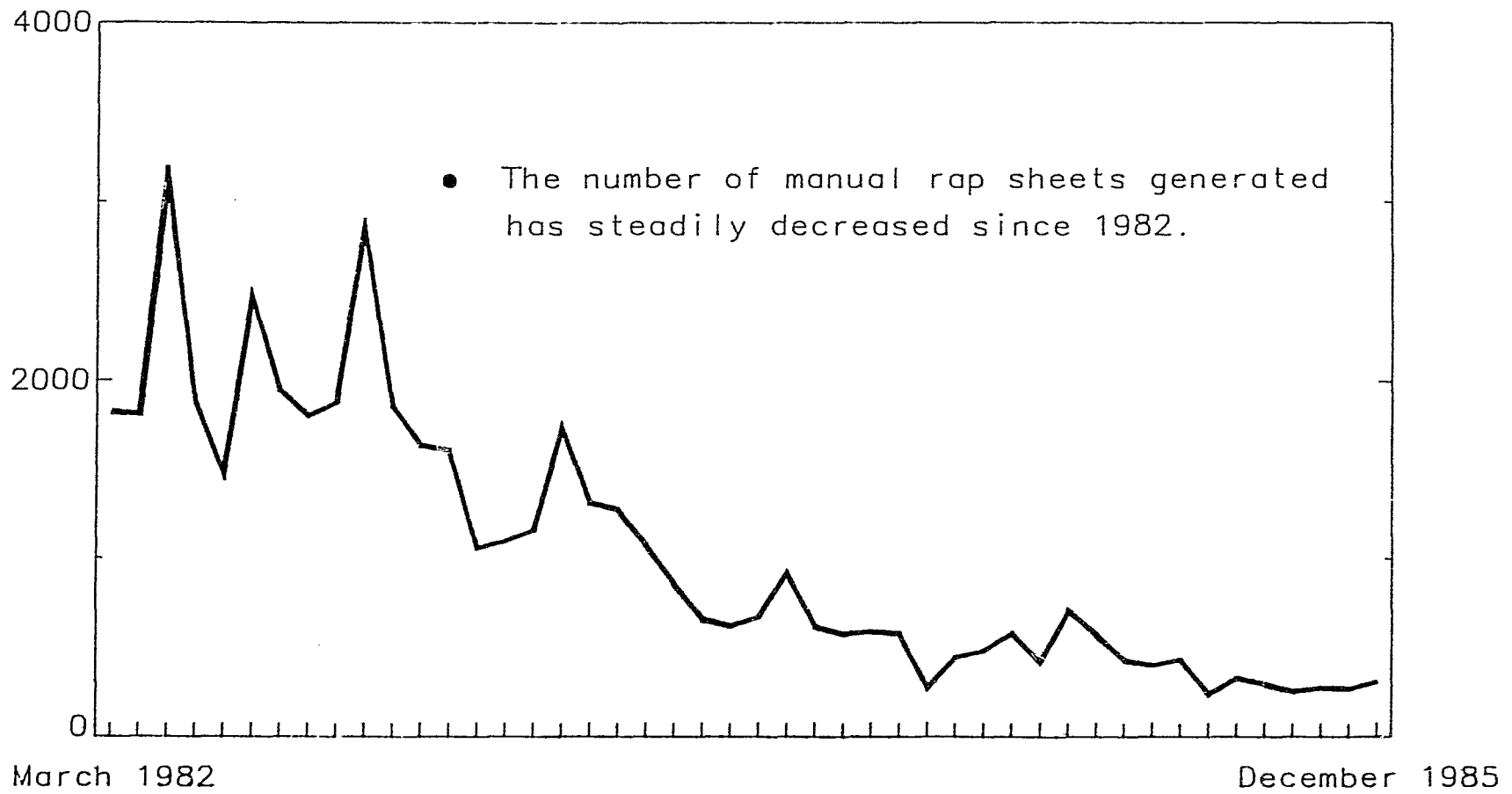
¹¹Examples of these transcripts are contained in the attachments to this audit report.

compromises the integrity of CCH as a decision-making tool in day-to-day criminal justice decisions.

While several of the past audits have touched briefly on various factors that may account for, or contribute to, missing disposition information on CCH, no audit to date has focused exclusively on the reporting and processing of this information. Without a better understanding of disposition reporting, meaningful remedial measures cannot be suggested. This audit report is aimed at increasing this understanding.

Figure A. Trend in Manual Rap Sheets Generated

Number of
Rap Sheets



Illinois Criminal Justice Information Authority

The 1985-1986 CCH Audit

Methods

This audit focused on court disposition reporting and the process through which this reported information is entered into the CCH system. In broad terms, the goal of our study was to learn more about the problem of "missing" dispositions and to assess the extent to which this serious problem may be a function of CCH computer system deficiencies or of reporting problems at the local level.

Current disposition processing at the Department of State Police (DSP) calls for the reports to be initially processed at facilities in Springfield. If "problems" with individual disposition reports are encountered during attempted data entry, the problematic reports are boxed and eventually forwarded to DSP's Joliet facility for resolution of the problem and entry of the data (if this can be accomplished).

Unfortunately, the collection and forwarding of these problematic reports are not carried out in any regular or systematic fashion. The reports are simply set aside until it is determined that their volume warrants transportation to the Joliet facility. Therefore it was not possible to accurately determine monthly or even yearly rates of specific reporting or processing problems.

Despite this shortcoming, the audit team decided to conduct an analysis of disposition reporting and processing by examining samples of these problematic reports. We requested that the inventory of reports on hand in October 1985 be forwarded to the Joliet facility, where we drew samples and conducted our study.

Initial analyses revealed that the number of disposition reports set aside as problematic at that time totaled 11,660 individual disposition reports. Table 1 shows that these reports cover an extremely wide time period in terms of dates of final court disposition, arrest dates, and dates the reports were received at DSP. This wide range of dates clearly indicates the irregular manner in which the reports are received and processed at Springfield facilities.

DSP personnel in Springfield grouped the reports into five subsets of specific problems:

1. Those dispositions reporting second dispositions of terms of probation including violations and dismissals, and those dispositions reporting dismissals of terms of court supervision, and certain probations.¹²
2. Those dispositions indicating a date of arrest that is different from the date on the CCH system associated with the reported arrest document (arrest DCN).
3. Those dispositions reporting information on more than eight charges.
4. Those dispositions reporting information that does not agree with disposition information on the CCH system that was entered from a custodial fingerprint card.
5. Those dispositions reporting various aliases such as name or date of birth which have to be entered at the Joliet facility.

¹²Illinois Revised Statutes, Sections 1410 and 710 probation

Table 1: Range of dates covered by disposition reports that were examined

Year	Date Received at DSP	Arrest Date	Final Disposition Date
1972		1	
73		2	
74		2	
75		1	
76		3	1
77		5	1
78	1	11	5
79	6	25	17
1980	15	41	28
81	15	65	45
82	18	165	52
83	116	363	318
84	227	394	378
85	250	115	304
86	1		
**	549	5	49

Summary statistics for years 83-86:

 Date Received at DSP: 116, 227, 250, 1 (Total: 594) → 91.4

 Arrest Date: 165, 363, 394, 115 (Total: 1037) → 86.9

 Final Disposition Date: 52, 318, 378, 304 (Total: 1052) → 87.0

Total Records Examined = 1,198

** Records that did not contain these dates.

Table 2 summarizes how the individual categories of reports were broken down and sampled.

Analyses

Our analyses of these samples of disposition reports were generally exploratory in nature. The first two categories of problematic reports were those from which no disposition information was posted to the CCH system. Basically, the analysis of these reports was aimed at finding patterns in terms of the information contained in the reports and examining the computer system or reporting problems that force these reports to be withheld from timely processing.

Two other categories examined were reports from which at least some information was entered or was already on the CCH system. Our analyses of these reports were aimed at looking for discrepancies between the reported information and what was already on (or entered to) the database.

Finally, the audit examined various time periods that elapsed during the processing of criminal history record information at DSP. For many of the reports examined, DSP personnel in Springfield, when initial data entry of the reports was attempted, attached a "transaction log" to the problematic disposition report. The log sheet included, in most instances, the criminal history information already on the CCH system (if any), as well as various system entry dates for the relevant segments of the particular criminal history record. These date logs

allowed the audit team to examine the time elapsed between several dates in CCH processing.

While our sample of records was not statistically representative of all disposition reports processed by DSP, the information gained in these analyses provided invaluable insights into CCH disposition processing and reporting. Rather than answering specific questions our audit was a broad assessment of problems that prohibit the timely posting of dispositional information to the current CCH system.

Table 2: Types of disposition reports that were examined

Problematic Report Type	Total Inventoried	Pct. of Total	Number Sampled
Second Dispositions	4,638	39.8	**
More Than Eight Charges	604	5.2	250
Different Date of Arrest	1,148	9.9	300
Discrepant From Custodial	3,885	33.3	350
Aliases	1,385	11.9	298
Total	11,660		1,198

** Because this category of problematic dispositions was examined in a previous audit, it was not extensively addressed in the present report.

Summary

In summary, this year's audit of the CCH system was aimed at uncovering as much as possible about disposition reporting and processing. By examining the disposition reports that are routinely rejected for entry into the system and those that are not processed in a timely fashion, the audit team was able to document several problems with current CCH reporting and processing. The findings and recommendations derived from these analyses are particularly important in light of the upcoming implementation of the redesigned CCH system.

Analysis

Second or Subsequent Dispositions

Previous audits of the CCH system identified computer system constraints that have caused the first category of problematic disposition reports. The 1982 audit, for example, revealed that the CCH system "did not fully satisfy" all the information requirements of criminal justice processing in Illinois. The report indicated that "CCH is able to store only one disposition per charge," even though there are frequently multiple dispositions of charges.

The Authority's 1984-1985 audit of CCH also pointed out this shortcoming. The report revealed that because of system design flaws, the posting of some disposition information was accomplished in a problematic fashion. The report specified the following:

An example [of this system design problem] is the procedure used to process probation violations where the subject is resentenced to prison. The current programming of the CCH system allows only one disposition to be recorded for each charge. To get around the structural problems of posting this new information on CCH, a practice was adopted to modify the probation sentence to read "Probation and Imprisonment," with the date of modified sentence as the original sentence date, and a new sentence length that reflects the time actually spent on probation plus the new imprisonment term. Thus the original probation sentence term may be lost when a new imprisonment sentence is imposed. The CCH transcript in such a probation violation case will actually read "Imprisonment/Probation," possibly misinforming a judge that the person has already spent time in prison, when in reality, an original probation sentence has just been revoked and a new imprisonment sentence imposed.

The category of problematic dispositions dealing with second or subsequent dispositions in a case accounted for 4,638 (40 percent) of the 11,660 reports inventoried. The CCH system design problem that limits the entry of disposition information to one entry per charge is, obviously, a serious problem with the current system.

Summary

As past audits have affirmed, the current CCH system's inability to adequately handle second or subsequent dispositions in criminal cases is a major problem with potentially serious ramifications. This audit, moreover, revealed that of all problematic disposition reports examined, this category was the largest (40 percent) of all problematic dispositions identified. The redesigned CCH system should address this issue and provide some means of capturing and recording this kind of invaluable criminal history record information. Moreover, the implementation of the new system should include the reprocessing of existing problematic reports, so that this information is available on the system.

Dispositions Referencing More Than Eight Charges

Of the 11,660 disposition reports the audit staff examined, 604 (5.2 percent) were problematic because of the number of charges recorded on the reports. The current CCH

system allows criminal history record information to be posted to the database on a maximum of eight charges per arrest. This limited capacity means that local agencies' reports of dispositions (and arrests) that refer to more than eight charges become processing problems for DSP data entry personnel. It also means that the timely entry of information into CCH is stalled in these instances

The audit team analyzed a sample of 250 of these disposition reports to get a better understanding of the reports. Two basic analyses were performed:

1. An examination of the nature of the reports, including:
 - the total number of cases disposed of
 - the type and number of charges reported that were disposed of
 - the type of final court action
 - the type of sentence, if any, imposed
2. An examination of how DSP processes these reports

Number of Cases Disposed of

Most of the disposition reports examined contained the disposition of a single court case, although the 250 reports as a whole accounted for dispositions of 825 cases (see Table 3), or an average of more than three cases per disposition report. Forty-six percent (n=114) of the reports contained dispositions of more than one case. Nearly 31 percent of the reports (n=77) indicated four or more cases were disposed of. Ten percent of the reports (n=24) indicated that 10 or more cases were disposed of. One disposition reported that 22 cases were disposed of.

