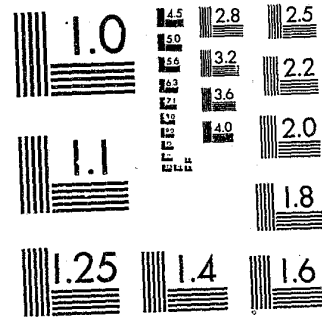


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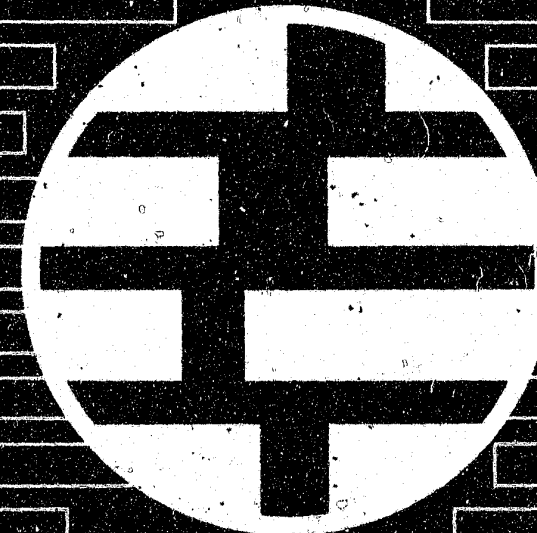
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CIMIS DATA PROJECT

Data Survey Report:
Cook County Department of Corrections

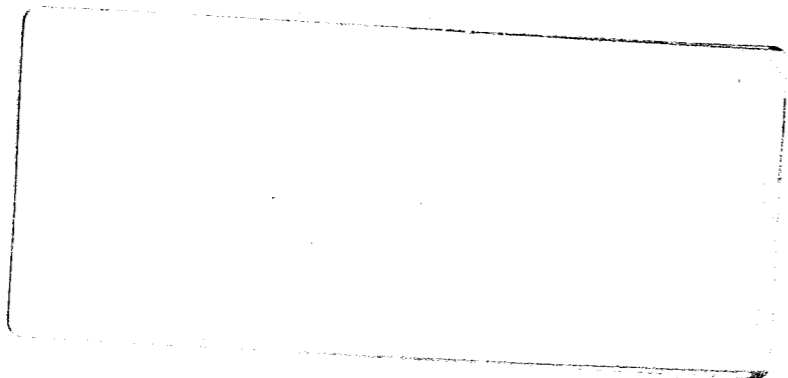
July, 1981

STATISTICAL ANALYSIS CENTER



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CIMIS DATA PROJECT

Data Survey Report:
Cook County Department of Corrections

July, 1981

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Brant Serxner
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Printed by authority of the State of Illinois
August 1981
Number of Copies: 300
Printing Order Number: 82-1

ACKNOWLEDGMENTS

The cooperation of the staffs of the Cook County Department of Corrections and the Criminal Justice Information Systems Division of the Illinois Law Enforcement Commission was indispensable to this project. We wish to thank Dwayne Peterson and Jim Bongovanni from the CIMIS Office; Lieutenant Curtis and Lieutenant Panush from the Records Office; Sergeant Maul and Lieutenant Butler from the Receiving Division, and all of the Cook County Department of Corrections officers who took time out to answer our questions. Our thanks also extend to J. David Coldren, Edward Maier and Marge Sauser from Criminal Justice Information Systems for their patience and hard work in meeting our programming needs.

All Statistical Analysis Center papers, from the first draft to final printing and dissemination, are the result of coordinated efforts from the executive, research, and administrative staffs. We appreciate the contributions made by each and every staff member toward the completion of this paper.

PREFACE

This report presents the results of an analysis of the Cook County Department of Corrections' (CCDOC) Correctional Institution Management Information System (CIMIS) database. It is intended primarily for CCDOC personnel who manage and rely on CIMIS, Illinois Law Enforcement Commission Criminal Justice Information Systems (CJIS) personnel who design and update CIMIS, and for criminal justice administrators and policymakers with an interest in information systems. It is organized into five major sections.

The Introduction explains the goals of the CIMIS Data Project, and the place of the Data Survey Report in the Project. It also describes CCDOC and CIMIS operations in brief.

The Methodology section describes the research methods used to collect data for the Report, and discusses their limitations.

The Analyses and Comments section presents and explains the data tables derived from the analyses performed during the course of the survey.

The Findings and Recommendations section presents the problems uncovered concerning CIMIS at CCDOC, and includes proposed solutions to them.

The final section consists of a number of appendices that provide copies of important documents, explanations of significant aspects of the research methods, and a glossary that lists and defines important terms.

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INTRODUCTION

The CIMIS Data Project

This paper is the first in a series of reports that constitute a comprehensive study of the Correctional Institution Management Information System (CIMIS). CIMIS was designed by the Criminal Justice Information Systems (CJIS) Division of the Illinois Law Enforcement Commission (ILEC), and is in use in both the Illinois Department of Corrections (IDOC) and the Cook County Department of Corrections (CCDOC).

The CIMIS Data Project is sponsored by CJIS and is a project of the Illinois Statistical Analysis Center (SAC). The Project will be the first comprehensive study of CIMIS, and has three goals:

1. To survey the inmate data in the CIMIS databases at all sites.
2. To describe CIMIS operations and use at all CIMIS sites.
3. To use CIMIS data to determine whether the decisions made by corrections personnel are patterned and predictable.

Completion of these goals will meet two needs. The first need is to promote awareness among CIMIS users and designers of the system's capabilities and problems. The second need is to make CIMIS data available and useful, both for meeting its own goals and for providing information about the Illinois criminal justice system.

This report presents the first survey of a CIMIS database and is the first of five products to be produced.

Products of the CIMIS Data Project:

1. CIMIS Data Survey Reports. These reports will present a thorough description of the CIMIS database at each of the CIMIS sites. The descriptions will include the scope, completeness, and accuracy of those databases.
2. Descriptions of CIMIS Operations. These reports will explain in detail how CIMIS is used at each site. They will stress the elements that make each site similar to, and unique among, all CIMIS sites and how each different application of CIMIS contributes to the management of the various corrections institutions.

3. Standard Procedures for Conducting CIMIS Database Surveys. These will be step-by-step guides to surveying an on-line CIMIS database. They will include and explain all the procedures and programs needed for extracting and analyzing a CIMIS database.
4. Periodic CIMIS Data Reports. These will be procedures developed for periodic reports based on the CIMIS data at each site. These reports will be in standardized formats and will include information describing the populations at each institution. They will be the most current inmate population analyses available.
5. CCDOC Tiering Decision Report. This report will describe and analyze the current process by which inmates are assigned living units ("tiered") at CCDOC, using CIMIS data and on-site observations. The report will then analyze the tiering decision by means of mathematical equations in an attempt to create a "model" of the tiering process. This model will be analyzed to determine how consistently tiering rules are applied, and in what areas and why there is systematic deviation from CCDOC's tiering policy. If it is not possible to construct such a model, the report will explain why this is so, and recommend changes to facilitate consistent application of decision rules.

The Tiering Decision Report represents a significant advance in determining whether or not CIMIS is meeting its goal of enhancing the consistency and predictability of decisions made by corrections staff.

In short, the CIMIS Data Project meets the needs of CIMIS users by providing five types of reports which, taken together, present a comprehensive survey of CIMIS and a development of its potentials.

The CCDOC-CIMIS Database Survey

This report presents the results of the database survey at CCDOC. The survey analyzes the database for accuracy, completeness and scope. Its aim is to provide CIMIS users, designers, and managers with an understanding of the kinds of data the system is generating under its present operating conditions. It also addresses the problems that accompany and hinder CIMIS data generation. The survey marks the beginning of a process by which knowledge of CIMIS data and operations will become available to the criminal justice community and the general public.

Definitions of Terms

This report includes a full glossary explaining CIMIS terminology. A selection of key terms essential to understanding the database survey are defined below.

1. Database: A database is the sum-total of all the individual data elements that are available to a computer for calculations, decisions, and displays.
2. Data Element: A data element is a single item entered into, or reported by, a computer.
3. Data Field: A data field is an area on a form (either printed or displayed on a visual display terminal (VDT)), or in a record, where a data element is entered or displayed.
4. Record: A record is a logical grouping of related data elements. For example, court-related data elements comprise a court record.
5. Management Information System (MIS): An MIS is an assemblage of data and data processing that provides information useful for making decisions and attaining organizational goals.
6. Survey: A survey is a description of a whole, drawn from study of a representative sample of its parts.
7. Accuracy: The CIMIS Data Project defines accuracy as correspondence between CIMIS data elements obtained from paper source documents and the entries present in those documents.
8. Completeness: The CIMIS Data Project defines completeness as the presence of data in CIMIS data entry fields.
9. Scope: Scope refers to the number of specific transactions used and the range of data elements captured.
10. Transaction: A transaction is an exchange of data between a CIMIS user and the CIMIS database. CIMIS users initiate transactions by typing commands into a VDT, and CIMIS responds by displaying a formatted screen that allows data access or entry. For example, MEDIC is the transaction that presents and records the medical information for an inmate. The majority of transactions are keyed by an inmate's last name or CCDOC number.

Cook County Department of Corrections and CIMIS

It is important to describe the salient characteristics of CCDOC and CIMIS before presenting the body of the report. This section has three goals.

1. To describe the design of CIMIS and how CIMIS operations support the operations of CCDOC.
2. To describe the operations and organization of CCDOC and explain what its needs and obligations are.
3. To describe CIMIS operations at CCDOC in terms of the data flow and users of the system.

CIMIS

CIMIS supports the inmate management tasks at CCDOC by providing immediate access to inmate information and by recording and reporting the movements, locations and scheduled events of inmates. CIMIS is concerned primarily, but not exclusively, with the decisions made by officers and supervisors concerning inmates.

Speed and flexibility are the design features that dominate CIMIS, and the database is the heart of CIMIS use. CIMIS is a modular system of logically independent, inmate-based transactions, all connected to a common, on-line database that is directly and immediately accessible to corrections administrators, and to officers in direct contact with inmates. The system is interactive; it functions in a conversational, question and answer manner, based on the transaction entered. The modular nature of CIMIS allows it to be adapted to the needs of any institution by presenting a number of transactions which can be used as needed.

It is important to understand that CIMIS use is always changing and expanding, both at CCDOC and at the IDOC sites. The precursor to CIMIS was the Stateville Manpower Information System (SMIS) implemented at the Stateville Correctional Center in 1973. SMIS served as an information source for custodial personnel, providing information concerning housing, assignments, and scheduled events, as well as providing population and activity reports. In 1975, SMIS was expanded at Stateville and renamed CIMIS. In 1976, CIMIS was installed at Menard Correctional Center. During 1977 and 1978, CIMIS was also installed at CCDOC. To date, CIMIS is operating in nine of IDOC's eleven adult correctional centers.¹ Within the next few years, CIMIS will be installed at all state corrections facilities in Illinois.

¹ The nine facilities are: Joliet, Stateville, Menard, Menard Psychiatric, Logan, Dwight, Vandalia, Hillsboro, and Aurora Work Release.

CCDOC: The Cook County Department of Corrections.

CCDOC functions primarily as a jail, a detention center holding prisoners awaiting trial or being tried. The CCDOC inmate population varies from young detainees awaiting trial on minor offenses, to older individuals with long records of serious crimes. In addition, the population is extremely transient and many of those who do stay in the jail for longer periods of time are constantly moving to and from courts or hospitals. The inmate population at all times is usually well above 4,000.

CCDOC is actually a number of institutions in one. It has seven divisions, each of which has a high degree of autonomy. The divisions are: I - maximum security; II - men; III - women; IV - youth or juvenile; V - Receiving, Records and Administration, men; VI - men; VII - work release. The jail also includes a Human Services Division and Cermak Hospital. Each division has a great deal of independence in its internal operations and recordkeeping.

The operational tasks of CCDOC break down into three main groups, each of which covers a myriad of tasks. First and foremost, CCDOC must ensure the containment, behavioral control, and safety of the inmates. Second, it is responsible for transportation of inmates to and from courts and hospitals, to IDOC facilities, and from police departments throughout Cook County. Third, CCDOC is a service institution. It provides the inmates with health care, social services, access to bail and legal services, and inmate trust funds and accounting. CCDOC must also maintain its physical plant, support its staff and meet its own planning goals and budget constraints. The staff and managers of CCDOC need up-to-date information of many kinds in order to meet these responsibilities.

CIMIS In Use At CCDOC

In order to understand the database survey more fully, it is important to have a clear picture of some of the details of CIMIS operations in CCDOC. The CIMIS database is protected from unauthorized use by a number of built-in security features. Every CIMIS user must have a password, and the system limits the capabilities associated with each password. Each terminal is also limited in its capacity to access and enter data. In addition, the system can record the user, terminal, time and transaction for every use of CIMIS.

Another important feature of CIMIS design is that many of the data entry fields are "table-driven." This means that the system stores tables (lists) of acceptable or recognized data elements for a number of data entry fields, and will only accept data entries that conform to the elements in the table. This reduces the possibility of data entry errors and helps to make data entry more uniform and rapid.

Thirty-six terminals are available for CIMIS use at CCDOC twenty-four hours a day. CIMIS is most frequently used for transaction-based requests for information, data entry and updating, and preparing and printing reports and schedules.

All male inmates arrive at CCDOC through the Reception, Classification, and Diagnostic Center (RCDC), located in Division V. Female inmates arrive through the Receiving Room in the Women's division (Division III.) Here they are processed into the institution, mainly by a series of interviews. In these interviews the inmates are asked questions concerning their personal history, criminal history, physical and mental condition, and the reason for their arrest. These data are written on a history card, which, together with the arrest report and the court mittimus, constitute the bulk of the information available to CCDOC-CIMIS. The CIMIS record for each inmate is created by copying the data from these documents into the VDT's.

