



# Survey of State Criminal History Information Systems, 2016

Since 1989, the *Survey of State Criminal History Information Systems* has been used to collect the nation's most complete, comprehensive and relevant data on the number and status of state-maintained criminal history records and on the increasing number of operations and services involving noncriminal justice background checks provided by the state repositories. This data collection is supported by Cooperative Agreement No. 2011-MU-MU-K054 awarded by the Bureau of Justice Statistics, Office of Justice Programs, U.S. Department of Justice. **Please note:** Completion of the survey is voluntary; however, doing so is a special condition placed on all National Criminal History Improvement Program (NCHIP) and NICS Act Record Improvement Program (NARIP) awards.

Respondents using the online survey tool, accessible at <http://www.search.org/surveys/repository/>, to enter 2016 data can view previously submitted 2014 data for comparison purposes. Where applicable, your state's 2014 responses are displayed in color within each section of the online survey. It is hoped that this information will help respondents complete the survey more accurately and efficiently. **The cover letter provides the password to gain access to your state's online survey.** Direct your questions or comments to SEARCH staff Dennis DeBacco at 775-412-1950 or [dennis@search.org](mailto:dennis@search.org).

If more convenient, you may print the survey sections, complete them manually, and fax (916-392-8440) or mail them to the attention of Dennis DeBacco at SEARCH, 7311 Greenhaven Drive, Suite 270, Sacramento, CA 95831. **The deadline for survey submission is [ - ].**

The survey is divided into six sections. You may submit each independently and not necessarily in the order presented. This is done so that different people on your repository's staff may submit the data for which they are responsible. **Repository directors are responsible to see that the survey is submitted in its entirety.** Please note the following:

1. All reported data should be for calendar year 2016, or as of December 31, 2016.
2. The term "felony" includes any crime classified as a felony under your state's laws. These offenses are generally punishable by a term of incarceration in excess of one year. If your state's laws do not use the term "felony," please substitute functional equivalents, such as class 1, 2, 3 and 4 offenses in New Jersey and class A, B and C offenses in Maine.
3. Questions that seek responses based on a "legal requirement" refer *only* to a *state statute* or a *state administrative regulation having the force of law*.
4. If additional space is needed, please use the "Additional Comments" area at the end of each section.
5. Please use the "Additional Comments" area at the end of each section to provide explanatory notes for responses that require explanation or when "no data is available," and to describe significant changes between the current response and data reported in the 2014 survey.
6. If a question is not applicable to your repository, please indicate "NA" in the "Additional Comments" area at the end of each section.

## Burden Statement

Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. The survey will be sent to criminal history repositories in 56 jurisdictions, including the 50 States, the District of Columbia, American Samoa, Guam, the Northern Mariana Islands, Puerto Rico and the U.S.

Virgin Islands. The average time required for each agency to complete the survey is estimated at 6.5 hours. Send comments regarding this burden estimate or any aspect of this survey, including suggestions for reducing this burden, to the Director, Bureau of Justice Statistics, 810 Seventh Street, NW, Washington DC 20531. Do not send your completed form to this address.

## SECTION I: REPOSITORY

|                                  |             |
|----------------------------------|-------------|
| <b>This section completed by</b> |             |
| Name _____                       | Title _____ |
| Agency _____                     |             |
| Phone _____                      | Email _____ |
| Date completed _____             |             |

*The following questions relate to descriptions of your state's criminal history record information and master name index databases:*

1. How many subjects (individual criminal offenders) were in your criminal history file as of December 31, 2016?

**(a)** Automated records \_\_\_\_\_ (include subjects whose records are partially automated)

**(b)** Manual records \_\_\_\_\_

**(c)** Total records \_\_\_\_\_ (a+b)

2. Fingerprints processed in 2016:

| <u>Purpose</u>                     | <u>Number</u> | <u>Percentage of 2016 volume</u> | <u>Totals</u> |
|------------------------------------|---------------|----------------------------------|---------------|
| <b>(a)</b> Criminal (retained)     | _____         | _____ %                          |               |
| <b>(b)</b> Criminal (not retained) | _____         | _____ %                          | (a+b)         |
| <b>(c)</b> Noncriminal (retained)  | _____         | _____ %                          |               |

(d) Noncriminal (not retained) \_\_\_\_\_ % (c+d)  
\_\_\_\_\_

(e) What was the total number of fingerprint-based background checks conducted during 2016? (a+b+c+d) \_\_\_\_\_

3. (a) Do you have felony conviction flagging, i.e., does your criminal history record database include a data field or flag enabling you to quickly determine whether a given record subject has a felony conviction?