Table 3: Reports referencing more than eight charges: number of cases reported disposed of

Number of Cases Disposed of	Number of Disposition Reports		
	No.	Pct.	Cum. Pct.
1	136	54.4	54.4
2	23	9.2	63.6
3	14	5.6	69.2
4	16	6.4	75.6
5	9	3.6	79.2
6	9	3.6	82.8
7	6	2.4	85.2
8	7	2.8	88.0
9	6	2.4	90.4
10 or More	24	9.6	100.0
Total Reports = 250			
Average per Report = 3.3			

Charges

As might be expected, this sample of disposition reports accounted for a large number of charges and charge counts. The disposition reports examined indicated that 621 different criminal offenses were disposed of (see Table 4), or about two charges per report. These charges ranged in seriousness from disorderly conduct to homicide. The dispositions revealed final court action on 3,747 counts of these charges, or about 6 counts per charge. Individual reports, therefore, averaged about 15 charge counts each.

Table 4: Disposition reports containing more than eight charges: breakdown of offenses

Offense Type	Charges		Charge Counts	
Homicide	20		77	
Robbery	62		370	
Assault and Battery	56		151	
Sex Offenses	38		197	
Offenses w/Children	3		14	
Armed Violence	38		169	
Kidnaping	60		237	
TOTAL VIOLENT	277	44.6%	1,215	32.4%
Burglary	71		441	
Theft	70		493	
Arson	1		1	
Deception	47		743	
Criminal Damage/Trespass	41		201	
TOTAL PROPERTY	230	37.0%	1,879	50.2%
Drug Offenses	17		199	
Liquor Violations	2		2	
TOTAL DRUGS/LIQUOR	19	3.1%	201	5.4%
Motor Vehicle Offenses	13		248	
TOTAL MOTOR VEHICLE	13	2.1%	248	6.6%
Disorderly Conduct	28		65	
Deadly Weapons	20		36	
Other	34		103	
TOTAL OTHER	82	13.2%	204	5.4%
TOTALS	621		3,747	

Court Action

In 71.8 percent of the 250 reports audited, the disposition reported was conviction. The other court actions reported were dismissal (24.1 percent), acquittal (2.8 percent), leave to reinstate (1 percent), and Chapter 56.5-1410, 710 probation (0.1 percent)

Sentence Imposed

The reports also covered the full range of possible sentences. The majority (66.8 percent; n=167) indicated some term of imprisonment, 22.4 percent (n=56) involved some kind of court supervision or probation, 2.8 percent (n=7) involved a fine, and 8 percent (n=20) reported other kinds of court action.

Processing of Reports Containing More Than Eight Charges

Disposition reports containing more than eight charges illustrate many of the situations that can occur in the normal adjudication of criminal cases.

First and most obvious is when an offender is arrested and charged with more than eight crimes. A less obvious yet frequent occurrence is the "joinder" of offenses, defendants, or related prosecutions. This practice is commonly referred to as the "merging" of cases or of charge counts in an indictment or complaint.

Although this audit did not specifically examine how often merging of cases, charges, or related prosecutions occurs, it did reveal that 45 percent of the reports we examined contained final court action in more than one criminal case. In fact, the average number of cases disposed of per report was more than three. How DSP processes these reports is particularly problematic. For example, the reporting circuit court clerks frequently indicate the additional case numbers to be considered "merged" with the case reported disposed of. That, however, is the only information about merged court cases. No arrest or arrest charge information is available. In these instances, the CCH data input operators are left with disposition information to enter into the database for the merged cases. Moreover, if the cases involved separately reported arrests, those segments in the CCH system would be missing any indication of their final disposition. Likewise, it is not always entirely clear what information should be posted to the CCH system for charges or charge counts that are reported merged into others at final disposition.

These situations are also problematic because, while the courts are permitted to merge cases, charges or related prosecutions, they are not required to do so. This leads to a lack of uniformity in the application of this procedure, which also adds to confusion about exactly what information should be recorded on CCH.

When a CCH data input operator is presented with a disposition report dealing with more than eight charges, several transactions can result. What is posted to the database depends on the previous processing of the related arrest report and the charge information it contained.

Examining how these problematic disposition reports are processed naturally led to questions concerning the processing of arrest reports that contain more than eight charges. Where the transaction logs permitted, the audit team examined the arrest segments associated with these disposition reports.

This further investigation revealed that, in some cases, when an arrest report indicates more than eight charges, a data input operator may "create" additional arrest segments in the CCH database to capture the ninth and subsequent charges. An operator accomplishes this by

assigning a document control number to any additional arrest segments and entering an alphabetic character along with the date of arrest.

In the sample of records we examined 15 reports contained these additional arrest segments. Eleven of these records contained one additional arrest segment, three contained two segments, and one contained three. DSP personnel, when asked about this practice, reported that the CCH database may contain as many as 12,000 of these additional arrest segments. In other words, up to 6,000 records in the database may contain these additional arrest segments.

This practice inflates not only the number of arrests on the CCH system, but also the number of "missing" dispositions. For example, in one of the cases audited, three additional arrest segments were created, none of which contained matching dispositions.

Our examination also revealed that DSP personnel do not apply this practice uniformly. In some instances, additional segments were created to capture one charge, while in other instances additional segments were not created. Sometimes reports contained multiple counts of the same charge, but only one charge was entered into the database. For other similar reports, data input personnel would enter each individual count of a reported charge.

The manner in which multiple counts for the same charge are handled poses an additional data quality concern. An individual's criminal history record could be perceived in completely different ways, depending on whether the transcript reflects multiple counts or only a single count per charge.

Table 5 provides a breakdown of the records we sampled for this analysis, first by charges and then by the number of counts on those charges. When only single-count charges were examined, the offenses were predominantly violent ones (44.6 percent). Yet if all counts of the offenses included in the sampled disposition reports are considered, the predominant offense type is clearly property (50.2 percent). This difference is graphically illustrated in Figure B.

This situation can also apply to individual criminal history records. Unless all offense counts contained on disposition reports are entered into the CCH system, an accurate and complete assessment of an offender's criminal record is impossible. A criminal history that is dominated by violent crimes may be misinterpreted as one that is characterized by mostly property offenses. It is important that officials be able to identify all counts of charges in criminal history records. The coding and input of this information should be uniform and standardized.

Summary

The processing of disposition reports referencing more than eight charges raises at least two significant issues:

1. The recording of merging charges, cases, and related prosecutions and the CCH reporting requirements concerning this court action must be standardized. Likewise, data entry procedures for handling this kind of disposition information must be made more uniform. To the extent that the CCH system is supposed to maintain court case numbers as a "pointer" to court case files, the system must be able to record more than one case number per disposition segment. Likewise, cases disposed of in mergers must be able to be linked back to any arrest documents previously reported to DSP.
2. The practice of "creating" additional transaction segments and artificial criminal history record information should be stopped. The system must be made able to record not only multiple offenses, but also multiple counts of the same offense. To the greatest extent

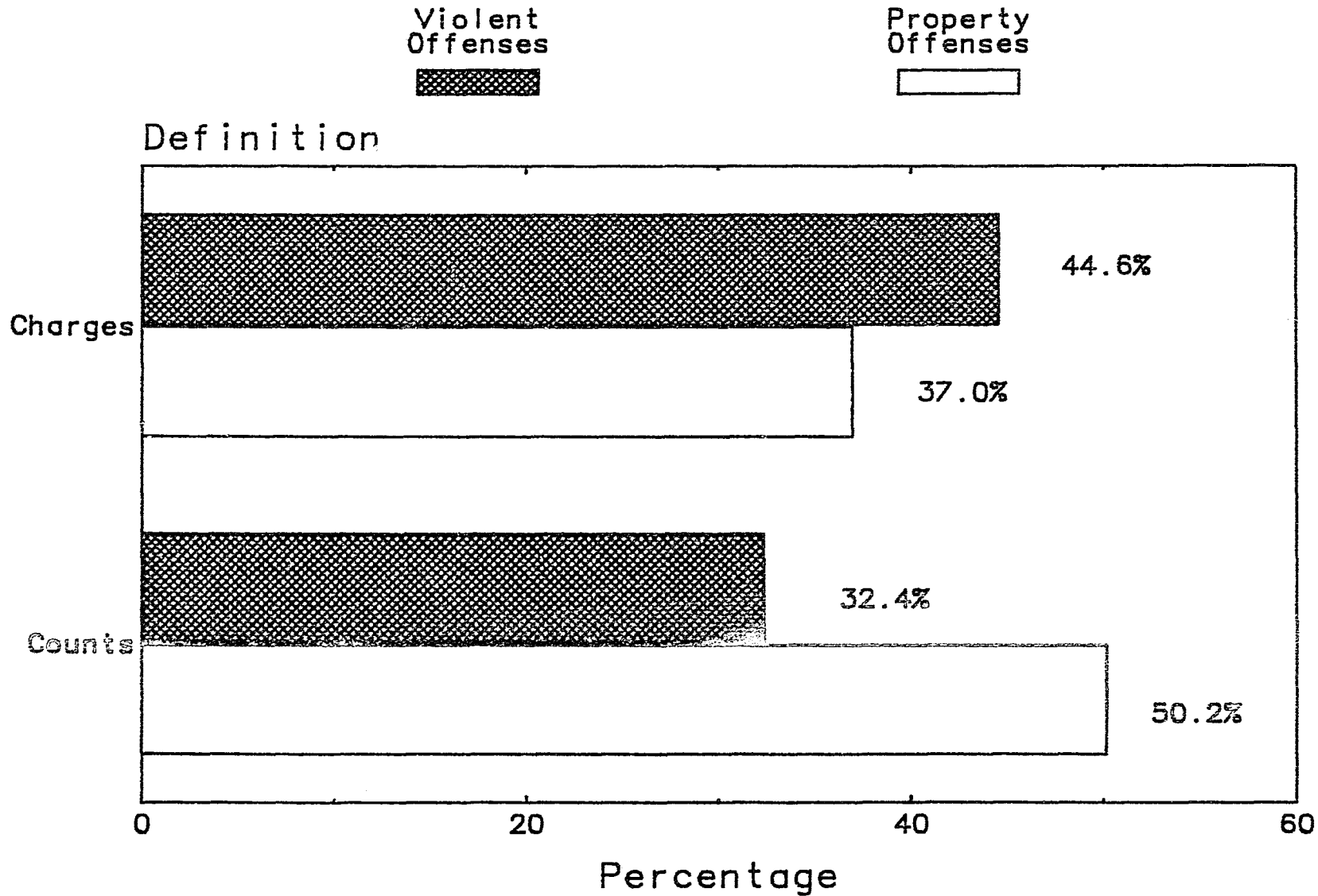
possible, DSP should correct the records in the database that currently contain these additional segments of criminal history record information.

Implementation of the redesigned CCH system should address these two concerns.

Table 5: Charge type defined by multiple versus single counts of charges

Charge Type	No.	Pct.	No.	Pct.
Violent	277	44.6	1,215	32.4
Property	230	37.0	1,879	50.2
Drugs/Liquor	19	3.1	201	5.4
Motor Vehicle	13	2.1	248	6.6
Other	82	13.2	204	5.4
Totals	621		3,747	

Figure B. Charge Type Defined by Multiple Versus Single Counts of Charges



Reported Date of Arrest

A total of 1,148 (9.9 percent) of the 11,660 disposition reports we examined were problematic because the arrest date reported by the circuit court clerk did not match the date recorded on the arrest fingerprint card originally submitted by the arresting agency (and, consequently, the date already recorded on the CCH database). Because the initial attempt to enter the disposition is made in Springfield, the data input operator there does not have immediate access to available source documentation about the original arrest since this information is kept in Joliet. As a precaution, if a "critical" data element reported on the disposition report does not readily "link" to what is recorded on the arrest report, the disposition report is set aside for subsequent processing at the Joliet facility. The reported date of arrest is one of these critical data elements.

The audit team analyzed a sample of 300 of these disposition reports to get a better understanding of the reports. Three separate analyses were performed:

1. An examination of the nature of the reports, including:
 - the total number of cases disposed of
 - the type and number of charges reported disposed of
 - the type of final court action
 - the type of sentence, if any, imposed
2. An examination of the discrepancies in reported arrest date
3. An examination of the processing of these reports

Number of Cases Disposed of

More than 90 percent of the 300 disposition reports we examined (n=271) reported the disposition of a single court case. The other 28 reports accounted for the dispositions of 70 court cases. In all, the 300 reports involved the disposition of 341 cases.