Once an inmate has been received and "booked" into the CCDOC population, most of the activity concerning his/her CIMIS record takes place in the male and female records offices. The Records personnel update inmate records based on changes (in bond amounts, sentences, judges' orders, court appearance dates) that have been made during court appearances. In addition, CIMIS inmate records are updated at the security offices and various checkpoints of inmate traffic in the various divisions at CCDOC.

In brief, the following four sources create the CCDOC-CIMIS database.

1. The interview with the prisoner in RCDC provides the background data which are written on CCDOC-history cards and transferred through the VDT's to CIMIS.
2. The arrest report and the mittimus provide courts and criminal charge data. Some of these data are entered on the history card. Some of these data elements are entered into CIMIS from the history card and the source documents.
3. After an inmate is booked and sent to a division, his housing assignments and movements are entered on rosters and ledgers and finally on the VDT's for CIMIS.
4. Changes in an inmate's schedules, charges, or court information are entered by the records office each evening. This information comes in on documents from the court, usually the mittimus.

METHODOLOGY

Introduction to Methodology

The research methods used to obtain data for this report were:

- 1) observations of CIMIS operations in all of the CCDOC divisions,
- 2) interviews with CIMIS users, managers and designers, and
- 3) analysis of portions of the CIMIS database.

While each method was designed to complete a specific research task; the methods served as complements to each other and as a means of cross-checking research findings. Interviews and data analysis corroborated observations. Questionable findings from data analysis were pursued in interviews and observations. This section of the report presents background comments concerning these research methods, and discusses each of the methods in detail.

Since CCDOC is one of the largest corrections facilities in the country, data collection activities focused on CIMIS operations dealing specifically with inmate management and maintenance of inmate records. Less attention was paid to other system operations, such as CIMIS training for corrections officers, and system control by CIMIS managers. Rather than attempt to observe CIMIS operations at all CCDOC locations, research efforts concentrated on the most common and/or most important operations. Similarly, rather than examine all CIMIS inmate data elements and transactions, those that seemed most common or most relied upon were selected for analysis. More than 80% of the inmate data elements in CIMIS were analyzed.

This is the first attempt to conduct a comprehensive study of CIMIS at CCDOC. Although the research design is uncomplicated, it was untested prior to its application. In anticipation of problems that typically accompany new research efforts, flexibility to cope with them was built into the research design. The methodology provided the researchers with time to orient themselves to CCDOC. Prior to conducting the actual interviews and observations, the researchers toured the facility and acquainted themselves with supervisory corrections personnel. The researchers conducted the interviews and observations in an informal manner, allowing them to explore unanticipated questions as they arose.

CIMIS data collection and recordkeeping takes place in conjunction with a paper recordkeeping system at CCDOC. Data collection was conducted with an eye toward parallels and dissimilarities between the two systems, as well as towards how they affect each other. CCDOC is also a subsystem within the larger criminal justice system in Illinois, its operations taking place at the tail end of the criminal judicial process. The researchers analyzed CIMIS in this light, and took care to note the manners in which police and court actions (concerning both persons and data) affect CIMIS.

Observations

The purpose of the on-site observations at CCDOC was to obtain as accurate an understanding as possible of CIMIS operations, and of the kind of problems CIMIS users experience. The observational visits covered the shifts and locations which use CIMIS the most (See Appendix A for the schedule of on-site visits conducted at CCDOC.)

The observations were conducted in the following manner. One or both of the principal researchers² would arrive at a pre-arranged location within CCDOC and review the purpose of the visit with the supervising officer. Following this introduction, the researcher(s) watched the officers as they used CIMIS or prepared data for entry into CIMIS. During these observations the researchers took notes concerning the officers' use of the system and the problems encountered. They directed questions to the officers during these observations that addressed such issues as:

- the user's degree of experience using CIMIS,
- the user's specific responsibilities,
- the user's likes and dislikes concerning the system, and
- how observed problems arose, and how they were resolved.

After each observational visit, the researchers drafted, typed, and reviewed field notes in preparation for future visits.

Interviews

Interviews were conducted with CIMIS users, managers and designers. Like the observations, their purpose was to understand CIMIS operations and record user problems. Many of the interviews were conducted in an informal manner while observing guards using CIMIS. The researchers held more directed, or formal, discussions with CIMIS managers at CCDOC. The formal inter-

² A female SAC analyst conducted the observations in the receiving room in the Women's Division because the intake process includes strip-searches of the females.

views addressed the following issues:

- the division's (or the particular location's) responsibilities concerning CIMIS,
- problems encountered with CIMIS use, and
- the supervisor's own reactions to the system.

Directed interviews were also conducted with Cook County Circuit Court personnel who operate on the periphery of CIMIS, but who affect and rely on the system. Informal interviews were also conducted with CJIS personnel at ILEC. These conversations addressed questions of system design and capabilities, and problems the researchers encountered with the database analysis.

Database Analysis

The purpose of the database analysis was to examine the contents of the CIMIS database for accuracy, completeness, and scope. A CJIS-CCDOC programmer extracted portions of the CIMIS database and reformatted them according to two specifications:

1. cross-sectional sample of inmate records: The sample (n=4,664) included all inmate records residing in the database for one day. It is a "snapshot" sample, providing a glimpse of inmate records at a certain point in time.
2. longitudinal sample of CIMIS transactions: The sample (n=23,030) included all transactions designed to access or update inmates records initiated on CIMIS during a seven-day period. In order to obtain this sample, CIMIS managers at CCDOC kept a special computer log for seven days of twenty-one inmate-based transactions (See the Glossary for definitions of the transactions.) This longitudinal sample provides a picture of CIMIS use over a short period of time.

These extracted data were analyzed using SPSS³ for the research tasks concerned with completeness and scope of CIMIS data. For the research task of analyzing the accuracy of CIMIS data, the researchers compared paper records of CCDOC with on-line CIMIS records. These analyses of CIMIS data are explained below.

³ SPSS is the Statistical Package for the Social Sciences, a system of computer programs for data analysis. See Nie, et. al., SPSS, McGraw Hill Book Co., 1970,1975.

Scope

This analysis determined the extent to which the various divisions at CCDOC use the twenty-one transactions available in CIMIS for accessing and updating inmate records. The CJIS-CCDOC programmer created a file, based on the seven-day sample of transactions, that indicates, for each of these twenty-one selected transactions (see Glossary), the inmate jail number, date, time, and terminal number at which the transaction was initiated.

Completeness:

CIMIS provides users with a broad range of elements for which data can be entered into the database. A limited number of these elements is required to be entered by CIMIS guidelines, leaving many options for data entry. The completeness analysis determined the extent to which mandatory and optional data elements appear in the CIMIS database. Three completeness analyses were conducted:

Primary Completeness Analysis

The Primary Completeness Analysis was conducted using the snapshot sample of inmate records described above. It determined the number of inmate records in the sample that did or did not contain data in each of seventy-one data fields. The seventy-one elements chosen for analysis (listed in Appendix B) make up the bulk of each CIMIS inmate record. The CJIS-CCDOC programmer created a new data file by recoding each of the seventy-one data elements as a "1", indicating the presence of data in the corresponding field, or zero indicating the absence of data. Frequencies were tabulated on this data file using SPSS.

Analysis of "Unknown" Entries

Since it is possible to code table-driven elements as "unknown" in CIMIS, or leave them blank, table-driven elements were analyzed to determine the extent to which the codes for "unknown" are present in inmate records. For this analysis, the CJIS programmer searched the snapshot sample of records and generated hardcopy (paper) lists of the subset of records containing "unknown" codes for twenty-three data elements (listed in Appendix C, and defined in the Glossary.) These elements include the CIMIS table-driven elements that appear in inmate records, and the "court information" elements included in the court information analysis described below.

Court Information Analysis

Further analysis of "unknown" codes focused on inmate record data for court-related events. The DOCUMENT NUMBER(s) in each inmate's record refers to the court document ordering the

inmate to remain at CCDOC, to appear in court on a certain day, or to be transferred to a state corrections facility. Each inmate should have at least one document number in his record,⁴ and each DOCUMENT NUMBER should have a corresponding LAST COURT DATE, LAST COURT JUDGE, and LAST COURT BRANCH. The CJIS-CCDOC programmer sorted the inmate records by document number, and created a file containing the last court date, judge, and branch for each document number. SPSS analysis determined the extent to which this court information is coded as "unknown" or left blank in CIMIS inmate records.

Accuracy

The researchers chose an arbitrary sample of on-line CIMIS inmate records from an inmate roster at CCDOC, and located the manual files corresponding to the records. They compared seventy-six data elements from each of the selected records with the corresponding entries in the manual files. These comparisons were conducted using standard audit forms (see Appendix D for a discussion and copy of the data audit forms.) The seventy-six elements chosen for analysis are those that appear in the INQUIRY, HISTORY, CHARGE and ALIAS transactions.

Limitations to Methodology

During the course of the data survey, the researchers encountered four unpredicted limitations, reviewed below. These limitations concern the analysis for CIMIS data accuracy.

1) The researchers limited the accuracy analysis to a small sample of records from the men's division because time constraints would not allow a thorough accuracy analysis in all CCDOC divisions. This does not, however, detract from the representativeness of the findings of the accuracy analysis because, although men and women are received at different locations at CCDOC, the same source documents are used in each division.

2) The researchers compared computer records to manual (paper) records in the analysis. The paper records were the only possible standard for the accuracy of CIMIS records, but they, too, may contain errors. The researchers had no way of verifying the accuracy of the paper entries.

3) In some cases it was not possible to compare computer record entries with those in the paper records because of problems with the paper records. Some paper record entries were illegible, and some contained so many entries for one data element

⁴ An inmate may not be detained by CCDOC without a written court order, though inmates may be detained on more than one document.

(e.g., BOND AMOUNT) that it was unclear which was the correct one to compare to.

4) CIMIS data entry conventions concerning "unknowns" and blanks (no data entry) limited the analysis of CIMIS data accuracy because the existence of "blanks" in CIMIS inmate records hinders the attempt to determine whether certain data elements are "unknown", "not applicable", "missing", zero, or "none." For example, in an inmate record, a "blank" for LAST EMPLOYER could mean:

- none,
- unknown (inmate refused to provide), or
- not applicable (e.g., inmate never worked, LAST EMPLOYER equals CURRENT EMPLOYER.)

The limitations do not seriously affect the findings presented in this paper. They place the findings in perspective, and serve as a guide to readers who wish to draw conclusions of their own based on this research.

ANALYSES AND COMMENTS

The analyses and comments are presented below in a series of data tables and discussions. The tables present the results from the database analyses. Explanatory comments based on interviews and observations accompany each table, explaining its contents and its relevance to the CCDOC database survey.

Scope Analysis

In a database analysis, it is as important to analyze the processes that generate the database as it is to analyze the information in the database itself. CIMIS data are entered, updated, and accessed through CIMIS transactions. This portion of the database analysis examines the scope, or range, of CIMIS transactions used at CCDOC. It determines which transactions are most used at CCDOC, and which data elements are entered, updated, or accessed through them. In this manner, the scope analysis suggests the data elements to be examined for completeness and accuracy.

The scope analysis is based on a sample of 23,030 CIMIS transactions. This sample includes every CIMIS transaction pertaining to an individual inmate conducted in every division at CCDOC from March 25, 1981 to March 31, 1981. The sample was drawn through a system by which the type, time, date, and terminal number of each transaction is recorded at CCDOC, and transferred to a computer tape file. The data from the tape file were then recoded into a format facilitating analysis.

Introduction to TABLE I

Table I presents the results of the scope analysis. It lists the transactions used at CCDOC during the sampling period, and it provides the percentage contribution of each transaction.

The "adjusted" frequency and percentage columns are included in Table I to present only those CIMIS transactions used on an "as-needed" basis. CIMIS operations at CCDOC dictate that only one BOOK transaction be conducted for each new inmate entering the institution. Thus, 858 new inmates entered CCDOC during the one week sampling period. One CHARGE, TIER, and HISTORY⁵ transaction should always be conducted for each BOOK transaction because they are used to record information at intake. In order to describe CCDOC-CIMIS transactions used on an as-needed basis, 858 (the total number of BOOK, CHARGE, TIER, and HISTORY transactions conducted for new inmates entering CCDOC) was subtracted from the subtotals for those transactions in the FREQUENCY column. The new subtotals are presented in the ADJUSTED FREQUENCY column, and the percentages are recalculated (adjusted).

⁵ HISTORY is a combination of two transactions: HISTORY1 and HISTORY2. This report treats them as one transaction because they are used by CIMIS staff in rapid succession at booking to enter inmate identification and background information.