- Yes, all subjects with felony convictions
- Yes, some subjects with felony convictions
- No

(b) Does your state's criminal history record employ flagging to indicate the following? (Check all that apply.)

- Sex offender registrant
- Violent offender
- Misdemeanor domestic violence conviction that would exclude someone from purchasing a firearm
- Active protection order on file with state justice information system and/or NCIC
- Active warrant on file with state justice information system and/or NCIC
- Mental health adjudication
- DNA available
- IFFS, indicating ineligible for firearms purchase under federal law
- IFFS, indicating ineligible for firearms purchase under state law
- Other (describe) \_\_\_\_\_

*The following questions refer to repository administration, procedures and practices.*

4. (a) As of December 31, 2016, did your repository conduct "lights out" processing of fingerprints (an identification decision is made without fingerprint technician intervention)?

- Yes
- No

(b) If yes, what percentage of fingerprints was handled with "lights out" processing? \_\_\_\_\_ %

(c) If yes, what percentage of criminal fingerprints was handled with "lights out" processing? \_\_\_\_\_ %

**(d)** If yes, what percentage of noncriminal applicant fingerprints was handled with “lights out” processing? \_\_\_\_\_ %

5. (a) Does your state maintain a protection order file?

Yes  No

(b) If yes, which agency(s) enter protection orders onto the state file?  
(Check all that apply.)

Law enforcement

Courts

Other (describe) \_\_\_\_\_

(c) If yes, how many active records were in the state protection order record database as of December 31, 2016?

\_\_\_\_\_ records

**(d)** In 2016, what was the average time elapsed between the issuance of a protection order and entry of the information into the state protection order file?

1 day or less

2–7 days

8–30 days

More than 30 days

N/A – State does not maintain a protection order file

(e) Are protection orders entered onto the FBI-NCIC Protection Order File?

Yes  No

(f) If yes, which agency(s) enter protection order information to the FBI-NCIC Protection Order File? (Check all that apply.)

Law enforcement

Courts

Other (describe) \_\_\_\_\_

**(g)** In 2016, what was the average time elapsed between the issuance of a protection order and entry of the information into the FBI-NCIC Protection Order File?

1 day or less

2–7 days

- 8–30 days
- More than 30 days
- N/A – State does not maintain a protection order file

6. (a) Does your state maintain a warrant file?

- Yes       No

(b) If yes, which agency(s) enter warrants onto the state file? (Check all that apply.)

- Law enforcement
- Courts
- Other (describe) \_\_\_\_\_

(c) In 2016, what was the average time elapsed between the issuance of a warrant and entry of the information into the state warrant file?

- 1 day or less
- 2–7 days
- 8–30 days
- More than 30 days
- N/A – State does not maintain a warrant file

(d) If yes, how many records were in the state warrant database as of December 31, 2016?

\_\_\_\_\_ records

(e) Of this total, indicate the number of:

Felony warrants \_\_\_\_\_  
 Misdemeanor warrants \_\_\_\_\_  
 Other (explain) \_\_\_\_\_

(f) Which agency(s) enter warrant information to the FBI-NCIC Wanted Person File? (Check all that apply.)

- Law enforcement
- Courts
- Other (describe) \_\_\_\_\_

(g) In 2016, what was the average time elapsed between the issuance of a warrant and entry of the information into the FBI- NCIC file?

- 1 day or less
- 2–7 days
- 8–30 days
- More than 30 days
- N/A – State does not maintain a warrant file

7. In addition to criminal history information, to what other records does your state’s repository provide access? (Check all that apply.)

- Sex offender registry
- Orders of protection
- Wanted persons/warrants
- Retained applicant prints
- Firearm registration
- Domestic violence incident reports
- Other (specify) \_\_\_\_\_

8. Does your state have plans to replace any of the following due to systems that are at or nearing the end of their lifecycle? (Check all that apply.)