Charges Disposed of

The 341 case dispositions involved 385 different criminal charges. These charges covered a broad range of violent, property, drug-related, motor vehicle, and other offenses. Final court action was reported on 442 counts of these 385 charges.

Court Action

The majority of charge counts were disposed of through conviction (50.7 percent), although a significant number were also dismissed (41.2 percent). Acquittal was the final court action on 21 of the 442 offense counts (4.8 percent). On another nine counts the disposition was an assignment to special probation (2 percent), and on six counts "leave to reinstate" was the final disposition (1.4 percent).

Sentence Imposed

Forty-nine of the disposition reports in this category involved some form of imprisonment (16.5 percent), 87 (29.3 percent) involved some form of probation or court supervision, and

45 (15.2 percent) involved the imposition of a fine. In 113 (39.1 percent) reports, no sentence was imposed (for example, cases resulting in acquittals or dismissals).

Discrepancies in Reported Arrest Date

The disposition reports in this category contained one of two processing problems: 1) the report referred to an arrest date that did not agree with the one on the CCH system for the arrest document control number (DCN) reported earlier, or 2) the report was physically damaged or torn in such a way that the part of the report containing the reported arrest date was unreadable. Only three reports had the latter problem. The vast majority of the reports contained discrepant arrest dates rather than no date at all.

Most of these disposition reports referenced arrest dates that predated the dates already recorded on the CCH system. A total of 260 reports (87.5 percent) fit this pattern. Thirty-four reports indicated arrest dates that were later than the dates on the system. Table 6 provides a breakdown of the discrepancies between reported and recorded arrest dates.

Nearly 57 percent of the reported arrest dates (n=168) were within plus or minus four weeks of the dates recorded on the CCH system. Seventy percent (n=208) contained dates within six weeks of the dates recorded on the system.

In several cases, it appeared that the person completing the disposition form mistakenly recorded the offender's date of birth in the date-of-arrest field. In other cases, the reported date of arrest was probably the date the local agency completed the form.

Processing of Reports Referring to Discrepant Dates of Arrest

Our examination of these disposition reports revealed several notable audit findings. All but four disposition reports were from outside Cook County. This finding does not necessarily mean that Cook County disposition reports contained fewer problematic arrest dates. Rather, we found that Cook County disposition reports, both state's attorney reports and reports from the Cook County circuit court clerk, do not provide a field for recording the arrest date associated with the case being disposed of. In the four cases where a Cook County report contained a date of arrest, it was written in a field designated for alias dates of birth.

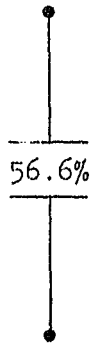
In addition to this problem with Cook County's reporting forms, our examination sought to determine why disposition reports containing no reported arrest date routinely could be processed without problems, when reports that did indicate a date of arrest, even if it was discrepant, could be flagged as processing problems. Disposition reports from Cook County that routinely do not include a date of arrest are processed, while reports that include a discrepant date are not.

Using the problematic reports we tried to assess two things:

1. Whether the arrest document control number (DCN) recorded in the disposition report matched the number already recorded on the CCH system; and
2. Whether the criminal charges associated with the disposition matched the charges associated with the arrest in question.

Table 6: Date of arrest reported versus date of arrest recorded on CCH

Difference (weeks)	Reports	Pct.	Cum. Pct.
- 10	54	18.2	18.2
9	3	1.0	19.2
8	9	3.0	22.2
7	8	2.7	24.9
6	12	4.0	28.9
5	27	9.1	38.0
4	30	10.1	48.1
3	47	15.8	63.9
2	41	13.8	77.7
1	29	9.8	87.5
0	3	1.0	88.5
1	6	2.0	90.5
2	6	2.0	92.5
3	5	1.7	94.2
4	1	0.3	94.5
5	1	0.3	94.8
6	0	0.0	94.8
7	0	0.0	94.8
8	2	0.7	95.5
9	0	0.0	95.5
+ 10	13	4.4	99.9



Total Reports Examined = 297*

*Note: Three reports were torn in such a way that the arrest date reported could not be reliably determined.

This examination revealed that in 285 of the 297 cases (96 percent) the document control number associated with the arrest matched the DCN on the CCH system, even though the arrest dates didn't match. Similarly, in 229 (77 percent) of the reports, the charges on the disposition report matched exactly those associated with the related arrest on CCH. In 48 of the reports, at least one charge matched. In only 19 (6 percent) of the reports did none of the charges match.

It would appear, then, that most of these 297 problematic disposition reports were unnecessarily withheld from timely processing.

Summary

The disposition report forms used by the state's attorney's and circuit court clerk's offices in Cook County do not easily support the reporting of arrest dates associated with the cases being disposed of.

The disposition report used by offices outside Cook County allows for the recording of arrest dates, but the field is physically located precariously close to the form's perforated tear point (the same is true for the document control number field). In some cases, this area of the form was completely torn through, resulting in the data being omitted from the disposition report.

While reports from Cook County routinely do not include the date of arrest, they are still processed by the State Police. At the same time, reports from non-Cook County agencies containing discrepant arrest dates are set aside and not processed in a routine manner.

Again, the redesigned CCH system must adequately address these issues.

Entry of Dispositions From Custodial Reports

A total of 3,885 (33.3 percent) of the disposition reports we examined were placed in a problematic category because dispositional information about the criminal case was already on the CCH system. Specifically, information about the case was posted to the database from a custodial fingerprint card reporting the receipt of an offender at a correctional institution for service of a sentence.¹³ If this information matched what was already on the system, the disposition report was simply marked for filing in the offender's criminal history record and nothing new was entered into the CCH database. However, if the disposition report indicated additional information that was not already on the system, or information that did not agree with what was on the system, the report was placed in this category of problematic reports.

This category of processing problems was caused by a CCH computer system design problem identified in previous audits. Under the current design, criminal history information can be posted to the database only in chronological order of its occurrence. In other words, state's attorneys' decisions to file (or not to file) charges can be entered into the computer only if the arrest report is on the system. Likewise, the receipt of an offender at the Illinois Department of Corrections can be entered into the database only if the arrest, the state's attorney's decision, and the final court disposition have all been posted to the CCH system.

In cases involving the imposition of prison or jail sentences, the offender routinely arrives at the correctional facility within one or two days of final court disposition. Because of this rapid transfer, custodial reports can arrive at DSP long before final court dispositions are recorded. The processing of disposition reports also may be slowed because the processing takes place at the Springfield facility, which relies on the mail for delivery of the reports. Custodial reports, for the most part, are literally hand-carried to the Joliet facility within hours of the transaction being reported.

Analysis

A sample of 350 of the 3,885 disposition reports were analyzed for discrepancies between the reported information and what had been posted to the CCH system from the custodial receipt card. Six key data elements were compared:

- Court case number
- Charges disposed
- Final court action

¹³The attachments to this report contain copies of the primary CCH forms, including the custodial fingerprint card.

- Date of final disposition
- Type of sentence imposed
- Term of sentence imposed

The data elements were compared using the different sources of information. The results were grouped into three categories:

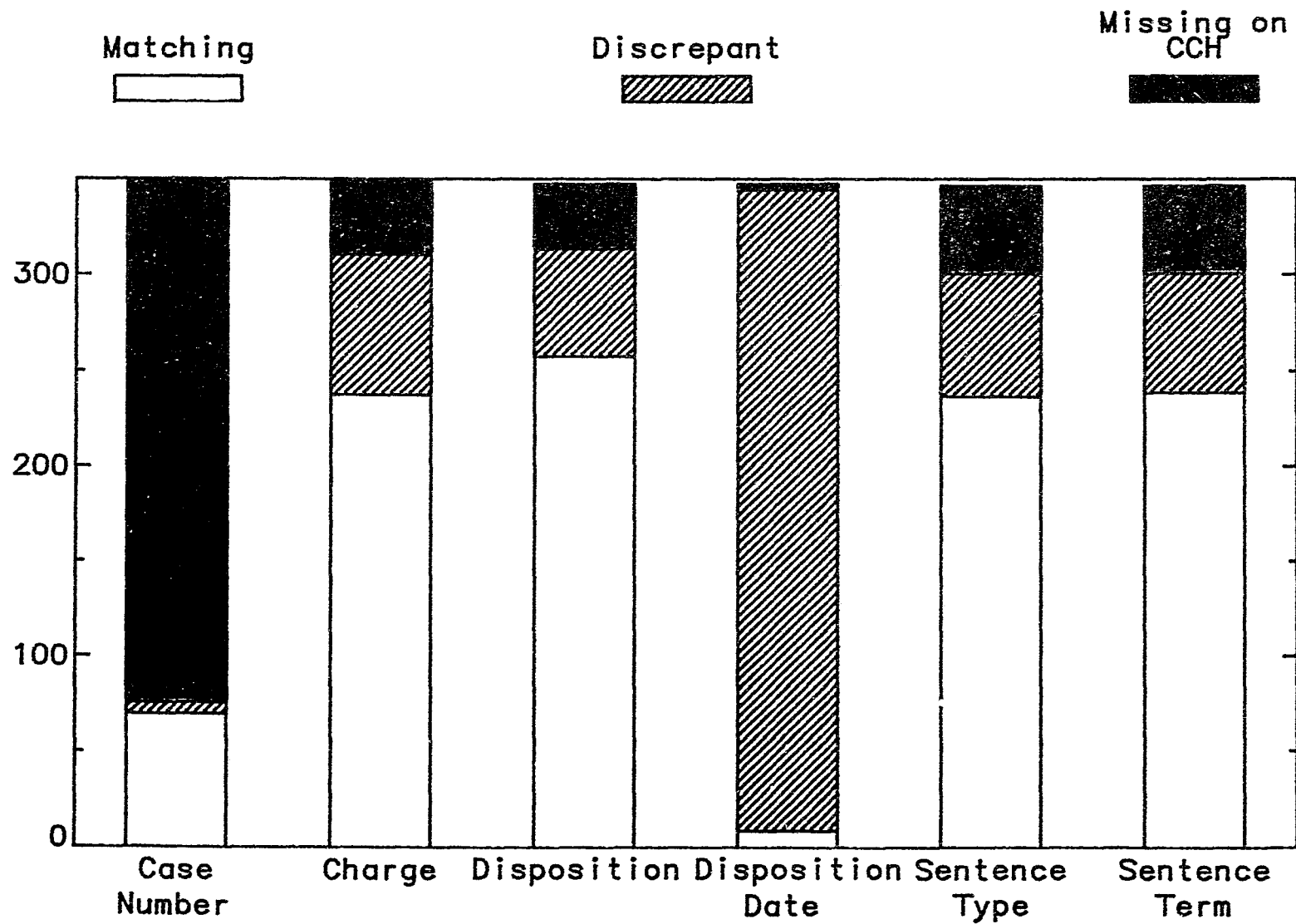
1. Elements that matched. In this group, the item was present on both the CCH system and the source document and, where there were multiple occurrences of an report item (for example, two or more charges), all such occurrences matched.
2. Elements that didn't match. Here, the items did not match on the system and the source document. In cases of multiple occurrences of a data element, a discrepancy was coded if at least one of the data elements was discrepant (for example, one charge citation matched, another did not), or "extra" information appeared on CCH.
3. Elements that were missing on CCH. This status indicates that at least one occurrence of an item did not appear on the CCH system, but was indicated on the disposition report document (for example, the disposition report indicates two charges while CCH only indicates one).

The results of these comparisons are presented in Table 7 and are graphically summarized in Figure C.

Table 7: Comparison of data entered from custodial reports versus data contained in disposition reports

	Case Number	Charge	Disposition	Disp. Date	Sentence Type	Sentence Term
Matching	70 (20%)	238 (68%)	258 (74%)	9 (3%)	237 (68%)	239 (68%)
Discrepant	5 (2%)	72 (21%)	56 (17%)	336 (97%)	64 (19%)	62 (18%)
Missing	274 (78%)	38 (11%)	34 (10%)	3 (1%)	46 (13%)	46 (13%)
Total Problems	279	110	90	339	110	108
Percent of All Records	80%	32%	27%	97%	32%	31%

Figure C. Dispositions Entered From Custodials: Comparison of Reported and Recorded Data Elements



Court Case Number

In 274 of the 350 comparisons (78 percent) the court case number was missing from the CCH system. This high rate of missing information is not surprising since the current custodial fingerprint card does not include a field for court case number.