TABLE I
 TYPE, FREQUENCY, AND PERCENTAGE OF TRANSACTIONS
 USED AT CCDOC FROM 3/25/81 TO 3/31/81

TRANSACTION TYPE	FREQUENCY	PERCENT	CUMULATIVE PERCENT	ADJUSTED FREQUENCY	ADJUSTED PERCENT	ADJUSTED CUMULATIVE PERCENT
INQUIRY	9077	39.4	39.4	9077	46.3	46.3
CHARGE	4795	20.8	60.2	3937	20.1	66.4
TIER	2647	11.5	71.7	1789	9.1	75.5
ATIER	1992	8.6	80.3	1992	10.2	85.7
DISCHARGE	1542	6.7	87.0	1542	7.9	93.6
HISTORY	1043	4.5	91.5	185	0.9	94.5
BOOK	858	3.7	95.2	0	0.0	94.5
IDS	501	2.2	97.4	501	2.6	97.1
ALIAS	181	0.8	98.0	181	0.9	98.0
ORDERS (SPECIAL)	141	0.6	98.8	141	0.7	98.7
CLINIC	66	0.3	99.1	66	0.3	99.0
CHIST	56	0.2	99.3	56	0.3	99.3
LOCKER	41	0.2	99.5	41	0.2	99.5
OUTDATE	39	0.2	99.7	39	0.2	99.7
NEW NUMBER	38	0.2	99.9	38	0.2	99.9
CHANGE NAME	11	0.1	100.0	11	0.1	100.0
MEDIC	2	0.0	100.0	2	0.0	100.0
TOTAL	23030	100%	100%	19598	100%	100%

Comments

1. Table I shows that INQUIRY and CHARGE together account for the majority (60.2%) of CIMIS transactions used at CCDOC to access and update CIMIS inmate records. The INQUIRY transaction is used strictly to access and read specific data elements from an inmate's CIMIS record. CHARGE is used both to access and update charge, sentence, and court-related elements in CIMIS inmate records.

2. CIMIS provides its users with twenty-three transactions for inmate record management, eighteen (counting HISTORY as two transactions) of which appear in Table I. Four transactions that do not appear in Table I--CCSCH, OFF, ON, and INM--are designed to aid in the scheduling and control of inmate movements. Either they are not used at CCDOC at all, or are used so infrequently that they never appeared in the one week sample of transactions.

3. The MEDIC transaction records and provides medical information concerning an inmate's specific health and medical problems, and general physical condition. MEDIC was used only twice at CCDOC during the one-week sampling period, indicating that medical data are almost non-existent in CIMIS inmate records.

Completeness Analysis

The following thirteen tables present the analysis for completeness of CIMIS inmate records. The tables are arranged into groups of related CIMIS data elements, such as those for inmate identification, and, in each table, a mandatory data element is indicated by an asterisk (*). The tables are further divided into three inmate population groups: males in the men's divisions; females; and work release inmates, including both males and females. For some analyses, these populations are combined to provide an overall figure. The completeness tables are based on a sample of 4,664 inmates, all of those in the CCDOC-CIMIS database on January 21, 1981. The database was divided into three groups: males (3,930 cases); females (227 cases); and work release inmates (507 cases). These samples constitute the basis of Tables II through XII.

A completeness table is not presented for three elements that comprise the Inmate Warning Elements: IMPERSONATES OPPOSITE SEX, ATTEMPTS ESCAPE, and ATTEMPTS SUICIDE. These elements were found to be 100% complete in the CIMIS database. This is significant because the Inmate Warning Elements provide data that are helpful to corrections officers making decisions concerning inmate and staff security. They are particularly helpful to officers assigning living units to inmates.

TABLE II
PERCENT OF RECORDS CONTAINING DATA FOR
INMATE IDENTIFICATION ELEMENTS

ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
DATE OF BIRTH*	99%	97%	68%
AGE WHEN BOOKED	99	97	69
RACE*	99	97	69
WEIGHT*	99	97	69
HEIGHT*	99	97	68
EYE COLOR*	99	97	68
HAIR COLOR*	99	97	68

Comment

Table II shows that nearly one third of the work release inmates do not have identification information recorded. The primary reason for this involves the organization of CCDOC. It arises out of the difficulty in communicating data entry responsibilities across divisions, and out of the fact that CIMIS operations in CCDOC are not well-suited to the needs of the work release program. Work release relies on Receiving (Division V) for initial entry of data into CIMIS. If an inmate comes to work release from Receiving with his history card filled out and entered into CIMIS, he is assigned a new CCDOC number, and CIMIS retains the data entered in Receiving. If the inmate arrives from Receiving with a blank history card, and no CIMIS data entered into his/her record, Division VII (work release) discharges and rebooks the person with a name and number, but does not perform an intake interview or CIMIS data entry. The reader should be aware that this problem holds for CIMIS entry on all data element groups in Division VII, not just inmate identification information.

TABLE III
PERCENT OF RECORDS CONTAINING DATA FOR
INMATE BACKGROUND ELEMENTS

ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
LAST GRADE	95%	95%	20%
PLACE OF BIRTH	98	96	68
HOME ADDRESS*	99	97	68
HOME CITY*	99	97	68
HOME STATE*	99	97	68
MARITAL STATUS	98	96	22
RESIDENCY TYPE	49	34	22
RELIGION	79	73	19
NUMBER OF CHILDREN	40	68	13

Comments

1. Table III shows a substantial similarity to Table II for the first six elements. There is a high level of reporting in the male and female divisions, with a considerable drop in work release. This pattern can be attributed to the causes mentioned in the comments accompanying Table II.

2. The last three elements are present for significantly fewer inmates in all three groups. This is due in large part to the following problems:

RESIDENCY TYPE is not included as a data entry field on the history cards (See Appendix E for a copy of the history card used at CCDOC.) In some cases, the officers note it on the upper right hand corner of the card, but it is often ignored. In either case, it is likely to be left blank in CIMIS data entry.

RELIGION and NUMBER OF CHILDREN are data elements that are frequently recorded as "none" on the history card. The officers often translate "none" into "blank", rather than into "zero" for NUMBER OF CHILDREN, or translate "unknown" into "blank" for RELIGION. The translation of "unknown" data into blanks occurs with many CIMIS data elements (See page 25 for a detailed discussion of this problem.)

TABLE IV
 PERCENT OF RECORDS CONTAINING DATA FOR LAW
 ENFORCEMENT AGENCY IDENTIFICATION NUMBER ELEMENTS

DATA ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
BOI NUMBER	0.0%	0.0%	0.0%
IR NUMBER	70.0	8.0	11.0
FBI NUMBER	0.4	0.0	0.2

Comments

1. This table shows that the only law enforcement identification number that is reported and recorded with regularity is the Chicago Police Department (IR) number for males.

2. The CCDOC inmate population always contains a number of first offenders. These inmates will not have BOI NUMBERS, since they are assigned after the arrests are made. By the same token, inmates who have never been arrested by the Chicago Police Department will not have IR NUMBERS. FBI NUMBERS are only assigned to arrestees who are wanted by (and who have come to the attention of) that agency. These inmates are few in number, so FBI NUMBER is expected to be incomplete for most inmates at CCDOC.

3. The absence of BOI numbers emphasizes the importance of coordinating CCDOC-CIMIS with the Cook County identification process.⁶ This coordination is now underway and, therefore, Table IV should be re-calculated after that process, which was initiated in November of 1980, has become fully operational.

4. All of these law enforcement identification numbers come to CCDOC on the arrest and/or court documents. If they are not present on a document, it is not the responsibility of the CCDOC staff to search for them. Therefore, these numbers are present to the degree that they are reported by the Chicago Police Department and by other Cook County criminal justice agencies.

⁶ See Criminal Justice Identification Process for Cook County, The Special Task Force on Criminal Justice Identification, November 1, 1980.

TABLE V
 PERCENT OF RECORDS CONTAINING DATA FOR
 COURT-RELATED ELEMENTS

ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
DISPOSITION	99.9%	100%	100%
DOCUMENT TYPE*	99.9	100	100
BOND TYPE*	60	64	100
BOND AMOUNT*	100	100	1
FINE AMOUNT	0.1	0.0	100
CHARGE	98	89	0.4
MINIMUM SENTENCE	99.9	100	69
MAXIMUM SENTENCE	99.9	100	100
SENTENCE			100
EFFECTIVE DATE	12	15	74
CONSECUTIVE SENTENCE	0.0	0.0	2
NEXT COURT DATE	62	67	3
LAST COURT JUDGE*	63	34	42

Comments

1. Table V shows that DISPOSITION, DOCUMENT TYPE, BOND AMOUNT, CHARGE, and MINIMUM and MAXIMUM SENTENCE are reported for close to 100% of the inmates.

2. FINE AMOUNT, BOND TYPE, NEXT COURT DATE, LAST COURT JUDGE, SENTENCE EFFECTIVE DATE, and CONSECUTIVE SENTENCE are not always recorded in CIMIS. They are missing from the database for various reasons:

- a. Fines are rarely imposed as sentences by Cook County criminal courts.
- b. BOND TYPE, NEXT COURT DATE, SENTENCE EFFECTIVE DATE, and CONSECUTIVE SENTENCE are not relevant for sentenced inmates.
- c. The CIMIS User's Manual defines a blank as a valid data entry for CONSECUTIVE SENTENCE. It indicates that the sentence is concurrent with another one.
- d. CCDOC officers often leave an entry field blank rather than entering "unknown", "not applicable", or "not on the mittimus" for these elements.

- e. Data on the mittimi are sometimes not presented clearly; either they are illegible, there is no way to determine if data have been omitted, or the most current entry is lost in a mass of accumulated, handwritten entries.

Introduction to Tables VI through XII

In some instances, recording a CIMIS data element is contingent upon the presence of a following element. For example, the first question about an inmate's drug usage asks for DRUGS CURRENTLY USED; it is followed by questions concerning AGE STARTED DRUG USE, CURRENT TREATMENT, and DAILY COST. The CIMIS User's Manual requires an entry for DRUGS CURRENTLY USED only if any of the fields that follow it contain an entry.

In other instances, the Manual has no rule for mandatory data entry, but logic dictates that the presence of one data element calls for the presence of another. For example, the presence of EMPLOYER'S NAME suggests that OCCUPATION and INCOME SOURCE be entered in an inmate's record. By the same standard, most entries for INCOME SOURCE (excluding public aid and similar sources) suggest that there should be an entry for OCCUPATION and EMPLOYER'S NAME.

Beginning with Table VI, elements that require or suggest that additional fields be completed are referred to as "key elements." For each population group, Table VI lists the different population sizes, the key elements, and the percentage and number (n) of records containing the key element. Tables VII through XII each present one key element and the number of records (out of 4,664) containing it, and then present the secondary elements related to that key element. For each secondary element, the percentage of complete records is calculated based on the number of records containing the key element. The completion percentage for each secondary element is then presented in the table.

TABLE VI
PERCENT OF RECORDS CONTAINING
DATA FOR KEY ELEMENTS

ELEMENTS	POPULATION GROUP (Total n=4664)		
	MALES n=3930	FEMALES n=227	WORK RELEASE n=507
EMPLOYER	36% n=1410	6% n=3	14% n=70
DRUGS CURRENTLY USED	0.5% n=19	11% n=24	0.2% n=1
IF MENTAL INSTITUTION, WHICH ONE	10% n=374	7% n=10	1% n=5
NEXT COURT DATE	62% n=2423	67% n=153	3% n=13
ORDERS DATE*	3% n=111	4% n=9	0% n=0

Comments

1. The following recurring problems are suggested by the table. The use of blanks as a default option for replies indicating "unknown" or "negative" is shown by the low completeness percentages. The NEXT COURT DATE entry does not differentiate between not applicable (sentenced inmates) and unknown. In addition, the first three elements on the table are self-reported by inmates, so their validity is an open question. CLINIC DATE* and ORDERS DATE can become relevant at any time during an inmate's incarceration, but for many inmates neither is ever applicable.

2. Due to the fact that Tables VII through XII are based on data elements related to the key elements, these tables show the presence of the same types of problems.

* All clinic schedule information was complete for the relevant inmate records.

TABLE VII
PERCENT OF EMPLOYMENT ELEMENTS REPORTED BASED ON THE
NUMBER OF ENTRIES FOR THE KEY ELEMENT: LAST EMPLOYER

ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
EMPLOYER	n=1410	n=13	n=70
EMPLOYER'S ADDRESS	69%	85%	90%
INCOME SOURCE	64	54	76
OCCUPATION	97	69	87

Comments

1. This table indicates that 70% to 90% of the inmates who report EMPLOYER also report EMPLOYER'S ADDRESS. Fewer inmates report INCOME SOURCE. However, there should logically be an income source reported for all employed inmates and for a percentage of those receiving some form of aid as income.

2. CCDOC-CIMIS guidelines do not require that employment and income elements be recorded if the EMPLOYER field contains an entry. It seems, however, that inmates reporting EMPLOYER should be able to report an address for the employer, an occupation, and an income source. Table VII shows that this does not always occur. Observations in RCDC revealed that some inmates refuse to report employment information out of fear that their employers will be notified of their incarceration.

TABLE VIII
PERCENT OF DRUG USE ELEMENTS REPORTED BASED ON THE NUMBER
OF ENTRIES FOR THE KEY ELEMENT: DRUGS CURRENTLY USED

ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
DRUGS CURRENTLY USED	n=19	n=24	n=1
AGE STARTED	58%	33%	100%
CURRENT TREATMENT	0	0	0
DAILY COST	0	0	100

Comment

CCDOC-CIMIS guidelines require data entry for the DRUGS CURRENTLY USED data element if an entry has been made for any of the other three elements in Table VIII. For inmate management purposes, the most important element is CURRENT TREATMENT, however the table shows that data are not being entered for this element. All four of the drug use questions are routinely asked during intake, and this information is used by the psychiatric and medical personnel at CCDOC.

TABLE IX
PERCENT OF MENTAL HEALTH INSTITUTION ELEMENTS REPORTED
BASED ON THE NUMBER OF ENTRIES FOR THE KEY ELEMENT: IF
MENTAL HEALTH INSTITUTION, WHICH ONE

ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
IF MENTAL HEALTH INSTITUTION, WHICH ONE	n=374	n=16	n=5
LENGTH OF STAY	39%	69%	40%
DATE OF DISCHARGE	14	38	20
TYPE OF DISCHARGE	15	25	20

Comment

Like the Drug Use elements discussed in Table VIII, the key element in this table is contingent upon the other elements listed. In this case, however, it is conceivable that an inmate who reports spending time in an institution may not remember or wish to report related information. Our observations revealed that the inmates often report the data for these elements in different ways to the officers and to the psychiatric social worker. The psychiatric social worker evaluates the inmate's fitness for the general population, and while he may alter a history card, he neither enters, updates, nor uses CIMIS data at intake.