- Computerized Criminal History (CCH)
  - If yes, when \_\_\_\_\_
  - If yes, what is the estimated replacement cost? \_\_\_\_\_
  - If yes, what percentage of the cost will be requested from your state? \_\_\_\_\_%
  - If yes, what percentage of the cost will be requested from federal sources? \_\_\_\_\_%
  
- Automated Fingerprint Identification System (AFIS)
  - If yes, when \_\_\_\_\_
  - If yes, what is the estimated replacement cost? \_\_\_\_\_
  - If yes, what percentage of the cost will be requested from your state? \_\_\_\_\_%
  - If yes, what percentage of the cost will be requested from federal sources? \_\_\_\_\_%

**ADDITIONAL COMMENTS:**

## SECTION II: ARREST/FINGERPRINT REPORTING AND ENTRY

### This section completed by

Name \_\_\_\_\_ Title \_\_\_\_\_

Agency \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

Date completed \_\_\_\_\_

1. How many felony arrests were reported to your repository during calendar year 2016?

\_\_\_\_\_ arrests

2. How many arrest fingerprints were submitted to your repository during 2016? (a+b+c = d)

- (a) \_\_\_\_\_ via livescan  
(b) \_\_\_\_\_ via cardscan  
(c) \_\_\_\_\_ hard copy fingerprints  
(d) \_\_\_\_\_ = total arrest fingerprints

3. (a) As of December 31, 2016, was there a backlog of arrest fingerprint cards to be entered into the AFIS database (i.e., not entered within 48 hours of receipt at repository)?

Yes       No

(b) If yes, how many? \_\_\_\_\_

Size of arrest fingerprint card backlog as of December 31, 2016, is not available

(c) If yes, what is the age of the backlogged arrest information?

- 1 month or less  
 2–6 months  
 7–12 months  
 More than 1 year

4. (a) As of December 31, 2016, was there a backlog of palm prints to be entered into the AFIS database (i.e., not entered within 48 hours of receipt at repository)?

- Yes       No

(b) If yes, how many? \_\_\_\_\_

Size of palm print backlog as of December 31, 2016, is not available

5. For the year ending on December 31, 2016, what percentage of arrest fingerprint records received by the repository were rejected for poor quality? \_\_\_\_\_%

6. What types of biometric information are currently utilized in identification search processes conducted by your agency? (Check all that apply, and indicate volume.)

- |   |       |             |
|---|-------|-------------|
| <input type="checkbox"/> Latent fingerprints  | _____ | 2016 volume |
| <input type="checkbox"/> Flat prints  | _____ | 2016 volume |
| <input type="checkbox"/> 2-finger prints for identification purposes  | _____ | 2016 volume |
| <input type="checkbox"/> 2-finger prints for updating incarceration or release information to criminal history  | _____ | 2016 volume |
| <input type="checkbox"/> 10-finger prints for updating incarceration or release information to criminal history | _____ | 2016 volume |
| <input type="checkbox"/> Palm prints  | _____ | 2016 volume |
| <input type="checkbox"/> Facial images/mug shots  | _____ | 2016 volume |
| <input checked="" type="checkbox"/> Scars, marks, and tattoo images   | _____ | 2016 volume |
| <input checked="" type="checkbox"/> 1- or 2-finger prints for updating disposition information                  | _____ | 2016 volume |
| <input type="checkbox"/> Iris capture   | _____ | 2016 volume |
| <input checked="" type="checkbox"/> Other (specify) _____   | _____ | 2016 volume |

7. (a) Are you using mobile technology to transmit fingerprints for identification purposes?

- Yes       No

(b) Are you using mobile technology to transmit fingerprints for booking purposes?

- Yes       No

(c) Do you have plans to implement mobile technology that captures non-fingerprint biometric information?

- Yes       No

(d) Is your state employing Rapid ID?