Of the 75 instances in which the court case number was indicated on CCH, the number (or numbers) matched 70 times (93 percent). Five discrepancies between the report and the CCH entry were found.¹⁴

Charges Disposed of

In 110 of the 350 cases audited (31 percent) some type of inaccuracy was found between the charges the report indicated were disposed of and those already posted to the CCH database. There were 38 (10.9 percent) instances in which at least one charge was missing on CCH. In 72 other instances, discrepancies in charge information were revealed.

Final Court Action

In 90 (26 percent) of the reports examined there was an inconsistency between the disposition on CCH and that indicated on the report. In 56 reports the inconsistency was a discrepancy between CCH data and the data reported in the disposition examined. The other 34 reports reflected data missing from the CCH system.

Date of Disposition

In 336 of the 350 record comparisons (97 percent) there was a discrepancy in the date (or dates) of disposition between the two documents. Since the custodial receipt card does not report the disposition date, BOI routinely posted the disposition date as one day prior to the custodial receipt for those cases that were entered from the custodial receipt card. There were only nine cases (3 percent) in which disposition dates matched.

Type of Sentence Imposed

In 110 reports (32 percent) examined there was an indication of a disparity in the sentence type. In 46 instances at least one sentence type was not included on CCH but appeared on the disposition report. A total of 64 reports indicated data that did not agree with what was recorded on the CCH system.

Term of Sentence Imposed

In addition to discovering disparate sentence types in many of the reports, the audit team found approximately 32 percent of the reports to contain some type of inconsistency in the sentence terms recorded. There were 46 instances (13 percent) in which at least one sentence term was missing on CCH. The other 62 inconsistencies found were discrepancies between the reported and recorded terms of sentences imposed.

Summary

The lack of complete data about courts' actions is probably the most problematic aspect of DSP's practice of relying on the information contained in custodial receipt cards for final court disposition reports. The form used does not allow data input operators to report the

¹⁴There was one case in which the disposition document did not correspond directly to the CCH disposition segment -- this disposition report dealt with an escape, but the CCH disposition segment mentioned only the charges on which the individual was incarcerated -- so there was no basis for comparison.

date of final disposition or court case numbers. Furthermore, custodial information by definition does not include "non-conviction" information or information about sentences imposed other than those involving incarceration. Thus probation sentences, fines, and terms of court supervision are excluded from the custodial receipt cards. Also, multiple conviction charges are not easily recorded on the form because it provides for only two "confining offenses" to be reported. Finally, any information regarding charges not filed by state's attorneys or charges dismissed in the final disposition is excluded from the custodial report.

The process, in addition to creating incomplete records of final dispositions, also causes inaccurate information to be posted to the CCH system. Because the custodial forms do not allow data entry personnel to report the date of final court disposition, they must assign a random date in order to enter the dispositional information. The result is the creation of a disposition segment that will be associated with an inaccurate date of final court disposition in addition to often being incomplete. Our examination revealed that 334 (95 percent) of the reports' disposition dates disagreed with those entered by DSP personnel who posted the custodial receipt data to CCH.

Overall, in only one instance did all of the information in the computer system match the information contained in the disposition report. The audit team recommends that the redesigned CCH system include modifications that allow for the entry of criminal history record information received out of chronological sequence. This modification, in turn, would and should eliminate the need to create partial disposition segments from custodial fingerprint card reports.

Reports Indicating the Use of Aliases

A total of 1,385 of the 11,660 dispositions examined (11.9 percent) were set aside because they contained alias names and/or dates of birth for the subject. These reports are processed routinely except that after entry they are flagged for further processing at DSP's Joliet facility. Thus except for this post-entry marking procedure, these reports are processed normally and are not problematic.

Analysis

A sample of 298 of these reports was audited to compare the information on the report with the data entered onto the CCH system. The following data elements from the disposition report were examined:

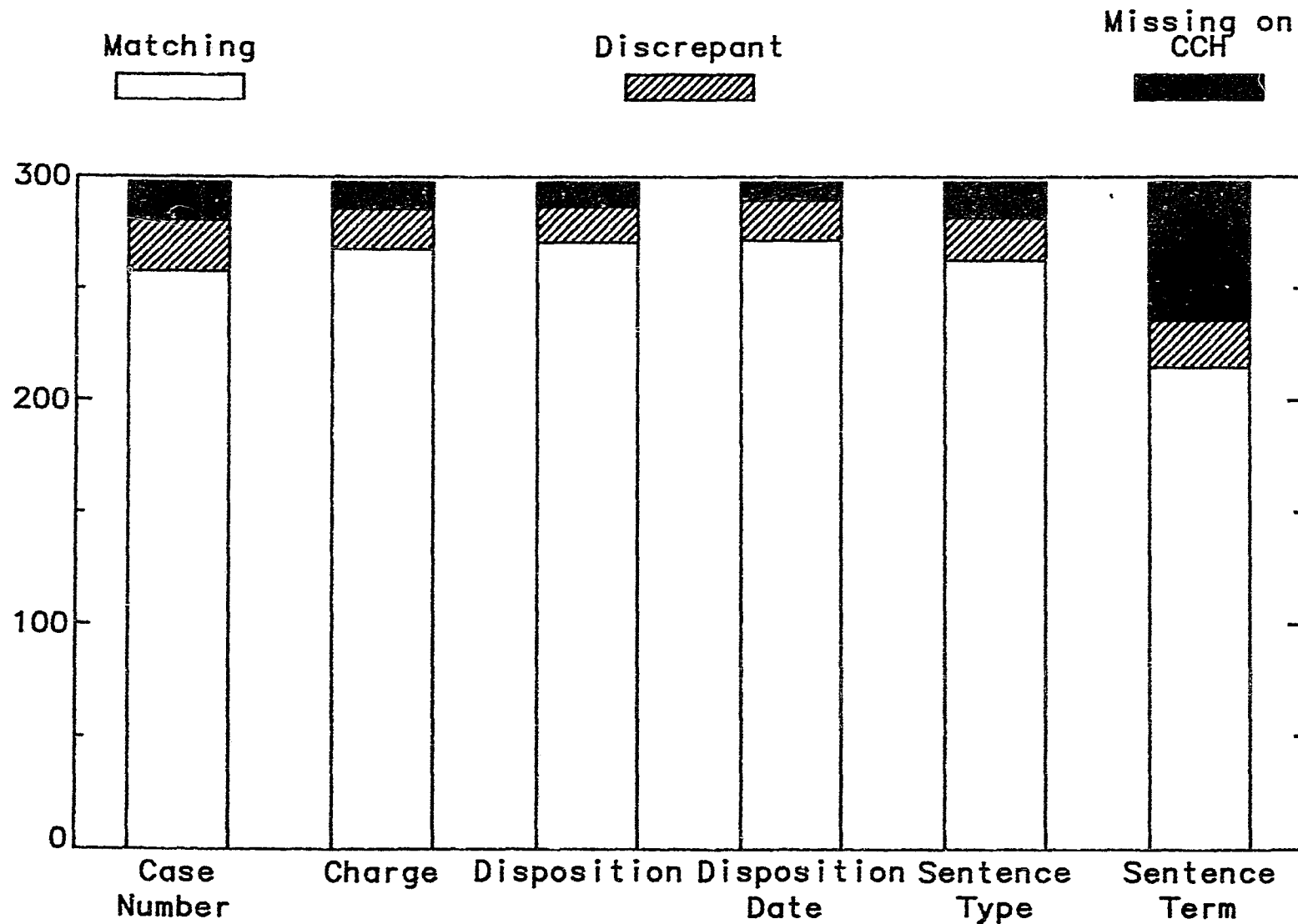
- Court case number
- Charges disposed of
- Type of final court action
- Date of final court disposition
- Type of sentence imposed
- Term of sentence imposed

Table 8 and Figure D present summary results of these examinations.

Table 8: Comparison of data entered from reports indicating aliases versus data contained in disposition reports

	Case Number	Charge	Disposition	Disp. Date	Sentence Type	Sentence Term
Matching	258 (87%)	268 (90%)	271 (91%)	272 (91%)	263 (88%)	215 (72%)
Discrepant	23 (8%)	18 (6%)	16 (5%)	18 (6%)	19 (6%)	21 (7%)
Missing	17 (5%)	12 (4%)	11 (4%)	8 (3%)	16 (5%)	62 (21%)
Total Problems	40	30	27	26	35	83
Percent of All Records	13%	10%	9%	9%	12%	28%

Figure D. Reports Indicating Aliases: Comparison of Reported and Recorded Data Elements



Court Case Number

In most of the cases we examined (87 percent) the court case number was entered as reported in the disposition. In 40 cases (13 percent), however, the number was either entered incorrectly or was not entered at all.

Charges Disposed of

In 90 percent of the cases audited, the charges reported disposed of were entered correctly into the CCH system. In 30 instances (10 percent) discrepancies were found or charges were not entered.

Type of Final Court Action

The final court action was entered correctly in 91 percent of the instances examined. Discrepancies occurred in 16 (5 percent) of the reports. In 11 cases (4 percent), at least one court action was omitted in data entry.

Date of Final Court Disposition

Again, our analysis revealed that in the vast majority of cases (91 percent), the date of final disposition was correctly entered from the disposition report. In only 6 percent (n=18) of the transactions examined was a discrepancy found.

Type of Sentence Imposed

Our audit revealed a similar number of discrepancies (n=19; 6 percent) in the type of sentence entered by DSP personnel from the disposition reports. Five percent of the sentences were not entered at all from the reports.

Term of Sentence Imposed

A substantial number (21 percent) of sentence terms indicated to have been imposed in the final court action were not entered into the system. Dispositions of individual charges, in other words, were not posted to the database in these instances. Additionally, 7 percent of the reports revealed discrepancies.

Summary

Our analysis of these disposition reports revealed that data was more likely to be omitted in entry rather than be entered incorrectly, although both occurrences were fairly infrequent. Information about multiple or concurrent sentences was not consistently and completely entered into the CCH system.

Furthermore, the efficiency of reprocessing reports at the Joliet facility simply to add alias information to the CCH system is questionable.

One method of data quality control mentioned in past audits can again be suggested as a means to help curb data entry inaccuracies. Key verification of data could be applied after the initial entry of CCH information to ensure that data items were posted to the database correctly and completely from source documentation.

CCH Processing Times¹⁵

The timeliness of information posted to CCH hinges on two critical points. Initially, timeliness depends on the speed with which agencies report information to DSP. The Uniform Disposition Reporting (UDR) legislation mentioned previously stipulates time frames for information being reported to DSP, which are summarized as follows:

- Law enforcement agencies must submit arrest fingerprint cards within 24 hours of arrest.
- State's attorneys must submit information about decisions to file charges (or not file charges) within 30 days of such action.
- Court clerks must submit information on final dispositions and sentencing within 30 days.
- State prisons and county correctional facilities must submit a report indicating receipt of sentenced offenders within 30 days of receipt.

Once information is received at DSP, timeliness is a function of the amount of time DSP takes to enter this information to CCH. Of course, DSP's ability to post such information to CCH is contingent upon the quality and completeness of information it receives. In addition, as mentioned earlier in the audit, constraints of the current system require that events be entered in a chronological order.

While past audits have recognized these problems, no systematic analysis of processing times has been conducted to date. In the current audit, the examination of disposition reports and the corresponding CCH records, while limited, did provide the opportunity to analyze various processing times.

Analysis

Our analysis, it should be noted, was not conducted with a sample of disposition reports that was representative of all those processed during a period of time. Rather, it focuses only on dispositions that were determined to be problematic. Our conclusions, therefore, should not be applied to the overall processing of CCH dispositions.

Table 9 presents the processing times considered and summarizes the audit's findings.