TABLE X
 PERCENT OF ORDERS ELEMENTS REPORTED BASED ON THE NUMBER
 OF ENTRIES FOR THE KEY ELEMENT: ORDERS DATE

ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
ORDERS DATE*	n=111	n=9	n=0
ORDERS DESTI- NATION*	100%	100%	0%
ORDERS DOCUMENT*	12	33	0

Comment

The CIMIS User's Manual requires that all three of the ORDERS elements be entered if an ORDERS transaction is added for an inmate. This table indicates that there is a problem with the entry of the number of the ORDERS DOCUMENT, which should be present in every case.

TABLE XI

PERCENT OF NEXT COURT ELEMENTS REPORTED BASED ON THE NUMBER
 OF ENTRIES FOR THE KEY ELEMENT: NEXT COURT DATE

ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
NEXT COURT DATE	n=2423	n=153	n=13
NEXT COURT JUDGE	75%	35%	23%
NEXT COURT BRANCH	99	97	31

Comments

1. The NEXT COURT JUDGE and NEXT COURT BRANCH fields are not required to contain data if NEXT COURT DATE contains an entry, but the Court Call Report and process, by which the inmates are identified and shipped from CCDOC to court appearances, depends on these elements. The completeness of the NEXT COURT BRANCH element is important to the Transportation and Receiving Departments at CCDOC because they are responsible for bringing inmates to and from their court appearances.

2. This table shows that NEXT COURT BRANCH is complete far more often than NEXT COURT JUDGE. There are two reasons for this:

- a. Sometimes the court assigns the next branch, but not the next judge, to an inmate's case.
- b. In many cases, the judge's signature is illegible.

The table shows, once again, that blanks are being used instead of codes for "unknown," or there would be no missing data.

3. Due to the fact that work release inmates are already sentenced, they are less likely to have a NEXT COURT DATE. Since it is not CCDOC's responsibility to assure work release inmates' appearances in court, it is also less likely that any of their court events will be entered on CIMIS.

Completeness analysis: Use of "unknown"

The second stage of the completeness analysis consists of a survey of "unknown" entries. In this analysis, all inmates are grouped into one population; n=4,664. A response of "unknown" can usually be entered in the data entry field as one or more zeros, or as an abbreviation of the word "unknown" (i.e., "u," "unk".)

A difficulty in analyzing the unknowns stems from the frequency of blank data entry fields in CIMIS inmate records. A blank field may mean the inmate refused to respond or that the response was unintelligible; that the field did not apply (as in EMPLOYER for a person receiving unemployment benefits); that the field was skipped in error or in haste; or that the inmate did not know the answer. The use of an entry for "unknown" should provide a basis for determining the meaning of a blank field, but if "unknown" is entered inconsistently this cannot be done.

Table XII below shows the extent to which blanks or entries of "unknown" are present in data fields for a variety of CIMIS elements.

TABLE XII
 FREQUENCY OF DATA ELEMENTS WITH A REPORTED
 VALUE, A REPORTED "UNKNOWN", OR A BLANK
 DATA ENTRY FIELD

Data Element	Total Cases with any Data Entered ¹	Entry Value not "Unknown"	Entry Value Equals "Unknown"	Field Left Blank
<u>INMATE BACKGROUND INFORMATION</u>				
PLACE OF BIRTH	4246	4235		
STATE OF BIRTH	4455	4451	11	418
LAST GRADE	4053	4047	4	209
INCOME SOURCE	2303	1343	6	611
RELIGION	3364	3342	960	2361
MARITAL STATUS	4159	4158	22	1300
			1	505
<u>INMATE MILITARY INFORMATION</u>				
MILITARY STATUS	3436	3367		
MILITARY DISCHARGE	420	401	69	1228
			19	4244
<u>INMATE MENTAL INSTITUTION INFORMATION</u>				
IF MENTAL HEALTH INSTITUTION, WHICH ONE	396	393		
MENTAL HEALTH INSTITUTION RELEASE TYPE	62	62	3	4268
			0	4602

¹"any entry" means either "unknown" or a substantive entry (not a blank).

Comments

1. The number of blanks greatly exceeds the number of entries of "unknown" for all inmate background information elements. The extent of this situation is shown in the table, and it is worth noting that the number of blanks ranges from a low of 209 out of 4,664 (4.5%) for STATE OF BIRTH, to a high of 2,361 out of 4,664 (50.6%) for INCOME SOURCE.

2. 12% of the inmates who are recorded as veterans under MILITARY STATUS are missing MILITARY DISCHARGE TYPE data. These data are important for administering programs that respond to the needs and rights of veterans, and are used by the Human Services Office at CDOC. Table XII demonstrates that there are 3,436 cases with MILITARY STATUS recorded. Sixty-nine of these have an unknown MILITARY DISCHARGE, and 2,892 are "N" for non-veteran

(not shown in the table,) leaving 475 veterans, fifty-five of whom have no entry for MILITARY DISCHARGE.

3. 26% of the cases (1,228 inmates) represent a data interpretation problem for the MILITARY STATUS field. They cannot be interpreted as either veterans or non-veterans. This is because the MILITARY STATUS field accepts entries of "V" and "N" (for veteran and non-veteran), and accepts blanks (no entry.) Thus, a blank field cannot be assumed to be a negative response (non-veteran.) It is clear that the data entry procedure for this field is not uniform.

4. There are 334 missing entries for MENTAL HEALTH INSTITUTION RELEASE TYPE. There are 396 inmates who report having been in an institution, but only sixty-two reported release types, leaving 334 records for which the type of release is assumed to be "unknown."

5. The large numbers of cases with data missing may be due in part to the fact that the CIMIS User's Manual is worded in a misleading manner. For example, The Manual explicitly requires an entry for MILITARY STATUS if there is an entry for MILITARY DISCHARGE, but the reverse is not the case. The same holds true for IF MENTAL HEALTH INSTITUTION, WHICH ONE and MENTAL HEALTH INSTITUTION RELEASE TYPE. Obviously, the entry of an element should require the entry of the other elements that are directly related to it. If one element in a special group is mandatory, the rest of them should also be.

Introduction to Table XIII

The data for Table XIII are taken from the same 4,664 cases reported on in Tables II through XII. There is an important difference in how the courts data were selected. The courts data are based on the court case DOCUMENT NUMBER. Any inmate may have one, two, three, or more separate cases active or pending in court. Each case is represented by a DOCUMENT NUMBER. In CIMIS, judges, branches, and court dates are assigned by the case. For the courts data, the extraction routine combined blanks and "unknowns." Thus, the table illustrates missing information, but unlike Table XII, it cannot illustrate the relative use of blanks versus "unknown." There are 7681 court cases represented in the table.

TABLE XIII

ANALYSIS OF BLANK AND UNKNOWN ENTRIES FOR
COURT DATA ELEMENTS
(7681 total records; 4664 inmates)

Data Element	Total Cases with Entry Other than "Unknown"	Cases with Entry Blank or "Unknown"	% Unknown from 7681
DOCUMENT NUMBER*	7681	0	0
DOCUMENT TYPE*	7678	3	00.04
LAST COURT JUDGE*	4621	3060	40
LAST COURT BRANCH*	6614	1067	14

Comments

1. Table XIII indicates that DOCUMENT TYPE is almost invariably present. This is to be expected because the DOCUMENT TYPE comes from the same document that provides the DOCUMENT NUMBER, the basis of this data extraction.

2. The greatest problem is with judges' names, 40% (of 7,681) of which are absent.

3. There are 999 cases in which both the LAST COURT BRANCH and the LAST COURT JUDGE are missing. Thus, for the 3,060 cases with no known judge, 2,068 do have a court branch entry. For the 1,067 cases with no known branch, 68 do have an entry for judge.

Additional analysis of the data revealed the following:

1. When the LAST COURT BRANCH is unknown, the LAST COURT JUDGE is also unknown 93.6% of the time.
2. When the LAST COURT JUDGE is unknown, the LAST COURT BRANCH is also unknown 32.6% of the time.
3. In the cases in which judge, or branch, or both are unknown, the DOCUMENT TYPE is still known more than 99% of the time.

Thus, the main problem is identification of the judge. How essential this is remains unknown, especially since branch data are often sufficient to get inmates to the proper courtrooms. As noted above, courts information is not generated in the CCDOC intake interviews at RCDC. Courts information accompanies inmates on the mittimus, prepared by the court.

Introduction to Table XIV

CIMIS data elements are used at CCDOC to generate reports used for confirming head counts, preparing court calls, preparing shipments for IDOC, and so on. If the database is not complete, the CIMIS-generated reports are less useful, and reliance on paper records increases.

Table XIV lists CIMIS data elements that are used to prepare CCDOC-CIMIS reports and indicates the percent of completeness in the database by population group. The list contains only data elements that are entered by CCDOC staff. Elements such as CCDOC NUMBER and DATE BOOKED are used in the reports, but are CIMIS-generated and 100% complete. All of the data elements in Table XIV are included in previous tables. Table XIV is meant to show the importance of database completeness.

TABLE XIV

PERCENT OF RECORDS CONTAINING DATA FOR
ELEMENTS USED IN CCDOC-CIMIS REPORTS

ELEMENT	POPULATION GROUP		
	MALES	FEMALES	WORK RELEASE
IR NUMBER	70%	11%	11%
NAME (LAST)*	100	100	100
AGE	99	97	67
RACE*	99	96	98
ADDRESS*	99	100	68
HEIGHT*	99	100	100
WEIGHT*	99	100	62
CHARGE	98	88	68
MAXIMUM SENTENCE SENTENCE	99	100	100
EFFECTIVE DATE	12	15	74
BOND AMOUNT*	100	100	100
LIVING UNIT	100	100	100
DISPOSITION	99	100	100

Comment

The table shows that, for these data elements, the CIMIS database is fairly complete. IR NUMBER and SENTENCE EFFECTIVE DATE are the elements that are least complete. Outside CCDOC, the IR NUMBER is important in the process of identifying offenders and maintaining criminal history records. SENTENCE EFFECTIVE DATE is important for calculating the amount of time an individual must serve, either at CCDOC or at IDOC.

Accuracy Analysis

This group of nine tables presents the findings of the analysis for CIMIS database accuracy. The primary intent of this analysis is to document the extent to which CIMIS inmate record elements are recorded accurately from CCDOC paper records. A secondary intent is to document other recordkeeping problems relating to CIMIS. Thirty-four inmate records from the men's divisions at CCDOC were used in this analysis. Seventy-two data elements from each manual record were compared to their corresponding entries in CIMIS records (See Appendix D for a list of these elements.) These seventy-two elements comprise nearly all of the data elements appearing on the data entry and update forms that the BOOK, HISTORY, IDS, and ALIAS transactions call to the terminal screen.

The tables in this section document the following types of in CIMIS records:

1. the element is recorded in the manual file on one of four types of documents, but is not recorded in the CIMIS record. The four documents are:
 - the history card,
 - the current mittimus (the mittimus that applies to the next court date,)
 - an additional (old) mittimus (used when a current mittimus could not be found,) or
 - any other court document.
2. the element recorded in CIMIS does not match the entry in the manual file; and
3. the element is recorded in CIMIS, but not in the manual file.

Three of the tables document an information system problem that is technically not a discrepancy. In some instances, a data element is not recorded on either the history card or in the computer record. These instances are not discrepancies, since there is no source for the computer record. They are system problems, however, because the data, which may be needed by CIMIS users at various times, are missing from the computer records. In the three tables documenting this problem a fourth column is added, entitled: ELEMENT MISSING FROM HISTORY CARD AND COMPUTER RECORD. The sub-totals for this column are included in the percentages of discrepancies presented with each table.

In other instances, a data element may be recorded on a paper source document, but be unreadable by a CIMIS operator because of poor handwriting or accumulated, over-crowded entries. In the two tables that document this problem, a fourth column is

added: ELEMENT UNREADABLE IN MANUAL RECORD. The sub-totals for this column are also included in the percentages of discrepancies presented with each table.

In this analysis, then, inaccuracy is more broadly defined than more conventional uses of the term. A CIMIS inmate record element is inaccurate if it does not match its corresponding paper record entry, or if it is missing due to other data flow problems.

Tables XV through XXIII present the results of the accuracy analysis. As in the completeness analysis above, the tables present data elements in related groups, an asterisk(*) indicates a mandatory CIMIS element, and comments accompany each table. The comments do not address problems due to expected, random data entry errors, and to some extent they duplicate the findings discussed in the completeness analysis. Each table presents a number of discrepancies that may be found regarding the data elements analyzed. Each cell in a table indicates the number of records (out of thirty-four) found in which the element contained the discrepancy indicated. In each table, a blank cell indicates that no cases were found with the corresponding discrepancy for that element.

Only one type of discrepancy can be attributed to each data element in a single record. Thus, the maximum possible number of discrepancies for each table is equal to the number of elements analyzed times thirty-four, the number of records analyzed. Each table presents, in the lower right-hand corner, the maximum possible number of discrepancies for that table, and the actual percentage of discrepancies found.

Tables are not presented in this section for two groups of CIMIS elements: drug use elements, including DRUGS CURRENTLY USED, AGE STARTED DRUG USE, CURRENT DRUG TREATMENT, and DAILY COST (of drug use, to inmate) and inmate warning elements, including IMPERSONATES OPPOSITE SEX, ATTEMPTS ESCAPE, and ATTEMPTS SUICIDE.

Drug use data were not recorded on any documents in the sample of manual files, nor were they found in CIMIS records for any of the thirty-four records analyzed. CCDOC documents from which CIMIS data are obtained do not provide space for recording drug use data.