- Yes       No



If yes, number of searches conducted in 2016 \_\_\_\_\_

If yes, number of hits in 2016 \_\_\_\_\_

8. (a) Total number of law enforcement agencies in your state \_\_\_\_\_

(b) Number of law enforcement agencies that submit arrest prints via livescan (including agencies without livescan devices that receive livescan services from agencies that do have that equipment, such as a sheriff that provides booking services for multiple local police departments) \_\_\_\_\_

(c) Number of agencies that submit arrest fingerprints via cardscan \_\_\_\_\_

(d) Number of agencies that submit hard copy arrest fingerprint cards \_\_\_\_\_

(e) Percentage of arrest prints submitted via livescan during 2016 \_\_\_\_\_ %

9. Does your state have a purchasing contract for livescan equipment?

Yes, we have a statewide contract that local agencies can purchase from

Yes, my agency purchases all livescan equipment on behalf of local agencies

Yes, my state is part of a multi-state contract for livescan equipment

Yes, certain agencies within my state have negotiated a multi-jurisdiction contract

No, each local agency negotiates directly with livescan vendors to purchase equipment

Other, please explain:  
\_\_\_\_\_

10. If no, does your state plan to negotiate a statewide or multi-state purchasing contract for livescan equipment in the future?

Yes, my state anticipates negotiating a statewide contract for livescan equipment

Yes, my state anticipates negotiating a multi-state contract for livescan equipment

11.

Do local law enforcement agencies in your state routinely cite and release individuals without fingerprinting? This includes issuance of a notice to appear when a person is charged with a crime, but is not fingerprinted prior to a court appearance.

Yes, only for violations

Yes, for both violations and misdemeanors

Yes, for all criminal offenses, including felonies

No

**ADDITIONAL COMMENTS:**

## SECTION III: DISPOSITIONS

### This section completed by

Name \_\_\_\_\_ Title \_\_\_\_\_

Agency \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

Date completed \_\_\_\_\_

*The following questions seek to determine to what extent the records in your criminal history record database contain final case disposition information. (“Final case disposition” is defined as the formal or informal conclusion of an arrest or charge at whatever stage it occurs in the criminal justice process. (E.g., release by police after arrest without charging; decline to proceed by prosecutor; or final trial court disposition.)*

- 1.** Does your state collect charge tracking information (sometimes referred to as “interim disposition information”) on the criminal history record showing the status of a case as it moves through the justice system? (E.g., reporting of an indictment, charges filed that are different than arrest charges, etc.)

Yes       No

- 2.** (a) How many final case dispositions did your repository receive during 2016? \_\_\_\_\_ dispositions

(b) Of those, how many were sent to the FBI? \_\_\_\_\_ dispositions

*Of the dispositions forwarded to the FBI:*

(c) What percentage was sent by Machine Readable Data (MRD), such as tape/CD/DVD? \_\_\_\_\_ %

(d) What percentage was sent via hard copy/paper? \_\_\_\_\_ %

**(e)** What percentage was sent by Interstate Identification Index (III) message key? \_\_\_\_\_ %

**(f)** What percentage was sent via a secure web portal? \_\_\_\_\_ %

3. What percentage of all arrests in the criminal history database have final case dispositions recorded?

(a) Arrests entered within past 5 years \_\_\_\_\_ %

(b) Arrests in the entire database \_\_\_\_\_ %

(c) Felony charges \_\_\_\_\_ %

4. (a) Of the dispositions received at the repository during 2016, what percentage could not be linked to a specific arrest record, either because of failed matching criteria or the arrest had not been reported to the repository? \_\_\_\_\_%

(b) When a disposition cannot be matched to an arrest, the following action(s) is taken: (Check all that apply.)

- Placed in a suspense file (no further action)
- Placed in a suspense file for further investigation
- Disposition information is rejected
- Follow-up actions are taken by repository staff
- Court is contacted
- Court-provided charge(s) and corresponding disposition is posted to the beginning or end of record
- Other \_\_\_\_\_

(c) Is a vendor used to assist your state's repository in identifying or locating missing dispositions?

- Yes       No

5. (a) As of December 31, 2016, was any court disposition data reported directly to the repository by automated means? (Note: "automated" refers to a method by which data is transmitted by the court to the repository where it is matched against criminal history records and entered on the criminal history record, usually without manual intervention. This does not include dispositions received via fax or email, which require manual activity for criminal history record matching and data entry.)

- Yes       No

(b) If yes, how many automated records were:

- Received via automated means through a centralized (statewide) court case management system \_\_\_\_\_
- Received via the local courts' case management systems \_\_\_\_\_

(c) If yes, what percentage of dispositions was reported in 2016 by automated means?