Date of Arrest to Date Arrest Entered Into CCH

An analysis of 1,174 cases in which a determination was possible revealed that 74 percent of the arrests were posted to CCH within four weeks (28 days) of the date of arrest as reported on CCH. As Table 10 indicates, approximately 13 percent of the arrests were posted within one week of occurrence while an additional 34 percent were posted between eight and 14 days after the date of arrest. Roughly 26 percent of the arrests in the sample were posted more than four weeks after the date of arrest. The average time from arrest to

¹⁵The sample of rejected disposition reports used in these analyses is not representative of all disposition reports processed by the Department of State Police. Our analyses were exploratory and descriptive in nature, and they focus exclusively on reports identified by DSP as problematic. Particular attention should be paid to the number of valid cases in the sample of 1,198 problematic dispositions considered in individual analyses. This section is meant to describe the processing of problematic reports as opposed to all disposition reports.

entry on CCH was 16 days.¹⁶

Table 9: Summary of elapsed times analyzed from problematic reports¹⁷

Dates Examined		Cases*	Median (Days)	Range (Days)	Valid Cases	Pct.
Arrest to Arrest Entry		1,198	16	0 to 3,667	1,174	98%
Arrest to Disposition		1,198	142	0 to 3,902	1,131	94%
Arrest Entry to Disposition		1,198	207	0 to 2,610	631	53%
Disposition to Disposition Entry	DR	848	68	1 to 1,153	279	35%
	CR	350	28	-706 to 527	345	99%
Disposition to Disposition Received	DR	848	38	0 to 4,112	404	48%
	CR	350	19	0 to 404	194	55%
Disposition Received to Disposition Entry	DR	848	101	20 to 480	39	5%
	CR	350	5	-730 to 519	194	55%

*Note: DR denotes instances in which disposition information was posted to the computer system from disposition reports. CR denotes the instances in which this information was entered into the computer system previously from custodial reports.

¹⁶Throughout this section, the "median" processing time is used to report average processing time. In the case of these elapsed times, the skewed nature of the distributions artificially inflate "mean" time. For a complete discussion of the appropriate uses of central tendency measurements, see George A. Ferguson's *Statistical Analysis in Psychology & Education*. New York: McGraw-Hill, 1976.

¹⁷The sample of rejected disposition reports used in these analyses is not representative of all disposition reports processed by the Department of State Police. Particular attention should be paid to the number of valid cases considered in individual analyses in the interpretation of findings.

This analysis confirms the conclusion of previous audits that the processing of arrest fingerprint cards generally is accomplished routinely and satisfactorily. Based on the cases examined here, it appears that law enforcement agencies generally are forwarding arrest information to DSP in a timely manner and that DSP, in turn, is posting this information to CCH within an appropriate time frame.

Date of Arrest to Date of Final Court Disposition

In 1,131 cases the auditors were able to determine the criminal justice processing time, which is the total number of days between arrest and final disposition of a case. These processing times reflect the wide variation inherent in the criminal justice system. Cases negotiated through plea bargaining, for instance, were often disposed of in a matter of days, while cases going to trial sometimes took years to reach final disposition.

In terms of range, six cases were disposed of on the same day as the date of arrest. At the other extreme, one case took more than ten years (3,902 days) to dispose of, according to the arrest date recorded on CCH.

The frequency distribution of criminal justice processing times, based on periods four weeks in length, is displayed graphically in Figure E. The distribution reveals that approximately one-third of arrests were disposed of within 12 weeks. Across the remainder of the period, the rate generally levels off. The average time between arrest and final disposition was 142 days.¹⁸

Date Arrest Entered Into CCH to Date Final Court Disposition Entered

In 631 cases the auditors were able to determine the time between the date on which the arrest was entered on CCH and the date on which the final disposition was entered. Most of the cases for which this time could not be determined were those whose disposition was not entered on CCH.

As with criminal justice processing time, the variation in time between entry of the arrest date and of the date of final disposition was wide. To a large extent, this too reflects the wide variation inherent in criminal justice system processing. However, the length of time between entries would be expected to be somewhat greater since arrests are generally posted to CCH in a more timely manner than dispositions.

Time between entry ranged from 0 days to over seven years (2,610 days). Dispositions in 18 cases were posted to CCH on the same day as the arrest (0 days).

The distribution of elapsed time between entry dates is illustrated in Figure F.¹⁹ The time analysis indicated that approximately 54 percent of the dispositions were entered within 32 weeks after arrest entry. The frequency of cases in each four-week period, however, fluctuated somewhat across the total period. After this point, the rate generally tapered off. The

¹⁸A total of 86 reports (8 percent) indicated an elapsed time greater than 84 weeks.

¹⁹A total of 61 reports (10 percent) indicated an elapsed time greater than 84 weeks.

average time was 207 days.²⁰

The remainder of the processing time analyses focus only on post-arrest processing time. This period spans three key events: 1) the date of disposition, 2) the date on which the disposition report was received at DSP, and 3) the date on which the disposition was posted to CCH. While it is logical to assume that these events occurred sequentially, certain CCH policies confounded this sequential order. Specifically, in the cases examined here, the practice of entering disposition information from custodial receipt cards caused two problems:

1. The custodial receipt cards from which dispositions were entered did not report the date of disposition. To accommodate this deficiency DSP created a fictitious disposition date, usually determined to be one day prior to the date of custodial receipt. This fictitious disposition date compromises the accuracy of processing time since it probably does not reflect the actual disposition date.
2. As discussed earlier in this report, the entry of dispositional information from custodial receipt cards was ostensibly conducted to reduce the number of missing dispositions (or at least compensate for delinquent disposition reporting). However, such policies upset the logical sequence of events. Because of this policy, the entry of a disposition to CCH may predate the official receipt of dispositional information at DSP.

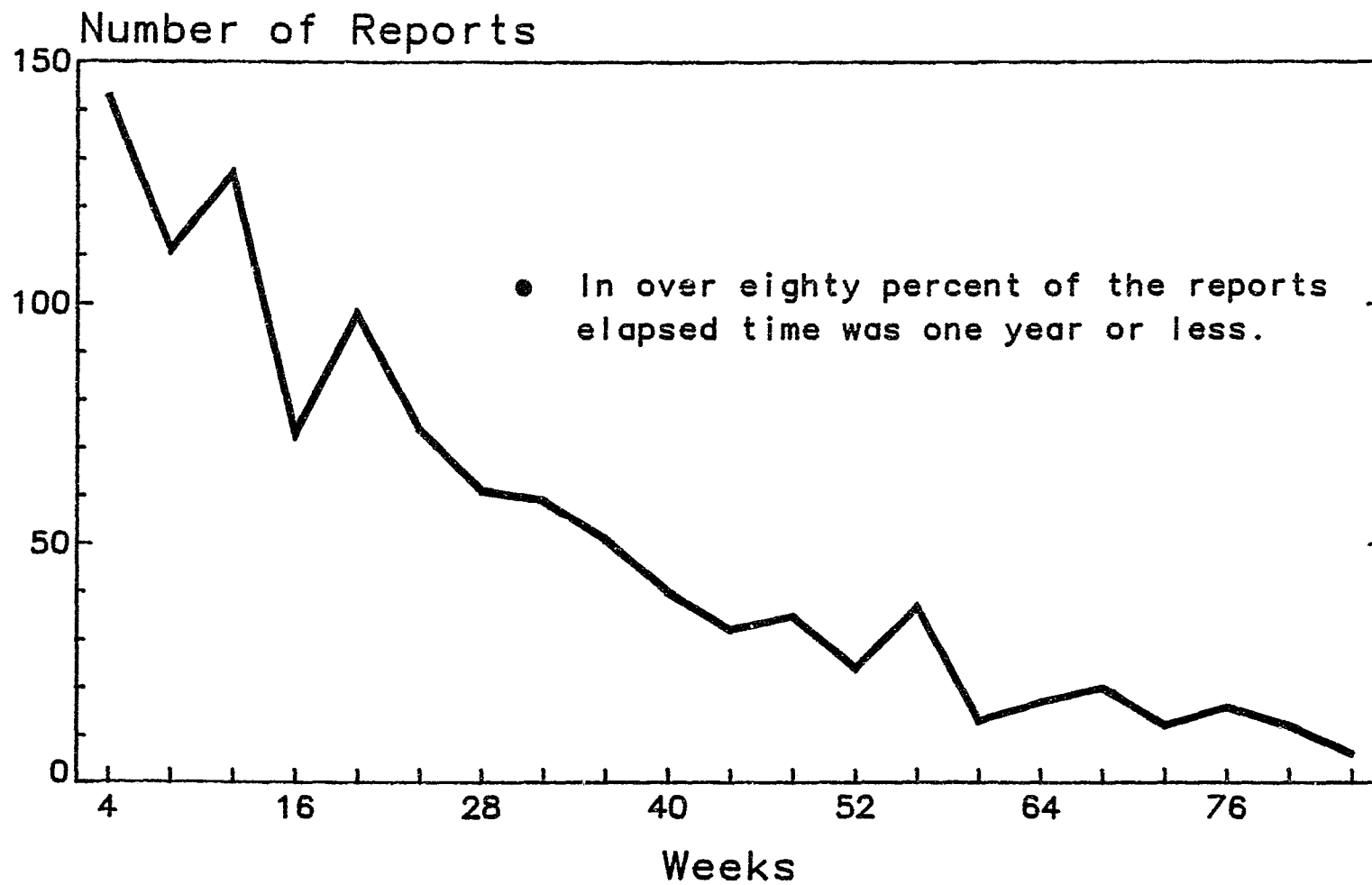
Because of these factors, post-arrest processing times for cases in which dispositions were entered from custodial cards were considered separately in the rest of the processing time analyses.

Table 10: Time elapsed between date of arrest and date arrest was entered into CCH system

Time (weeks)	Number of Reports	Pct.	Cum. Pct.
1	149	12.7 %	12.7 %
2	398	33.9	46.6
3	210	17.9	64.5
4	109	9.3	73.8
More than 4	308	26.2	100.0
Total	1,174	100.0 %	

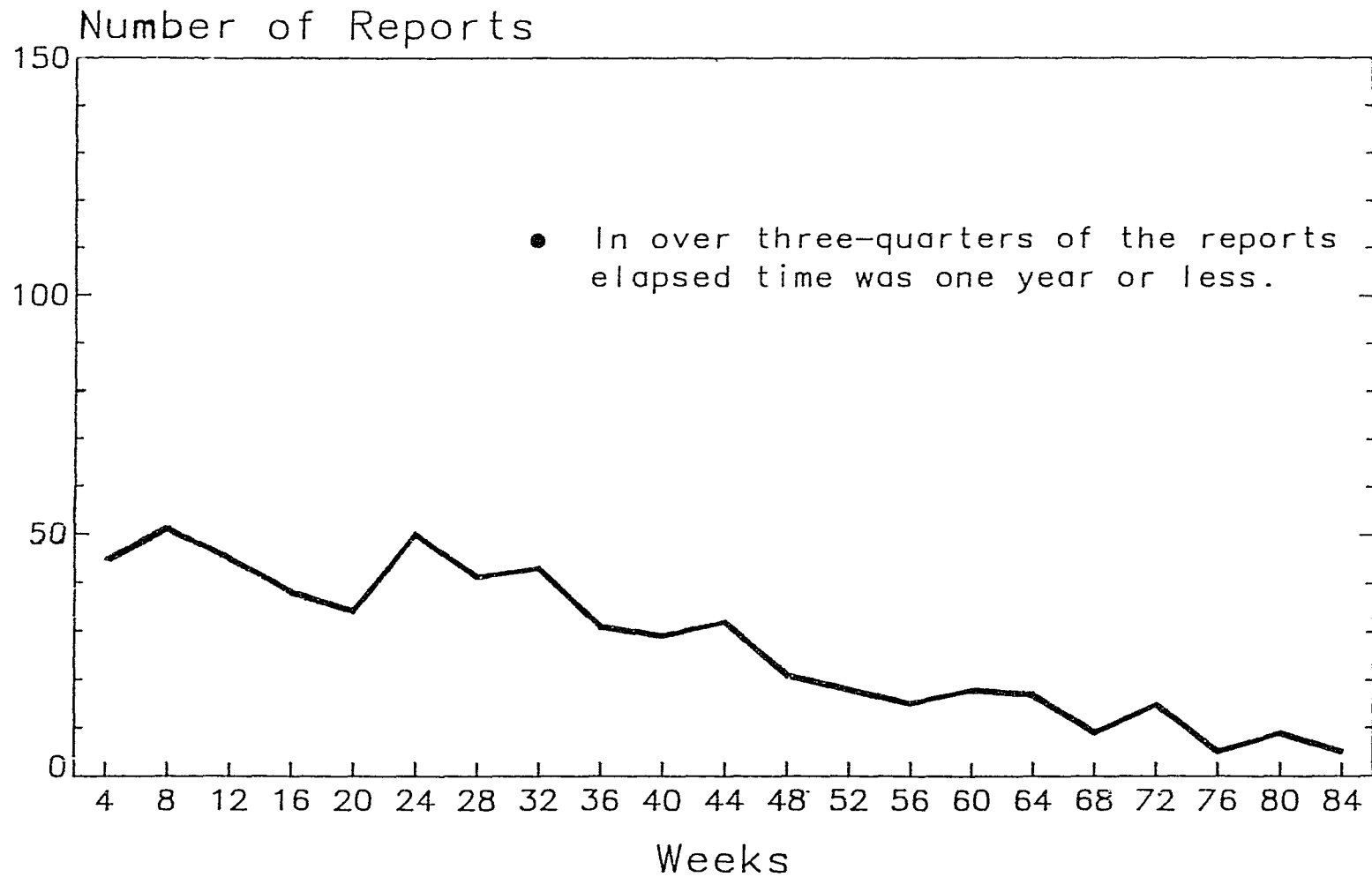
²⁰While one might expect that time between the entry of arrests and the entry of corresponding final dispositions would parallel criminal justice processing time (time from arrest to final entry), the time between entries would be expected to be somewhat longer for several reasons. First, Illinois law requires law enforcement agencies to submit arrest information to DSP within 24 hours of receiving it; court clerks, by contrast, are allowed 30 days to submit final dispositions. Second, the posting of arrests to CCH has generally been found to be less problematic and more routine than the posting of dispositions. Although time between entry was determined for only 617 cases, whereas criminal justice processing time was determined in 1,131, a comparison of average times, respectively 207 and 143 days, reinforces the idea that arrests are entered in a more timely fashion than dispositions.