Inmate warning data elements were recorded accurately in all of the thirty-four CIMIS inmate records analyzed. These elements were also found to be 100% complete (See page 15.) They are optional data elements, and their high levels of completeness and accuracy demonstrate that CCDOC officers will ensure that important data elements are recorded accurately and completely in CIMIS.

TABLE XV

NUMBER OF DISCREPANCIES FOUND IN
INMATE IDENTIFICATION ELEMENTS

ELEMENT	TYPE OF DISCREPANCY			TOTAL
	ELEMENT ON HISTORY CARD-NOT IN COMPUTER RECORD	CIMIS AND MANUAL RE- CORDS DO NOT MATCH	ELEMENT IN COMPUTER RECORD-NOT ON HISTORY CARD	
NAME (LAST)*		1		1
DATE OF BIRTH		1		1
RACE				0
HEIGHT*		1		1
WEIGHT*				0
EYE COLOR*				0
HAIR COLOR*				0
ALIAS(ES)	7	2	2	11
TOTAL	7	5	2	14

Maximum Possible Number of Discrepancies = 272
Actual Percentage of Discrepancies = 5.1%

Comments

1. CIMIS identification elements correspond highly with manual records. With the exception of ALIAS, only three instances of identification element discrepancies arose. Eleven discrepancies were found relating to ALIAS. In seven of these cases, the alias(es) recorded on the history card was not entered into CIMIS. ALIAS is normally recorded and entered during the intake interview, and is rarely updated on the history card. Unless an irregular data entry procedure was followed, CIMIS operators failed to enter the aliases during intake. The other four discrepancies can be explained by the fact that CIMIS operating procedures allow updating of ALIAS entries in each division. Thus, a change in CIMIS records concerning an alias can be made without the knowledge of the Records Division, allowing discrepant ALIAS entries.

2. The table indicates a total of twelve errors for NAME and ALIAS. This is significant because some CCDOC manual records are stored by last name. If the proper links between names, aliases, and CCDOC Numbers are not maintained and kept uniform in all CCDOC files and CIMIS, the information relating to an inmate can be dispersed, lost, or misfiled.

TABLE XVI

NUMBER OF DISCREPANCIES FOUND IN LAW ENFORCEMENT
AGENCY IDENTIFICATION NUMBER ELEMENTS

ELEMENT	TYPE OF DISCREPANCY			TOTAL
	ELEMENT ON HISTORY CARD-NOT IN COMPUTER RECORD	CIMIS AND MANUAL RE- CORDS DO NOT MATCH	ELEMENT IN COMPUTER RECORD-NOT ON HISTORY CARD	
IR NUMBER	1	1	5	7
BOI NUMBER	1			1
FBI NUMBER				0
SOCIAL SECURITY NUMBER	8	1		9
TOTAL	10	2	5	17

Maximum Possible Number of Discrepancies = 136
Actual Percentage of Discrepancies = 12.5%

Comment

CIMIS guidelines do not require that any of these identification numbers be entered into CIMIS, though they are fairly accurate. In four of the five cases in which an IR NUMBER appeared on the CIMIS record, but not on the history card, it did appear on other documentation in the manual file (old mittimus, arrest card, or current mittimus.) In all of the cases in which an entry for SOCIAL SECURITY NUMBER appeared on the history card, but not in the CIMIS record, it appeared as "unknown" on the history card.

TABLE XVII

NUMBER OF DISCREPANCIES FOUND IN
INMATE BACKGROUND ELEMENTS

ELEMENT	TYPE OF DISCREPANCY			TOTAL
	ELEMENT ON HISTORY CARD-NOT IN COMPUTER RECORD	CIMIS AND MANUAL RE- CORDS DO NOT MATCH	ELEMENT IN COMPUTER RECORD-NOT ON HISTORY CARD	
AGE WHEN BOOKED		17		17
PLACE OF BIRTH				0
LAST SCHOOL		1		1
LAST GRADE	1			1
RESIDENCY TYPE	7	1		16
HOME ADDRESS*		1	8	1
HOME CITY*		1		14
HOME STATE*		1	13	13
HOME PHONE				0
RELIGION	2			3
MARITAL STATUS			1	0
NUMBER OF CHILDREN	11			11
IN U.S. YR.	1			1
IN COUNTY YR.	5			5
TOTAL	27	21	35	83

Maximum Possible Number of Discrepancies = 476
Actual Percentage of Discrepancies = 17.4%

Comments

1. In seventeen cases (20% of the discrepancies found) AGE WHEN BOOKED did not match in each type of record. In fifteen of these cases, the difference was one year. This discrepancy occurs so often because AGE WHEN BOOKED is calculated by CIMIS by subtracting the inmate's birth year from the booking year. Inmates booked prior to their birthday will appear a year older according to AGE WHEN BOOKED.

2. Sixteen records (19% of the discrepancies found) contained discrepancies concerning RESIDENCY TYPE. Many of these are due to the fact that the currently used history cards provide no space for the entry of this information, nor do any other documents in the manual files (See Appendix E for a copy of the CDOC history card.)

3. Thirteen (16% of the discrepancies found) of the HOME CITY and HOME STATE elements were recorded in CIMIS records, but not in the manual files. In most of these cases, the addresses were obviously in Chicago, Illinois, and the officers did not bother to record this information on the history card.

TABLE XVIII

NUMBER OF DISCREPANCIES FOUND IN
INMATE EMPLOYMENT ELEMENTS

ELEMENT	TYPE OF DISCREPANCY				TOTAL
	ELEMENT ON HISTORY CARD-NOT IN COMPUTER RECORD	COMPUTER AND MANUAL RECORDS DO NOT MATCH	ELEMENT IN COMPUTER RECORD-NOT ON HISTORY CARD	ELEMENT MISSING FROM HISTORY CARD AND COMPU- TER RECORD	
EMPLOYER NAME	1	3		23	26
EMPLOYER ADDRESS		1		26	27
EMPLOYER PHONE				33	33
BEGIN DATE MOST RECENT EMPLOYMENT				34	34
BEGIN DATE PREVIOUS EMPLOYMENT	1			34	35
END DATE PREVIOUS EMPLOYMENT	1			34	35
INCOME SOURCE	1	4	8	9	22
OCCUPATION	9			3	12
TOTAL	13	8	8	196	224

Maximum Possible Number of Discrepancies = 272
Actual Percentage of Discrepancies = 82.3%

Comments

1. 196 of the 224 (87.5%) discrepancies found in this table are due to the absence of entries in both computer and manual records. None of the elements are mandatory according to CIMIS guidelines. It is significant to note that, since space is not provided on current history cards to record EMPLOYER PHONE, BEGIN DATE CURRENT EMPLOYMENT, BEGIN DATE PREVIOUS EMPLOYMENT, and END DATE PREVIOUS EMPLOYMENT, these elements are rarely recorded (See Appendix E for a copy of the CCDOC history card.)

2. As mentioned above in the completeness analysis, in some instances an inmate will refuse to provide an employer's name and address, which also results in a loss of information.

3. The discrepancies found relating to INCOME SOURCE are varied. This is due to confusion between CIMIS and CCDOC coding schemes. The history card provides for two different entries for INCOME SOURCE: "public," and "other," while CIMIS provides nine different codes for that element.

4. In most of the nine cases in which OCCUPATION was entered on the history card, but not in CIMIS, the history card entry was "unknown," "none," or "unemployed."

TABLE XIX

NUMBER OF DISCREPANCIES FOUND IN
INMATE COURT EVENT ELEMENTS

ELEMENT	TYPE OF DISCREPANCY			TOTAL
	ELEMENT ON HISTORY-CARD OR MITTIMUS-NOT ON COMPUTER RECORD	COMPUTER AND MANUAL RECORDS DO NOT MATCH	ELEMENT ON COMPUTER RECORD-NOT ON MITTIMUS OR HISTORY CARD	
NEXT COURT DATE		2	1	3
NEXT COURT JUDGE			1	7
NEXT COURT BRANCH		1	4	6
LAST COURT JUDGE		3		4
LAST COURT BRANCH				13
TOTAL	0	6	6	25

Maximum Possible Number of Discrepancies = 170
Actual Percentage of Discrepancies = 14.7%

Comments

1. It is important to note that although these elements are essential to inmate management at CCDOC, none of them is mandatory according to the CIMIS User's Manual. They almost always appear in CIMIS records, even if the manual files are confusing to read. In thirteen of the discrepancies found the paper documents were too confusing for the researchers to read or follow. This confusion stems from two problems:

- a. handwriting on documents (especially court documents) is illegible;
- b. so many court events have taken place during an inmate's stay at CCDOC that paper documents are voluminous and/or crowded with many entries in a small space.

2. The "next court" information in this table is important to CIMIS and CCDOC operations. Each evening, the Records Division produces the next day's schedule for inmate court appearances. This schedule is based on the "next court" data in CIMIS. Each evening, the Records Division clears up discrepancies such as the six cases in which "next court" data are missing, prior to generating the final court schedule.

3. There are only three cases in which the NEXT COURT DATE or NEXT COURT BRANCH entries in the manual file do not match CIMIS records. These are significant because they can produce delays in the morning transfer of inmates from CCDOC to the various court locations in Cook County.

TABLE XX

NUMBER OF DISCREPANCIES FOUND IN
CHARGE AND SENTENCE ELEMENTS

ELEMENT	TYPE OF DISCREPANCY				TOTAL
	ELEMENT ON HISTORY CARD OR MITTIMUS-NOT IN COMPUTER RECORD	COMPUTER AND MANUAL RECORDS DO NOT MATCH	ELEMENT IN COMPUTER RECORD-NOT IN MANUAL RECORD	ELEMENT UN-READABLE IN MANUAL RECORD	
CHARGE CODE		4		1	5
MINIMUM SENTENCE					0
SENTENCE EFFECTIVE DATE	1				1
CONSECUTIVE SENTENCE					0
DOCUMENT TYPE*					0
DOCUMENT NUMBER*					0
BOND TYPE*			21		21
BOND AMOUNT*		1		1	2
TOTAL	1	5	21	2	29

Maximum Possible Number of Discrepancies = 272
Actual Percentage of Discrepancies = 10.7%

Comment

The main discrepancy found in this table concerns the twenty-one cases in which BOND TYPE was recorded in CIMIS, but not in the manual record. This points to a problem with the source documents. Court and CCDOC documents do not provide space to record BOND TYPE, but the personnel in the Records and Receiving Divisions usually know the BOND TYPE by looking at the mittimus. This is why so many BOND TYPE entries can be missing from manual records, yet appear in CIMIS.

TABLE XXI

NUMBER OF DISCREPANCIES FOUND IN MENTAL HEALTH INSTITUTION ELEMENTS

ELEMENT	TYPE OF DISCREPANCY			TOTAL
	ELEMENT ON HISTORY CARD-NOT IN COMPUTER RECORD	CIMIS AND MANUAL RECORDS DO NOT MATCH	ELEMENT IN COMPUTER RECORD-NOT ON HISTORY CARD	
IF MENTAL HEALTH INSTITUTION, WHICH ONE	30		1	31
MENTAL HEALTH INST. CITY			1	1
MENTAL HEALTH INST. STATE			1	1
MENTAL HEALTH INST. LENGTH OF STAY			1	1
MENTAL HEALTH INST. RELEASE DATE	1			1
MENTAL HEALTH INST. RELEASE TYPE				0
TOTAL	31	0	4	35

Maximum Possible Number of Discrepancies = 204
Actual Percentage of Discrepancies = 17.1%

Comment

In nearly every case in which a history card reflects that an inmate has not been in a mental health institution, the CIMIS operator leaves the corresponding elements in CIMIS blank. This explains the high number of cases in which an entry was made on the history card, but not in CIMIS.

TABLE XXII

NUMBER OF DISCREPANCIES FOUND IN MILITARY SERVICE ELEMENTS

ELEMENT	ELEMENT ON HISTORY CARD NOT IN COMPUTER RECORD	COMPUTER AND MANUAL RECORDS DO NOT MATCH	ELEMENT IN COMPUTER RECORD-NOT ON HISTORY CARD	ELEMENT MISSING FROM HISTORY CARD AND COMPUTER RECORD	TOTAL
MILITARY STATUS	3			2	5
MILITARY BRANCH	1		1	29	31
MILITARY DISCHARGE TYPE	1		1	29	31
MILITARY ENTER DATE	1			32	33
MILITARY RELEASE DATE	1			32	33
TOTAL	7	0	2	124	133

Maximum Possible Number of Discrepancies = 170
Actual Percentage of Discrepancies = 78.2%

Comment

The current history cards only provide delineated space to enter MILITARY STATUS.⁷ Military data are usually coded accurately in CIMIS, as evidenced by the lack of non-matching entries for each element, or they are not coded at all, as evidenced by the large number of cases with no entries into CIMIS or the manual records.

⁷ A blank line is provided beneath the "Military" category on the history card, but no direction is given concerning what data to enter in the space (See Appendix E for a copy of the CCDOC history card.)

TABLE XXIII
 NUMBER OF DISCREPANCIES FOUND IN SPOUSE,
 KIN, OR FRIEND ELEMENTS

	ELEMENT ON HISTORY CARD- NOT IN COMPU- TER RECORD	COMPUTER AND MANUAL RECORDS DO NOT MATCH	ELEMENT IN COMPUTER RECORD-NOT ON HISTORY CARD	ELEMENT MISSING FROM HISTORY CARD AND COMPUTER RECORD	TOTAL
SPOUSE, KIN, OR FRIEND NAME		1		1	2
SPOUSE, KIN, OR FRIEND ADDRESS	1			6	7
SPOUSE, KIN, OR FRIEND CITY	2			9	11
SPOUSE, KIN, OR FRIEND STATE	2			8	10
SPOUSE, KIN, OR FRIEND PHONE	1			3	4
TOTAL	6	1	0	27	34

Maximum Possible Number of Discrepancies = 170
 Actual Percentage of Discrepancies = 20%

Comment

Twenty-seven of the thirty-four (79%) discrepancies in this table are cases in which the elements were not recorded on the history card or in CIMIS. These elements are not mandatory, but they are recorded to provide CCDOC officials with a person to contact in case of an emergency concerning an inmate. It is significant, then, that so many records are missing this information.