\_\_\_\_\_ %

**(d)** How are records matched between the court system and the repository? (Check all that apply.)

- Process Control Number (PCN) or Transaction Control Number (TCN) assigned when fingerprints were taken at time of arrest/booking
- PCN or TCN assigned subsequent to arrest/booking
- State Identification Number
- Arrest Number
- Name
- Date of birth
- Charges
- N/A – My state does not receive automated disposition information from courts
- Other (please explain)\_\_\_\_\_

**6.** In 2016, what was the average time elapsed between the occurrence of final felony court case dispositions and receipt of information concerning such dispositions by the repository?

- 1 day or less
- 2–7 days
- 8–90 days
- 91–180 days
- 181–365 days
- More than 1 year

**7.** In 2016, what was the average time elapsed between receipt of final felony court disposition information by the repository and entry of that information into the criminal history record database?

- 1 day or less
- 2–7 days
- 8–30 days
- 31–90 days
- 91–180 days
- 181–365 days
- More than 1 year

8. (a) As of December 31, 2016, was your state using any livescan devices in courtrooms/courthouses to link positive identifications with dispositions?

Yes       No

(b) If yes, how many livescan devices are in courtrooms/courthouses?

\_\_\_\_\_ Devices

9. (a) As of December 31, 2016, was there a backlog of court disposition data to be entered into the criminal history record database (i.e., not entered within 48 hours of receipt at repository, including dispositions that could not be matched to a criminal history record within 48 hours of receipt at the repository)?

Yes       No

(b) If yes, how many unprocessed or partially processed court case dispositions did you have?

\_\_\_\_\_

10. (a) Does the repository receive any final case disposition information (e.g., decline to proceed) from local prosecutors?

Yes       No

(b) If yes, this information is: (Check all that apply.)

Received via automated means through a centralized (statewide) prosecutors' case management system

Received via the local prosecutors' case management system

Paper-based

A mix of automated and paper-based

(c) If yes, how are records matched between prosecutors and the repository? (Check all that apply.)

N/A – My state does not receive automated disposition information from prosecutors

Process Control Number (PCN) or Transaction Control Number (TCN) assigned when fingerprints were taken at time of arrest/booking

PCN or TCN assigned subsequent to arrest/booking

State Identification Number

Arrest Number

Name

Date of birth

Charges

Other (please explain)\_\_\_\_\_

**11.** Does your state post indictment information to the criminal history record?

Yes       No

**ADDITIONAL COMMENTS:**

|  |
|--|
|  |
|--|

## SECTION IV: NONCRIMINAL BACKGROUND CHECKS

### This section completed by

Name \_\_\_\_\_ Title \_\_\_\_\_

Agency \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

Date completed \_\_\_\_\_

### **BACKGROUND CHECKS**

1. (a) Does your state charge a fee to conduct a search of the criminal history record database for noncriminal justice purposes?

Yes       No

(b) If yes, how are fees allocated?

All fees go to the state general fund, with repository funded by general fund allotment

A percentage of fees go to support repository operations \_\_\_\_\_ %

All fees go to support repository operations

Other \_\_\_\_\_

2. Please indicate the legal authority your state uses for each of the following background checks. (Check all that apply.)

|  | N/A (state does not do these checks) | State check only | PL 92-544 statute | NCPA/VCA |
|--|--------------------------------------|------------------|-------------------|----------|
| Daycare providers                                    |                                      |                  |                   |          |
| Caregivers—residential facilities                    |                                      |                  |                   |          |
| School teachers                                      |                                      |                  |                   |          |
| Non-teaching school personnel (including volunteers) |                                      |                  |                   |          |
| Volunteers working with children                     |                                      |                  |                   |          |
| Prospective foster care parents                      |                                      |                  |                   |          |
| Prospective adoptive parents                         |                                      |                  |                   |          |
| Relative caregivers                                  |                                      |                  |                   |          |
| Nurses/Elder caregivers                              |                                      |                  |                   |          |



|  |  |  |  |     |
|--|--|--|--|-----|
| Legal guardians                            |  |  |  |     |
| Hazardous materials licensees              |  |  |  | N/A |
| Medical marijuana (dispensers, caregivers) |  |  |  | N/A |

### **FINGERPRINT-BASED SEARCHES**

3. (a) Has your state privatized the taking of fingerprints for noncriminal justice purposes?