Figure E. Elapsed Time Between Date of Arrest
and Date of Final Court Disposition



Illinois Criminal Justice Information Authority

Figure F. Elapsed Time Between Entry of Arrest and Entry of Final Disposition Into CCH System



Illinois Criminal Justice Information Authority

Date of Final Court Disposition to Date Entered Into CCH

Cases Entered From Disposition Reports

The time between dispositions and entry was calculated for 279 cases. Cases where the time could not be determined were mostly those for which a disposition was never entered, but some were cases in which at least one of the dates was missing or invalid.

The average time between the date of final disposition and entry to CCH was 68 days, but this time ranged widely, from one day to over 3 years (1,153 days). As Table 11 indicates, comparing across periods four weeks in length, 34 percent were posted to CCH in the second period, or within 29 to 56 days of the occurrence. An additional 24 percent were posted within the next period. On the other hand, some 26 percent of these dispositions were posted more than 16 weeks after the date of final court disposition.

Cases Entered From Custodial Receipt Cards

Time to entry was determined from custodial receipt cards in 345 of the cases. In contrast to dispositions entered from disposition reports the entry time for these cases was generally less, averaging 28 days (compared to 68).

An examination of the range of times revealed five cases in which a disposition was entered before the date indicated on the disposition report, the earliest having been entered 706 days before.²¹ For those cases in which entry of the disposition occurred after the reported date of disposition, the longest time was 527 days. As Table 11 indicates, the distribution of the entry processing time for these reports appears more "timely" than for cases entered from disposition reports. Approximately 51 percent had been entered within four weeks of the disposition.

Date of Final Court Disposition to Date Received at DSP

Cases Entered From Disposition Reports

The amount of time that elapsed between the disposition and the receipt of dispositions at DSP was determined in 404 of the 848 cases. A large portion of the cases were ones in which the DSP receipt date was not indicated. In addition, several could not be determined because disposition dates were missing or invalid.

Based on these 404 cases, the average elapsed time between the date of final court disposition and the receipt of the report at DSP was 38 days. The range of this elapsed time was considerable. On one hand, seven dispositions were received at DSP on the same day on which they were reported to have occurred. On the other hand, the time between disposition and receipt was more than 11 years (4,112 days) for one case, and more than one year in a total of 40 cases (10 percent).

As Table 12 indicates, the greatest proportion of these cases, 40 percent, were received within four weeks of the disposition date. Approximately 20 percent were received within an additional four-month period. However, 24 percent of these reports were received more than 16 weeks after the date of disposition.

²¹ Given DSP's policy of entering dispositions from custodial receipt cards it is plausible that this may have occurred. An individual may have been received by the Illinois Department of Corrections while other charges were pending. Also, the date of disposition may have been incorrectly recorded on the disposition report.

Table 11: Time elapsed between date of final court disposition and date disposition was entered into CCH system

	Time (Weeks)	No.	Pct.	Cum. Pct.
Dispositions Entered From Disposition Reports	Prior to Disposition	0	0.0 %	0.0 %
	0 - 4	16	5.7	5.7
	5 - 8	94	33.7	39.4
	9 - 12	66	23.7	63.1
	13 - 16	31	11.1	74.2
	More than 16	72	25.8	100.0
	Total	279		
Dispositions Entered From Custodial Reports	Prior to Disposition	5	1.5 %	1.5 %
	0 - 4	172	49.9	51.4
	5 - 8	105	30.4	81.8
	9 - 12	48	13.9	95.7
	13 - 16	5	1.5	97.2
	More than 16	10	2.9	100.0
	Total	345		

Cases Entered From Custodial Receipt Cards

Determination of the disposition receipt time was possible in 194 of the 350 cases entered from the custodial receipt card. As above, most of the cases in which a determination was prevented occurred because date of receipt at DSP was not indicated.

Based on these 194 cases, the average elapsed time between final court disposition and the receipt of the report at DSP was 19 days. Processing times ranged from 0 days, for seven cases received on the same date as the reported date of disposition, to 404 days after the date of the disposition for one case.

As indicated in Table 12, the majority of these cases were received relatively early, 65 percent within four weeks. An additional 18 percent of the cases were received within the next four-week period. Relatively few disposition reports were received after eight weeks from the reported disposition. However, 19 cases (10 percent) were received at DSP more than 16 weeks after the date of disposition.

Clear differences in processing time become evident upon comparing the disposition receipt time for cases entered from custodial receipt cards against those entered from disposition reports. Considering the average times and the distribution of these times overall, we noted an interesting facet of the entry of dispositional information from custodial fingerprint cards. In addition to bypassing the computer system requirement that information be posted to the system in a chronological order, it may be argued that the entry of dispositional information from custodial reports, in effect, is faster than waiting for circuit clerks to report the disposition.

The analysis above indicates, however, that the difference in average times is relatively small. More to the point, the reprocessing of these reports in Joliet adds to the time it ultimately takes to post information to the system concerning these final court dispositions. Thus whether the entry of dispositional information from custodial reports takes more time than waiting to process the information directly from the disposition report is questionable. Unfortunately, given the current system's shortcomings, waiting for the disposition report means that the custodial report, if reported, cannot be processed until the disposition report has been entered into the computer system.

Table 12: Time elapsed between date of final court disposition and date disposition was received at DSP

	Time (Weeks)	No.	Pct.	Cum. Pct.
Dispositions Entered From Disposition Reports	0 - 4	162	40.1 %	40.1 %
	5 - 8	82	20.3	60.4
	9 - 12	42	10.4	70.8
	13 - 16	21	5.2	76.0
	More than 16	97	24.0	100.0
	Total	404		
Dispositions Entered From Custodial Reports	0 - 4	126	64.9 %	64.9 %
	5 - 8	35	18.0	82.9
	9 - 12	9	4.6	87.5
	13 - 16	5	2.6	90.1
	More than 16	19	9.8	100.0
	Total	194		

Date Disposition Received to Date Entered Into CCH

Cases Entered From Disposition Reports

For cases entered from disposition reports, a determination of processing time between the day DSP received a disposition report and the day that report had been entered to CCH was limited to 39 cases. Cases in which a determination could not be made were many, due to the following causes: 1) the disposition was one of those not entered on CCH, and/or 2) the DSP receipt date was not indicated.

Based on these 39 cases the average time from receipt to entry was 101 days. The time to entry ranged from 20 to 480 days.

As Table 13 demonstrates, the largest portion of these dispositions (46 percent, or 18 cases) were entered at least 16 weeks after they had been received. Comparisons across the preceding four four-week periods are of limited value due to the small number of cases.

Cases Entered From Custodial Receipt Cards

The audit team was able to determine "time to entry" for 194 cases in which dispositions were entered from custodial cards. Missing cases were mostly attributable to missing dates of receipt.

For cases entered from custodial receipt cards, "time to entry" takes on a different meaning because of the method by which these cases were processed.

Because these dispositions were entered from custodial receipt cards, it was possible that a disposition was entered to CCH before the actual disposition report was received at DSP. Cases in which the entry of a disposition predates the date of receipt are expressed as negative numbers. For instance, "time to entry" for a case that was posted seven days before the receipt of the disposition at DSP would be -7.

Rather than measuring DSP's speed in entering dispositions, as is the case with typical disposition entries, "time to entry" in this case provides an estimate of the degree to which these disposition entries predate or postdate the receipt of disposition reports.

The average "time to entry" for these cases was five days. However, the range of these times indicates that in 43 percent of the 194 cases the date of disposition entry predates the date the disposition was received. In 57 percent of the cases, the date of disposition entry postdates the date of receipt. (In one case these dates were the same.)

Table 13 also presents the distribution of the "times to entry" for predated and postdated entries, based on periods four weeks in length. As the table indicates, for a large portion of the cases the entry date either predated or postdated the date of receipt by four weeks or less (29 percent and 32 percent, respectively). In addition, approximately 16 percent of the dispositions were entered in the second four-week period after receipt (or within 29 to 56 days).

Generally, this analysis indicates that the entry of dispositions from custodial cards resulted in a "more timely" entry of disposition information than would have occurred had DSP waited for receipt of disposition reports. This was true of the 43 percent of the cases (n=84) that were entered before the receipt of disposition reports.

However, the fact that the entry date postdated the date of receipt in 57 percent of the cases (n=109) reveals that DSP had posted the disposition information from custodial cards after having received disposition reports. The audit found that the entry of disposition information from custodial cards is severely limited in its utility.

Summary

Analyzing processing times in the various categories of problematic dispositions helped the audit team assess the effect of deficiencies in reporting practices, constraints of the current CCH system and certain DSP policies on the timeliness of disposition entry to the system.

While the audit's primary focus was court disposition reporting, the available data also provided an opportunity to analyze arrest processing time data.

These analyses revealed that arrest processing is generally accomplished within an acceptable time frame. The majority of arrests (74 percent) were posted to the CCH database within 28 days of the date of arrest.

With respect to disposition reporting, cases entered from disposition reports took an average (median) time of 68 days between the date of final disposition and the entry of the disposition to CCH. For cases entered from custodial receipt cards the time was 28 days.

The average time between the date of final disposition and the date the disposition was received at DSP was 38 days for those cases entered from the disposition reports and 19 days for those entered from custodial receipt cards.

The average time between the date of receipt and the entry of the disposition on CCH was 101 days for cases entered from disposition reports and five days for those cases entered from custodial receipt cards.

Our analyses revealed that, on the whole, the disposition reports did not arrive at DSP very long after the dispositions had been entered. Indeed, some dispositions had been received at DSP before the entry of the dispositional information from the custodial receipt card.

For several reasons, the overall efficiency of this entry process is called into question by this audit's findings. First of all, the actual date of final court disposition is not available on the custodial reports for data input personnel to post to the computer system. This date is created to allow entry. Likewise, "non-conviction" information and dispositional information not related to a term of imprisonment reportable on the custodial form is, by definition, missed. If and when DSP personnel in Springfield receive the court's disposition report for processing, they set it aside for forwarding to Joliet and reprocessing at that facility.

Table 13: Time elapsed between date final court disposition was received at DSP and date it was entered into CCH system

	Time (Weeks)	No.	Pct.	Cum. Pct.
Dispositions Entered From Disposition Reports	Prior to Disposition	0	0.0 %	0.0 %
	0 - 4	3	7.7	7.7
	5 - 8	8	20.5	28.2
	9 - 12	5	12.8	41.0
	13 - 16	5	12.8	53.8
	More than 16	18	46.2	100.0
	Total	39		
Dispositions Entered From Custodial Reports	Predates Disposition			
	More than 16	13	6.7 %	6.7 %
	13 - 16	6	3.1	9.8
	12 - 9	1	0.5	10.3
	8 - 5	8	4.1	14.4
	4 - 0	56	28.9	43.3
	Postdates Disposition			
	0 - 4	63	32.5	75.8
	5 - 8	32	16.5	92.3
	0 - 12	14	7.0	99.3
	13 - 16	0	0.0	99.3
	More than 16	1	0.5	100.0
	Total	194		

Significance of Audit

The 1985-1986 audit of the CCH system focused on the reporting and processing of problematic disposition reports. The audit team drew a stratified sample of 1,198 reports from the 11,660 that were problematic. Key dates in the processing of these cases were analyzed to determine the processing times of all relevant events from arrest to the posting of final dispositions.