Completeness and Accuracy Summary

The tables and comments presented above indicate that CIMIS data elements vary in their levels of completeness and accuracy, both between and within different groupings. Generally, the el-

ements that are most important to CCDOC corrections officers (those used to identify inmates, schedule court appearances, assign living units,) and the mandatory elements are the most complete and accurate.

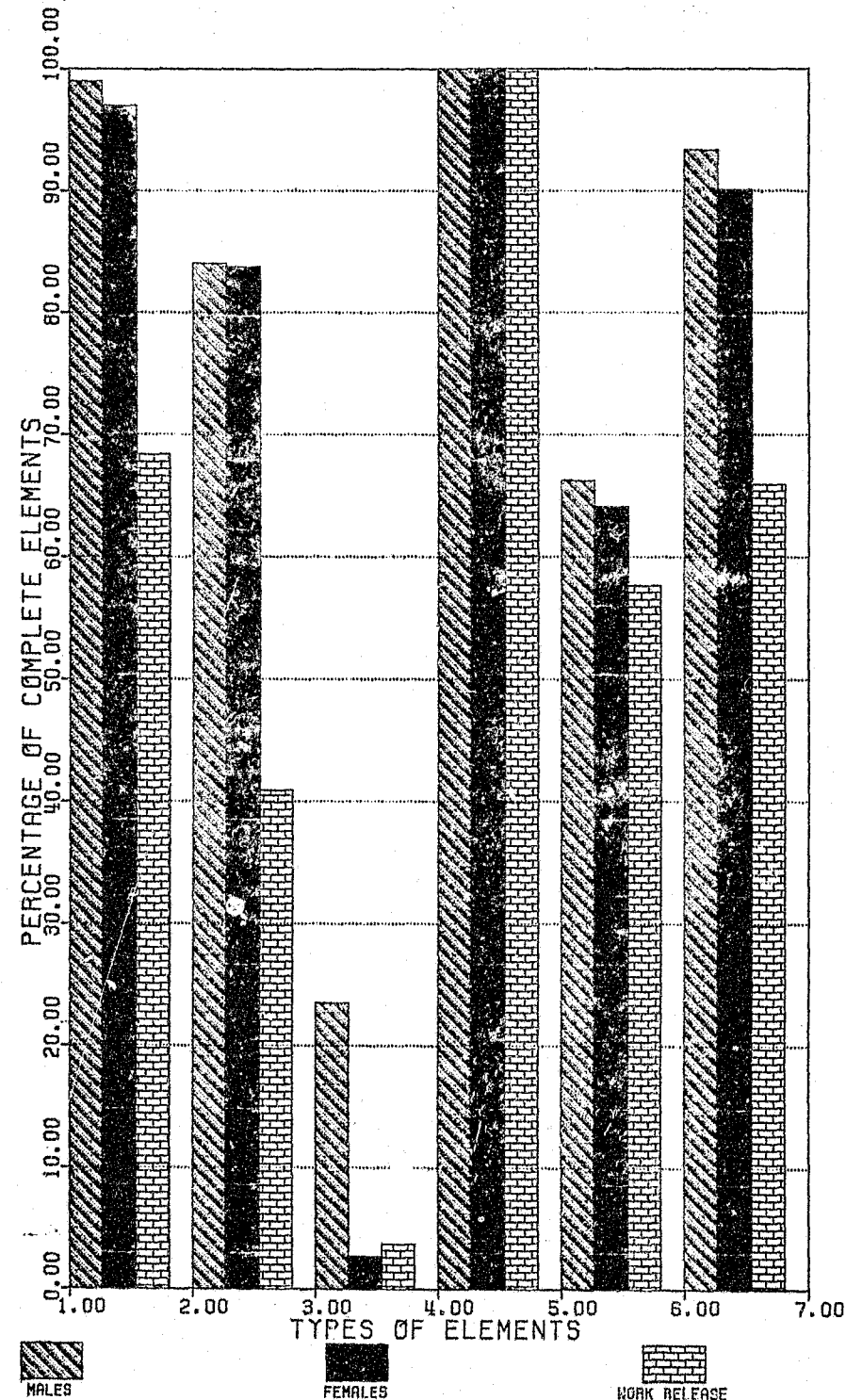
Nearly all of the transactions provided by CIMIS to access and update inmate records are used by CCDOC personnel. The transaction designed to access and update medical records is rarely used, and some transactions designed to aid in scheduling and recording inmate movements (ON, OFF, INM, CCSCH) are not used at all.

Chart 1 presents a summary of the primary completeness findings.

COMPLETENESS SUMMARY

PERCENTAGES OF COMPLETE INMATE ELEMENTS FOUND FOR DIFFERENT GROUPS OF DATA ELEMENTS IN THE COOK COUNTY DEPARTMENT OF CORRECTIONS' CIMIS INMATE RECORDS ON JANUARY 26, 1981

- 1 = INMATE ID ELEMENTS 3 = AGENCY ID ELEMENTS
- 2 = INMATE BACKGROUND ELEMENTS 4 = INMATE WARNING ELEMENTS
- 5 = COURT AND SENTENCE-RELATED ELEMENTS
- 6 = MANDATORY ELEMENTS



ILEC/CJIS--STATISTICAL ANALYSIS CENTER GRAPH

A CIMIS inmate data element is considered complete if it contains any entry at all. Incomplete elements do not, however, indicate "missing data" because not all CIMIS inmate data elements are required to contain entries.

With the exception of Law Enforcement Agency Identification Number elements, male and female CIMIS inmate records are complete to similar degrees, ranging from 60% to 100%. Work release records are much less complete than male and female records for Inmate Identification elements and Inmate Background elements. They are slightly more complete than female (and less complete for male) records for Law Enforcement Agency Identification Number elements; and are slightly less complete than male and female records for Court and Sentence-Related elements.

In general, then, male and female CIMIS inmate records are more complete than work release records at CCDOC, and all records are complete to varying degrees (ranging from less than 5% to 100%.)

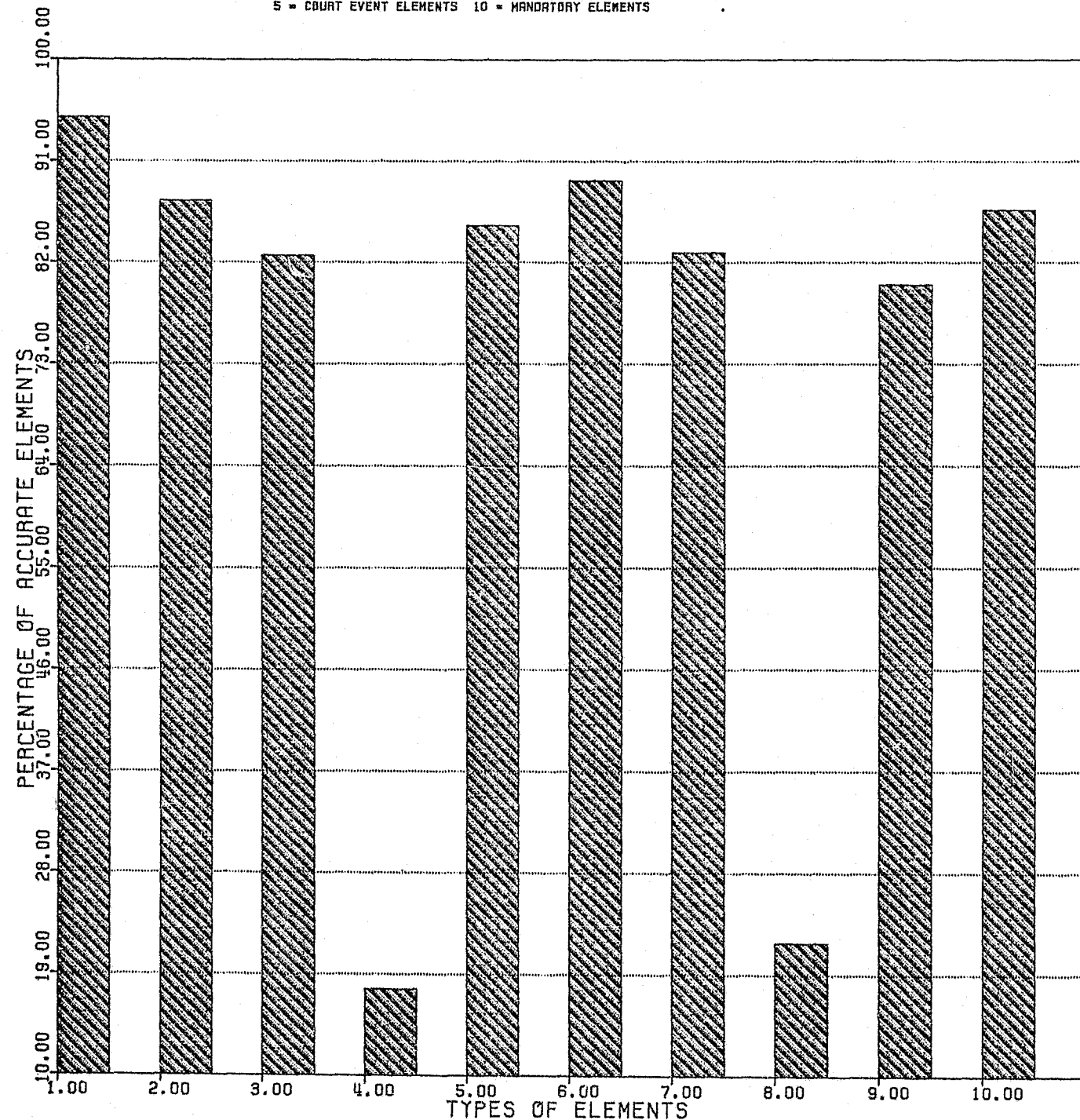
Chart 2 presents a summary of the accuracy analysis.

CHART 2

ACCURACY SUMMARY

PERCENTAGES OF ACCURATE INMATE ELEMENTS FOUND FOR DIFFERENT GROUPS OF DATA ELEMENTS IN 94 COOK COUNTY DEPARTMENT OF CORRECTIONS MALE INMATE RECORDS ON MARCH 25, 1981

- | | |
|--------------------------|----------------------------------|
| 1 = INMATE ID ELEMENTS | 6 = COURT AND SENTENCE ELEMENTS |
| 2 = AGENCY ID ELEMENTS | 7 = MENTAL HEALTH INST. ELEMENTS |
| 3 = BACKGROUND ELEMENTS | 8 = MILITARY ELEMENTS |
| 4 = EMPLOYMENT ELEMENTS | 9 = SPOUSE, KIN, FRIEND ELEMENTS |
| 5 = COURT EVENT ELEMENTS | 10 = MANDATORY ELEMENTS |



ILEC/CJIS--STATISTICAL ANALYSIS CENTER GRAPH

A CIMIS inmate data element is considered accurate if it matches its corresponding element on a source paper document in a CCDOC manual file; and is considered inaccurate if it does not match the paper record entry.

Based on a thorough audit of thirty-four male inmate records, CCDOC-CIMIS inmate records are more than 80% accurate for almost all of the groups of elements analyzed. Employment and Military elements are shown as the least accurate in Chart 2. They appear inaccurate because the accuracy analysis counts data elements that were not recorded on paper records or in CIMIS as inaccurate (See page 31.) If accuracy is defined more strictly, however, CCDOC-CIMIS inmate records are highly accurate.

FINDINGS AND RECOMMENDATIONS

This section presents the findings of the database survey. It documents aspects of CIMIS and CCDOC operations that affect the usefulness of CIMIS data. These findings include specific suggestions for the management of CCDOC-CIMIS, and the enhancement of the CIMIS database.

FINDING 1

Medical and drug use-related data on the MEDIC transaction are not entered into the CIMIS database.

DISCUSSION

The MEDIC transaction is rarely used at CCDOC. There is no place for this information on the history card. Observations indicate that there is very little communication between the CCDOC custodial and medical staffs. The medical unit in RCDC does not use or submit CIMIS data. CIMIS data are not sent from the hospital units to the records office. In general, medical history information is not recorded on CIMIS, and medical records from other sources (e.g., Cermak Hospital) are not forwarded to the records office.

RECOMMENDATION

CCDOC should immediately take steps to ensure that medical information is entered into CIMIS; the MEDIC transaction should be used for this purpose.

FINDING 2

CIMIS inmate movement data are not entered through the ON, OFF, INM, and CCSCH transactions.

DISCUSSION

With the exception of specific transactions used to schedule inmate court events, CIMIS is rarely used to monitor or record inmate movement in CCDOC. This function is filled by the use of paper records in each division. Inmate tracking is not simply a record of inmate living units and court schedules. It requires constant recording of the locations of inmates as they pass control points, move to appointments, and enter or leave their tiers. CIMIS was designed to meet this need, but is not being used to do so at CCDOC.

RECOMMENDATION

CCDOC-CIMIS terminals should be located at all points where inmate movements and locations are now monitored on paper, and at all points where it is important to record inmate movement. Personnel should be trained to use CIMIS for this purpose at all times, and should be required to use the ON, OFF, and INMATE transactions. The use of paper ledgers to record inmate movements should be discontinued, and CIMIS should have the capability to provide hardcopy summaries of inmate movements.