- Yes       No

*If you answered "No," skip to question 4.*

(b) If yes, is this service provided by?

- A single vendor       Multiple vendors

(c) Does the vendor(s) assess a fee above what the state charges to perform the background check?

- Yes, Fee \$ \_\_\_\_\_       No

(d) Does the vendor provide any additional services besides the fingerprint capture? (E.g., evaluating responses for the requestor, sending responses back to the requestor, etc.)

\_\_\_\_\_

\_\_\_\_\_

4. (a) Total number of noncriminal justice fingerprints submitted to the repository via livescan during 2016 \_\_\_\_\_

(b) Total number of noncriminal justice fingerprints submitted to the repository via cardscan during 2016 \_\_\_\_\_

(c) Percentage of noncriminal justice fingerprints submitted via livescan during 2016 \_\_\_\_\_%

(d) Percentage of noncriminal justice fingerprints submitted via cardscan during 2016 \_\_\_\_\_%

**(e)** Total number of livescan devices available for noncriminal justice purposes only \_\_\_\_\_

**(f)** Total number of cardscan devices available for noncriminal justice purposes only \_\_\_\_\_

**(g)** Total number of livescan devices used for both criminal and noncriminal justice purposes \_\_\_\_\_

**(h)** Total number of cardscan devices used for both criminal and noncriminal justice purposes \_\_\_\_\_

5. What information is contained in the results for fingerprint-based noncriminal justice background checks? (Check all that apply.)

- Full record
- Convictions only
- Juvenile records
- Arrests without disposition—over 1 year old
- Other \_\_\_\_\_

6. What percentage of fingerprint-based noncriminal justice transactions are identified against arrest fingerprints?

\_\_\_\_\_ %

7. Does the repository attempt to locate missing disposition information before responding to a fingerprint-based noncriminal justice inquiry?

- Yes       No

**NAME-BASED SEARCHES**

8. How many name-based noncriminal justice background checks were performed in 2016?  
(a+b+c+d = e)

- |            |                        |       |
|------------|------------------------|-------|
| <b>(a)</b> | Received via Internet  | _____ |
| <b>(b)</b> | Received via mail      | _____ |
| <b>(c)</b> | Received via telephone | _____ |
| <b>(d)</b> | Other                  | _____ |
| <b>(e)</b> | Total                  | _____ |

**INTERNET ACCESS**

9. Does your repository provide web-based noncriminal justice background checks to the public?

- Yes       No

10. Are fees involved for Internet access for the general public (not including any registration or account fees)?

- Yes, Fee \$ \_\_\_\_\_       No

**ADDITIONAL COMMENTS:**

## SECTION V: CRIMINAL JUSTICE RAP BACK SERVICES

### This section completed by

Name \_\_\_\_\_ Title \_\_\_\_\_

Agency \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

Date completed \_\_\_\_\_

**1.** Does your state currently provide an in-state criminal justice rap back service?

Yes       No

*If you answered "No," skip to question 4.*

**2.** What are the purposes for which criminal justice agencies can be notified of a subsequent inquiry and/or record posting via your in-state criminal justice rap back service? (Check all that apply.)

Error correction/record management update

Investigative lead

Sex offender

Parolee

Probationer

Permit/privileged license revocation (i.e., CCW permit, gaming work card, etc.)

Noncriminal justice purpose fingerprint search

Other (describe) \_\_\_\_\_

**3.** In 2016, how many in-state criminal justice rap back notifications were made to agencies for criminal justice purposes?

\_\_\_\_\_

**4.** Do you currently participate in the FBI's Next Generation Identification (NGI) rap back service for criminal justice purposes?

- Yes       No

If you answered “No,” skip questions 5 through 7.

5. As a participant in NGI’s rap back service, do you allow criminal justice agencies in your state to subscribe to the following supervision populations in NGI, as described in the *NGI Rap Back Criminal Justice Policy and Implementation Guide*? (Check all that apply.)

- Sex offenders
- Parolees
- Probationers
- Other supervised persons (describe) \_\_\_\_\_
- Uncertain

6. As a participant in NGI’s rap back service, do you allow law enforcement agencies in your state to create law enforcement investigative subscriptions in NGI, as described in the *NGI Rap Back Criminal Justice Policy and Implementation Guide*?