Our audit documented several important findings:

- The current CCH system is not equipped to handle the variety of disposition outcomes encountered in routine criminal justice processing. In instances where more than one disposition results from a given charge or set of charges, CCH cannot adequately capture the second or subsequent disposition. The method used by DSP to modify the initial disposition to include information about the second or subsequent disposition is not satisfactory because such dispositions are not easily interpretable by criminal justice personnel and consequently inhibit effective decision making.

DSP identified two types of problematic dispositions: 1) those dispositions referring to second dispositions, such as the revoking of probation and sentencing to prison, and 2) those within a more specific category referring to dismissal after court supervision or certain types of probation used for serious drug offenders.

- The current CCH system does not allow for the entry of criminal history record information relating to more than eight charges. DSP developed a procedure for handling this computer design shortcoming, but it does not appear to be implemented in a uniform or consistent manner. In some cases in which there was information in the report dealing with more than eight charges, no disposition information was entered to CCH. Sometimes charges were omitted from entry. In still other cases, DSP created additional segments to capture the extra charge information. These methods inflate the number of arrests and missing dispositions on the CCH system and therefore compromise the utility of CCH as a decision-making tool.
- In situations where the disposition report indicated an arrest date that did not match the arrest date indicated on the corresponding CCH arrest segment, the report was not entered to CCH. There appeared to be no rationale for blocking the entry of these events, since DSP routinely enters disposition information from disposition reports in which no arrest date is indicated. Furthermore, based on information indicated on the disposition reports (the court case number and charge citations) it was evident that the dispositions could have been linked reliably to the arrest segment.
- The policy of entering the available dispositional information from the custodial fingerprint cards, rather than from the disposition report itself, resulted in inaccurate and incomplete dispositional information being posted to CCH. Again, this policy compromises the utility of CCH as a decision-making tool.
- Disposition reports forwarded from Springfield to Joliet in order to enter alias name or date of birth were generally not problematic. An examination of data elements on the disposition reports indicated that they generally matched the corresponding information on CCH. However, in approximately one-fifth of the CCH entries the information about sentence type and sentence term did not fully reflect what the disposition report indicated.

- An analysis of processing time confirmed findings of previous audits that arrest information is generally reported to DSP in a timely manner and that DSP, in turn, is posting this information to CCH within a relatively short time period, on average. On the other hand, the processing of dispositional information is more problematic. A considerable number of disposition reports are missing. The findings of this and previous audits demonstrate that deficiencies in processing of dispositional information are further aggravated by the non-uniformity of manual disposition reporting in Illinois, and that certain systematic constraints of the current CCH system act to delay the timely processing of disposition information at DSP.

Findings and Recommendations

Finding Number 1

The category of problematic dispositions dealing with second or subsequent dispositions in a particular case accounted for 4,638, or 40 percent, of the 11,660 reports examined in this audit. As past audits of the CCH system have repeatedly indicated, the current system does not allow for the entry of these kinds of reports to the computer system. Information about an offender's performance on court supervision or probation is a vital part of his criminal history record. Revocation of these terms of supervision, moreover, should be part of a subject's state rap sheet.

Recommendation Number 1

The Department of State Police's redesigned CCH system should include modifications that permit the entry of multiple dispositions of arrest charges.

Finding Number 2

The current CCH system design does not allow for information to be posted to the database for more than eight charges.

Recommendation Number 2

DSP's redesigned CCH system should include modifications that will allow for more than eight charges and their dispositions to be entered into the database.

Finding Number 3

In order to record more than eight arrest charges on the CCH system, data input personnel at DSP sometimes create additional arrest segments on the system. There are approximately 12,000 records on the CCH system containing such arrest segments. These segments, in effect, artificially inflate the number of arrests on the system, as well as the number of missing dispositions.

Recommendation Number 3

DSP's redesign of the CCH system should include revision of the records containing these artificial arrest segments to accurately and completely reflect the number of arrests and charges involved.

Finding Number 4

Disposition report forms currently used by the Circuit Court Clerk of Cook County do not contain data fields for reporting the arrest document control number or the arrest date for the case being disposed of. The forms also do not include fields for other data elements such as the Chicago Police Department's individual record (IR) number and DSP state identification number (SID). Even though these data elements are critical for tracking court cases and offenders through the criminal justice system, they must be hand-written into the margins of the Cook County circuit clerk forms.

Recommendation Number 4

The Authority recommends that the Cook County Circuit Court Clerk's "Notification of Felony Conviction" reporting form be revised to allow the clerks to easily record the arrest document control number and personal identification numbers used by the State Police and the Chicago Police Department.

Finding Number 5

A substantial number of dispositions are posted to the CCH system from custodial fingerprint card submissions. This reporting form does not, in its current format, allow DSP to report the date of final court disposition or court case numbers. Furthermore, these submissions automatically exclude any dispositional information not related to the conviction and term of incarceration. Thus "non-conviction" dispositional information is not included in these partial disposition reports. When these submissions are relied upon to create as-yet unrecorded disposition segments, moreover, an unknown date of final court disposition is posted to the system, so that the correctional transaction can also be entered into the CCH database.

Recommendation Number 5

The procedure of entering disposition segments into the CCH database from custodial reports is followed to accommodate a CCH system design constraint identified in previous audits. The Authority recommends that DSP's redesigned CCH system include modifications that allow criminal history record information to be posted to the system out of chronological sequence. It should be possible to post custodial transactions to the system without needing to create the preceding criminal justice transactions that have yet to be reported.

Finding Number 6

Disposition data entry, for the most part, appears to be fairly complete and accurate. The timeliness of arrest card processing is not problematic. However, given the current organizational distribution of data processing between the Joliet and Springfield facilities, the timeliness of disposition processing is questionable. For certain disposition reports requiring verification against a subject's physical record file in Joliet before processing, this situation prevents timely posting of criminal history record information to the CCH database.

Recommendation Number 6

Sufficient resources should be made available to DSP that permit all CCH-related processing of reported criminal history record information to occur at the Joliet facility, where source documentation is readily available.



State of Illinois
DEPARTMENT OF STATE POLICE
Office of the Director

September 11, 1986

James B. Zagel
Director
Christian R. Maerz
Assistant Director

Mr. William Gould, Chairman
Illinois Criminal Justice Information
Authority
120 South Riverside Plaza
Chicago, Illinois 60606

Dear Mr. Gould:

The Department of State Police has reviewed the Annual Audit Report for 1985-1986: Court Disposition Reporting and Processing. Efforts are now underway to resolve many of the issues and recommendations which this report has raised.

The Department of State Police remains committed to improving the accuracy, completeness, and timeliness of criminal history record information which we collect, store and disseminate. While significant improvements have been made over the last several years, this audit will assist in focusing our attention for future program improvements.

Very truly yours,

James B. Zagel

Director

JBZ:m

CHAIRMAN

SLP 22 1986

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Attachments

CCH Report Forms

Examples of CCH Transcripts

Uniform Disposition Reporting Law

DOCUMENT CONTROL NUMBER 005103008		ARRESTING AGENCY NCIC NO -ORI IL	STATE BUREAU NUMBER-OCI IL	LAST NAME-NAME		FIRST NAME	MIDDLE NAME									
ARREST CARD		CONTRIBUTOR-NCIC NO -ORI	FBI NUMBER-FBI	SEX	RACE	SOB	DATE OF BIRTH-DOB	HEIGHT	WEIGHT	EYES						
		IL	ARRESTEE HELD FOR PROSECUTION <input type="checkbox"/> YES <input type="checkbox"/> NO	HAIR-HAI	SKIN-SKN	SCARS/MARKS/TATTOOS-SMT										
SOCIAL SECURITY NUMBER-SOC	MISCELLANEOUS-MNU															
ARREST JACKET NUMBER-IID		ALSO KNOWN AS-AKA		ALIAS DOB		STATE USE ONLY										
ALSO KNOWN AS-AKA		ALIAS DOB		CLASSIFICATION												
DATE OF ARREST-DOA		DATE OF OFFENSE DOO		REFERENCE												
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS			IDENTIFICATION NO		NCIC FINGERPRINT CLASSIFICATION-FPC											
SIGNATURE OF ARRESTEE			DATE PRINTED		CAUTION	BASIS FOR CAUTION-ICO										
NOTICE THIS INFORMATION MAY BE COMPUTERIZED IN LOCAL STATE AND NATIONAL FILES																
CITY OF BIRTH	RESIDENCE ADDRESS		CITY	STATE	ZIP CODE	COURT CASE NUMBER		COURT CLK NO								
ARRESTING OFFICER-NAME			ID OR BADGE NO	DEFENDANT'S DRIVERS LICENSE		NUMBER OF DEFENDANTS		NUMBER OF CHARGES								
BOOKING NUMBER	REPORT REFERENCE NO		OFFENSES							C	A	M	C	F		
TIME OF ARREST	BEAT	SUB BEAT	CHARGE NUMBER	CHAPTER	ARTICLE	SECTION	SUBSECTION	DESCRIPTION OF OFFENSE								
ARREST LOCATION CODE		TYPE WEAPON		1												
ARREST LOCATION/DATE				2												
				3												
				4												
RESISTED	ASSAULTED OFFICER	INJURED OFFICER	SOBER	NARCOTICS	5											
YES NO	YES NO	YES NO	YES NO	YES NO	6											
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7											
PHOTOGRAPHED		PHOTO NUMBER		8												
WARRANT NUMBER		WARRANT CLEARED LEADS														
<input type="checkbox"/>		<input type="checkbox"/>														
WAIVED BY			WARRANT NUMBER		ISSUE DATE	BOND SET BY (1) RULE OF COURT OR (2) JUDGE-ENTER JUDGE'S NAME										
SEND CRIMINAL HISTORY RECORD TO						BOND NUMBER		BOND AMOUNT								
NCIC		AGENCY														
NCIC		AGENCY														
AGENCY INFORMATION:						TYPE BOND										
						CASH	CARD	BOND DEPOSIT	PROF BOND	10% BOND	ROR					
						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
						INITIAL COURT DATE		TIME								
						INITIAL COURT LOCATION										

DOCUMENT CONTROL NUMBER

DATE OF ARREST

LAST NAME

FIRST NAME

MIDDLE NAME

SEX RACE

DATE OF BIRTH

DISPOSITION REPORT

STATE USE ONLY

BCI

STATE'S ATTORNEY DISPOSITION

STATE'S ATTORNEY NCIC NO

IL

REVISION

ADDITIONAL

ARREST CHARGE NUMBER	CHARGE NOT FILED	CHARGE FILED	CHAPTER	ARTICLE	SECTION	SUBSECTION	C S A	CLASS	DATE OF DISPOSITION	CASE NUMBER
1	a	b								
2	a	b								
3	a	b								
4	a	b								
5	a	b								
6	a	b								
7	a	b								
8	a	b								

COURT DISPOSITION

COURT'S NCIC NUMBER

IL

REVISION

ADDITIONAL

ARREST CHARGE NUMBER	DISMISSED	LEAVE TO REINSTATE	ACQUITTED	CONVICTED	CHAPTER 56% SECTION 1410. 710 PROBATION	CHAPTER	ARTICLE	SECTION	SUBSECTION	C S A	CLASS	DATE OF DISPOSITION	CASE NUMBER
1	a	b	c	d	e								
2	a	b	c	d	e								
3	a	b	c	d	e								
4	a	b	c	d	e								
5	a	b	c	d	e								
6	a	b	c	d	e								
7	a	b	c	d	e								
8	a	b	c	d	e								

SENTENCE

ARREST CHARGE NUMBER	DEATH	IMPRISONMENT	PERIODIC IMPRISONMENT	PROBATION	COURT SUPERVISION	FINE	TERM			AMOUNT IN DOLLARS
							YEARS	MONTHS	DAYS	
							a	b	c	
1	a	b	c	d	e	f	a	b	c	d
2	a	b	c	d	e	f	a	b	c	d
3	a	b	c	d	e	f	a	b	c	d
4	a	b	c	d	e	f	a	b	c	d
5	a	b	c	d	e	f	a	b	c	d
6	a	b	c	d	e	f	a	b	c	d
7	a	b	c	d	e	f	a	b	c	d
8	a	b	c	d	e	f	a	b	c	d

BOND INFORMATION

--- RELEASED ON RECOGNIZANCE

--- REMANDED TO COUNTY JAIL

--- BOND

--- AMOUNT

BOND FORFEITURE WARRANT ISSUED

--- YES --- NO

BOND FORFEITURE WARRANT QUASHED

--- YES --- NO

DEPARTMENT OF LAW ENFORCEMENT
 DIVISION OF SUPPORT SERVICES
 BUREAU OF IDENTIFICATION
 300 ARMY BUILDING
 SPRINGFIELD, ILLINOIS 62706

Cook County Circuit Clerk Disposition Reporting Form

Arrest Document No.