FINDING 3

There are a number of problems with the police and court records that are the source of CIMIS data. These problems have a negative effect on the quality of the CIMIS database.

- a. Judges' signatures are often illegible on the mittimi.
- b. Accumulated entries on some mittimi make it difficult to determine court event data (LAST COURT DATE or JUDGE, NEXT COURT DATE or JUDGE, BOND AMOUNT) for an inmate, or the sequence of court events.
- c. The mittimi do not have data entry fields for some data used by CIMIS and provided by the courts (i.e., CONSECUTIVE SENTENCE, SENTENCE EFFECTIVE DATE, BOND TYPE), making it difficult to determine whether there are missing data.
- d. There are no standard procedures for entering data on mittimi, for determining when to start another mittimus, or for indicating when information continues onto another mittimus.

DISCUSSION

This finding points to two significant problems:

1. It is difficult to analyze the CIMIS database and data entry procedures for accuracy and completeness.
2. It is more difficult to extract and confirm the data needed for the tasks of inmate management, despite the fact that experience with these documents helps the CCDOC staff compensate for some of these problems.

RECOMMENDATION

CCDOC and courts personnel should collaborate on the development of new mittimi forms that provide for clear and consistent entry of court event elements.

FINDING 4

The CCDOC history cards that are the source of much CIMIS inmate data that are not recorded on court documents are poorly designed. They do not provide designated spaces for some elements, and do not provide adequate space to update others.

DISCUSSION

Some inmate records require numerous updates of court information. In these cases, the history cards do not provide enough space to record the information in an organized manner. This makes it difficult to determine the current court event and the sequence of court events on the cards. The history cards do not provide data entry fields for the following CIMIS inmate data elements, increasing the likelihood that they will not be entered in to CIMIS:

EMPLOYER'S PHONE,
RESIDENCY TYPE,
DRUGS CURRENTLY USED,
AGE STARTED DRUG USE,
DRUG TREATMENT,
DAILY COST OF DRUGS,
BEGIN DATE CURRENT EMPLOYMENT,
BEGIN DATE PREVIOUS EMPLOYMENT,
END DATE PREVIOUS EMPLOYMENT,
MILITARY BRANCH,
MILITARY DISCHARGE TYPE,
MILITARY ENTER DATE, and
MILITARY RELEASE DATE.

RECOMMENDATION

The data entry process at intake should be changed. Data should be entered directly into CIMIS terminals, and the history cards should be generated by the computer after the intake process is complete.

The CIMIS-generated history cards should provide adequate space for the updating of court information, and for the elements listed above.

FINDING 5

The current CCDOC-CIMIS practice for entering bond amounts for inmates who have multiple charges is to assign the BOND AMOUNT on the mittimus to the most serious charge, and to assign

a bond amount of \$1.00 to the other charges on the mittimus. BOND AMOUNT is entered in this manner because CIMIS requires a BOND AMOUNT to be entered for each charge pertaining to an inmate, even though the courts assign a single bond amount for multiple charges appearing on a mittimus.

In addition, a BOND AMOUNT of "none" is assigned to inmates denied bond by a judge, or who have already been sentenced and are being held at CCDOC on other charges.

DISCUSSION

This practice leads to confusion concerning the "total bond amount" that appears on CIMIS inmate records. It is difficult for CCDOC to respond to questions (from lawyers, family) concerning bond amounts. In addition, this practice makes it more difficult to record court actions that alter or drop charges and bonds in the CIMIS database.

RECOMMENDATION

CIMIS should be altered to record "bond amount per document number," when a mittimus specifies a bond amount. A bond amount of "none" should only be used for inmates denied bond by a judge. Specific bond codes should be provided to indicate inmates sentenced to CCDOC or IDOC, or held on writ.

FINDING 6

CIMIS records and CCDOC history cards are not updated except for courts, charge, and sentence information.

DISCUSSION

Courts-related data are routinely updated at CCDOC, but other data are not. Changes in appearance, discoveries of aliases, and information about inmate identification may all become relevant for some inmates while they are at CCDOC.

RECOMMENDATION

Information updating should include all aspects of the inmates' records. CIMIS should be designed to enable the re-generation of inmate history cards on demand by CCDOC officers.

FINDING 7

Many CIMIS inmate records contain blank data entry fields where an entry for "unknown," "not applicable," or for a negative response is more appropriate.

DISCUSSION

In many cases, CIMIS data entry personnel use a blank as a default option for data entry when the information is unknown, and, at times, when the answer to an intake interview question is negative. This has the advantage of increasing the speed of the intake interviews and the speed of data entry. This practice, however, limits the conclusions that can be drawn concerning the quality of CIMIS inmate records. Under the current practice, it is impossible to determine whether a blank "really" signifies a data entry error, an unknown, a non-applicable question, or a negative response.

RECOMMENDATION

The following table lists the CIMIS data elements for which it is important to record more explicit responses other than those currently represented by blanks, and recommends new data entry procedures for each element.

TABLE XXIV

RECOMMENDED DATA ENTRY PROCEDURES FOR CIMIS DATA ELEMENTS

ELEMENT	RECOMMENDATION			
NUMBER OF CHILDREN	"None" should always be recorded as zero in CIMIS			
FINE AMOUNT	Zero should be made the default value			
INCOME SOURCE	A blank in CIMIS should always indicate "no income source"			
DRUGS CURRENTLY USED	A blank in CIMIS should always indicate "none"			
AGE STARTED DRUG USE CURRENT TREATMENT DAILY COST	} If DRUGS CURRENTLY USED is left blank, the computer should auto-assign "NA" for these elements			
MENTAL HEALTH INSTITUTION LENGTH OF STAY MENTAL HEALTH INSTITUTION DATE OF DISCHARGE MENTAL HEALTH INSTITUTION TYPE OF DISCHARGE		} When IF MENTAL HEALTH INSTITUTION, WHICH ONE is left blank, the computer should automatically assign "NA" for these elements		
MILITARY STATUS			} Should be made mandatory, and blanks should be disallowed	
MILITARY BRANCH MILITARY DISCHARGE TYPE MILITARY ENTER DATE MILITARY RELEASE DATE	} If MILITARY STATUS equals "N" (non-veteran), the computer should automatically assign "NA" to these elements			
FINDING 8				

CIMIS does not provide adequate inmate management support for the work release division at CCDOC.

DISCUSSION

CIMIS was designed for use with inmates sentenced or detained inside a corrections institution, and work release inmates live outside the institution most of the time. CIMIS does not have the capacity to record work release (periodic) sentences, or to maintain records for AWOL inmates. CIMIS is not designed to track inmates outside an institution or to sign inmates in and

out of an institution. In addition, work release is a relatively small division with a compact and self-contained records department, the functions of which are not greatly augmented by the capabilities CIMIS offers.

RECOMMENDATION

CIMIS capabilities for the work release division should consist of a specific set of transactions and archives to meet the needs of that division.

FINDING 9

The INCOME SOURCE codes on the CCDOC history cards are different from those in CIMIS.

DISCUSSION

INCOME SOURCE in CIMIS is a table-driven field with ten entry codes. Income information is entered in CIMIS from the history card, which has fewer INCOME SOURCE codes than the CIMIS table. Therefore, information loss is inevitable.

RECOMMENDATION

The history card should be altered to reflect the CIMIS codes for INCOME SOURCE.

FINDING 10

The CIMIS data element: ORDERS DOCUMENT NUMBER is incomplete in CIMIS male and female inmate records.

DISCUSSION

ORDERS DOCUMENT NUMBER is a mandatory CIMIS data element. It records the type and number of the document issued by a judge ordering a future event for an inmate. The absence of this element points to an information flow problem, since ORDERS DATE and ORDERS DESTINATION are being entered into CIMIS (See page 24.)

RECOMMENDATION

CCDOC should immediately take steps to ensure that data are entered for the ORDERS DOCUMENT NUMBER data element according to CIMIS guidelines.

FINDING 11

CIMIS User's Manuals and CIMIS codebooks are not present at all terminal locations in CCDOC.

DISCUSSION

The existing CIMIS User's Manuals for CCDOC explain in detail how to use CIMIS, and define all data elements entered into the system through the transactions. They are designed to aid CIMIS users (e.g., CCDOC officers,) and should always be available to them.

RECOMMENDATION

CIMIS User's Manuals and codebooks should be present at all terminal locations in CCDOC.

FINDING 12

The CIMIS User's Manuals are not updated, and terminal locations lack logbooks or manuals for system updates and procedural changes.

DISCUSSION

It is important to keep CIMIS User's Manuals updated, and to provide a reference log for updates and changes in CIMIS procedures and policies. The system is constantly being adapted and tailored to use at CCDOC. Policies in CCDOC change, causing changes in CIMIS policy and procedures. Not all the staff can continually receive the latest version of the CIMIS training courses, but the staff is still accountable for, and essential to, proper use of CIMIS. In addition, it is important to maintain clear communication between CIMIS staff and CIMIS users, in every way. CIMIS User's Manuals and codebooks will inevitably fall into disuse if they fail to represent the current state of the system.

RECOMMENDATION

CIMIS User's Manuals and codebooks should be kept up-to-date at all locations in CCDOC, and each terminal location should have a system update reference log.

FINDING 13

The CIMIS User's Manual contains instructions that create a data entry problem for the groups of data elements concerning Military, Drug Use, and Mental Health Institution information.

DISCUSSION

Table XXV below presents the three relevant groups of data elements covered by this finding in three columns and divides each group into two sets. The first set (A) contains data elements that are Key elements (See page 20.) The second set (B) contains the elements that contain data related to the Key elements.

TABLE XXV
KEY ELEMENTS AND RELATED ELEMENTS FOR THREE GROUPS
OF CIMIS DATA ELEMENTS

SET A	IF MENTAL HEALTH INSTITUTION, WHICH ONE	MILITARY STATUS	DRUGS CUR- RENTLY USED
SET B	CITY STATE LENGTH OF STAY RELEASE DATE DISCHARGE TYPE	BRANCH DISCHARGE TYPE ENTER DATE RELEASE DATE	AGE STARTED CURRENT TREATMENT COST PER DAY

For each group of data elements in Table XXV, the CIMIS User's Manual requires data entry for the Key element (in Set A) if any data are entered into the related elements (in Set B.) The Manual does not require data entry for Set B elements when data are entered for any of the Key elements in Set A. The three Key elements in Table XXV, then, are conditionally mandatory. These instructions allow important data elements (those in Set B) to be skipped in the data entry process.

RECOMMENDATION

The CIMIS User's Manual should require that all data for related elements be entered whenever data for Key elements are entered into CIMIS.

APPENDIX A

Schedule of Observational Visits to
the Cook County Department of Corrections

DATE OF VISIT	PURPOSE SERVED BY VISIT
1/27/81	toured CCDOC to become acquainted with the complex; visited thirty-four CIMIS terminal locations and discussed CIMIS operations with CCDOC officers;
1/28/81	observed the inmate intake process at RCDC, including CIMIS data collection (intake interviews) and entry;
2/3/81	observed the inmate intake process; observed records office operations, day shift;
2/10/81	observed records office operations, day shift;
2/18/81	observed records office operations, evening shift;
2/23/81	observed records office operations, evening shift;
3/3/81	observed records office operations, evening shift;
3/4/81	observed records office operations, evening shift;
3/5/81	observed morning transportation of inmates to court appearances in the Criminal Courts Building;
3/24/81	observed inmate intake procedures in RCDC; observed CIMIS operation in the work release division;
4/1/81	observed the intake process in the women's division;
4/3/81	observed morning shipment of inmates to the Joliet Correctional Center, and the morning transfer of inmates to appearances in the branch courts; observed records office operations in the women's division;
4/14/81	observed Cook County Court Services operations at the Criminal Courts Building;

APPENDIX B

CIMIS Data Elements Included in the Completeness Analysis

CIMIS Data Elements Included in the Completeness Analysis*

1	Name (last)*	37	Attempts Escape
2	Date of Birth*	38	Attempts Suicide
3	Place of Birth	39	Drugs Currently Used*b
4	Age	40	Age Started Drug Use
5	Race*	41	Drug Treatment
6	Height*	42	Daily Cost
7	Weight*	43	If Mental Health Institution, Which One*c
8	Eye Color*	44	Mental Health Institution
9	Hair Color*		Length of Stay
10	Last Grade	45	Mental Health Institution
11	Occupation		Release Date
12	Employer	46	Mental Health Institution
13	Employer's Address		Discharge Type
14	Military Status*a	47	Charge
15	Military Branch	48	Next Court Date
16	Military Discharge Type	49	Next Court Judge
17	Military Enter Date	50	Next Court Branch
18	Military Release Date	51	Minimum Sentence
19	Residency Type	52	Maximum Sentence
20	Home Address*	53	Sentence Effective Date
21	Home City*	54	Consecutive Sentence
22	Home State*	55	Last Court Judge*
23	FBI Number	56	Last Court Branch*
24	IR Number	57	Disposition
25	BOI Number	58	Document Number*
26	Religion	59	Fine Amount
27	Income Source	60	Bond Type*
28	Marital Status	61	Bond Amount*
29	Number of Children	62	Clinic Date
30	Impersonates Opposite Sex	63	Clinic Code
31	Orders Day	64	Clinic Official
32	Orders Destination	65	Clinic Time
33	Orders Document	66	Epilepsy
34	General Physical Condition	67	Heart
35	Emergency Condition Present	68	Tuberculosis
36	Description of Emergency Condition	69	Venereal Disease
		70	Diabetes
		71	Date Booked

All elements that are mandatory according to the CIMIS User's Manual are indicated by an asterisk()

a This element is mandatory only if an entry is made for element number 15, 16, 17, or 18.

b This element is mandatory only if an entry is made for element number 34, 35, or 36.

c This element is mandatory only if an entry is made for element number 38, 39, or 40.