- Yes       No       Uncertain

7. As a participant in NGI’s rap back service, do you plan to: (Select one.)

- Keep your in-state criminal justice rap back service
- Keep your in-state criminal justice rap back service *and* allow enrollment in NGI
- Retire your in-state criminal justice rap back service and use NGI for both in-state and national rap back services
- Uncertain
- My state does not provide an in-state criminal justice rap back service

**ADDITIONAL COMMENTS:**

## SECTION VI: NONCRIMINAL JUSTICE RAP BACK SERVICES

### This section completed by

Name \_\_\_\_\_ Title \_\_\_\_\_

Agency \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

Date completed \_\_\_\_\_

**Note:** Questions 1–7 apply to in-state rap back programs for noncriminal justice purposes.

**1.** Does your state currently provide an in-state noncriminal justice rap back service?

Yes       No

*If you answered “No,” skip to question 8.*

**2.** (a) Is your in-state noncriminal justice rap back service authorized by state law or administrative regulation?

Yes       No

(b) If yes, does the state law or administrative regulation specify the purposes in which noncriminal justice agencies can be notified of a subsequent inquiry and/or record posting?

Yes       No

**3.** Does your in-state noncriminal justice rap back service have a subscription validation process similar to that required for NGI rap back participation, as described in the *NGI Rap Back Noncriminal Justice Policy and Implementation Guide*?

Yes, for all subscription populations

Yes, for some subscription populations

No

**4.** What are the occupational groups in which noncriminal justice agencies can be notified of a subsequent record posting? (Check all that apply.)

- Individuals working with children
- Individuals working with the elderly
- Individuals providing healthcare
- Security guards
- Police, fire, public safety
- Other (describe) \_\_\_\_\_

5. In 2016, how many in-state noncriminal justice rap back notifications were made to agencies for noncriminal justice purposes?

\_\_\_\_\_

6. Does your in-state noncriminal justice rap back service impose a fee to enroll a subject's fingerprints for a prescribed period of time?

- Yes      \$ \_\_\_\_\_
- No

7. Does your in-state noncriminal justice rap back service impose a fee for noncriminal justice rap back notifications?

- Yes      \$ \_\_\_\_\_
- No

8. Do you currently participate in NGI's rap back service for noncriminal justice purposes?

- Yes       No

*If you answered "No," skip questions 9a through 9(d).*

9. As a participant in NGI's rap back service—

(a) Do you plan to: (Select one.)

- Keep your in-state noncriminal justice rap back service
- Keep your in-state noncriminal justice rap back service *and* allow enrollment in NGI
- Retire your in-state noncriminal justice rap back service and use NGI for both in-state and national rap back services
- Uncertain
- My state does not provide an in-state noncriminal justice rap back service

**(b)** Do you restrict the Privacy Risk Mitigation Strategies that your subscribers can choose?

Yes, we limit the Privacy Risk Mitigation Strategy choices to the following: (Check all that apply.)

Pre-notification with mandatory validation/expiration within 3 years

Authority for duration of a license

Statutory authority for a set period of time

One-year validation/expiration

Subscription synchronization through automated or formalized procedures

No, we will allow the subscribers to choose any of the Privacy Risk Mitigation Strategies

Uncertain

**(c)** Do you restrict the “Triggering Events” that your subscribers may choose for future NGI Rap Back Activity Notifications?

Yes, we currently restrict, or plan to restrict, the Triggering Event choices to the following: (Check all that apply.)

Criminal Retain Submission

Dispositions

Expunge/Partial Expungement

Warrant entry with FBI Number included

Warrant Deletion

Warrant Modification

Sex Offender Registry Entry

Sex Offender Registry Deletion

Sex Offender Registry Modification

Death Notices

No, we will allow our subscribers to choose any of the Triggering Events to receive as future Rap Back Activity Notifications

Uncertain

**(d)** Do you use Event-Based Subscription Management (i.e., multiple enrollment of the same subject into NGI) or Category-Based Subscription Management (i.e., single enrollment into NGI with additional enrollments held at the state level), as described in the *NGI Rap Back Noncriminal Justice Policy and Implementation Guide*?

Event-Based Subscription Management

Category-Based Subscription Management



- Both Event- and Category-Based Subscription Management
- Uncertain

**ADDITIONAL COMMENTS:**