CCMD-317
Revised 7-79

MORGAN M. FINLEY, CLERK OF THE CIRCUIT COURT OF COOK COUNTY
NOTIFICATION OF FELONY FINAL DISPOSITION

MUNICIPAL DEPARTMENT

MUNICIPAL DISTRICT

DEFENDANT'S NAME: ..

AKA

Last Known Address:

State

D/L No. *unk* Arresting Agency:

Date of Birth: *12-5-55* Place of Birth: *unk* SEX: Male Female

RACE: White Chinese Mexican Puerto Rican Negro Indian Japanese

CONVICTION INFORMATION

Date: *9/15/82* Judge: .. Indictment/Inf. *82-I-3-30152*

PLEA:

FINDING

VERDICT

GUILTY NOT GUILTY SOL NOLLE PROS DEATH SUGGESTED-CAUSE ABATED

CONVICTED UNDER Chap. *56 1/2* Sec. *1402* Par. *(b)* CHARGE: *P.C.S.*
SENTENCE:

Count 1

DEATH Execution Date:

Imprisonment To State Dept. of Corr. for yrs to yrs, Plus Parole

PER IMPRM Yrs. Prob. and 1st in Cty.
Department Correction - Under Work Release Program

X PROBATION. *30 months* Yrs. 1st *+ 273 hours AD* in Cty. Dept. Corr.

CONVICTED UNDER Chap. Sec. Par. CHARGE

Count 2

DEATH Execution Date:

Imprisonment To State Dept. of Corr. for yrs to yrs, Plus Parole

PER IMPRM Yrs. Prob. and 1st in Cty.
Department Correction - Under Work Release Program

PROBATION. Yrs. 1st in Cty. Dept. Corr.

CONVICTED UNDER Chap. Sec. Par. CHARGE

Count 3

DEATH Execution Date:

Imprisonment To State Dept. of Corr. for yrs to yrs, Plus Parole

PER IMPRM Yrs. Prob. and 1st in Cty.
Department Correction - Under Work Release Program

PROBATION. Yrs. 1st in Cty. Dept. Corr.

CONVICTED UNDER Chap. Sec. Par. CHARGE

Count 4

DEATH Execution Date:

Imprisonment To State Dept. of Corr. for yrs to yrs, Plus Parole

PER IMPRM Yrs. Prob. and 1st in Cty.
Department Correction - Under Work Release Program

PROBATION. Yrs. 1st in Cty. Dept. Corr.

CONC WITH CONSEC WITH

FILED
17 SEP 15 PM 3:40
Clerk of the Circuit Court
Cook County, Illinois
127 E. FRANKLIN ST.
CHICAGO, ILL. 60601

DCN COO 337819		AGENCY RECEIVED FROM (JRI)	STATE BUREAU NUMBER (BL)	LAST NAME (NAM)			FIRST NAME	MIDDLE NAME
CONFINING INSTITUTION (JRI)		DATE RECEIVED	FBI NUMBER (FB)	SEX	RACE	DOB	DATE OF BIRTH (DOB)	HEIGHT
INSTRUCTIONS: TYPE OR PRINT ALL INFORMATION IN BLOCK. THE MARKS ARE USED TO STRUCTURE HAND PRINTING. SOURCE: BUREAU. IF YOUR TYPE (DO NOT FILL IN FIL) MARKS				HAIR (HA)	SKIN (SK)	SCARS, MARKS, TATTOOS (SMT)		
INSTITUTION NUMBER (IT)		ALSO KNOWN AS (AAA)		SOCIAL SECURITY NUMBER (SUC)			MISCELLANEOUS NUMBER (MNU)	
OFFENSE DESCRIPTION		CHAPTER ARTICLE SECTION		STATE USE ONLY				
OFFENSE DESCRIPTION		CHAPTER ARTICLE SECTION		CLASSIFICATION				
SENTENCE (FRM)				REFERENCE				
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		IDENTIFICATION NO.		NOTICE: FINGERPRINT CLASSIFICATION (FPC)				
SIGNATURE OF RESIDENT		DATE PRINTED		CITY OF BIRTH			TID	
NOTICE: THIS DATA MAY BE COMPUTERIZED IN LOCAL STATE AND NATIONAL FILES								

STATUS	CODE
Absconded	401
Administrative Discharge	402
Cert. of Relief	403
Committed Suicide	404
Commutation Prior Sentence Rescinded	405
Conditional Release	406
Conditional Release Revoked	407
Deceased	408
Discharged from Criminal Justice System	409
Escaped	410
Executed	411
Furloughed	412
Furlough Revoked	413
Mandatory Release	414

STATUS	CODE
Mandatory Release Revoked	415
Pardoned	416
Paroled	417
Parole Revoked	418
Probation	419
Probation Revoked	420
Released by Court Order	422
Released-Expiration of Minimum Time	428
Released on Appeal Bond	423
Sentence Commuted	424
Work Furlough	425
Work Furlough Revoked	426
Transferred	427
Accepted Parole Jurisdiction	429
Accepted Probation Jurisdiction	430

DURATION OF STATUS CHANGE

DATE OF TRANSACTION

SIGNATURE OF OFFICIAL

CCH "Complete" Record

Illinois Department of Law Enforcement
 Division of Support Services
 Bureau of Identification
 515 East Woodruff Road,
 Joliet, Illinois 60432

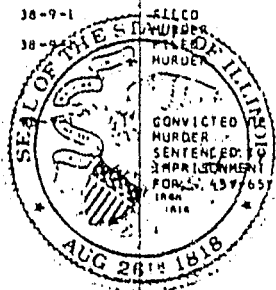
AGENCY REQUESTING TRANSCRIPT
 DIRECTOR
 IL CRIM JUST INFO AUTHO
 120 SO RIVERSIDE PLAZA
 CHICAGO
 IL 60606
 REG/098

NAME
 BIRTHDATE 010949
 ALIAS DOB
 MISC NO
 HAIR BRD
 HGT FT 5 IN 09
 HENRY FP CLASS
 SEX M RACE W
 EYES BRN
 WEIGHT 142
 NCIC FP CLASS
 POC114P119P113141515
 PI 17 U 00000

NUMBER OF BONDS 00
 BFW ISSUED 00
 BFW QUASHED 00

RELEASE OF THIS INFORMATION TO UNAUTHORIZED INDIVIDUALS OR AGENCIES OR INSURE IS PROHIBITED BY FEDERAL LAW
 TITLE 42 USC 3771S PERTAINING TO CRIMINAL HISTORY INFORMATION

CONTRIBUTOR DOCUMENT CONTROL NO AGENCY CONTROL NO	DATE OF TRAN	A C H	STATUTE CITATION	ACTION	NAME USED
	11/29/64			DATE OF TRANSCRIPT	
ARREST DUPAGE S D 60202633 11003	06/20/70	01	38-9-1	MURDER	
S. A. DISPOSITION DUPAGE CO S A F00202633		04	38-9-1	FILED MURDER	
COURT DISPOSITION DUPAGE CIR CRT F00202633	12/22/70	04	38-9-1	CONVICTED OF MURDER SENTENCED TO IMPRISONMENT FOR 457-657 1968	



000 PAGE 001

Illinois Department of Law Enforcement
 Division of Support Services
 Bureau of Identification
 515 East Woodruff Road,
 Joliet, Illinois 60432

AGENCY REQUESTING TRANSCRIPT
 DIRECTOR
 IL CRIM JUST INFO AUTHO
 120 SO RIVERSIDE PLAZA
 CHICAGO
 IL 60606
 REG/098

NAME
 BIRTHDATE 010949
 ALIAS DOB
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 SEX M RACE W
 EYES BRN
 WEIGHT 142
 NCIC FP CLASS
 POC114P119P113141515
 PI 17 U 00000

NUMBER OF BONDS 00
 BFW ISSUED 00
 BFW QUASHED 00

RELEASE OF THIS INFORMATION TO UNAUTHORIZED INDIVIDUALS OR AGENCIES OR INSURE IS PROHIBITED BY FEDERAL LAW
 TITLE 42 USC 3771S PERTAINING TO CRIMINAL HISTORY INFORMATION

CONTRIBUTOR DOCUMENT CONTROL NO AGENCY CONTROL NO	DATE OF TRAN	A C H	STATUTE CITATION	ACTION	NAME USED
	11/29/64			DATE OF TRANSCRIPT	
CUSTODIAL INFORMATION STATEVILLE COR CTR 600075732 89408	12/22/70	02	38-9-1	CONVICTED OF MURDER SENTENCED TO IMPRISONMENT FOR 457-657	
ARREST DUPAGE S D 60202633 11003	03/23/69	01	38-9-1	DISORDERLY CONDUCT	



000 PAGE 002

CCH "Incomplete" Record

JUL 1 9 1984

STATE OF ILLINOIS
DEPARTMENT OF LAW ENFORCEMENT
Bureau of Identification
JOLIET

14)0 29 IOI 19
I 17 U 000
m/w dob 01 09 49

The following record is furnished for official use only.

Illinois State Bureau Number
Jma

F.B.I. Number

CONTRIBUTOR OF FINGERPRINTS	NAME AND NUMBER	ARRESTED OR RECEIVED	CHARGE	DISPOSITION
SO: Wheaton, Ill. DuPage Co.		3-23-69 MP	dis conduct	
SO:Wheaton, Ill. DuPage Co.		06 20 70	Murder	122270 45-65 yrs imprs
Dept of Corr SPen Joliet Ill		12 28 70	murder(2)	45-65 yrs (2cc)

For completion of our records, please notify dispositions to this Bureau in any of the foregoing cases where they do not appear.
Notations indicated by * ARE NOT SUPPORTED BY FINGERPRINTS IN I.S.B. files.

1150-202-1140) IS APPROVE ALL RESULTS AND COMMUNICATIONS TO SUPERVISORS

ILLINOIS UNIFORM DISPOSITION REPORTING LAW

PUBLIC ACT 83-752

An Act to amend Section 2.1 of "An Act in relation to criminal identification and investigation", approved July 2, 1931, as amended.

Be it enacted by the People of the State of Illinois, represented in the General Assembly:

Section 1. Section 2.1 of "An Act in relation to criminal identification and investigation", approved July 2, 1931, as amended, is amended to read as follows:

(Ch. 38, par. 206-2.1)

Sec. 2.1. For the purpose of maintaining complete and accurate criminal records of the Department of Law Enforcement, it is necessary for all policing bodies of this State, the clerk of the circuit court, the Illinois Department of Corrections, the sheriff of each county, and State's Attorney of each county to submit certain criminal arrest, charge, and disposition information to the Department for filing at the earliest time possible. Unless otherwise noted herein, it shall be the duty of all policing bodies of this State, the clerk of the circuit court, the Illinois Department of Corrections, the sheriff of each county, and the State's Attorney of each county to report such information as provided in this section, both in the form and manner approved by the Illinois Criminal Justice Information Authority and within 30 days of the criminal history event. Specifically:

(a) Arrest Information. All agencies making arrests for offenses which are required by statute to be collected, maintained or disseminated by the Department of Law Enforcement 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 criminal court case, and whether charges were not filed in criminal cases for which the Department has a record of an arrest.

(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 criminal cases for which the Department has a record of an arrest or a record of fingerprints reported pursuant to paragraph (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 trial 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 either section 10 of the Cannabis Control Act or section 410 of the Illinois Controlled Substances 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, including an order of supervision or an order of probation granted under either section 10 of the Cannabis Control Act or section 410 of the Illinois Controlled Substances Act, for any offense which is required by statute to be collected, maintained, or disseminated by the Department of Law Enforcement, the State's Attorney 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 so sentenced 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 Law Enforcement, 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 Law Enforcement. For an individual who has been charged with any such offenses 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 so furnished to the Department.

Michael J. Madigan
Speaker, House of Representatives
Philip J. Rock
President of the Senate

APPROVED

this 23rd day of September, 1983 A.D.

James Thompson
GOVERNOR



MINO
DIVISION
NO. 100-100000-100000