OMB No. 1121-0312: Approval Expires [03/31/2018]

**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.

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**

|  |
| --- |
| **This section completed by** 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?
2. Automated records \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (include subjects whose records
 are partially automated)
3. Manual records \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
4. Total records \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (a+b)
5. Fingerprints processed in 2016:

 Percentage of

 Purpose Number 2016 volume Totals

1. Criminal (retained) \_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_%
2. Criminal (not retained) \_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_% (a+b) \_\_\_\_\_\_\_\_\_\_\_\_\_
3. Noncriminal (retained) \_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_%
4. Noncriminal (not retained) \_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_% (c+d) \_\_\_\_\_\_\_\_\_\_\_\_\_
5. What was the total number of fingerprint-based

background checks conducted during 2016? (a+b+c+d) \_\_\_\_\_\_\_\_\_\_\_

1. (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.*

1. (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? \_\_\_\_\_\_\_\_\_\_ %

1. If yes, what percentage of noncriminal applicant
fingerprints was handled with “lights out” processing? \_\_\_\_\_\_\_\_\_\_ %
2. (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

1. 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)
1. 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
1. (a) Does your state maintain a warrant file?

❒ Yes ❒ No

* + 1. If yes, which agency(s) enter warrants onto the state file? (Check all that apply.)
* Law enforcement
* Courts
* Other (describe)
	+ 1. 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)
1. 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

1. How many arrest fingerprints were submitted to your repository during 2016? (a+b+c = d)
2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ via livescan
3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ via cardscan
4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ hard copy fingerprints
5. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ = total arrest fingerprints
6. (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
1. (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
1. For the year ending on December 31, 2016, what percentage of arrest fingerprint records received by the repository were rejected for poor quality? \_\_\_\_\_\_\_\_\_\_\_\_\_\_%
2. What types of biometric information are currently utilized in identification search processes conducted by your agency? (Check all that apply, and indicate volume.)

❒ Latent fingerprints \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume

❒ Flat prints \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume

❒ 2-finger prints for identification purposes \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume

❒ 2-finger prints for updating incarceration
or release information to criminal history \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume

❒ 10-finger prints for updating incarceration
or release information to criminal history \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume

❒ Palm prints \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume

❒ Facial images/mug shots \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume

* Scars, marks, and tattoo images \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume
* 1- or 2-finger prints for updating
disposition information \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume
* Iris capture \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume
* Other (specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_ 2016 volume
1. (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 \_\_\_\_\_\_\_\_\_\_\_ %

1. 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:
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
1. 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
1. 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**

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| --- |
| **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

1. (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? \_\_\_\_\_\_\_\_\_\_\_\_ %

1. What percentage was sent by Interstate
Identification Index (III) message key? \_\_\_\_\_\_\_\_\_\_\_\_ %
2. 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?
4. Arrests entered within past 5 years \_\_\_\_\_\_\_\_\_\_\_\_ %
5. Arrests in the entire database \_\_\_\_\_\_\_\_\_\_\_\_ %
6. Felony charges \_\_\_\_\_\_\_\_\_\_\_\_ %
7. (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

1. (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?

\_\_\_\_\_\_\_\_\_\_\_\_%

1. 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)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
1. 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
1. 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
1. (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

1. (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?

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. (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)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
1. Does your state post indictment information to the criminal history record?

❒ Yes ❒ No

**ADDITIONAL COMMENTS:**

**SECTION IV: NONCRIMINAL
BACKGROUND CHECKS**

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| --- |
| **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 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
1. 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**

1. (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.)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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1. (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 \_\_\_\_\_\_\_\_\_\_\_\_%

1. Total number of livescan devices available for
noncriminal justice purposes only \_\_\_\_\_\_\_\_\_\_\_\_
2. Total number of cardscan devices available for
noncriminal justice purposes only \_\_\_\_\_\_\_\_\_\_\_\_
3. Total number of livescan devices used for both
criminal and noncriminal justice purposes \_\_\_\_\_\_\_\_\_\_\_\_
4. 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 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
1. What percentage of fingerprint-based noncriminal justice transactions are identified against arrest fingerprints?

\_\_\_\_\_\_\_\_\_ %

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

❒ Yes ❒ No

**NAME-BASED SEARCHES**

1. How many name-based noncriminal justice background checks were performed in 2016? (a+b+c+d = e)
2. Received via Internet \_\_\_\_\_\_\_\_\_\_\_\_
3. Received via mail \_\_\_\_\_\_\_\_\_\_\_\_
4. Received via telephone \_\_\_\_\_\_\_\_\_\_\_\_
5. Other \_\_\_\_\_\_\_\_\_\_\_\_
6. 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.*

1. 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)
1. In 2016, how many in-state criminal justice rap back notifications were made to agencies for criminal justice purposes?

1. 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.*

1. 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
1. 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

1. 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.*

1. (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

1. 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
1. 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)
1. In 2016, how many in-state noncriminal justice rap back notifications were made to agencies for noncriminal justice purposes?

1. 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

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

❒ Yes $ \_\_\_\_\_\_\_\_

❒ No

1. 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).*

1. 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
1. 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:**