APPENDIX C

Data Elements Included in the Analysis of "Unknown" Entries

Data Elements Included in the Analysis of "Unknown" Entries

- 1 Place of Birth
- 2 Last Grade
- 3 Income Source
- 4 Marital Status
- 5 State of Residency
- 6 Document Number
- 7 Document Type
- 8 Disposition Code
- 9 Religion
- 10 Military Status
- 11 Military Branch
- 12 Military Discharge Type
- 13 If Mental Health Institution, Which One
- 14 Mental Health Institution Release Type
- 15 Eye Color
- 16 Hair Color
- 17 Skin Color
- 18 Residency Type
- 19 Bond Type
- 20 Event Type
- 21 Health Condition
- 22 Next Court Branch
- 23 Next Court Judge

APPENDIX D

CCDOC-CIMIS Accuracy Analysis Forms

This appendix presents and explains the Data Audit Forms used to compare CIMIS and manual records in the accuracy analysis. The five Audit Forms below were used in the analysis; each is designed to compare data entries for elements associated with one of the following transactions: INQUIRY, HISTORY1, HISTORY2, CHARGE, and ALIAS. The Additional Charge Form was used to compare entries for records containing more than one charge for an inmate.

Each form was filled out according to the following conventions:

- The history card and one of the court documents (current mittimus, other document, or additional mittimus) were used as the basis of the accuracy check. If an element appeared on one, or both, of these documents, a check (✓) was placed in the appropriate cell. If the element did not appear and is mandatory (indicated by an *,) a zero was entered. If the element did not appear and is not mandatory, "NA" was entered.
- The same convention was applied to entries made in the "Computer Record" column. Elements present in the CIMIS record were noted with a check (✓), and missing elements with a zero or "NA."
- The "Discrepancy" column was used to describe instances in which both CIMIS and manual records contained entries for an element, but the entries did not match.

CCDOC DATA AUDIT --- /INQUIRY FORM

✓ = APPEARS ON DOCUMENT 0 = MISSING FROM DOCUMENT
 NA = MISSING, BUT NOT REQUIRED

	Hist Card	Current MITT	Other Doc's	Additional MITTS	Computer Record	Discrepancy
1-IR						
2-SOI						
3-FBI						
4-BOOKDATE						
5-NAME(last)*						
6-ADDRESS*						
7-CITY*						
8-STATE*						
9-PHONE						
10-ALIAS						
11-AGE						
12-RACE*						
13-SEX						
14-HEIGHT*						
15-WEIGHT*						
16-LAST STATUS						
17-LOCATION						
18-LIVING UNIT						
19-NEXT CT DATE						
20-NEXT CT BRANCH						
21-NEXT CT JUDGE						
22-BOND AMOUNT						
23-MINIMUM SENTENCE						

CCDOC DATA AUDIT --- /HISTORY1 FORM

✓ = APPEARS ON DOCUMENT 0 = MISSING FROM DOCUMENT
 NA = MISSING, BUT NOT REQUIRED

RECORD # _____

	Hist Card	Current MITT	Other Doc's	Additional MITTS	Computer Record	Discrepancy
1-HAIR*						
2-EYES*						
3-OWN/RENT/TRANS						
4-LAST SCHOOL						
5-LAST GRADE						
6-OCCUPATION						
7-SDC SEC NUMBER						
8-INCOME SOURCE						
9-EMPLYR NAME						
10-EMPLYR ADDRESS						
11-EMPLYR PHONE						
12-BEGIN CURRENT EMP						
13-BEGIN PREV EMP						
14-END PREV EMP						
15-MIL STATUS**						
16-MIL BRANCH						
17-MIL DISCH						
18-MIL ENTER DATE						
19-MIL RELEASE DATE						
20-DOB*						
21-BIRTHPLACE						
22-IN US YR/MTH						
23-IN COUNTY YR/MTH						
24-MARITAL STATUS						
25-NUMBER OF CHILDREN						
26-RELIGION						

**MILITARY STATUS is mandatory only if an entry is made for elements #15, 17, 18, or 19.

CCDOC DATA AUDIT --- /HISTORY2 FORM

✓ = APPEARS ON DOCUMENT 0 = MISSING FROM DOCUMENT
 NA = MISSING, BUT NOT REQUIRED

RECORD # _____

	Hist Card	Current MITT	Other Doc's	Additional MITTS	Computer Record	Discrepancy
1-FRIEND NAME						
2-FRIEND ADDRESS						
3-FRIEND CITY						
4-FRIEND STATE						
5-FRIEND PHONE						
6-DRUGS CURR. USED**						
7-AGE STARTED						
8-CURR. TREATMENT						
9-DAILY COST						
10-ATT. ESCAPE						
11-ATT. SUICIDE						
12-IMPERS. OPP SEX						
13-MENTAL INST?***						
14-CITY						
15-STATE						
16-LENGTH OF STAY						
17-RELEASE DATE						
18-TYPE OF RELEASE						

**DRUGS CURR. USED is mandatory only if an entry is made for elements #7, 8, or 9.

***MENTAL INST? is mandatory only if an entry is made for elements #14, 15, 16, 17, or 18.

CCDOC DATA AUDIT --- /CHARGE FORM

✓ = APPEARS ON DOCUMENT 0 = MISSING FROM DOCUMENT
 NA = MISSING, BUT NOT REQUIRED

RECORD # _____

	Hist Card	Current MITT	Other Doc's	Additional MITTS	Computer Record	Dis- crepancy
1-DOC. TYPE*						
2-DOC. NUMBER*						
3-SENDING JUDGE*						
4-SENDING BRANCH*						
5-BOND TYPE*						
6-BOND AMT*						
7-CHARGE CODE						
8-SENT EFFECT DATE						
9-CONSEC SENT						
10-FINE AMOUNT						

CCDOC DATA AUDIT --- /ALIAS FORM

	Hist Card	Current MITT	Other Doc's	Additional MITTS	Computer Record	Dis- crepancy
NAME BOOKED UNDER						
PREV RECORDED						

CCDOC DATA AUDIT --- /ADDITIONAL CHARGE FORM

✓ = APPEARS ON DOCUMENT 0 = MISSING FROM DOCUMENT
 NA = MISSING, BUT NOT REQUIRED

RECORD # _____

	Hist Card	Current MITT	Other Doc's	Additional MITTS	Computer Record	Dis- crepancy
1-DOC. TYPE*						
2-DOC. NUMBER*						
3-SENDING JUDGE*						
4-SENDING BRANCH*						
5-BOND TYPE*						
6-BOND AMT*						
7-CHARGE CODE						
8-SENT EFFECT DATE						
9-CONSEC SENT						
10-FINE AMOUNT						
1-DOC. TYPE*						
2-DOC. NUMBER*						
3-SENDING JUDGE*						
4-SENDING BRANCH*						
5-BOND TYPE*						
6-BOND AMT*						
7-CHARGE CODE						
8-SENT EFFECT DATE						
9-CONSEC SENT						
10-FINE AMOUNT						

APPENDIX E

Cook County Department of Corrections History Card

Glossary of CIMIS and CCDOC Terms

I. Data Elements

Age Started: The age at which the inmate began to use the drugs reported in the DRUGS CURRENTLY USED field.

Aka: Also Known As. Equivalent of Alias.

Alias: Another name(s) by which the inmate is known, or which the inmate uses.

Arrest Report: An official document completed by the arresting police agency that identifies an arrested person and describes the offense(s) and the circumstances of the arrest. A carbon copy of the Arrest Report accompanies each new prisoner entering CCDOC.

Attempts Escape: A warning indicating that the inmate has previously attempted to escape.

Attempts Suicide: A warning indicating that the inmate has previously attempted to commit suicide.

Begin Current Employment: The date the inmate started his or her most recent employment.

Begin Previous Employment: The date the inmate started his or her previous employment.

Birthplace (POB for Place of Birth): The state in the United States, or territory, or country where the inmate was born.

BOI Number: Unique number assigned to an arrested person by the Illinois Bureau of Identification.

Bond Amount: Cash amount an inmate must pay to leave CCDOC on bail.

Bond Type: The type of document that designates the inmate's bond amount.

Book Date: The date the inmate is received and processed into CCDOC.

CCDOC Number: Unique number assigned to each inmate of the Cook County Department of Corrections.

Clinic Code: The CIMIS code for the clinic at which the inmate is scheduled for an appointment.

Clinic Date: The date the inmate is scheduled for a clinic appointment.

Clinic Official: The CIMIS code for the official authorizing the inmate's clinic appointment.

Clinic Time: The time of the inmate's clinic appointment.

Charge: The statutory code for an offense charged against an inmate.

Concurrent Sentence: A sentence served while serving another sentence.

Consecutive Sentence: A sentence served upon completion of another sentence.

Current Disposition: The most recent court action concerning an inmate.

Current Treatment: The medical treatment an inmate is receiving.

Daily Cost: The street value of an inmate's habitual (non-medical) daily drug use.

Data: Items of information represented through or for electronic media, from which conclusions are drawn or actions are taken.

Database: An arrangement of data in a computer to facilitate storage, retrieval, and update of the data.

Disposition: See Current Disposition.

Document Number: The number of the document by which an inmate is being held at CCDOC; taken from the mittimus (see Mittimus.)

Drugs Currently Used: The drugs an inmate uses, either habitually, or for medical reasons.

End Date Previous Employment: The date the inmate ended his or her previous employment.

Eyes (Eye Color): The color of an inmate's eyes.

FBI Number: A unique identification number assigned to an arrested person wanted by the Federal Bureau of Investigation.

Field: An area where data may be read, entered, or updated, or a section for a data element in a record.

Friend (Spouse, Kin, Friend): A person to contact in case of an emergency concerning an inmate.

Future Event: A scheduled court or clinic appearance for an inmate.

Hair (Hair Color): Color of the inmate's hair.

History Card: A card used by CCDOC to record information concerning new inmates during intake, and to update court and sentence information in the manual files.

If Mental Health Institution, Which One: The name of the mental health institution an inmate has previously spent time in.

Impersonates Opposite Sex: A security warning indicating whether or not the inmate impersonates the opposite sex.

Income Source: The source of an inmate's income.

IR Number: Incident Report Number; a unique number assigned to persons arrested by the Chicago Police Department.

Jail Number: See CCDOC Number.

Last Court Branch: The court branch of an inmate's most recent court appearance.

Last Court Judge: The judge who presided during an inmate's most recent court appearance.

Last Grade: The last grade in school completed by an inmate.

Last School: The name of the last school attended by an inmate.

Living Unit: The address (location) within CCDOC where an inmate resides.

Maximum Sentence: The maximum amount of time an inmate was sentenced to prior to arriving at CCDOC.

Military Branch: The branch of the military an inmate served in.

Military Discharge: The type of discharge an inmate received from military service.

Military Enter Date: The date an inmate began serving in the military.

Military Release Date: The date an inmate was released from military service.

Military Status: An indicator of whether or not an inmate served in the military.

Minimum Sentence: the minimum amount of time an inmate was sentenced to prior to arriving at CCDOC.

Mittimus: The court document committing an inmate to CCDOC, containing charge, bond, and court event information.

Next Court Branch: The branch number of an inmate's next scheduled court appearance.

Next Court Date: The date of an inmate's next scheduled court appearance.

Next Court Judge: The judge presiding at an inmate's next scheduled court appearance.

Orders Date: The date of a scheduled event for an inmate ordered by a judge.

Orders Destination: The destination scheduled by a judge's order for an inmate.

Orders Document Number: The document type and number associated with a judge's orders concerning an inmate.

Residency Type (Own, Rent, Trans): Type of an inmate's residency prior to arrest.

Risk, Sexual: A warning indicating that an inmate tends to sexually assault others.

Sentence Effective Date: The day on which an inmate's sentence starts.

Transaction: An exchange of data between a terminal and a computer, or a word or phrase that initiates such an exchange.

Update: To modify a computer record to represent the current, or most recent state, of something.

Variable: A quantity, name, acronym, or symbol that may

have different values.

II. CIMIS Transactions

ATIER (ADMTIER): Changes an inmate's living unit across division boundaries within CCDOC.

ALIAS: Records or updates aliases for an inmate.

BOOK: Records information when a new inmate is admitted into CCDOC, and assigns the CCDOC NUMBER. It must always be the first transaction initiated for an inmate.

CHARGE: Records, updates, and displays an inmate's criminal charges and court information.

CHANGE NAME (CHGNAME): Changes an inmate's name.

COURT HISTORY (CHIST): Displays an inmate's history of court actions concerning the criminal charges against him or her.

CLINIC: Provides two forms for recording, updating, and reviewing an inmate's scheduled clinic appointments.

DISCHARGE (DISCH): Discharges an inmate from CCDOC.

HISTORY (HIST): Records biographic and demographic data concerning an inmate at intake.

IDS: Enters and updates inmate identification numbers.

INMATE (INM): Records the status and location of an inmate passing a checkpoint terminal.

INQUIRY (INQ): Displays data concerning an inmate, based on data drawn from the ALIAS, BOOK, CHARGE, HISTORY, IDS, INMATE, MEDIC, OFF, ON, and TIER transactions.

LOCKER: Assigns and updates an inmate's locker number.

MEDIC: Enters, displays, and updates an inmate's medical data.

NEWMEMBER (NEWNUMB): Changes an inmate's CCDOC number.

OFF: Records an inmate's status as "off the tier."

ON: Records an inmate's status as "on the tier."

OUTDATE: Enters and updates an inmate's release date.

SPECIAL: Same as ORDERS. Records, displays, and updates a judges orders for future events for an inmate.

TIER: Records a housing assignment for an inmate within a division at CCDOC.

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